

ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN (ESMP) PALU SUB-PROJECT: HOSPITALS

Sulawesi – Lombok Programme for Earthquake and Tsunami
Infrastructure Reconstruction Assistance - PETRA

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Glossary of Terms and Abbreviations

AMDAL	Analisis Mengenai Dampak Lingkungan – Process of environmental impact assessments that will produce ANDAL (ESIA) and RKL-RPL (ESMPs)
ANDAL	Analisis Dampak Lingkungan – Environmental and social impact assessment/statement
AWP	Annual Work Plan
BPLHD	Badan Pengendalian Lingkungan Hidup Daerah - Regional Environmental Management Agency
CO UNDP	UNDP Country Office
DED	Detail Engineering Design
DLH	Dinas Lingkungan Hidup – Local Government Environmental Agency
EDSCP	Erosion, Drainage and Sediment Control Plan
ESDD	Environmental and Social Due Diligence
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
GBVH	Gender Based Violence and Harassment
GRM	Grievance Redress Mechanism
ILO	International Labour Organization
KA-ANDAL	Kerangka Acuan – ANDAL (Terms of Reference of ESIA)
OAI	UNDP's Office of Audit and Investigations
PAC	Project Advisory Committee
PIP	Project Implementation Plan
PMU	Project Management Unit
PPE	Personal Protective Equipment
PSC	Project Supervision Consultant
PUSKESMAS	Local Health Centre
QPR	Quarterly Project Report
RENAKSI	Rencana Aksi Rehabilitasi dan Rekonstruksi - Rehabilitation and Reconstruction Action Plan
RKL	Rencana Pengelolaan Lingkungan – Environmental Management Plan
RPL	Rencana Pemantauan Lingkungan – Environmental Monitoring Plan
SA	Social Assessment
SES	Social and Environmental Standards
SESA	Strategic Environmental and Social Assessment
SESP	Social and Environmental Screening Procedure
SIA	Social Impact Assessment
SRM	Stakeholder Response Mechanism
TPA	Tempat Pembuangan Akhir - Final Solid Waste Disposal Site
UKL-UPL	Upaya Pengelolaan dan Pemantauan Lingkungan – Partial Environmental Impact Management and Monitoring Plan

1 Introduction

The following document is based on the Environmental and Social Management Framework document which was prepared and approved by the PAC in June 2019. A number of elements of the ESMF feed directly into the ESMP. Please refer to the [UNDP SES Guidance Note on Assessment and Management](#) for additional information. The ESMP, when approved by the PAC, will be included in its entirety in the bidding documents for the rehabilitation and rebuilding of hospital facilities in Palu. Outputs which will be achieved through implementation of the construction activities include:

A. Anutapura Hospital

- Pharmacy Building
 - Double storey building – two floors site area 325 square meters and floor space 650 square metres.
 - Columns, beams and slabs using a concrete structure
- Inpatient Murai Building
 - Double storey building – two floors site area 406 square metres and floor space 807 square metres.
 - Columns, beams and slabs using a concrete structure

B. Tora Belo Hospital

- Pinus/Ebony Building
 - Double storey building – two floors site area 319 square metres and floor space 638 square metres.
 - Columns and beams using concrete structure
- Maternity Building
 - Single storey building - one floor site area 262 square metres.
 - Columns and beams using concrete structure

2 Mitigation and Monitoring

2.1 Anticipated Adverse Social and Environmental Impacts

The SESP for the Palu Hospitals Subproject works has identified the environmental and social risks listed in the following table. The table also includes broad provisions for dealing with the identified risks.

Table 1: Environmental and Social Risks Identified and ESMP Provisions

Potential Social and Environmental Risks	ESMP Provisions
Principle 1: Human Rights	
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	The project has been designed with the assistance of stakeholders and aims to provide benefits to the broader community. Notwithstanding, as with any project that involves construction, some dissatisfaction can occur, and conflicts may arise. Potential conflict with affected population requires a stakeholder engagement plan, plan to monitor social impacts and a grievance redress mechanism.

Potential Social and Environmental Risks	ESMP Provisions
Principle 3: Environmental Sustainability	
3. Community Health, Safety and Working Conditions	
3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	OSH provisions to avoid dangers to occupational health and safety of workers and local communities. Air quality, noise and vibration and traffic management plans are required. Particular attention is required to minimizing impacts on the on-going hospital operations.
3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	OSH provisions to avoid dangers to occupational health and safety of workers, hospital patients and local communities. Air quality, noise and vibration, and traffic management plans and required. Special attention is required to minimizing the impacts on the on-going hospital operations.
3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	Building structural designs checked for adequacy. Site safety provisions due to working in proximity to operational hospital require special attention during construction.
3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	Plans for OHS, air quality, noise and vibration, traffic management and waste management required to minimised impacts during Project construction. Hazardous waste management plan also required for hospital operation.
3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international labour standards (i.e. principles and standards of ILO fundamental conventions)?	OHS plan includes reference to principles and standards of ILO fundamental conventions.
7. Pollution Prevention and Resource Recovery	
7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	Waste management plan is required with special attention to waste minimization. Hazardous waste management plan also required for hospital operation.

The above assessment indicates that the Construction Contract must provide for implementation of the following plans:

- Occupational Health and Safety
- Air Quality
- Noise and Vibration
- Traffic Management
- Waste Management
- Monitoring Social Impacts, and
- Stakeholder Engagement

2.2 Occupational Health and Safety (OHS)

Background

The Project Manager shall develop and implement an OHS Management System as a vehicle for managing the OHS hazards and risks and as an instrument for continual i.e. stepwise progressive improvement in UNDP's management of OHS. Safety and Health in Construction Convention, 1988 (No.167) of International Labour Organisation (ILO) is the key convention concerning safety and health in construction. In August 2015, Indonesia ratified ILO's Promotional Framework for Occupational Safety and Health Convention, 2006 (No. 187). The convention defines activities under construction and specifies preventive and protective provisions to be in place for the construction sites. In addition, UNDP's SES includes provisions related to community health, safety and working

conditions (Standard 3), including the need to respect and promote workers' rights and that project workers have safe and healthy working conditions to prevent accidents, injuries, and diseases.

Clearly defined roles and responsibilities of key personnel along with authority and availability of resources are essential for planning and managing the OHS elements under the framework. As part of the OHS framework for action, the Project Manager shall establish, implement and maintain procedures for identifying and accessing the legal and other OH&S requirements that are applicable to it. The OHS framework should include labour standards that promote gender equality and minimise gendered harm, as outlined in ILO's ABC of Workers; Rights and gender equality, 2nd Ed, 2007.

This ESMP's includes occupational health and safety measures including safety of workers and other persons, noise, maintenance of equipment, prevention of spread of diseases, debris, cleanliness, ease of movement, any GBVH, social disputes and general appearance of the subproject including tree planting, etc.

Performance Criteria

The following performance criteria are set for the project:

1. Establishment of an OHS organisation with clear roles, responsibilities, authority and resources.
2. Identification and monitoring of compliance for key regulations.
3. Presence and implementation of procedures on hazards identification and risk assessment.
4. Establishment and implementation of Contractors OHS Management Plans.

Monitoring

Monitoring and evaluation are an integral part of OHS management. Systematic monitoring and evaluation require attention to different aspects at all stages of implementation and includes proactive and reactive monitoring. Proactive monitoring involves assessing presence of key elements of systems, procedures and protocols for controls in place.

The Project Manager shall establish, implement and maintain procedures to monitor and measure OH&S performance on a regular basis. These procedures shall provide for both qualitative and quantitative measures, proactive and reactive measures of performance. The Project Manager shall establish, implement and maintain procedures to record, investigate and analyse incidents. The Project Manager shall also establish, implement and maintain procedures which define requirements for identifying and correcting nonconformities, including GBVH, and taking actions to mitigate their OH&S consequences.

Indicators serve a key role to monitor the OHS performance of the implementing organizations. The indicators shall include qualitative indicators as well as quantitative ones. The Project Manager shall develop appropriate lists of indicators based on particular activities.

Reporting

The Project Manager shall ensure that internal audits of the OHS management system are conducted at planned intervals to determine whether the OHS management system conforms to planned arrangements for OHS management; has been properly implemented and is maintained; and is effective in meeting the organization's policy and objectives

The results of incident investigations, incidents of nonconformity with the OHS management system, corrective action and preventive action shall be documented and maintained. Monthly reports on OHS are to be provided to UNDP, KfW and Bappenas.

Occupational Health and Safety Management Measures

Issue	Control activity (and source)	Action timing	Responsibility	Monitoring & reporting
OHS1: Health and safety issue of the construction workers	OHS1.1 Establishment of an OHS organisation with clear roles, responsibilities, authority and resources.	Project start	Project manager	Annual review of compliance with key regulations.
	OHS1.2 Conduct safety induction before work start. PPE utilization for workers. Conduct regular site inspections, submit reports and oversee corrective action.	Construction and operation phases	Project manager	Monthly or as directed by UNDP

2.3 Air Quality

Background

All construction activities have the potential to cause air quality nuisance.

The project areas are operational hospital facilities. Existing air quality reflects those environments, with dust being the main air quality nuisance. Special attention will be required including provision of shielding barriers which will prevent the escape of airborne particles from the building sites.

Workers involved in construction and operation activities should be familiar with methods minimising the impacts of deleterious air quality and alternative construction procedures as contained in Indonesian Government legislation or good international industry practice.

Performance Criteria

The following performance criteria are set for the construction of the projects:

1. release of dust/particle matter must not cause an environmental nuisance;
2. undertake measures at all times to assist in minimising the air quality impacts associated with construction and operation activities; and
3. corrective action to respond to complaints and/or grievances is to occur within 48 hours.

Monitoring

A standardized air monitoring program has been developed for the projects (see Table below). The program is subject to review and update at least every two months from the date of issue.

Importantly:

1. the requirement for dust suppression will be visually observed by site personnel daily and by UNDP staff when undertaking routine site inspections; and
2. Vehicles and machinery emissions – visual monitoring and measured when deemed excessive.

Reporting

All air quality monitoring results and/or incidents will be tabulated and reported as outlined in the ESMF. The UNDP must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to air quality is exceeded.

Air Quality Management Measures

Issue	Control activity (and source)	Action timing	Responsibility	Monitoring & reporting
AQ1: Increase in dust levels at sensitive receptors.	AQ1.1 Implement effective dust management measures in all areas during design, construction and operation. Special attention to providing shields which will prevent dust and other airborne particles from escaping from the building site and entering operational areas of the hospitals.	Pre and during construction	All personnel	Daily and maintain records
	AQ1.2: Source sufficient water of a suitable quality for dust suppression activities complying with any water restrictions.	During construction	Project manager	Daily and maintain records

2.4 Noise and Vibration

Background

All construction and operation activities have the potential to cause noise nuisance. Vibration disturbance to nearby residents is likely to be caused through the use of vibrating equipment. Blasting is not required to be undertaken as part of this project. The use of machinery or introduction of noise generating facilities could have an adverse effect on the environment and residents if not appropriately managed. Contractors involved in construction activities should be familiar with methods of controlling noisy machines and alternative construction procedures as contained within good international industry practice. The detail, typical equipment sound power levels, provides advice on project supervision and gives guidance noise reduction. Potential noise sources during construction may include:

1. heavy construction machinery;
2. power tools and compressors;
3. delivery vehicles.

Special attention will be required which will minimize the impact of the building operations on the local staff and patients of the hospitals.

Performance Criteria

The following performance criteria are set for the construction of the projects:

1. noise from construction and operational activities must not cause an environmental nuisance at any noise sensitive place;
2. undertake measures at all times to assist in minimizing the noise associated with construction activities;
3. no damage to off-site property caused by vibration from construction and operation activities; and
4. corrective action to respond to complaints and/or grievances is to occur within 48 hours.

Monitoring

A standardized noise monitoring program is to be developed for the projects. Importantly, the site supervisor will:

1. ensure equipment and machinery is regularly maintained and appropriately operated; and
2. carry out potentially noisy construction activities during 'daytime' hours only.

Reporting

All noise monitoring results and/or incidents will be tabulated and reported as outlined in the ESMF. The UNDP must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to noise is exceeded.

Noise and Vibration Management Measures

Issue	Control activity (and source)	Action timing	Responsibility	Monitoring & reporting
N1: Increased noise levels	N1.1 Select plant and equipment and specific design work practices to ensure that noise emissions are minimized during construction and operation.	Pre and during construction	Contractor	Maintain records
	N1.2: Specific noise reduction devices such as silencers and mufflers shall be installed as appropriate to site plant and equipment.	Pre and during construction	Contractor	Maintain records
	N1.3 Consultation with hospital management and nearby residents in advance of construction if noise generating construction activities are to be carried out. Special attention to providing prevention measures which minimize noise emanating from the building site and entering operational areas of the hospitals.	Construction phase	All personnel	Daily and maintain records
	N1.4 All incidents, complaints and non-compliances related to noise shall be reported in accordance with the site incident reporting procedures and summarized in the register.	Construction phase	Project manager	Maintain records
N2: Vibration due to construction	N2.1 Identify properties and structures that will be sensitive to vibration impacts resulting from construction and operation of the project.	Pre and during construction	Contractor	Maintain records
	N2.2 Design to give due regard to temporary and permanent mitigation measures for noise and vibration from construction and operational vibration impacts. Special attention to providing prevention measures which minimize vibrations emanating from the building site and entering operational areas of the hospitals.	Pre and during construction	Contractor	Maintain records
	N2.3 All incidents, complaints and non-compliances related to vibration shall be reported in accordance with the site incident reporting procedures and summarized in the register.	Construction phase	Project manager	Maintain records

2.5 Traffic Management

Background

Traffic safety should be promoted by all project personnel during displacement to and from the workplace, and during operation of project equipment on private or public roads. Prevention and control of traffic related injuries and fatalities should include the adoption of safety measures that are protective of project workers and of road users, including those who are most vulnerable to road traffic accidents. This should include safe pathways around the site for people living with disability (PLWD), including those who are mobility-impaired, vision-impaired, and hearing-impaired.

Performance Criteria

The following performance criteria are set for the project:

1. zero traffic accidents occur due to project construction works;
2. disruption to local traffic is minimised through limiting use of local roads during peak or other sensitive times; and
3. no complaints received regarding construction traffic.

Reporting

The UNDP as implementing agency must be notified immediately in the event of any traffic accidents, any failure of contractors to implement or operate agreed traffic controls, and complaints regarding construction traffic.

Traffic Management Measures

Issue	Control activity (and source)	Action timing	Responsibility	Monitoring & reporting
TM1: Disruption due to Project vehicular traffic.	TM1.1: Consultation with the local communities concerning measures to minimise adverse environmental and social impacts due to project traffic. Special attention to providing prevention measures which minimize the impact of delivery of building materials on operational areas of the hospitals.	Pre and during construction phase	Project manager	Maintain records
	TM1.2: Ensure project vehicles are properly serviced and maintained especially with regard to noise and engine emissions.	Construction phase	Project manager	Maintain records

2.6 Waste Management

Background

As the implementing agency, the UNDP advocate good waste management practice. The preferred waste management hierarchy and principles for achieving good waste management is as follows:

1. waste avoidance (avoid using unnecessary material on the projects);
2. waste re-use (re-use material and reduce disposing);
3. waste recycling (recycle material such as cans, bottles, etc.); and
4. waste disposal (all putrescible and/or contaminated waste to be dumped at approved landfills).

Performance Criteria

The following performance criteria are set for the project:

1. waste generation is minimised through the implementation of the waste hierarchy (avoidance, reduce, reuse, recycle);
2. no litter will be observed within the project area or surrounds as a result of activities by site personnel;
3. no complaints received regarding waste generation and management; and
4. waste oils will be collected and disposed or recycled off-site.

Reporting

The UNDP as implementing agency must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to waste is exceeded.

Waste Management Measures

Issue	Control activity (and source)	Action timing	Responsibility	Monitoring & reporting
WM1: Production of waste and excessive use of resources	WM1.1: Preference shall be given to materials that can be used to construct the project that would reduce the direct and indirect waste generated.	Pre and during construction	Contractor	Maintain records
	WM1.2: Daily waste management practices shall be carried out.	Pre-construction	Contractor	Maintain records
	WM1.3: The use of construction materials shall be optimised and where possible a recycling policy adopted.	Entire construction and operation phase	Contractor	Maintain records
	WM1.4: Separate waste streams shall be maintained i.e. general domestic waste, construction and contaminated waste. Specific areas on site shall be designated for the temporary management of the various waste streams.	During construction	Contractor	Daily and maintain records
	WM1.5: Any contaminated waste shall be disposed of at an approved facility.	During construction	Contractor	Maintain records
	WM1.6: Fuel and lubricant leakages from vehicles and plant shall be immediately rectified.	Entire construction and operation phase	Contractor	Maintain records
	WM1.7: Disposal of waste shall be carried out in accordance with the Government of Indonesia requirements.	During construction	Contractor	Maintain records

2.7 Monitoring Social Impacts

Background

The project has been designed with the assistance of stakeholders and aims to provide benefits to the broader community. Notwithstanding, as with any project that involves construction, GBVH is a risk, community dissatisfaction can occur, and conflicts may arise. It is important that inappropriate behaviour and potential areas of tension are recognised early, and appropriate actions taken to avoid or minimise conflict.

The project and its sub-projects do not require involuntary resettlement or acquisition of land although they may impact on land during construction activities which will be temporary in nature.

Performance Criteria

The following performance criteria are set for the project:

1. the community has been consulted and project elements have been designed with their informed consultation and participation throughout the project in accordance with project Stakeholder Engagement Plan;
2. all stakeholders are appropriately represented, including women, PLWD, the elderly and other disadvantaged or marginalized groups;
3. avoid adverse impacts to local community during construction and operations and where not possible, minimise, restore or compensate for these impacts;
4. cultural heritage is not adversely impacted;

5. community health and safety is protected, and overall well-being benefits derived from the project;
6. gender-sensitive complaint and grievance mechanisms are put in place and proactively managed; and
7. long-term social benefits are achieved for all

Local stakeholders and community members have a key role to play in the implementation and monitoring of the project.

Consultation with stakeholders will continue. This will help ensure that stakeholders continue to be aware of the project, its progress and any changes in the project. It will also assist in identifying any issues as they arise.

UNDP will be responsible for advisory support and extensions services to local beneficiaries along with being responsible for distributing material inputs and providing technical training and backstopping in the implementation of programme activities.

Reporting

Records of all consultations are to be kept and reported on monthly basis. Any reports of GBVH must be recorded and reporting within a week of the complaint.

The UNDP must be notified in the event of any individual or community complaint or dissatisfaction and ensure the Grievance Redress Mechanism is complied with.

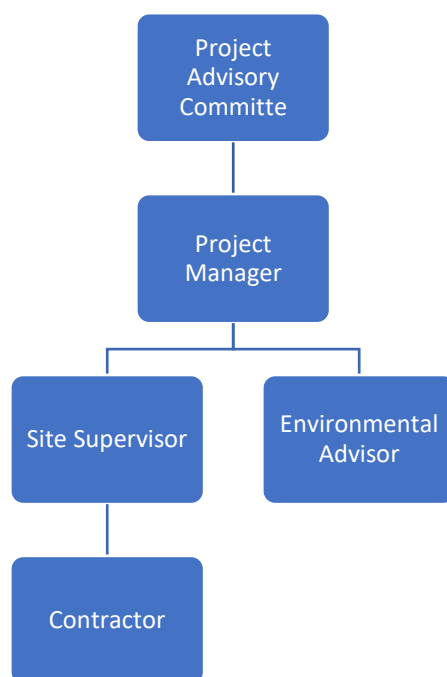
Social Impact Management Measures

Issue	Control activity (and source)	Action timing	Responsibility	Monitoring & reporting
D1: Negative perception and/or social tension related to the change of land use or GBVH incident	D1.1: Carry out community consultation on the purpose and benefits of making changes to land use.	Pre-construction	Project manager	Maintain records
	D1.2: Get community buy-in on any change of land use.	Pre-construction	Project manager	Maintain records
	D1.3: Ensure compliance with gender-sensitive Grievance Redress Mechanism process.	Entire construction and operation phase	Project manager	Maintain records
D2: Public nuisance caused by construction/operation activities (e.g. noise, dust etc)	D2.1: Carry out community consultation prior to undertaking activities.	Pre-construction	Project manager	Maintain records
	D2.2: Implement appropriate management plans (groundwater, air, EDSCP).	Construction and operation	Site supervisor	Daily and maintain records
	D2.3: Ensure compliance with Grievance Redress Mechanism process.	Entire construction and operation phase	Project manager	Maintain records

3 Capacity Development and Training

To support timely and effective implementation of social and environmental project components and mitigation measures, the ESMP draws on the environmental and social assessment of the existence, role, and capability of responsible parties on site or at the agency and ministry level.

Figure 1: Institutional Arrangements for Implementation of ESMP



The broad responsibilities of the various parties include:

Project Advisory Committee: The Committee will provide strategic guidance to PETRA and facilitate due coordination to ensure PETRA's investment priorities (investment plan) contribute to the Reconstruction Master Plan in the most effective way. The second tier of PETRA's governance system will address project implementation, assurance (or quality control) and oversight dimensions. The PAC will receive, process and act on, where necessary, the ESM reports provided by the PM. The PAC will oversee the implementation and management of the GRM. The PAC will ensure adequate funding for the implementation of the ESMP.

Project Manager: The PMU will be led by a Project Manager (PM) based in Central Sulawesi; a (smaller) sub-field office in Lombok will be under the responsibility of a Field Coordinator (who will report to the Project Manager). The PM will be responsible for the day to day management of the project and implementation of activities in line with guidance provided by the CO. He will also undertake field visits to Lombok to oversee and support project implementation there. The PM will be assisted by (a) project operation and technical personnel (including engineers and community mobilizers), (b) specialized consultants to be hired for specific tasks. The PM will have primary responsibility in the implementation of activities related to stakeholder management and monitoring social impacts. He will monitor and report any complaints received under the GRM and in the event of any individual or community complaint or dissatisfaction he will ensure the GRM is complied with. He will bear overall responsibility to see that the various plans for impact minimization are properly implemented. The PM will prepare weekly, monthly and semi-annual reports on ESM for the PAC.

Environmental Advisor: The EA will make periodic visits to the sites to audit the ESMP implementation and assist the PM in the preparation of periodical ESM reports.

Site Supervisor: The site supervisor will be responsible for daily inspections (e.g. environmental inspections, Occupational Health & Safety) of the construction site. The UNDP will cross check these inspections by undertaking regular audits. The site supervisor will prepare daily ESM reports for the PM.

Contractor: The Contractor will be responsible for the day-to-day compliance of the ESMP at the specific project site. He will maintain and keep all administrative and social and environmental records which would include a log of complaints and incidents together with records of any measures taken to mitigate the cause of the complaints or incidents. Particular attention is drawn to the need for preparation of an OHS Management Plan, implementation of induction and periodic training on safety and provision of PPE for all associated with site activities.

4 Stakeholder Engagement Plan

The following outlines the plan to engage in meaningful, effective and informed consultations with affected stakeholders. The plan provides details of (a) the wide-reaching and inclusive method to inform and involve affected people in the assessment process; (b) summary of stakeholder engagement plan for culturally sensitive and gender and disability inclusive consultations during project implementation; and (c) description of simple, accessible and gender-sensitive processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance.

4.1 Methods to Inform and Involve People

The method used depends on the interest, influence, impact, and power that stakeholders have towards the project. Nevertheless, referring to inclusive method, some considerations should be taken into account in order to reach all stakeholders, including:

- One-on-one meetings, such as in-depth interview
- Group/public meetings, such as FGD or workshop
- Written correspondence, such as emails, notes, etc
- Information sharing-vehicles, such as newsletters
- Brainstorming, including written storming
- Questionnaires, surveys

In order to involve marginalized people, including women and persons with disabilities, accessible methods must be organized. For instance, the project will provide a sign language interpreter for deaf people during public meetings and it will facilitate separate meetings for women groups since they may feel uncomfortable to speak with men present. A local language information-sharing vehicle, such as newsletter, might need to be organized to inform native people as a group of stakeholders.

4.2 Summary Stakeholder Engagement Plan

Project stakeholder management will identify people, groups or organizations, to analyze their expectations and impact on the project and to develop appropriate strategies in engaging them.

The process of identification, analysis and development of engagement stakeholders will be conducted regularly and updated, especially when the project moves through different phases in its life cycle, current stakeholders are not involved in the project and new stakeholders are projected to be part of the project.

During the engagement process, all potential internal/external stakeholders are invited to participate. An enabling situation must be created especially for women and persons with disabilities for them to be able to elaborate their interests and benefits. As mentioned earlier, accessible methods will be applied in order to accommodate the participation of women and persons with disabilities.

Understanding the cultural context is also required during the engagement process as the various stakeholders of the project, that will be taken into account, are considered. Local people, as part of any groups of beneficiaries or government institutions or others, are engaged as stakeholders by referring to local contexts. Such local contexts will be elaborated on during the identification, analysis and planning process of stakeholders' engagement.

The process for engaging stakeholders is as follows:

A. Identify and analyze the stakeholders

The process is to identify stakeholders regularly, to analyze and to document information related to their interest, influence, and impact on the project. In order to identify and analyze stakeholders, several documents are needed as inputs:

- Project document
- Agreements on collaboration with vendors, contractors, etc
- Communications management plan

The methods to collect data on stakeholder's identification are:

- Questionnaires and surveys include in-depth interviews and FGDs for internal (project team) and external (including potential stakeholders).
- Brainstorming is to elicit inputs on stakeholders from team members. It can be organized also through brain writing. It allows individual participants time to consider their inputs about stakeholders that they might deal with.

The identification is suggested to classify stakeholders into two main categories in order to increase the chances in identifying all appropriate people in categories who might be affected, needed support, and interested into the project. The classification is distributed into two main categories, internal (project or team members) and external (people, groups, institutions outside the organization) which includes clients, collaborators, vendors, suppliers, contractors, consultants, government agencies, I/NGOs, professional societies, beneficiaries, etc.

Stakeholders analysis:

The analysis results in a list of stakeholders and their relevant information, such as their positions in the organization, roles on the project, expectations, attitudes, power, and interest.

The method that can be applied to analyze stakeholders is either power/interest matrix or salience model. Power/interest matrix is to group stakeholders based on their level of power and of concern/interest towards the project. It is useful for small projects with simple relationships between project team and stakeholders. Salience model categorizes stakeholders based on their power (that influence the organization), urgency (urgency of stakeholders towards the organization), and legitimacy (relationships between stakeholder and the organization). This model is applied for large complex communities of stakeholders.

Stakeholder's register:

In order to ensure stakeholders register is complete and up-to-date, several considerations should be taken: (1) to identify each stakeholder by position description and name, (2) to speak with a wide range of people even from outside the organization, (3) to allow sufficient time in developing stakeholder register, (4) to include stakeholders in discussion, (5) to include team members, (6) to continue adding and removing names from stakeholder register throughout the project.

Table 2: Stakeholder's Register Template

Name of Stakeholder	Designation	Department	Role in Project	Type of Staff	Type of Communication	Expectations	Influence on Project Outcome

Conducting the identification and analysis process of stakeholder engagement, Communications management plan might need to be revised in order to efficiently and effectively engage stakeholders. The communications management plan is closely related to the stakeholder engagement plan since the communications management plan is the source of inputs on communication issues.

B. Planning the involvement of stakeholders:

The process is to develop approaches involving stakeholders based on their needs, expectations, interests, and impact on the project. The process provides an actionable plan to interact or engage with stakeholders. The plan will be reviewed and updated regularly. Due to the fact that, changes to the organization structure, new people or groups become stakeholders, current stakeholders are not part of the stakeholders, and other situations that may occur. The stakeholder engagement plan identifies strategies and actions required to promote stakeholders' involvement. It is based on the needs of the project and the expectations of stakeholders. In order to plan the engagement of stakeholders, documents and an established matrix are needed as inputs, which include:

- Communications management plan
- Project schedule
- Stakeholder register

These documents should be updated regularly and made use of in the management and monitoring of stakeholder engagement in the project.

Table 3: Stakeholder Communication Plan

Stakeholder	Potential Role	Power/Urgency/Legitimacy	Communication Vehicle	Frequency	Comments

C. Managing the stakeholder engagement:

The process is to communicate and work with stakeholders to meet their needs and expectations and to foster appropriate stakeholder engagement involvement. In order to manage the engagement of stakeholders, documents are needed as inputs, as listed above.

The activities of stakeholder engagement management are such as engaging stakeholders at certain project stages to obtain, to confirm, to maintain their commitment to the project and managing their expectations through negotiation and communication. The aim of managing stakeholder engagement is to ensure stakeholders understand about the project and its impacts and to inform them on how their contribution will lead to a successful project.

The identified communication methods for each stakeholder are applied at this stage. At this stage, four skills are needed, which are: conflict management, cultural awareness (to communicate effectively based on cultural context), negotiation, and observation/conservation with team members and stakeholders as well political awareness.

D. Monitoring the stakeholders:

The process is to monitor stakeholders' relationships and to tailor strategies through modification of strategies and plans. This process maintains or increases efficiency and effectiveness of stakeholder

engagement activities. At this stage, data analysis techniques are applied to determine the position and concerns of stakeholders. Communication techniques are applied to ensure that stakeholders receive and understand information shared and presentations to inform stakeholders. During monitoring stakeholders process, the documents which need to be updated include the communications management plan, stakeholder engagement plan, and stakeholder register.

4.3 Addressing Stakeholder Concerns and Grievances

Included as Annexure: ToR for Project-level Grievance Redress Mechanism is the detailed process which will be followed for addressing stakeholder concerns and grievances.

5 Implementation Action Plan and Costs

5.1 Implementation Schedule

A broad schedule for implementation of ESMP activities is shown in the following figure.

Figure 2: Implementation Schedule

Description	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb
Phase	DED	Bid	Construction									
1 Stakeholder Engagement												
2 OHS plan												
3 OHS training												
4 OHS implementation												
5 Air quality												
6 Noise and vibration												
7 Traffic management												
8 Waste management												
9 Monthly ESM reports to PAC												
10 Semi-Annual ESM reports												

Note: To be updated after signing the construction contract.

5.2 ESM Costs

The bid documents for the project will include in the Bills of Quantity the following items which will be priced by the bidders and costs included in the subsequent contracts.

Table 4: Items to be included in the Bills of Quantity for the Construction Contract

Item	Description
Environmental and Social Management Activities	
1	Establishment and implementation of Contractors OHS Management Plan in accordance with ILO's Promotional Framework for Occupational Safety and Health Convention, 2006 (No. 187).
2	Conduct of safety induction training before work start and at regular intervals during the construction of the works.
3	Provision of PPE for all personnel associated with the construction of the works.
4	Implementation of effective dust management measures in all areas during construction, including sourcing sufficient water of a suitable quality for dust suppression activities complying with any water restrictions. Including agreeing special provisions with the hospital management to ensure dust and other airborne particles do not escape from the area of the construction works and impact the hospital staff and patients and on-going operations.
5	Implementation of effective noise and vibration minimization measures in all areas during construction, including consultation with the local community and, where necessary, provision of special equipment and modification of daily work schedules to minimize impacts. Including agreeing

Item	Description
	special provisions with the hospital management to ensure unacceptable levels of noise and vibration do not escape from the area of the construction works and impact the hospital staff and patients and on-going operations.
6	Implementation of effective traffic management including consultation with the local communities concerning measures to minimise adverse environmental and social impacts due to project traffic.
7	Implementation of an effective waste management plan including waste minimization, separation of domestic and construction waste, avoidance of excessive use of resources and disposal of waste in accordance with the GoI requirements.

Annexure: ToR for Project-level Grievance Redress Mechanism

I. Mandate

The mandate of the GRM will be to:

- i. receive and address any concerns, complaints, notices of emerging conflicts, or grievances (collectively "*Grievance*") alleging actual or potential harm to affected person(s) (the "*Claimant(s)*") arising from Project;
- ii. assist in resolution of Grievances between and among Project Stakeholders; as well as the various government ministries, agencies and commissions, CSOs and NGOs, and other natural resource users (collectively, the "*Stakeholders*");
- iii. Conduct itself at all times in a flexible, collaborative, and transparent manner aimed at problem solving and consensus building.

II. Functions

The functions of the GRM will be to:

- i. Receive, Log and Track all Grievances received;
- ii. Provide regular status updates on Grievances to Claimants, Project Advisory Committee (PAC) members and other relevant Stakeholders, as applicable;
- iii. Engage the PAC members, Government institutions and other relevant Stakeholders in Grievance resolution;
- iv. Process and propose solutions and ways forward related to specific Grievances within a period not to exceed sixty (60) days from receipt of the Grievance;
- v. Identify growing trends in Grievances and recommend possible measures to avoid the same;
- vi. Receive and service requests for, and suggest the use of, mediation or facilitation;
- vii. Elaborate bi-annual reports, make said reports available to the public, and more generally work to maximize the disclosure of its work (including its reports, findings and outcomes);
- viii. Ensure increased awareness, accessibility, predictability, transparency, legitimacy, and credibility of the GRM process;
- ix. Collaborate with Partner Institutions and other NGOs, CSOs and other entities to conduct outreach initiatives to increase awareness among Stakeholders as to the existence of the GRM and how its services can be accessed;
- x. Ensure continuing education of PAC members and their respective institutions about the relevant laws and policies that they will need to be aware of to participate in the development of effective resolutions to Grievances likely to come before the GRM;
- xi. Monitor follow up to Grievance resolutions, as appropriate.

III. Composition

The GRM will be composed of UNDP as the Secretariat and either:

- (a) A standing GRM Sub-Committee made up of UNDP, KfW and Bappenas members; and/or
- (b) Ad hoc GRM Task Teams in response to specific requests for grievance

The GRM Sub-Committee will be balanced in composition (government and non-government) and should not include any PB members with a direct interest or role in the grievance/dispute.

IV. UNDP as Implementing Partner

In its role as GRM Secretariat, UNDP will perform the following core functions:

- Publicize the existence of the GRM and the procedure for using it;
- Receive and log requests for dispute resolution;
- Acknowledge receipt to the requestor;
- Determine eligibility;
- Forward eligible requests to the PAC for review and action, and
- Track and document efforts at grievance/dispute resolution and their outcomes.

V. Project Advisory Committee

The PAC would perform the following core functions: GRM Sub-Committee and/or GRM Task Team will:

- Take direct action to resolve the grievance/dispute (e.g. bring the relevant parties together to discuss and resolve the issue themselves with oversight by the PAC);
- Request further information to clarify the issue, and share that information with all relevant parties, or ensure that a government agency represented on the PAC took an appropriate administrative action to deal with a complaint;
- Refer the grievance/dispute to independent mediation, while maintaining oversight; or
- Determine that the request was outside the scope and mandate of the PAC and refer it elsewhere (e.g. Ministry of Justice and Police or to the courts).

VI. Communicating a Grievance

(i) Who can Submit a Grievance?

A Grievance can be sent by any individual or group of individuals that believes it has been or will be harmed by the Project.

If a Grievance is to be lodged by a different individual or organization on behalf of those said to be affected, the Claimant must identify the individual and/or people on behalf of who the Grievance is submitted and provide written confirmation by the individual and/or people represented that they are giving the Claimant the authority to present the Grievance on their behalf. The GRM will take reasonable steps to verify this authority.

(ii) How is the Grievance Communicated?

The GRM shall maintain a flexible approach with respect to receiving Grievances in light of known local constraints with respect to communications and access to resources for some Stakeholders. A Grievance can be transmitted to the GRM by any means available (i.e. by email, letter, phone call, meeting, SMS, etc.). The contact information is the following:

[UNDP to add address, phone number, fax, etc.]

To facilitate communications with and between the GRM and potential Claimants, the GRM will receive support from the PAC members' institutions and relevant local government units.

(iii) What information should be included in a Grievance?

The Grievance should include the following information:

- a. the name of the individual or individuals making the Complaint (the "Claimant");
- b. a means for contacting the Claimant (email, phone, address, other);

- c. if the submission is on behalf of those alleging a potential or actual harm, the identity of those on whose behalf the Grievance is made, and written confirmation by those represented of the Claimant's authority to lodge the Grievance on their behalf;
- d. the description of the potential or actual harm;
- e. Claimant's statement of the risk of harm or actual harm (description of the risk/harm and those affected, names of the individual(s) or institutions responsible for the risk/harm, the location(s) and date(s) of harmful activity);
- f. what has been done by Claimant thus far to resolve the matter;
- g. whether the Claimant wishes that their identity is kept confidential; and
- h. the specific help requested from the GRM.

VII. Logging, Acknowledgment, and Tracking

All Grievances and reports of conflict will be received, assigned a tracking number, acknowledged to Claimant, recorded electronically, and subject to periodic updates to the Claimant as well as the office file.

Within one (1) week from the receipt of a Grievance, the GRM will send a *written* acknowledgement to Claimant of the Grievance received with the assigned tracking number.¹

Each Grievance file will contain, at a minimum:

- i. the date of the request as received;
- ii. the date the written acknowledgment was sent (and oral acknowledgment if also done);
- iii. the dates and nature of all other communications or meetings with the Claimant and other relevant Stakeholders;
- iv. any requests, offers of, or engagements of a Mediator or Facilitator;
- v. the date and records related to the proposed solution/way forward;
- vi. the acceptance or objections of the Claimant (or other Stakeholders);
- vii. the proposed next steps if objections arose;
- viii. the alternative solution if renewed dialogues were pursued;
- ix. notes regarding implementation; and
- x. any conclusions and recommendations arising from monitoring and follow up.

IX. Maintaining Communication and Status Updates

Files for each Grievance will be available for review by the Claimant and other Stakeholders involved in the Grievance, or their designated representative(s). Appropriate steps will be taken to maintain the confidentiality of the Claimant if previously requested.

The GRM will provide periodic updates to the Claimant regarding the status and current actions to resolve the Grievance. Not including the acknowledgment of receipt of the Grievance, such updates will occur within reasonable intervals (not greater than every thirty (30) days).

¹ Oral acknowledgments can be used for expediency (and also recorded) but it must be followed by a written acknowledgment.

X. Investigation and Consensus Building

Within one (1) week of receiving a Grievance, UNDP will notify the PAC and any other relevant institutions of the receipt of the Grievance.

The PB will identify a specific team of individuals drawn from the PAC and/or their respective institutions to develop a response to the Grievance. The names of these individuals will be made available to the Claimant.

The designated PAC members [hereafter called Task Team] will promptly engage the Claimant and any other relevant Stakeholders deemed appropriate, to gather all necessary information regarding the Grievance.

Through the PAC members, the GRM will have the authority to request from relevant Government institutions any information (documents or otherwise) relevant to resolving the Grievance and avoiding future Grievances of the same nature.

As necessary, the Task Team will convene one or more meetings with relevant individuals and institutions in [national capital], or elsewhere in [name of country] as needed.

The objective of all investigative activities is to develop a thorough understanding of the issues and concerns raised in the Grievance and facilitate consensus around a proposed solution and way forward.

The PAC members will procure the cooperation of their respective staff with the investigation.

At any point during the investigation, the Task Team may determine that an onsite field investigation is necessary to properly understand the Grievance and develop an effective proposed solution and way forward.

XI. Seeking Advisory Opinion and/or Technical Assistance

At any point after receiving a Grievance and through to implementation of the proposed solution and way forward, the Task Team may seek the technical assistance and/or an advisory opinion from any entity or individual in [country] or internationally which may reasonably be believed to be of assistance.

XII. Making Proposed Actions and Solutions Public and Overseeing Implementation

The Task Team will communicate to the Claimant one or more proposed actions or resolutions and clearly articulate the reasons and basis for proposed way forward.

If the Claimant does not accept the resolution, the Task Team will engage with the Claimant to provide alternative options.

If the Claimant accepts the proposed solution and way forward, the GRM will continue to monitor the implementation directly and through the receipt of communications from the Claimant and other relevant parties. As necessary, the GRM may solicit information from the relevant parties and initiate renewed dialogue where appropriate.

XII. Monitoring and Evaluation

Bi-annually, the GRM will make available to the public, a report describing the work of the GRM, listing the number and nature of the Grievances received and processed in the past six months, a date and description of the Grievances received, resolutions, referrals and ongoing efforts at resolution, and status of implementation of ongoing resolutions. The level of detail provided with regard to any individual Grievance will depend on the sensitivity of the issues and Stakeholder concerns about confidentiality, while providing appropriate transparency about the activities of the GRM. The report will also highlight key trends in emerging conflicts, Grievances, and dispute resolution, and make recommendations regarding:

- i. measures that can be taken by the Government to avoid future harms and Grievances; and
- ii. improvements to the GRM that would enhance its effectiveness, accessibility, predictability, transparency, legitimacy, credibility, and capacity.

XIII. Mediation

For the option of independent mediation, mediators on the roster/panel should have at least the following qualifications:

- professional experience and expertise in impartial mediation;
- knowledge of disaster recovery in Indonesia and the region, including an understanding of indigenous and tribal culture and practices;
- Indonesian and local language proficiency;
- availability in principle for assignments of up to 20 days; and
- willingness to declare all relationships and interests that may affect their ability to act as impartial mediators in particular cases.

If mediation succeeded in resolving the dispute or grievance, the outcome would be documented by the UNDP and reviewed by the Task Team. If it were unsuccessful, stakeholders would have the option to return to the Task Team for assistance.

XIV. Without Prejudice

The existence and use of this GRM is without prejudice to any existing rights under any other complaint mechanisms that an individual or group of individuals may otherwise have access to under national or international law or the rules and regulations of other institutions, agencies or commissions.