



ADAPTATION FUND

AFB/PPRC.30/18
03 October 2022

Adaptation Fund Board
Project and Programme Review Committee
Thirtieth Meeting
Bonn, Germany, 11-12 October 2022

Agenda Item 4 m)

PROPOSAL FOR INDONESIA (9)

Background

1. The Operational Policies and Guidelines (OPG) for Parties to Access Resources from the Adaptation Fund (the Fund), adopted by the Adaptation Fund Board (the Board), state in paragraph 45 that regular adaptation project and programme proposals, i.e., those that request funding exceeding US\$ 1 million, would undergo either a one-step, or a two-step approval process. In case of the one-step process, the proponent would directly submit a fully-developed project proposal. In the two-step process, the proponent would first submit a brief project concept, which would be reviewed by the Project and Programme Review Committee (PPRC) and would have to receive the endorsement of the Board. In the second step, the fully-developed project/programme document would be reviewed by the PPRC, and would ultimately require the Board's approval.

2. The Templates approved by the Board (Annex 5 of the OPG, as amended in March 2016) do not include a separate template for project and programme concepts but provide that these are to be submitted using the project and programme proposal template. The section on Adaptation Fund Project Review Criteria states:

For regular projects using the two-step approval process, only the first four criteria will be applied when reviewing the 1st step for regular project concept. In addition, the information provided in the 1st step approval process with respect to the review criteria for the regular project concept could be less detailed than the information in the request for approval template submitted at the 2nd step approval process. Furthermore, a final project document is required for regular projects for the 2nd step approval, in addition to the approval template.

3. The first four criteria mentioned above are:

- (i) Country Eligibility,
- (ii) Project Eligibility,
- (iii) Resource Availability, and
- (iv) Eligibility of NIE/MIE.

4. The fifth criterion, applied when reviewing a fully-developed project document, is:
(v) Implementation Arrangements.

5. It is worth noting that at the twenty-second Board meeting, the Environmental and Social Policy (ESP) of the Fund was approved and at the twenty-seventh Board meeting, the Gender Policy (GP) of the Fund was also approved. Consequently, compliance with both the ESP and the GP has been included in the review criteria both for concept documents and fully-developed project documents. The proposal template was revised as well, to include sections requesting demonstration of compliance of the project/programme with the ESP and the GP.

6. At its seventeenth meeting, the Board decided (Decision B.17/7) to approve "Instructions for preparing a request for project or programme funding from the Adaptation Fund", contained in the Annex to document AFB/PPRC.8/4, which further outlines applicable review criteria for both concepts and fully-developed proposals. The latest version of this document was launched in conjunction with the revision of the Operational Policies and Guidelines in November 2013.

7. Based on the Board Decision B.9/2, the first call for project and programme proposals was issued and an invitation letter to eligible Parties to submit project and programme proposals to the Fund was sent out on April 8, 2010.
8. According to the Board Decision B.12/10, a project or programme proposal needs to be received by the secretariat no less than nine weeks before a Board meeting, in order to be considered by the Board in that meeting.
9. The following project concept document titled "Increasing the Resilience of Smallholders from Climate Impacts through Smart Agriculture Based on Livelihood Diversification in Indonesia" was submitted for Indonesia by the Partnership for Governance Reform in Indonesia (Kemitraan), which is the National Implementing Entity of the Adaptation Fund.
10. This is the first submission of the project concept proposal, using the two-step submission process.
11. The current submission was received by the secretariat in time to be considered in the thirty-ninth Board meeting. The secretariat carried out a technical review of the project proposal, assigned it the diary number AF00000309, and completed a review sheet.
12. In accordance with a request to the secretariat made by the Board in its 10th meeting, the secretariat shared this review sheet with Kemitraan and offered it the opportunity of providing responses before the review sheet was sent to the PPRC.
13. The secretariat is submitting to the PPRC the summary and, pursuant to decision B.17/15, the final technical review of the project, both prepared by the secretariat, along with the final submission of the proposal in the following section. In accordance with decision B.25.15, the proposal is submitted with changes between the initial submission and the revised version highlighted.



ADAPTATION FUND

ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT/PROGRAMME PROPOSAL

PROJECT/PROGRAMME CATEGORY: Small-sized Project Concept

Country/Region: Indonesia

Project Title: Increasing the resilience of smallholders from climate impacts through Smart Agriculture based on Livelihood Diversification in Indonesia

Thematic Focal Area: Agriculture

Implementing Entity: Kemitraan/Partnership for Governance Reform

Executing Entities: Mitra Aksi Foundation

AF Project ID: AF00000309

IE Project ID:

Requested Financing from Adaptation Fund (US Dollars): 977,939

Reviewer and contact person: Dirk Lamberts

Co-reviewer(s): Matthew Reddy

IE Contact Person: Siti Hariati Yuwani, Dewi Rizki

Technical Summary

The project "Increasing the resilience of smallholders from climate impacts through Smart Agriculture based on Livelihood Diversification in Indonesia" aims to strengthen smallholders and vulnerable groups in developing smart agriculture to reduce climate risk and protect ecosystem services from deforestation and degradation. This will be done through the five components below:

Component 1: Increasing knowledge about Climate Change for smallholders, young people, local policy makers (USD 36,900);

Component 2: Capacity building for adaptive agriculture (smart agriculture) for 2,750 smallholders in 8 villages (USD 284,700);

Component 3: Diversification of Food Sources to reduce food insecurity for families and communities (USD 175,000);

Component 4: Restoration of degraded agricultural land with agroforestry and food crops, and supported by village regulations (Perdes) (USD 250,600);

	<p><u>Component 5:</u> Improvement/replication of project approach at local and national level through knowledge management approach and effective monitoring and evaluation (USD 68,500).</p> <p><u>Requested financing overview:</u> Project/Programme Execution Cost: USD 85,626 Total Project/Programme Cost: USD 901,326 Implementing Fee: USD 76,613 Financing Requested: USD 977,939</p> <p>The proposal includes a request for a project formulation grant of 50,000 USD.</p> <p>The initial technical review raised several issues, such as the adaptation character of the proposed activities and meeting several operational funding requirements, as is discussed in the number of Clarification Requests (CRs) and Corrective Action Requests (CARs) raised in the review.</p> <p>The final technical review finds that the proposal has not addressed most of the CRs and CARs requests. Namely, issues remain with adaptation relevance and effectiveness of most activities, as well as compliance with Environmental and Social Policy and Gender Policy.</p>
Date:	16 September 2022

Review Criteria	Questions	Comments Initial Technical Review	Comments Final Technical Review
Country Eligibility	1. Is the country party to the Kyoto Protocol?	Yes.	-
	2. Is the country a developing country particularly vulnerable to the adverse effects of climate change?	Yes. Indonesia is highly vulnerable to climate change impacts, especially shifts in rainfall patterns and increasing incidence of extreme events, including flooding and landslides which threaten livelihoods and food security.	
Project Eligibility	1. Has the designated government authority for the Adaptation	Yes. As per the Endorsement letter dated 5 August 2022.	-

	Fund endorsed the project/programme?		
	2. Does the length of the proposal amount to no more than Fifty pages for the project/programme concept, including its annexes?	<p>No. The proposal of 19 pages with its annexes amounts to 67 pages. Please note that at the concept stage, the application section on implementation arrangements does not need to be completed and is not taken into consideration in the review.</p> <p>CAR 1: Please limit the proposal and its annexes to 50 pages.</p>	CAR 1: Cleared.
	3. Does the project / programme support concrete adaptation actions to assist the country in addressing adaptive capacity to the adverse effects of climate change and build in climate resilience?	<p>Unclear. Only some of the issues that the project aims to address can be attributed to climate change impacts, and their relative importance is unclear. The extent to which the project will build adaptive capacity to the adverse effects of climate change and build in climate resilience is also unclear.</p> <p>CR 1: Please clarify the adaptation character of the activities of the project, and how these activities contribute to climate resilience.</p> <p>The description of most activities is too limited to be able to ascertain their adaptation relevance and effectiveness. The development of a cadastral database for the project</p>	<p>CR 1: Not cleared. For most of the components, the specific adaptation character of the proposed activities is not demonstrated.</p> <p>CAR 2: Not cleared. Details on exact practices and methods could still be enhanced so that their climate change adaptation relevance can be established.</p>

		<p>area is an activity that has high implementation and social risks, but the proposal does not provide information on already established related national or local practices. The training in “smart agriculture” is unspecific and generic to the extent that its relevance cannot be established. The same applies to the component that aims to strengthen farmer cooperatives. The project’s largest component aims to restore ecosystem services, but the proposal does not include a description of which ecosystems are involved, what services are considered or how this will be achieved. The fifth component aims at replicating the project approach at local and national level but includes no specific elements at all.</p> <p>CAR 2: Please develop the project elements to a stage where they are sufficiently specific so that their climate change adaptation relevance can be established.</p>	
	<p>4. Does the project / programme provide economic, social and environmental benefits, particularly to vulnerable communities, including gender considerations, while avoiding or mitigating negative impacts, in compliance with the</p>	<p>Unclear. The proposal does not contain the required information to determine what the nature of the envisaged benefits are, nor elements to determine their likelihood of coming to fruition. The key concept of ‘Smart Agriculture’ is not explained.</p>	<p>CAR 3: Not cleared. The additional and revised information provided does include some information on the nature of the economic and social benefits provided and the mechanics that will deliver those benefits, including for marginalized and vulnerable</p>

	Environmental and Social Policy and Gender Policy of the Fund?	<p>The description of the anticipated economic, social and environmental benefits does not show a causal relation with the project activities.</p> <p>CAR 3: Please include information on the expected benefits in all three areas (economic, social and environmental) so that the estimated benefits are specific, whenever possible quantified, and clearly attributable to project activities.</p>	<p>groups that will be identified. However, the link to project activities remains unclear or not demonstrated.</p>
	5. Is the project / programme cost effective?	<p>No. The proposal contains no information demonstrating its cost effectiveness. The relevant section of the proposal predicts a doubling of the monthly income of smallholders involved as a result of the project intervention. No supporting analysis or data are provided. No mention is made of the project objectives of ecosystem services restoration.</p> <p>CAR 4: Please provide a logical explanation of the selected scope and approach, and demonstrate the project cost effectiveness from a sustainability point of view.</p>	<p>CAR 4: Not cleared. New Table 2 on p. 15 sets out the major cost items and revenues, based on several assumptions for which no substantiation is provided.</p>
	6. Is the project / programme consistent with national or sub-national sustainable	<p>Unclear. The proposal includes only two references to specific strategies or</p>	<p>CAR 5: Not cleared. Section D on p. 15 only provides a list of relevant policies and</p>

	development strategies, national or sub-national development plans, poverty reduction strategies, national communications and adaptation programs of action and other relevant instruments?	<p>plans: <i>Indonesia's Vision of Climate Resilience</i> and its <i>Long Term Low Carbon and Climate Resilience Strategy (LTS-LCCR) 2050</i>. It does not explain how the proposal is consistent with these. No other specific information is provided.</p> <p>CAR 5: Please identify the relevant plans and strategies, in particular and as a minimum the most important adaptation-related plans, strategies and targets, as well as the most important relevant sectoral plans and strategies in the country.</p>	<p>strategies, which seem logical. However, the question calls for "how" the project/ programme is consistent with national or sub-national sustainable development strategies which is not clear. Identification of goals/targets and elements of these strategies/plans are needed.</p>
	7. Does the project / programme meet the relevant national technical standards, where applicable, in compliance with the Environmental and Social Policy of the Fund?	<p>Unclear. The relevant section of the proposal lists a number of regulations and guidelines that may or may not be relevant. It also includes other, not-relevant information. In all, the information provided does not permit to determine if relevant national technical standards have been identified or how compliance would be achieved.</p> <p>CAR 6: Please identify the national technical standards that are relevant to the proposed activities, and how the project will comply with these. Please also refer to CAR2.</p>	CAR 6: Not cleared.
	8. Is there duplication of project / programme with other funding sources?	<p>Unclear. This section only states that there is no duplication.</p>	CAR 7: Not cleared. The proposal now includes a statement that the project will

		<p>CAR 7: Please identify all relevant potentially overlapping projects/programmes and demonstrate the lack of overlap or the complementarity in a logical manner. Linkages and synergies with all relevant potentially overlapping projects/programmes should be outlined, including areas of overlap and complementarity, drawing lessons from the earlier initiatives during the project design and learning from their problems or mistakes.</p>	complement ongoing government initiatives without providing further information.
	9. Does the project / programme have a learning and knowledge management component to capture and feedback lessons?	<p>No. The information provided is limited to a generic statement of intent.</p> <p>CAR 8: Please include and clearly describe activities related to knowledge management and dissemination of lessons learned, and show how the project will keep track of experiences gained and analyzing them periodically to enrich the global, national and local knowledge on climate change adaptation and to accelerate understanding about what kinds of interventions work.</p>	<p>CAR 8: Cleared. The use of a range of media, including the digital and database resource and audience-specific media, is included.</p>
	10. Has a consultative process taken place, and has it involved all key stakeholders, and	<p>Unclear. A consultative process has taken place, including a limited number of</p>	<p>CAR 9: Not cleared. Target groups are mentioned in the section H table; however, the</p>

	<p>vulnerable groups, including gender considerations in compliance with the Environmental and Social Policy and Gender Policy of the Fund?</p>	<p>institutional and beneficiary stakeholders. The proposal contains no information that allows to appreciate if all key stakeholders have been identified and consulted, what the outcome of the consultations has been and how these have been integrated in the project design.</p> <p>CAR 9: Please identify all the key stakeholders and provide information on consultations on the project design and the findings regarding compliance with the ESP and GP.</p>	<p>number of participants, the nature of their engagements, and a breakdown on gender is not included. No information is included on the outcomes of the consultations and how these have been integrated in the project design.</p>
	<p>11. Is the requested financing justified on the basis of full cost of adaptation reasoning?</p>	<p>No. The proposal contains no information detailing the full cost of the envisaged adaptation. In addition, the <i>Project / Programme Components and Financing</i> table includes a column with co-financing for all the project components by the Executing Entity. No further information on this aspect is provided.</p> <p>CAR 10: Please demonstrate that the project activities are relevant in addressing the stated adaptation objectives, including information on the nature and the role of the co-financing.</p>	<p>CAR 10: Not cleared. This section is not completed – a simple budget has been added. The justification in the original concept note was more detailed. No co-finance is included.</p>

	12. Is the project / program aligned with AF's results framework?	Yes. Alignment with the AF results framework is explained in Annex 1.	-
	13. Has the sustainability of the project/programme outcomes been taken into account when designing the project?	No. The proposal includes five approaches to project management that will ensure sustainability. Four of these are very generic and without link to the project. The fifth approach relates to Smart Agriculture but concerns climate change mitigation. CAR 11: Please describe how the sustainability of the project outcomes has been taken into account.	CAR 11: Cleared. As per the additional and revised information provided on p. 18. However, issues may still arise when project activities are further identified.
	14. Does the project / programme provide an overview of environmental and social impacts / risks identified, in compliance with the Environmental and Social Policy and Gender Policy of the Fund?	No. The information presented in section II.K of the application is generic and not supported by substantiating information. There is no information to suggest that a gender assessment has been carried out. The <i>Annex 1: Environmental and Social Screening Checklist</i> includes two completed risk screening forms, using GCF and UNDP templates. Neither document demonstrates risks identification relevant to this proposal in line with the AF ESP and GP.	CAR 12: Not cleared.

		CAR 12: Please identify environmental and social risks in line with the ESP and GP and present the findings accordingly.	
Resource Availability	1. Is the requested project / programme funding within the cap of the country?	Yes.	-
	2. Is the Implementing Entity Management Fee at or below 8.5 per cent of the total project/programme budget before the fee?	No. The stated Implementing Entity Management Fee is at 8.5 per cent of the requested total project/programme budget before the fee. However, the proposal includes a “Project Preparation” component for USD 36,500 titled “Study of Social Environment and Gender”, which should be considered part of the IE fee for project formulation. CAR 13: Please revise the IE Management Fee to be in line with the limits.	CAR 13: Cleared.
	3. Are the Project/Programme Execution Costs at or below 9.5 per cent of the total project/programme budget (including the fee)?	Yes. The project Execution Costs are at 9.5 per cent of the total requested project budget.	-
Eligibility of IE	1. Is the project/programme submitted through an eligible Implementing Entity that has been accredited by the Board?	Yes. Kemitraan is an accredited National Implementing Entity.	-
Implementation Arrangements	1. Is there adequate arrangement for project / programme	n/a at concept stage	

	management, in compliance with the Gender Policy of the Fund?		
	2. Are there measures for financial and project/programme risk management?	n/a at concept stage	
	3. Are there measures in place for the management of for environmental and social risks, in line with the Environmental and Social Policy and Gender Policy of the Fund?	n/a at concept stage	
	4. Is a budget on the Implementing Entity Management Fee use included?	n/a at concept stage	
	5. Is an explanation and a breakdown of the execution costs included?	n/a at concept stage	
	6. Is a detailed budget including budget notes included?	n/a at concept stage	
	7. Are arrangements for monitoring and evaluation clearly defined, including budgeted M&E plans and sex-disaggregated data, targets and indicators, in compliance with the Gender Policy of the Fund?	n/a at concept stage	
	8. Does the M&E Framework include a break-down of how implementing entity IE fees will be utilized in the supervision of the M&E function?	n/a at concept stage	
	9. Does the project/programme's results framework align with the AF's results framework? Does it include at least one core	n/a at concept stage	

	outcome indicator from the Fund's results framework?		
	10. Is a disbursement schedule with time-bound milestones included?	n/a at concept stage	



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Executing Entities: Mitra Aksi Foundation

AF Project ID: AF00000309

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IE Contact Person: Siti Hariati Yuwani, Dewi Rizki

Requested Financing from Adaptation Fund (US Dollars): 977,939

Co-reviewer(s): Matthew Reddy

Technical Summary

The project "Increasing the resilience of smallholders from climate impacts through Smart Agriculture based on Livelihood Diversification in Indonesia" aims to strengthen smallholders and vulnerable groups in developing smart agriculture to reduce climate risk and protect ecosystem services from deforestation and degradation. This will be done through the five components below:

Component 1: Develop a database system based on the QGis application to strengthen the ownership status and land area of smallholders and vulnerable groups as a basis for increasing the capacity of smart agriculture and diversifying livelihoods in reducing climate risk (USD 85,700);

Component 2: Increasing the knowledge and capacity of smallholders and vulnerable groups in implementing smart agriculture, developing food diversification through training, assistance, demonstration plots of learning, and the preparation of modules and guidebooks for smart agriculture (USD 199,000);

Component 3: Strengthening the food production chain that has added value and is managed through a strong Producer Farmer Organization (Koperasi), and connected online and offline to an inclusive market (USD 207,000).

Component 4: Restoration of degraded ecosystem services with agroforestry and food crop models managed by

	<p>good agriculture practice models supported by Village Regulations. (USD 219,000).</p> <p><u>Component 5:</u> Improvement/replication of project approach at local and national level through knowledge management approach and effective monitoring and evaluation (USD 68,500).</p> <p><u>Requested financing overview:</u> Project/Programme Execution Cost: USD 85,626 Total Project/Programme Cost: USD 901,326 Implementing Fee: USD 76,613 Financing Requested: USD 977,939</p> <p>The proposal includes a request for a project formulation grant of 50,000 USD.</p> <p>The initial technical review raises several issues, such as the adaptation character of the proposed activities and meeting several operational funding requirements, as is discussed in the number of Clarification Requests (CRs) and Corrective Action Requests (CARs) raised in the review.</p>
Date:	16 August 2022

Review Criteria	Questions	Comments	Respond
Country Eligibility	1. Is the country party to the Kyoto Protocol?	Yes.	
	2. Is the country a developing country particularly vulnerable to the adverse effects of climate change?	Yes. Indonesia is highly vulnerable to climate change impacts, especially shifts in rainfall patterns and increasing incidence of extreme events, including flooding and landslides which threaten livelihoods and food security.	
Project Eligibility	1. Has the designated government authority for the Adaptation Fund endorsed the project/programme?	Yes. As per the Endorsement letter dated 5 August 2022.	
	2. Does the length of the proposal amount to no	No. The proposal of 19 pages with its	The proposal sized has been minimized according to the

	more than Fifty pages for the project/programme concept, including its annexes?	<p>annexes amounts to 67 pages. Please note that at the concept stage, the application section on implementation arrangements does not need to be completed and is not taken into consideration in the review.</p> <p>CAR 1: Please limit the proposal and its annexes to 50 pages.</p>	requirements. Total page 36, include template
	3. Does the project / programme support concrete adaptation actions to assist the country in addressing adaptive capacity to the adverse effects of climate change and build in climate resilience?	<p>Unclear. Only some of the issues that the project aims to address can be attributed to climate change impacts, and their relative importance is unclear. The extent to which the project will build adaptive capacity to the adverse effects of climate change and build in climate resilience is also unclear.</p> <p>CR 1: Please clarify the adaptation character of the activities of the project, and how these activities contribute to climate resilience.</p> <p>The description of most activities is too limited to be able to ascertain their adaptation relevance and effectiveness. The development of a cadastral database for the project area is an activity that has high implementation and social risks, but the proposal does not provide information on already established related national or local practices. The training in “smart agriculture” is unspecific and generic to the extent that its relevance cannot be</p>	An explanation regarding this question can be found in the proposal Part II Project/ Programme Justification point A paragraph 1-5 pages 12-13

		<p>established. The same applies to the component that aims to strengthen farmer cooperatives. The project's largest component aims to restore ecosystem services, but the proposal does not include a description of which ecosystems are involved, what services are considered or how this will be achieved. The fifth component aims at replicating the project approach at local and national level but includes no specific elements at all.</p> <p>CAR 2: Please develop the project elements to a stage where they are sufficiently specific so that their climate change adaptation relevance can be established.</p>	
	<p>4. Does the project / programme provide economic, social and environmental benefits, particularly to vulnerable communities, including gender considerations, while avoiding or mitigating negative impacts, in compliance with the Environmental and Social Policy and Gender Policy of the Fund?</p>	<p>Unclear. The proposal does not contain the required information to determine what the nature of the envisaged benefits are, nor elements to determine their likelihood of coming to fruition. The key concept of 'Smart Agriculture' is not explained. The description of the anticipated economic, social and environmental benefits does not show a causal relation with the project activities.</p> <p>CAR 3: Please include information on the expected benefits in all three areas (economic, social and environmental) so that the estimated benefits are specific, whenever possible quantified, and clearly</p>	<p>The programme provide economic, social, and environmental benefits, particularly to vulnerable communities can be seen in proposal Part II Project/ Programme Justification point B paragraph 6-10 pages 14</p>

		attributable to project activities.	
	5. Is the project / programme cost effective?	<p>No. The proposal contains no information demonstrating its cost effectiveness. The relevant section of the proposal predicts a doubling of the monthly income of smallholders involved as a result of the project intervention. No supporting analysis or data are provided. No mention is made of the project objectives of ecosystem services restoration.</p> <p>CAR 4: Please provide a logical explanation of the selected scope and approach, and demonstrate the project cost effectiveness from a sustainability point of view.</p>	When compared between the cost incurred with the benefits of the project/program. This project can be judged effective. It can be seen in proposal Part II Project/ Programme Justification point C paragraph 11 pages 15
	6. Is the project / programme consistent with national or sub-national sustainable development strategies, national or sub-national development plans, poverty reduction strategies, national communications and adaptation programs of action and other relevant instruments?	<p>Unclear. The proposal includes only two references to specific strategies or plans: <i>Indonesia's Vision of Climate Resilience</i> and its <i>Long Term Low Carbon and Climate Resilience Strategy (LTS-LCCR) 2050</i>. It does not explain how the proposal is consistent with these. No other specific information is provided.</p> <p>CAR 5: Please identify the relevant plans and strategies, in particular and as a minimum the most important adaptation-related plans, strategies and targets, as well as the most important relevant sectoral plans and strategies in the country.</p>	The project/ Programme has been relevant to national or sub-national; sustainable development strategies and other relevant instrument. Information about that can be seen in proposal point D paragraph 12 pages 15

	<p>7. Does the project / programme meet the relevant national technical standards, where applicable, in compliance with the Environmental and Social Policy of the Fund?</p>	<p>Unclear. The relevant section of the proposal lists a number of regulations and guidelines that may or may not be relevant. It also includes other, not-relevant information. In all, the information provided does not permit to determine if relevant national technical standards have been identified or how compliance would be achieved.</p> <p>CAR 6: Please identify the national technical standards that are relevant to the proposed activities, and how the project will comply with these. Please also refer to CAR2.</p>	<p>we have synchronized with the relevant national technical standards, in compliance with the Environmental and Social Policy of the fund, there are:</p> <ul style="list-style-type: none"> (1) Compliance with policies and guidelines set by AF, such as; (1) identifying environmental and social risks in accordance with the 15 ESP principles following an evidence-based, comprehensive and commensurate process; (2) an assessment of the anticipated impact of the identified risks; (3) identify adequate measures to avoid, minimize or manage such impacts; (4) develop a plan to implement and implement social environmental impact mitigation measures from each project activity; and (5) other technical guides set by AF (2) IPC standards that will serve as guidelines for such as; Assessment and Management of Environmental and Social Risks and Impacts (PS-1), labor (PS-2), resource efficiency and pollution prevention (PS-3) and
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			<p>conservation of natural resources (PS-6). regarding community health, safety and security (PS-4), indigenous peoples (PS-7), and cultural heritage (PS-8)</p> <p>(3) Gender Policy and its Gender Integration Milestones and Operational Procedures as well as the Social and Gender Integration Plan will apply to all activities.</p>
	8. Is there duplication of project / programme with other funding sources?	<p>Unclear. This section only states that there is no duplication.</p> <p>CAR 7: Please identify all relevant potentially overlapping projects/programmes and demonstrate the lack of overlap or the complementarity in a logical manner. Linkages and synergies with all relevant potentially overlapping projects/programmes should be outlined, including areas of overlap and complementarity, drawing lessons from the earlier initiatives during the project design and learning from their problems or mistakes.</p>	<p>After we searched 8 villages related to the location. We couldn't find any project from other funding that were running with the same activity. Explanation about that can be seen in proposal Part II Project/ Programme Justification point F paragraph 14 pages 16</p>
	9. Does the project / programme have a learning and knowledge management component to capture and feedback lessons?	<p>No. The information provided is limited to a generic statement of intent.</p> <p>CAR 8: Please include and clearly describe activities related to knowledge</p>	<p>Knowledge management and learning is carried out through:</p> <p>(1) Documentation of the results of project activities through a data-based system that can be accessed by the public</p>

		<p>management and dissemination of lessons learned, and show how the project will keep track of experiences gained and analyzing them periodically to enrich the global, national and local knowledge on climate change adaptation and to accelerate understanding about what kinds of interventions work.</p>	<p>through the website;</p> <ul style="list-style-type: none"> (2) Writing and publishing Good practice in implementing smart agriculture; (3) Promoting the experience of smallholders champions in climate adaptation and mitigation in the food agriculture sector; (4) Public expose on the implementation of smart agriculture through mass media (TV, newspaper, online media) (5) Public dialogue by presenting smallholders, village governments, women and youth leaders, legislators, regents, governors and the Ministry of Environment and Forestry and Agriculture, academics, the private sector, NGOs and journalists
	<p>10. Has a consultative process taken place, and has it involved all key stakeholders, and vulnerable groups, including gender considerations in compliance with the Environmental and Social Policy and Gender Policy of the Fund?</p>	<p>Unclear.</p> <p>A consultative process has taken place, including a limited number of institutional and beneficiary stakeholders. The proposal contains no information that allows to appreciate if all key stakeholders have been identified and consulted, what the outcome of the consultations has been and how these have been integrated in the project design.</p>	<p>Further explanation about consultative process with all key stakeholders and vulnerable group. It can be seen in the proposal Part II Project/ Programme Justification point H paragraph 16 pages 16-17</p>

		CAR 9: Please identify all the key stakeholders and provide information on consultations on the project design and the findings regarding compliance with the ESP and GP.	
	11. Is the requested financing justified on the basis of full cost of adaptation reasoning?	<p>No. The proposal contains no information detailing the full cost of the envisaged adaptation. In addition, the <i>Project / Programme Components and Financing</i> table includes a column with co-financing for all the project components by the Executing Entity. No further information on this aspect is provided.</p> <p>CAR 10: Please demonstrate that the project activities are relevant in addressing the stated adaptation objectives, including information on the nature and the role of the co-financing.</p>	Demonstrate activities component can be seen in proposal Part II Project/ Programme Justification point I paragraph 17 pages 17
	12. Is the project / program aligned with AF's results framework?	<p>Yes. Alignment with the AF results framework is explained in Annex 1.</p>	
	13. Has the sustainability of the project/programme outcomes been taken into account when designing the project?	<p>No. The proposal includes five approaches to project management that will ensure sustainability. Four of these are very generic and without link to the project. The fifth approach relates to Smart Agriculture but concerns climate change mitigation.</p> <p>CAR 11: Please describe how the sustainability of the project outcomes has been taken into account.</p>	<p>Yes, Sustainability of the project/program will be prepared with the following mechanisms:</p> <ul style="list-style-type: none"> (1) Establish a written agreement (MoU) with the Village Government and Farmer Groups in maintaining project investment assets, implementing smart agriculture practices in a sustainable manner (2) Facilitating village

			<p>governments to formulate regulations (Perdes) for the protection of agricultural land, food and ecosystem services to strengthen adaptation and mitigation of climate change</p> <p>(3) District policy advocacy to support local initiatives for climate-adaptive farming practices (smart agriculture) to obtain technical assistance and ease of obtaining farming capital.</p> <p>(4) Build relationships with provincial, district, private sector and strategic stakeholders to support sustainable empowerment of smallholders, women and vulnerable groups in developing smart agriculture to reduce climate change risks, and opportunities to expand the reach of beneficiaries</p>
	<p>14. Does the project / programme provide an overview of environmental and social impacts / risks identified, in compliance with the Environmental and Social Policy and Gender Policy of the Fund?</p>	<p>No. The information presented in section II.K of the application is generic and not supported by substantiating information. There is no information to suggest that a gender assessment has been carried out. The <i>Annex 1: Environmental and Social Screening Checklist</i> includes two completed risk screening forms, using GCF and UNDP templates. Neither document demonstrates risks</p>	<p>The program's approach and management is guided by the principles of FPIC and the 2012 International Finance Corporation (IFC) Environmental and Social Performance Standards. To Further information can be seen in proposal Part II Project/ Programme Justification Point K paragraph 20 pages 18-19</p>

		<p>identification relevant to this proposal in line with the AF ESP and GP.</p> <p>CAR 12: Please identify environmental and social risks in line with the ESP and GP and present the findings accordingly.</p>	
Resource Availability	1. Is the requested project / programme funding within the cap of the country?	Yes.	
	2. Is the Implementing Entity Management Fee at or below 8.5 per cent of the total project/programme budget before the fee?	<p>No. The stated Implementing Entity Management Fee is at 8.5 per cent of the requested total project/programme budget before the fee. However, the proposal includes a "Project Preparation" component for USD 36,500 titled "Study of Social Environment and Gender", which should be considered part of the IE fee for project formulation.</p> <p>CAR 13: Please revise the IE Management Fee to be in line with the limits.</p>	Revision can be seen in proposal part Project/Programme Components and Financing page 10.
	3. Are the Project/Programme Execution Costs at or below 9.5 per cent of the total project/programme budget (including the fee)?	<p>Yes. The project Execution Costs are at 9.5 per cent of the total requested project budget.</p>	
Eligibility of IE	1. Is the project/programme submitted through an eligible Implementing Entity that has been accredited by the Board?	Yes. Kemitraan is an accredited National Implementing Entity.	
Implementation Arrangements	1. Is there adequate arrangement for project /	n/a at concept stage	

	programme management, in compliance with the Gender Policy of the Fund?		
	2. Are there measures for financial and project/programme risk management?	n/a at concept stage	
	3. Are there measures in place for the management of for environmental and social risks, in line with the Environmental and Social Policy and Gender Policy of the Fund?	n/a at concept stage	
	4. Is a budget on the Implementing Entity Management Fee use included?	n/a at concept stage	
	5. Is an explanation and a breakdown of the execution costs included?	n/a at concept stage	
	6. Is a detailed budget including budget notes included?	n/a at concept stage	
	7. Are arrangements for monitoring and evaluation clearly defined, including budgeted M&E plans and sex-disaggregated data, targets and indicators, in compliance with the Gender Policy of the Fund?	n/a at concept stage	
	8. Does the M&E Framework include a break-down of how implementing entity IE fees will be utilized in the	n/a at concept stage	

	supervision of the M&E function?		
	9. Does the project/programme's results framework align with the AF's results framework? Does it include at least one core outcome indicator from the Fund's results framework?	n/a at concept stage	
	10. Is a disbursement schedule with time-bound milestones included?	n/a at concept stage	



ADAPTATION FUND



ADAPTATION FUND

Clear Proposal :

REQUEST FOR PROJECT/PROGRAMME FUNDING FROM THE ADAPTATION FUND

The annexed form should be completed and transmitted to the Adaptation Fund Board Secretariat by email or fax.

Please type in the responses using the template provided. The instructions attached to the form provide guidance to filling out the template.

Please note that a project/programme must be fully prepared (i.e., fully appraised for feasibility) when the request is submitted. The final project/programme document resulting from the appraisal process should be attached to this request for funding.

Complete documentation should be sent to:

The Adaptation Fund Board Secretariat
1818 H Street NW
MSN N7-700-
Washington, D.C., 20433
U.S.A
Fax: +1 (202) 522-3240/5
Email: afbsec@adaptation-fund.org

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ADAPTATION FUND

**PROJECT/PROGRAMME PROPOSAL TO
THE ADAPTATION FUND**

PART I: PROJECT/PROGRAMME INFORMATION



PROJECT/PROGRAMME PROPOSAL TO THE ADAPTATION FUND

PART I: PROJECT/PROGRAMME INFORMATION

Project/Programme Category: Agriculture

Country/ies: Indonesia

Title of Project/Programme: Increasing the resilience of smallholders from climate impacts through Smart Agriculture based on Livelihood Diversification in Indonesia

Type of Implementing Entity: Non Governmental Organization (NGOs)

Implementing Entity: Mitra Aksi Foundation, Jambi, Indonesia

Executing Entity/ies: Kemitraan/Partnership

Amount of Financing Requested: 977,939,- (in U.S Dollars Equivalent)

Project / Programme Background and Context:

1. By 2030, Indonesia has a vision to achieve climate resilience as a result of comprehensive mitigation and adaptation strategies and disaster risk reduction. Indonesia has set ambitious goals for sustainability related to the production and consumption of food, water and energy. This goal will be achieved by supporting empowerment and capacity building, improving the provision of basic services in the fields of health and education, technological innovation, and sustainable natural resource management, in accordance with the principles of good governance. Beyond the 2030 NDC targets, Indonesia has committed to moving forward towards a transformation towards a low-carbon development strategy and long-term climate resilience.

To achieve the NDC 2030 target and accelerate the transformation towards low carbon development and climate resilience, Indonesia has developed the Long-Term Low Carbon and Climate Resilience Strategy (LTS-LCCR) 2050⁴. The LTS-LCCR is designed with the need for a balance between emission reductions and economic development, equity, and climate resilience development in mind. Through the

⁴ Director-General of Climate Change Control, Ministry of LHK, 2024

Annex 5 to OPG Amended in October 2017

LTS LCCR 2050, Indonesia will increase its emission reduction ambitions by reaching a national emission peak by 2030 with a net sink of the forest and land use sector, reaching 540 Mton CO₂e by 2050, and by further exploring opportunities to accelerate net-sink achievement, zero emission by 2060 or sooner.

2. This ambitious target requires targets above require transformational change to address the potential trade-offs between energy security, food security, biodiversity conservation, avoided preventing deforestation, water use and land use. To support the ambitious targets above, it is important to mobilize the potential of community resources at all levels. Individual and organized local initiatives to reduce the rate of deforestation and land degradation, which have an impact on increasing GHG emissions, climate impacts, need to be appreciated and consolidated.

Climate change is caused by global warming due to an increase in greenhouse gas (GHG) emissions resulting from affects various non-environmentally friendly natural resource management activities. Around 75% of total emissions come from the land, land use change and forestry sectors. One sector (LULUF) and 25% from land degradation and deforestation in that is at high risk as a result of climate change is the agricultural sector. Therefore, the land-based agriculture sector is expected to contribute to reducing carbon emissions by 119.66 Mton CO₂e or 0.4% of the BAU target in 2030.

Challenges to reduce GHG emissions, including deforestation and land degradation from the land-based agriculture sector, are complex due to the tendency of extractive farming practices and ignoring the principles of Good Agriculture Practice (GPA). In Jambi Province, for example. Of the 2 098 535 ha of forest area, 844,647 hectares (ha)² are in critical condition. This critical condition is not only found in production forest areas, Other Use Areas (APL), but also in protected forests, conservation areas and national parks.

The same condition also occurs in Besitang District, Langkat Regency, North Sumatra, forest clearing for oil palm plantations has threatened the biodiversity of Lauser National Park. Based on data from the Gunung Lauser National Park Center (TNGL) it reached 28,678 hectares in 2017, and the results of the analysis of satellite imagery of the Mitra Aksi team in 2019 there was an addition of 1,300 hectares in the buffer area of Lauser National Park.

On the other hand, the land-based agricultural sector plays an important role in supporting the food security of a country, including Indonesia. The agricultural sector accounts for 13.28% of the National Gross Domestic Product (GDP)³. Even during COVID-19, the agricultural sector has consistently contributed to economic growth. The land-based agricultural sector is also the main source of livelihood for the rural population. Based on the 2020 BPS census, 38.23 million people work in the agricultural sector, and 75% of them are in rural areas and around forests.

3. Climate change is a serious threat to the land-based agricultural sector. This is because the agricultural sector has a high sensitivity to variations in can affect cropping patterns, planting time, production, and yield quality. Agricultural production is influenced by climate change variables, namely temperature, rainfall, and increases, changes in ecosystems. The causal relationship between agriculture and climate change is more complex because of its impact on the economy, food security, poverty, sustainable development and state sovereignty. The failure of the agricultural sector will threaten food security, lose sources of income for people who depend on the agricultural sector and have an impact on the decline in National GDP, rainfall, evaporation of

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²). Ministry of Environment and Forestry, Republic of Indonesia, 2019

³). Central Statistics Agency (BPS) of the Republic of Indonesia, 2020

runoff and soil moisture which will affect productivity.

4. The direct impact of climate change on agriculture is the ~~land-based~~ increasing degradation of agricultural ~~sector has begun~~ resources and infrastructure, such as degradation and shrinkage of land resources, potential of water resources, damage to ~~occur, which is marked~~ genetic resources, irrigation capacity and epidemics of pests and diseases of plants and animals. This condition is further exacerbated by inappropriate spatial management causing floods, landslides and droughts. This impact continues to disrupt the ~~decline in world food~~ agricultural production, including system, especially food, such as a decrease and uncertainty in productivity and harvested area, resulting in the threat of food insecurity and an increase in poverty.

5. Food security is an important issue in climate change. Food security is also one of the global issues listed in the 2030 Sustainable Development Goals (SDGs) agenda, namely to end hunger, achieve food security and better nutrition and support sustainable agriculture. For Indonesia, with its 273.5 million (2020) population spread across 34 provinces with geographical conditions that are vulnerable to the impacts of climate change, ensuring the availability, affordability and use of food is very important through various resource mobilization strategies and policy support.

6. Indonesia's food security readiness is urgent, because according to Global Food Security Index (GFSI) data Indonesia's food security in 2021 will be weaker than the previous year. GFSI recorded that Indonesia's food security index score in 2020 reached the level of 61.4. However, in 2021 the index fell to 59.2. The index makes Indonesia's food security in 2021 ranked 69th out of 113 countries⁴⁾ food (quality and safety), and natural resources and resilience.

7. The food insecurity of the Indonesian population is also illustrated by the Food Insecurity Index (IKP) data of the Ministry of Agriculture, 2021⁵⁾, as many as 70 districts or 16.83% of 416 districts have low IKP scores. President Joko Widodo's statement in the Widodo raised concerns about food insecurity during the 2022 50th Anniversary (HIPMI)⁶⁾—Celebration⁷⁾ celebration, it is currently estimated that there are 133 million people in various countries who are starting to starve because of food problems.

For Indonesia, the threat of a food crisis can also occur if seen from BPS data, 2021 as follows⁸⁾:

Threat of Food Crisis

8. The dependence of the Indonesian population on rice is very high, creating a high level of food vulnerability. Each person per year needs 109 kg. If calculated by the population of Indonesia 278,752,361 people (2020), and 236,933,950 people or 85% of the population need rice food intake, every year 25,826,406 million tons are needed.

(1) The need for rice food is very high, not comparable to rice production. This condition can be seen from the following data BPS⁹⁾ (1) The rice harvested area in 2021 will reach around 10.41 million hectares, a decrease of 245.47 thousand hectares or 2.30 percent compared to the rice harvested area in 2020 which was 10.66 million hectares;

(2) Rice production in 2021, which is 54.42 million tons of Milled Dry Grain (GKG),

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⁴⁾ Global Food Security Index (GFSI), 2021

⁵⁾ Pusat Ketersediaan dan Kerawanan Pangan, Badan Ketahanan Pangan, Kementerian Pertanian, R.I. 2021

⁶⁾ President Joko Widodo in the 50th Anniversary (HIPMI) 2022, 10/6/2022.

⁷⁾ Central Bureau of Statistics (BPS) of the Republic of Indonesia, 2024

⁸⁾ Central Bureau of Statistics of the Republic of Indonesia, 2021

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decreased by 233.91 thousand tons or 0.43 percent compared to rice production in 2020 which was 54.65 million tons of Milled Dry Grain (GKG⁹).

The decline in rice production was caused by several factors, such as crop failure due to the extreme climate, the conversion of agricultural land for food to oil palm plantations and other uses, and the declining interest of farmers in planting rice due to increasingly expensive production costs.

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9. The potential threat of a food crisis for the Indonesian population, can also be seen from the Global Hunger Index (GHI) which shows that hunger in Indonesia is currently at an index value of 19.1 and is ranked 70th out of 107 countries. Compared to the seven other ASEAN countries, namely Thailand, Malaysia, Vietnam, Myanmar, the Philippines, Cambodia, and Laos, Indonesia's hunger conditions are in the second highest rank after Laos.⁹⁾

10. Management of Indonesia's natural resources, especially in the food and beverage sector, is vulnerable to disasters related to climate change, extreme weather, and environmental pollution. According to The Economist Intelligence Unit (EIU) in 2018¹⁰⁾, Indonesia is one of the countries that have food security most vulnerable to being affected by climate change in Southeast Asia. The EIU in 2018 used the dimensions of natural resources and resilience to assess a country's exposure to climate change, its vulnerability to natural resource risks and how countries adapt to these risks. The value of the dimension of natural resources and resilience in Indonesia is 43.9 which is included in the category of risky conditions. This is reinforced by evidence that the value of Indonesia's food security decreased after an adjustment of the climate change factor, from 54.8 to 47.10.

Food Diversification

11. In Indonesia, agriculture plays an important role as evidenced by the large number of people working in the agricultural sector. Based on the 2020 BPS census, as many as 38.23 million people work in the agricultural sector, and 75% of them are in rural areas and around forests. However, the capacity of human resources in developing food agriculture diversification is still very weak, both in terms of land use planning, cultivation aspects, post-harvest processing and production management. This weakness can be seen from: (i) Many agricultural lands are unproductive and are left as shrubs; (ii) Crop failure, low productivity, and high use of chemical inputs cause land to become critical; and (iii) Food Crops and Horticultural Crops Sub-sector, not well managed and supported by production chain policies compared to plantation commodities (oil palm, coffee, cocoa, rubber)

12. Dependence on one type of food commodity rice makes other food sources that are more climate-adaptive and have high nutritional content less developed, such as; tubers, wheat, sorghum etc. One of the causes is the lack of support from local governments to smallholders to develop food diversification compared to support for plantation commodities, especially oil palm and coffee. This high attention to plantation commodities has encouraged farmers to change the function of food agricultural land, and the clearing of forest areas into oil palm and coffee plantations which are considered more economically profitable. New land clearing in forest areas has increased the rate of degradation and deforestation. In Kerinci Regency, Jambi Province, which will be the target

⁹⁾ Global Hunger Index 2020, Indonesia.

¹⁰⁾ The Economist Intelligence Unit (EIU) in 2018

Annex 5 to OPG Amended in October 2017

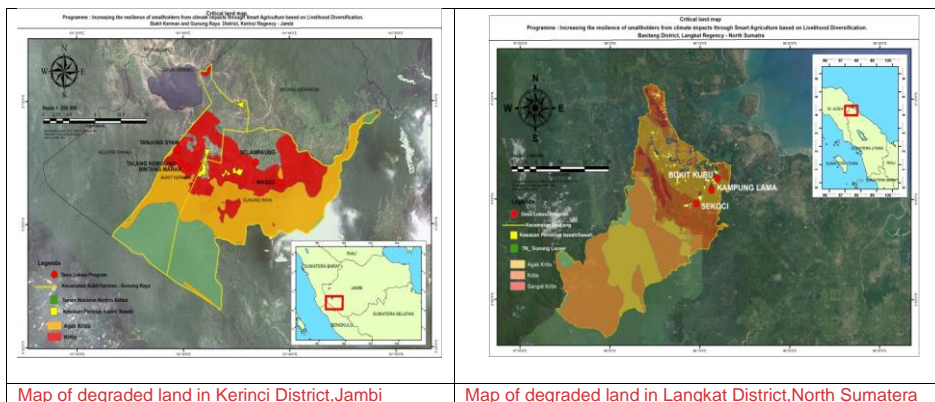
location for this program, the conversion of forest areas and TNKS into coffee plantations based on analysis of sentinel images in 2022 reached 42,284.24 hectares.

The same condition also occurs in Besitang District, Langkat Regency, North Sumatra, forest clearing for oil palm plantations has threatened the biodiversity of Lauser National Park. Based on data from the Gunung Lauser National Park Center (TNGL) it has reached 28,678 hectares in 2017, and the results of the analysis of satellite imagery of the Mitra Aksi team in 2019 there is an addition of 1,300 hectares in the buffer area of Lauser National Park.

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Map Situation of degraded land at the target project site



13. Therefore, it is very important to motivate smallholders to develop food diversification in order to reduce dependence on rice food which is vulnerable to the climate. The limited capacity of smallholders to develop non-rice food diversification must be overcome by providing intensive assistance, one of which is through the practice of smart agriculture. implement climate adaptation and mitigation in the agricultural sector through the Smart Agriculture models.

The gap in knowledge, information and skills of smallholders about smart agriculture based on food crop diversification to reduce food vulnerability due to climate impacts can be done through: discussion and use of media (films), providing assistance and strengthening smallholders in land use planning to reduce deforestation, assistance in smart agriculture cultivation practices (seed selection, cropping patterns, maintenance by introducing organic agriculture that is friendly and safe for health and the environment. Degraded agricultural land which are allowed to become shrubs, need to restore their fertility so that they can be managed productively with agroforestry systems and intercropping of food crops

4-

- (3) The Rice production in 2021 for the population's food consumption will reach 31.3 million tons, a decrease of 140.73 thousand tons or 0.45 percent compared to rice production in 2020 which was 31.60 million tons.

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management of food diversification is carried out through overlay groups, therefore strengthening the organization of farmer groups from the aspect of production management is important. To ensure the sustainability of productive agricultural land that has been restored by food crops and agroforestry, it is necessary to support the Village Regulation (Perdes). And in order for the village government to produce Village Regulations, it is necessary to advocate and assist in making it.

14. Village-scale local initiatives in improving family and community food security through a smart agriculture approach, need to be supported by the government at the Central-Provincial and District levels. Policies by providing incentives, guaranteeing the production chain to the market level and supporting production facilities need to be given to smallholders who are willing to develop food diversification through smart agriculture practices.

Benefit recipients

The main beneficiaries of the project are 2,750 smallholders from. ~~The decline in food production above is due to; (i) cultivation practices that are still carried out conventionally, trends in monoculture cultivation, use of random seeds or seeds, as well as unproductive land-use practices and crop failures; (ii) many farmers have converted agricultural land into oil palm and coffee plantations, because the food agriculture sector is prone to crop failure, high production costs, especially for fertilizers and pesticides, while food commodity prices tend to stagnate; and (iii) dependence on one food ingredient (rice) forcing farmers to increase production through excessive use of fertilizers and pesticides which have an impact on food security, land degradation and the loss of area-specific biodiversity.~~

Therefore, to reduce the vulnerability of smallholders in the agri-food sector from climate impacts, as well as reduce deforestation and land degradation that have an impact on the sustainability of ecosystem services and biodiversity from unplanned land use and excessive use of fertilizers and pesticides, capacity building and assistance are needed. Intensive Smart Agriculture or a climate-friendly smart farming system that is oriented to food diversification. With this approach is expected to have an impact on; (i) food availability for smallholders and vulnerable groups varies in dealing with climate impacts; (ii) crop failure due to climate impacts can be mitigated, and community food security is guaranteed and (iii) ecosystem services and biodiversity protected by deforestation and degradation.

~~The project will be implemented in 8 villages with the following. The distribution of the main beneficiaries can be seen in table-1 below:~~

Table -1
Distribution Beneficiaries per Location

No	District	Sub-district	Village	Beneficiaries		
				Male	Female	Household
1	Kerinci, Jambi	Bukit Kerman	Tanjung Syam	300	75	250
			Talang Kemuning	400	150	400
			Bintang Marak	450	150	400
		Gunung Raya	Salampaung	350	75	300
			Masgo	250	70	300
2	Langkat, North Sumatera	Besitang	Bukit Kubu	350	100	350
			Kampung Lama	400	125	375
			Sekoci	400	125	375
			Total Beneficiaries	2900	870	2750

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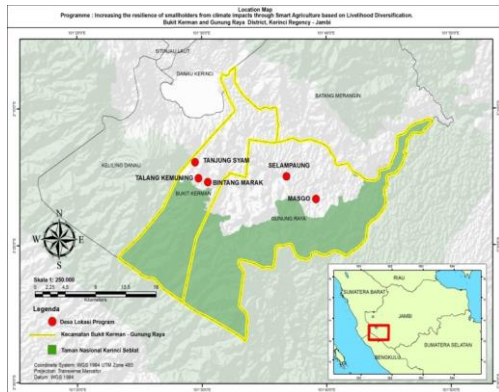
Project - 5 Villages Location.

The selected project sites are located in the Districts of villages within the buffer zone of the National Park. In Kerinci Jambi Regency, the location is in 5 villages within the Bukit Kerman and Gunung Raya Subdistricts, Kerinci Regency, Jambi, Indonesia. Meanwhile, in Langkat Regency, 3 villages were selected, located in Besitang District, Langkat, North Sumatra.

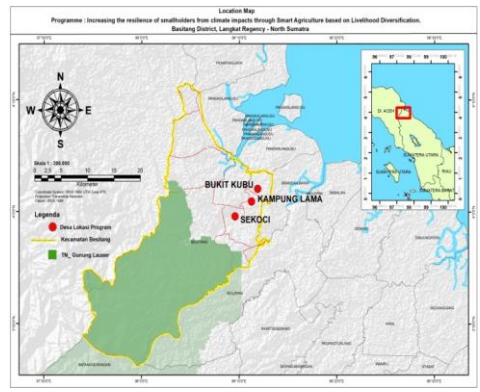
Site selection considerations were based on: 1. The selected village is in the buffer zone of the National Park 2. Expansion of land use for agriculture is a threat to ecosystem services and biodiversity in the National Parks.

Map of Project Location

(1) Kerinci District, Jambi Province, Indonesia



(2) Langkat District, North Sumatera, Indonesia



Project / Programme Objectives:

Goal's : Strengthen Goals : Strengthening the capacity of smallholders and vulnerable groups to deal with climate change in developing the agricultural sector through smart agriculture to reduce climate risk, and protect ecosystem services from deforestation and degradation. the restoration of.

Project Objectives

1. Increase the capacity of 2,000 smallholders and vulnerable groups in reducing climate risk through Smart Agriculture based on diversification of livelihoods based on local natural resource potential.
2. Restoring degraded agricultural land to strengthen food security increase economic value and ecosystem services from climate impacts.

Project Objectives.

Annex 5 to OPG Amended in October 2017

1. Strengthening agricultural adaptation capacity (smart agriculture) for 2,750 smallholders in 8 target villages, among others through knowledge transfer, capacity building, technological innovation, post-harvest managerial capacity development, provision and improvement of supporting institutions.
2. Protect ecosystem services and biodiversity through the restoration of degraded lands to increase economic and ecological value in the face of climate impacts.

Project Objective Indicator(s)

2. Smallholders have the capacity to adapt to climate impacts in maintaining food security and reducing land degradation
1. Total Number of smallholders who received increased agricultural adaptation capacity (smart agriculture)
3. The area of degraded agricultural land that has been is restored to its fertility by agroforestry and is managed productively through agroforestry and foodstuffs which can be monitored

Project Outcome's

- 4.1. Strengthening the capacity of 2,000 farmers in reducing climate risk through the Smart Agriculture model supported by land tenure data based on the application of Q-Gis technology
- 4.2. Improving the livelihoods of smallholder farmers and vulnerable groups from climate impacts through diversification of value-added foodstuffs in inclusive market chains satellite image maps.

Project Increase Outcome

- 1.1. Smallholders in 8 target villages adopt the smart agriculture model to reduce the risk of vulnerability to climate impacts.
- 1.2. A food-based diversification model of livelihoods is developed to support the food security of families and communities.
- 3.1.2.1. Increase the value of degraded agricultural land through the restoration of agroforestry and food crops through good agricultural practices and supported by Village Regulations to protect ecosystem services and reduce the impacts of climate change, including its variability.
- 3.2.2.2. Improvement/replication of project approaches at local and national levels through effective knowledge management and project impact monitoring and evaluation

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Project Outcome ~~Indicator's~~ ~~Indicator's,~~

1.1	the number of smallholders recorded in the Q-Gis application have the knowledge and skills to mitigate climate risk in the agricultural sector, which is characterized by increased production, no crop failures, and reduced land degradation
1.2	the number of smallholders and vulnerable groups whose income at the end of the project increases by \$500 per month as a result of livelihood diversification
2.1	Total area of degraded land that has been restored by agroforestry and food ingredients through a community-based management model
2.2	there are regular project impact reports through the Q-GIS application, and knowledge products are recorded, documented and published for and replicated elsewhere.

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- 1.1. Number of smallholders who have adaptation and mitigation capacity in the agri-food sector
- 1.2. Types of diversification of food-based livelihoods produced by smallholders for family and community food security
- 2.1. Total area of degraded land that has been restored by agroforestry and food ingredients through a community based management models
- 2.2. There are regular project impact reports through the Q-GIS application, and knowledge products are recorded, documented and published for and replicated elsewhere.

Project Output.

1.1.1	Ownership status and land area of smallholders and vulnerable groups are recorded in the Q-Gis application system
1.1.2	Smallholders have the skills to develop smart agriculture in dealing with the risk of climate impacts
1.2.1	Smallholders and vulnerable groups develop diversified livelihoods to reduce the risk of climate change impacts
1.2.2	Smallholders' products get added value in the agricultural product business chain in the modern market
1.2.3	Built and developed a joint marketing model (Koperasi smallholder) for smallholder's agricultural products online and offline that are connected to the downstream sector
2.1.1	Restoration of 1,200 ha of degraded ecosystem services with agroforestry and food commodities that are managed based on the principles of good agricultural practice
2.1.2	The existence of a Village Regulation to protect forest areas and environmental services to reduce climate impacts from extractive agricultural activities
2.2.1	Project results, land use, including quality of ecosystem services are monitored and reported regularly through the Q-Gis application and satellite image maps
2.2.2	Good practice projects/programs published through websites, books and media

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- 1.1.1. Increasing knowledge about Climate Change for smallholders, young people, local policy makers.
- 1.1.2. 2,750 Smallholders from 8 target villages received increased capacity for agricultural adaptation (smart agriculture), in the form of: (a) capacity building and technological innovation of land use planning, technical cultivation of smart agriculture and post-harvest processing, and (b.) provision and improvement of supporting institutions, including farmer data based on land ownership area.
- 1.1.3. Smallholders are able to implement smart agriculture as evidenced by the risk of crop failure, increased food production, and increased income from the food agriculture sector.
- 1.2.1. Smallholders develop diversified livelihoods to reduce the food insecurity of climate-affected families and communities
- 1.2.2. Availability of non-rice food (rice), such as corn, tubers, sorghum is an alternative to strengthen families and community food security.
- 2.1.1. Restoration of 1,200 ha of degraded agricultural land with agroforestry and food crops to support ecosystem resilience from climate change including its variability
- 2.1.2. The existence of a Village Regulation that protects agricultural land, forest areas and

Annex 5 to OPG Amended in October 2017

- environmental services from being converted into oil palm plantations
- 2.2.1. Project results, land use, including quality of ecosystem services are monitored and reported regularly through the Q-Gis application and satellite image maps
- 2.2.2. The results of good practice in smart agriculture are documented and published through online media, books, modules, and media exposes (TV and News papers)

Project/Program Component Study of

A. ~~Project Preparation~~ : Social Environment and Gender ~~Studies~~

~~Executed before the project runs, during the project and after the project ends. The objective of the Environmental Social and Gender study is to obtain data on potential environmental, social and gender risks and impacts from the project plan, during project activities and after project.~~

Deliverables output.

- (1) Social and Environmental, including Gender Analysis/Assessment;
- (2) Environmental and Social Management Framework (ESMF);
- (3) Gender Logframe Analysis (LFA);
- (4) Social and Environmental Report, including Gender: initial conditions, when the project is running and after the project ends.

Total Budget USD40.000

Sources of Budget : IE

B. Component Project Implementation

1. ~~Develop a database system based on the Q-Gis application to strengthen the ownership status and land area of smallholders and vulnerable groups as a basis for increasing the capacity of smart agriculture and diversifying livelihoods in reducing climate risk.~~
2. ~~Increasing the knowledge and capacity of smallholders and vulnerable groups in implementing smart agriculture, developing food diversification through training, assistance, demonstration plots of learning, and the preparation of modules and guidebooks for smart agriculture. The mentoring process is carried out live in with farmers for 30 months.~~
3. ~~Strengthening the food production chain that has added value and is managed through a strong Producer Farmer Organization (Koperasi), and connected online and offline to an inclusive market.~~
1. Increasing knowledge about Climate Change for smallholders, young people, local policy makers.
It is carried out through thematic discussions, screenings of films on climate change, such as: "Seed the Untold Story", "10 Billion Plate", "The Science of Our Planet", " Our Planet", Before The Flood", etc..
2. Capacity building for adaptive agriculture (smart agriculture) for 2.750 smallholders in 8 villages.
The main activities of component 2 include: (i) preparing a database system based on the Geo-data application as a basis for strengthening and empowering smallholders to implement the smart agriculture model. This activity has the potential for conflict over land tenure and boundaries, so it needs to be complemented by conflict resolution mitigation and FPIC; (ii) capacity building and technological innovation of land use planning, technical cultivation of smart agriculture and post-harvest processing; (iii) provision and improvement of supporting institutions, such as: strengthening farmer group institutions and strengthening production management.
3. Diversification of Food Sources to reduce food insecurity for families and communities.
Dependence on rice (paddy), will be balanced by promoting other food sources that have high nutritional content to avoid food insecurity for families and communities. Food diversification such as: tubers, taro, corn, sorghum, porang and other potential foods according to land conditions will be cultivated and developed. The process of developing food diversification will be communicated and discussed in a participatory manner with the principle of FPIC

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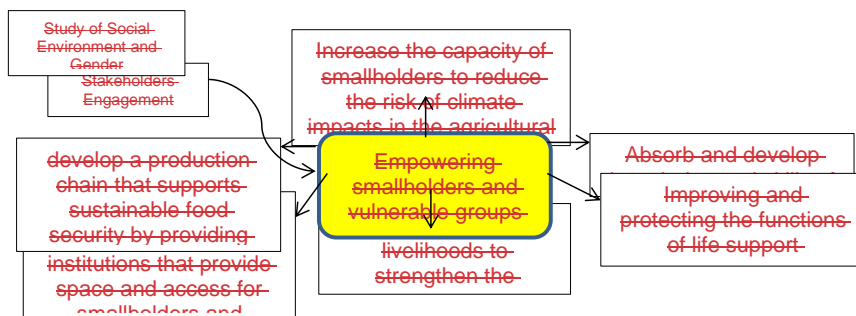
4. Restoration of degraded ~~ecosystem services~~agricultural land with agroforestry and food ~~crop~~models managed by good agriculture practice modelscrops, and supported by ~~Village Regulations~~village regulations (Perdes).

4. Through this intervention, it is hoped that it will have a positive impact on improving people's welfare in dealing with the risks of climate impacts and protecting vulnerable ecosystems. The target for restoration of degraded ecosystem services is 1,200 ha in 8 villages that are project sites.

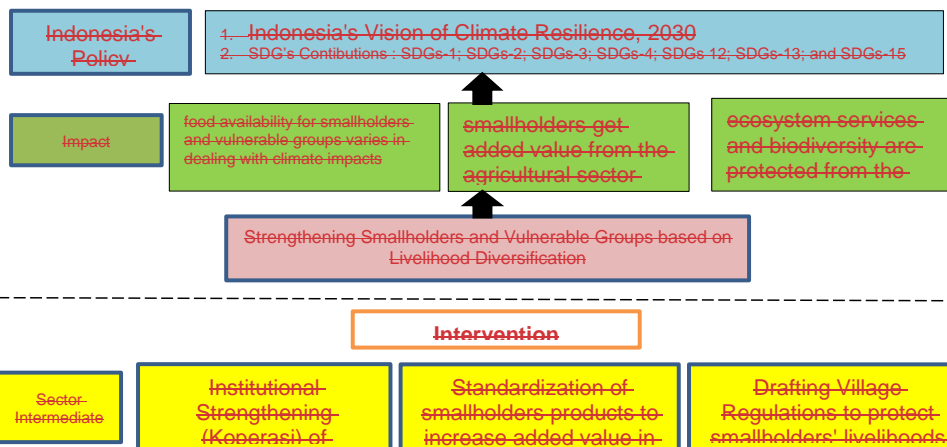
5. Improvement/replication of project approach at local and national level through knowledge management approach and effective monitoring and evaluation. This includes monitoring project outcomes, taking into account social, economic, environmental and biodiversity impacts, followed by enhancing and disseminating results and good practices by utilizing digital information technology and media meanstraems in promoting project good practices.digital information technology and media meanstraems in promoting project good practices.

C. Project-Design-demonstration

(1) Project-Management-Model



(2) Investment Strategy to Increase Resilience of Smallholders Vulnerable Groups from the Impact of Climate Change



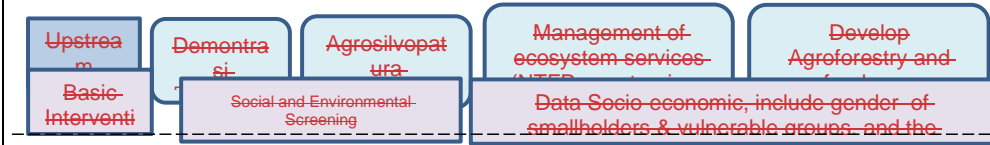
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Project / Programme Components and Financing:

Project/Program Components		Expected Concrete Outputs	Expected Outcomes	Amount (US\$)	
1. A. Project Preparation: Increasing knowledge about Climate Change for smallholders, young people, local policy makers.		1.1.1. <u>AF</u> Increasing knowledge about Climate Change for smallholders, young people, local policy makers.	1.1. <u>Mitra</u> Smallholders in 8 target villages adopt the smart agriculture model to reduce the risk of vulnerability to climate impacts.	Total 36,900	
1.2. Study of Social-Environment and Gender Capacity building for adaptive agriculture (smart agriculture) for 2,750 smallholders in 8 villages.	Social and gender-environmental impact analysis framework	1.1.2. Develop a social and gender environmental safeguard framework as a tool for monitoring program impacts 2,750 Smallholders from 8 target villages received increased capacity for agricultural adaptation (smart agriculture), in the form of: (a) capacity building and technological innovation of land use planning, technical cultivation of smart agriculture and post-harvest processing, and (b.) provision and improvement of supporting institutions, including farmer data based on land ownership area.	36,500	85,700	36,500
B. Component Implementation		1.1.3. <u>S</u> Smallholders are able to implement smart agriculture as evidenced by the risk of crop failure, increased food production, and increased income from the food agriculture sector.		199,000	

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Annex 5 to OPG Amended in October 2017

Component 1- Develop a database system based on the Q-Gis application to strengthen the ownership status and land area of smallholders and vulnerable groups as a basis for increasing the capacity of smart agriculture and diversifying livelihoods in reducing climate risk.3. <u>Diversification of Food Sources to reduce food insecurity for families and communities.</u>	1.2.1. Output 1.1.1. Ownership status and land area of smallholders and vulnerable groups are recorded in the Q-Gis application system. <u>Smallholders develop diversified livelihoods to reduce the food insecurity of climate-affected families and communities.</u>	Outcome-4.1- Strengthening the capacity of 2,000 farmers in reducing climate risk through the Smart Agriculture model supported by land tenure data based on the application of Q-Gis technology. <u>1.2. A food-based diversified livelihood model of livelihoods is developed to support the food security of families and communities.</u>	85.7 00	9.30 0	9597.000
Component 2- Increasing the knowledge and capacity of smallholders and vulnerable groups in implementing smart agriculture, developing food diversification through training, assistance, demonstration plots of learning, and the preparation of modules and guidebooks for smart agriculture. The mentoring process is carried out live in with farmers for 30 months.	1.2.2. Output 1.1.2. Smallholders have the skills to develop smart agriculture in dealing with the risk of climate impacts. <u>Availability of non-rice food (rice), such as corn, tubers, sorghum is an alternative to strengthen families and community food security.</u>		19978 000	52.000	251.000
Component 3- Strengthening the food production chain that has added value and is managed.	Output-1.2.1. Smallholders 1. <u>Restoration of 1,200 ha of</u>	Outcome-1.2- <u>Improving the livelihoods of smallholder</u>	46.00 0185.600	10.000	56.000

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Annex 5 to OPG Amended in October 2017

through a strong Producer-Farmer Organization (Koperasi), and connected online and offline to an inclusive market. <u>4. Restoration of degraded agricultural land with agroforestry and food crops, and supported by village regulations (Perdes).</u>	degraded agricultural land with agroforestry and vulnerable groups develop diversified livelihoods food crops to reduce the risk of support ecosystem resilience from	farmers and vulnerable groups from climate impacts through diversification of value-added foodstuffs in inclusive market chains2.1. Increase the value of degraded agricultural			
	climate change impacts including its variability Output-1-2-2: 2.1.2. Smallholders' products get added value in the agricultural product business chain in the modern marketThe existence of a Village Regulation that protects agricultural land, forest areas and environmental services from being converted into oil palm plantations	land through the restoration of agroforestry and food crops to protect ecosystem services and reduce the impacts of climate change, including its variability.	5465.000	6.000	60.000
<u>5. Improvement/replication of project approach at local and national level through knowledge management approach and effective monitoring and evaluation</u>	Output-1-2-3: Built and developed a joint marketing model (Koperasi smallholder) for smallholder's agricultural products online and offline that are connected to the downstream sector2.1.Project results, land use, including quality of ecosystem services are monitored and reported regularly through the Q-Gis application and satellite image maps	<u>2.2. Improvement/replication of project approaches at local and national levels through effective knowledge management and project impact monitoring and evaluation</u>	107.000	25.000	132.000
Component-4 Restoration of degraded ecosystem services with agroforestry and food crop models managed by good agriculture	Output-2-4: Restoration of 1,200 ha of degraded ecosystem services with agroforestry and food commodities	Outcome-2.4: Increase the value2.2. The results of degraded land good practice in smart agriculture are documented and published through restoration of agroforestry and food crops through	154.000	85.000	239.000

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Annex 5 to OPG Amended in October 2017

practice-models-supported-by-Village-Regulations-Through this intervention, it is hoped that it will have a positive impact on improving people's welfare in dealing with the risks of climate impacts and protecting vulnerable ecosystems. The target for restoration of degraded ecosystem services is 1,200 ha in 8 villages that are project sites.	that are managed based on the principles of good agricultural practice	good agricultural practicesonline media, books, modules, and supported by Village Regulations to protect ecosystem servicesmedia exposes (TV and reduce the impacts of climate change, including its variabilityNews papers)				
6. Project/Programme Execution cost			Output-2.1.2. Facilitate the development of Village Regulations to protect ecosystem services from extra-territorial farming activities85.626	65.000	7.000	72.000
Component 5. 7. Total Project/Programme CostImprovement/replication of project approach at local and national level through knowledge management approach and effective monitoring and evaluation. This includes monitoring project outcomes, taking into account social, economic, environmental and			901.326Output.2.1..Forest	25.000	20.000	45.000

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Annex 5 to OPG Amended in October 2017

biodiversity impacts, followed by enhancing and disseminating results and good practices by utilizing digital information technology and media-means in promoting project good practices.	areas and lands whose fertility has been restored by agroforestry are monitored for progress through the Q-Gis Input application and reported through managed image maps.	project approaches at local and national levels through effective knowledge management and monitoring and evaluation approaches.			
8. Project/Programme Cycle Management Fee charged by the Implementing Entity (if applicable)	76.613 Out		43.500	6.500	50.000
	put-2.2.2. Good practice published projects/programmes through websites, books and media as a means				
Project/Programme Execution cost	85.626		10.000		95.626
Amount of Financing Requested	6977.939				

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Annex 5 to OPG Amended in October 2017

Total Project/Programme Cost	904.326	230.800	1.132.126
Project/Programme Cycle Management Fee charged- by the Implementing Entity	76.613		
Amount of Financing Requested	977.939		

Projected Calendar:

Indicate the dates of the following milestones for the proposed project/programme

Milestones	Expected Dates
Start of Project/Programme Implementation	September, 1, 2022
Mid-term Review (if planned)	April, 2023, Oct, 2023, May, 2024, Nov, 2024, May, 2025
Project/Programme Closing	October 2025
Terminal Evaluation	May 2023, Nov, 2023, May, 2024, Dec, 2024, April, 2025

PART II: PROJECT / PROGRAMME JUSTIFICATION

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PART II: PROJECT / PROGRAMME JUSTIFICATION

A. Describe the project / programme components, particularly focusing on the concrete adaptation activities of the project, and how these activities contribute to climate resilience. For the case of a programme, show how the combination of individual projects will contribute to the overall increase in resilience.

~~To reduce the risk of climate impacts, deforestation and land degradation from extractive farming practices at the level of smallholders around the forest, the components of the activities that will be carried out are:~~

~~2. Increasing the knowledge and capacity of smallholders in developing the smart agriculture will reduce vulnerability at the smallholder level to the impacts of climate change. Increasing the capacity of smart agriculture will also be integrated with diversification of livelihoods through the utilization of local resource potential to reduce the dependence of smallholders on monoculture commodities that are vulnerable to climate impacts. Activities will be carried for 30 months live in villages, through the following activities:-~~

- ~~• Assistance in the preparation of land use planning based on access to smallholder management~~
- ~~• Training of local cadres of smart agriculture: 25 people per program area~~
- ~~• Develop Smart Agriculture Modules and Curriculum~~
- ~~• Mentoring and thematic discussions; technical land management, selection of climate adaptive seeds/seeds, intercropping crop patterns, organic care & fertilization, Plant Pest Control~~
- ~~• Assistance in the development of livelihood diversification of smallholders, women and marginal groups based on local resource potential, such as: honey bee cultivation, freshwater fish cultivation, light meal processing, handicraft as well as the development of natural eco-tourism and agriculture potentials.~~
- ~~• Develop 1 unit of community learning center as a learning center for farmers in 3 program locations~~

~~3. Increasing the added value of smallholder agricultural products supported by the institutional joint business unit (Koperasi), so that they have a better bargaining position in the business chain in the inclusive market. This is important to do, because so far the commodity products produced by smallholders around the forest are not only priced very low/cheap but also often rejected by consumers due to poor post-harvest processing. The following of activities :~~

- ~~• Post harvest management training and assistance; technical harvesting, drying and packaging of agricultural products for smallholders.~~
- ~~• Develop Standard Operational Procedures (SOP) for Added Value as a prerequisite for the value chain of the land-based agricultural sector business around the forest; Cultivation Technical SOP, Post Harvest Processing SOP, Production Flow SOP, Food Safety SOP;~~
- ~~• Establishment of a joint business unit based on share ownership/farmer's capital that has legal legality;~~
- ~~• Preparation of SOPs for Community Share-Based Business Entities;~~
- ~~• Development of Integrated Processing and Production Unit, and;~~
- ~~• Connecting smallholder agricultural products around the forest online and offline through business meeting workshops, product marketing through E-commerce/electronic commerce, marketplaces~~

~~Restoration of degraded ecosystem services with agroforestry and food crop models managed by good agriculture practice models supported by Village Regulations. The project will be achieved~~

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through the following 5 components.

1. Increasing knowledge about Climate Change and its impact on life for smallholders, youth, local policy makers. Vulnerability is a condition of a community or society that leads to a decrease in resilience due to external influences that threaten life, livelihoods, natural resources, infrastructure, economic productivity and welfare. In the issue of climate change in the agri-food sector, the vulnerability faced by smallholders is decreased production, crop failures that have an impact on reducing family food sources, including income obtained from the food business chain, which ultimately leads to hunger and poverty. Climate change can affect cropping patterns, planting time, production, and yield quality. Agricultural production is influenced by climate change variables, namely temperature increases, changes in rainfall, evaporation of water runoff and soil moisture that will affect productivity. At the level of rural communities, especially smallholders, knowledge of climate change and its impact on their livelihoods originating from the agriculture-food sector is not yet understood. Therefore, in component 1, rural communities, especially smallholders, youth, women, vulnerable groups and local stakeholders need to receive information on climate change and its impact on livelihoods. To facilitate the delivery of information at the level of smallholders, women, young people, vulnerable groups and local stakeholders, films about climate change are used as media education; for example movies: Seed the Untold Story", "10 Billion Plate", "The Science of Our Planet", " Our Planet", Before The Flood", etc. Each process of using film media on climate change is followed by a thematic discussion involving the community in a participatory manner. The discussion also serve as media for sharing knowledge and experiences that have been applied by the community in overcoming problems faced with the resources available around them. For example the ethnobotanical knowledge of the local community to overcome the problem of agricultural pests. It is hoped that with this discussion, rural communities, especially small farmers, youth, women, vulnerable groups and local policy makers can take roles and make decisions to take steps to adapt and mitigate climate change in their villages. One example of a change in behavior from the community, farmers can apply environmentally friendly agriculture, process and use their own organic fertilizers and natural biopesticides from materials available around. Of course this is beneficial for the community, especially the health of farmers, and also for the preservation of natural ecosystems. Organic agriculture also provides a multiplier effect for all levels of society, from farmers as food producers to people as food consumption, even to the final level of bacteria and other decomposers. Healthy farmers, increased income and sustainable production, for people who consume healthy food, the body will also become healthy, strong and fertile so as to produce healthy generations, and for the environment the sources of life such as water are not polluted, soil is not degraded and air is fresh.
2. Capacity building for adaptive agriculture (smart agriculture) for 2,750 smallholders in 8 villages. Increased knowledge and awareness about climate change and its impact on the food agriculture sector that has been obtained by smallholders and local stakeholders, will be the basis for developing smart agriculture capacity in 8 target villages. This component 2 activity will be initiated by preparing a database system based on the Geo-data application as the basis for strengthening and empowering smallholders to implement the smart agriculture model. This activity has the potential for land tenure and boundary conflicts, so it needs to be complemented by conflict resolution mitigation and FPIC. Based on data on ownership and land area from each farmer, the capacity building process is carried out through; (i) land-use planning workshops in each target village with participants from land-owning farmers, village policy makers and district government agencies related to food security policies; (ii) conducting intensive live-in assistance in villages for ±30 months practicing smart agriculture; land management techniques, seed selection, plant planting and care techniques, solid and liquid organic fertilizer manufacturing practices.

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natural biopesticide manufacturing practices, plant pest and disease control techniques, and post-harvest assistance. In every process of assisting women, vulnerable groups and young people are included; (iii) advocating for district governments to improve agricultural infrastructure, such as irrigation networks and provision of production facilities; (iv) strengthening farmer institutions (farmer groups) in production management. To support the learning of smallholders, 1 unit of Community Learning Center for food plants was built which is equipped with learning modules and media, as well as examples of climate-adaptive plants that can be developed as food sources. The results of component 2 can be seen from: (1) the risk of crop failure in food crops can be reduced/controlled; (2), increasing food production for at least 6 tons of rice per ha; (3), increase in family income from the food agriculture sector at least USD350 or a minimum of USD4.200 per year's.

3. Diversification of Food Sources to reduce food insecurity for families and communities. Dependence on rice (paddy) needs to be balanced by promoting other food sources that have high nutritional content and high economic value to avoid food insecurity for families and communities. Food diversification such as: tubers, taro, corn, sorghum, porang and other potential food according to land conditions will be the main activities in component 3. Not all farmers are ready to do this, therefore introducing and promoting food diversification requires an agreement (FPIC). It is possible that smallholders do not yet have good knowledge and skills to develop plant diversification, therefore it is important that technical assistance is carried out at the smallholder level.
4. Restoration of degraded agricultural land with agroforestry and food crops, and supported by village regulations (Perdes). In each of the target villages where the project site is located, critical agricultural land is found, and overgrown with shrubs. Degraded agricultural land has the potential to cause landslides and fires in the dry season which can have an impact on the balance of the ecosystem. The high cost of restoring degraded land (a minimum of USD 2,000 per ha is required) cannot be afforded by smallholders. Through AF's support, 1,200 ha of critical and degraded agricultural land in 8 target villages will be restored with agroforestry plants that have long-term economic and ecological value. The management of restored agricultural land with agroforestry is integrated with food crops, such as tubers, porang, corn, sorghum etc. To protect the conversion of agricultural food land into oil palm plantations, the village government will be advocated for drafting a Village Regulation on the Protection of Village Food Agricultural Areas. The expected results from component 4 are: (1) Increasing the value of agricultural land economically and ecologically (2) Reducing community vulnerability from landslides, land fires and loss of ground water sources. (3) protect ecosystem services and reduce climate change impacts, including their variability.

4.

The project will restore 1,200 hectares of degraded land spread over 8 project sites. Restoration will increase the economic and ecological value of land in support of food security and protection of ecosystem services to reduce the risk of climate impacts. Recovering degraded land through community based management, and supported by Village Regulations. Various agroforestry crops, such as: coffee, oranges, durian, jengkol, jackfruit, meranti, medang, bulian, bamboo tembesu etc, will be developed to support ecosystem sustainability and biodiversity and become a source of income for farmers in the long term.

In addition to agroforestry crops, the restored land will be planted with foodstuffs, such as; taro, corn, upland rice, porang, sweet potato, vanilla, pepper, etc. The choice of food plant material will be adjusted to the typology and characteristics of the soil.

To strengthen the 3 components above, it will be equipped with 2 components of supporting activities:

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1. To Build a database system based on the INPUT Q-Gis application as a basis for strengthening smallholders around the forest in managing the agricultural sector on climate impacts:-
 - ▲ Training of 25 local cadres in each location for smallholder data collection;
 - ▲ Preparation of tools, modules and hardware and software for smallholders database;
 - ▲ Collecting data on smallholders based on ownership and land area and types of plants;
 - ▲ Smallholder data input in a database system based on the Q-GIS application, and
 - ▲ Periodic (quarterly) updates on the management of the agricultural sector by smallholders through the Q-GIS application.

2-5. Improvement/replication of project approach at local and national level through knowledge management approach and effective monitoring and evaluation, through: This includes monitoring project outcomes, taking into account social, economic, environmental and biodiversity impacts, followed by enhancing and disseminating results and good practices by e-book, utilizing digital information technology and media mainstreams in promoting project good practices.

- Comprehensive monitoring of project results by taking into account social-gender, economic, environmental and biodiversity impacts, supported by data and satellite imagery map; and
- Documentation of learning outcomes, improvement and dissemination of results and good practices by utilizing digital information technology and media mainstream in promoting project good practices

B. Describe how the project / programme provides economic, social and environmental benefits, with particular reference to the most vulnerable communities, and vulnerable groups within communities, including gender considerations. Describe how the project / programme will avoid or mitigate negative impacts, in compliance with the Environmental and Social Policy and Gender Policy of the Adaptation Fund.

Benefits of implementing Smart Agriculture based on land use planning for smallholders and policy makers:

(1) This program Economic benefits.

By optimizing land use in a planned and effective manner with good agricultural sector cultivation practices and by improving the production chain that has added value in the modern inclusive market, the income of smallholders will increase (targeted at 50% at the end of the project compared to the initial project based line conditions).

With the increase in income, smallholders have purchasing power, especially in investment in capital goods that can increase productive businesses. If this sector can be managed properly, it will open up new jobs in the integrated agricultural sector in rural areas. All of these will contribute significantly to the welfare of farmers and their families and have a concrete impact on reducing poverty for farmers around the forest and the impact of climate change.

(2) Social and environmental benefits

Smart Agriculture will change conventional agricultural practices that are vulnerable to climate impacts and trigger deforestation and land degradation. If Smart Agriculture can be accepted and practiced by smallholders and forest communities, it will bring social and environmental benefits. Benefits will be multiplied by protecting forest ecosystem services and degraded land that will be restored with agroforestry. In particular the social and environmental benefits are:

- a. With the data collection on land ownership and area, it will ensure certainty of land ownership rights from smallholders, including marginal groups around the forest;
- b. The remaining natural forest area is protected from conversion to other uses (expansion of

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agricultural land);

- c. ~~The rights of women and marginalized groups to access and equality to development are accommodated by involving them in the decision-making process.~~
 - d. ~~The establishment of new social attitudes and awareness at the rural community level on the importance of protecting vulnerable ecosystem services and increasing collective capacity in managing local natural resource assets in response to the impacts of climate change, including variability.~~
6. From the production chain of the agricultural sector, the application of Smart Agriculture will provide economic, social and environmental benefits, especially for vulnerable people, with special needs and gender considerations. Every activity in this program will pay attention to gender equality. At the initial stage, the team usually collects geo-data-based databases. Data collection is carried out to see the condition of resources, both natural resources and local human resource capacity. At this early stage, it is known that if there are people with disabilities, they will be recorded and invited to every activity. But in general, if there are no disabled people, then each activity is attended by at least 30% women or 3 men: 2 women and if there are people with disabilities, the percentage of meeting invites is 3 men: 1 woman: 1 person with disabilities. Small farmers, including women farmers and vulnerable groups are often neglected politically, socially and economically. The agri-food sector, small farmers, women farmers and vulnerable groups are the groups directly affected by climate change, including the COVID-19 pandemic.
7. Through investment in smart agriculture programs, small farmers, women farmers and vulnerable groups will be empowered, so that they can escape from food insecurity, poverty and improve their bargaining position in gaining access to information, knowledge, skills, and technology transfer in adapting, and climate change mitigation. Skills that can be applied through food diversification and diversification of food sources other than rice as well as skills in making organic fertilizers and biopesticides using materials and media available around the village provided to small farmers, women farmers and vulnerable groups, will help reduce production input costs by 30 %.
- e. If small farmers, women farmers and vulnerable groups are empowered and skilled in developing local resources, it will increase income and have an economic impact on various sectors. This is because purchasing power increases and the Farmer's Exchange Rate (NTP) increases. Economic benefits will ensure food security and security from climate impacts.
8. **Cost effectiveness**— small farmers, women farmers, and vulnerable groups will benefit economically. It is targeted that through this project farmers' income will increase to USD475 per month from USD120 before the project.
9. An intelligent organic farming model based on land use planning will provide environmental benefits in the form of fertile land, biodiversity is maintained, decomposing animals and bacteria remain, water sources are maintained, air is clean, free from erosion and landslides, agricultural activities can be sustainable from restoration activities and environmentally friendly agricultural activities.
10. In order to reduce negative environmental and social impacts on gender, each project component approach will be monitored using the Environmental and Social Management Framework (ESMF) and Gender Logframe Analysis (LFA).

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C. Describe or provide an analysis of the cost-effectiveness of the proposed project/program / programme.

11. The cost effectiveness of the proposed project/program for 3 years can be explained as follows: described in the following table-2

- (1) The average monthly income of smallholders from the land-based agriculture sector based on the survey results (Baseline) is USD192 (1\$=IDR14,300)
- (2) Project investment costs from the Adaptation Fund grant per smallholders for 3 years USD488 or USD603 of the total project investment
- (3) Target of increasing the income of smallholders per month at the end of the project is USD350 or a minimum of USD4.200 per year

	Description	Total (USD)
-	Project Title : Increasing the resilience of smallholders from climate impacts through Smart Agriculture based on Livelihood Diversification in Indonesia	
-	Total Budget cost	977,939
-	Total Beneficiaries: small farmers, women vulnerable groups	2.750
A	Before Project	
1	The average monthly income of smallholders from the land-based agriculture sector based on the survey results (Baseline) is accumulated in USD (1USD=IDR14,500)	192
2	Potential loss of income from crop failure due to climate change is assumed to be 40% of total monthly income	76.8
	Total income per month: (1 – 2) in USD	115.2
B	Project Cost	
1	Project investment costs incurred per smallholders to obtain increased capacity for climate adaptation and mitigation in the food agriculture sector (providing information, training, technical assistance in smart agriculture, CLC infrastructure, modules and learning media, etc) = Component 1,2,3 and 5	640.500
2	Cost of restoration of 1,200 hectares of critical agricultural land, including for the procurement of seeds, planting costs, fertilizers and maintenance for 1 year) = Component 4	250.600
3	The project Execution Costs are at 9.5 per cent of the total requested project budget.	84.600
	Total project cost	977,939
C	Improved Income melalui model Smart Agriculture	
1	Smallholders income target per month from increased production of food crops (rice) in USD	250
2	Target income of farmers per month from diversification of non-rice food crops in USD	175
3	Targeted income from ecosystem services (agroistas, cultural festivals, etc.) through the provision of home stay packages	50
4	Total income smallholders per months (USD)	475
5	Total cumulative income 80% of 2.750 beneficiaries (smallholders)	1.045.000
D	Efektive ratio	
1	Before Project (USD)	115.2
2	By project investment (USD)	475
3	Difference in investment costs versus total cumulative income (C-D) (C-D)	67.061
4	Income of farmers without project vs project (D=2-1)	359.8

Describe how the project/ programme is consistent

It is seen from the amount of investment costs incurred per smallholders for 3 years compared to the increase in monthly or annual income per smallholders, it can be seen that the cost-effective ratio of the project is very efficient and effective in improving the welfare of smallholders around the forest.

D. Relationship/Integration of Projects/Programs with national or sub-national sustainable development strategies, including, where appropriate, national adaptation plans (NAPsplan (NAP), national or sub-national development plans, poverty reduction strategies, national

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communications, or national adaptation action, programs of action, or other relevant instruments relevant, where they exist,

Project/Program, will contribute to:

12. Projects/Programs have relevance in:

4.(1) Indonesia's ~~Vision/vision~~ of Climate ~~Resilience/resilience~~, 2030 climate as a result of comprehensive disaster risk reduction and mitigation strategies and adaptations⁴⁴;

(2) National Action Plan for Climate Change Adaptation of the Republic of Indonesia (RAN-API)

(3) Indonesian Government policies in strengthening National Food Security

(4) The Government of Indonesia's Poverty Reduction Strategy to protect families and community groups experiencing poverty

2.(5) Long-Term Low Carbon and Climate Resilience Strategy (LTS-LCCR) 2050⁴⁴;

3. Achievement of the SDGs of the Government of the Republic of Indonesia, in particular on SDGs 1: Eradicating all forms of poverty; SDGs.2: Achieve food security and improve nutrition, and promote sustainable agriculture; SDG's 3: Achieving gender equality and empowering all women and girls; SDG's 4: Increase equitable and sustainable economic growth for residents around forests; SDG's 12: Ensure sustainable production and consumption patterns; SDG's 13: Take urgent action to combat climate change and its impacts; and SDG's 15: Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat certification, and halt and reverse land degradation and halt biodiversity loss.

(6) Local Policy of the Government of Indonesia in achieving SDGs 1,2,3, 13 and 15, and

4.(7) Kerinci and Langkat district government policies, related to in poverty reduction, reduction and recovery of deforestation and land degradation, food security, adaptation and mitigation of climate change, and reduction of GHG emissions.

E. Fulfillment of project/program technical standards

E. Describe how the project / programme meets relevant national technical standards, where applicable, such as standards for environmental assessment, building codes, etc., and complies with the Environmental and Social Policy of the Adaptation Fund.

13. The project's technical standard compliance is developed on the following basis:

1. Compliance with Indonesian Government regulations is absolute;

- RI Law No. 32 of 2019 concerning Environmental Protection and Management; Government Regulation of the Republic of Indonesia Number 86 of 2019 concerning Food Safety;
- Regulation of the Minister of KLHK P.33/Menlhk/Setjen/Kum.1/3/2016 concerning Guidelines for Preparation of Climate Change Adaptation Actions;
- Minister of Environment and Forestry Regulation P.7/Menlhk/Setjen/Kum.1/2/2018 concerning Guidelines for the Study of Vulnerability, Risk and Impact of Climate Change
- Regulation of the Minister of Finance of the Government of Indonesia Number: 230 of 2011 concerning the Grant Accounting System;
- Regulation of the Director General of PPI Number P.5/PPI/SET/KUM.1/12/2017 concerning Guidelines for Calculation of Greenhouse Gas Emissions for Community-Based Climate Change Mitigation Actions; and
- Regulation of the Director General of PPI Number P.4/PPI/SET/KUM.1/11/2019 concerning Guidelines for Identification of Ecosystem-Based Climate Change Adaptations

2.(1) Compliance with policies and guidelines set by Unidentified Sub-Projects (USPs); namely AF, such as: (1) identifying environmental and social risks in accordance with the 15 ESP principles following an evidence-based, comprehensive and commensurate process; (2) an assessment of

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⁴⁴)Dirjen Pengendalian Perubahan Iklim, Kementerian LHK, 2024

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the anticipated impact of the identified risks; (3) identify adequate measures to avoid, minimize or manage such impacts; (4) develop a plan to implement and implement social environmental impact mitigation measures from each project activity; and (5) other technical guides set by AF.

3. (2) The IFC Performance Standards (adopted by Afs Partners) provide additional guidance where GoI regulations are weak or unclear, and are used as a reference for improving performance, beyond simple compliance. IPC standards that will serve as guidelines for such as; Assessment and Management of Environmental and Social Risks and Impacts (PS-1), labor (PS-2), resource efficiency and pollution prevention (PS-3) and conservation of natural resources (PS-6). Indonesian government regulations tend to be unclear or less stringent regarding community health, safety and security (PS-4), indigenous peoples (PS-7), and cultural heritage (PS-8).
4. (3) Gender Policy and its Gender Integration Milestones and Operational Procedures as well as the Social and Gender Integration Plan will apply to all activities.

F. F. Duplication Describe if there is duplication of projects/programs/project / programme with other funding sources: none, if any.

14. This project will complement the initiatives undertaken by the Indonesian government in efforts to adapt and mitigate climate change. After that, Complementing the policies of the Indonesian government, through the Ministry of Agriculture in implementing national food security; Support the policies of the Ministry of Environment of the Republic of Indonesia in reducing deforestation and land degradation, as well as protecting essential ecosystems in Indonesia

G. If G. Learning applicable, describe the learning and knowledge management component to capture and disseminate lessons learned.

15. Management lessons learned Knowledge management and good practices from learning is carried out through:
- (1) Documentation of the results of project will activities through a data-based system that can be documented, written accessed by the public through the website;
 - (2) Writing and published through websites, book publications as recommendations for policy makers publishing Good practice in implementing smart agriculture;
 - (3) Promoting the experience of smallholders champions in climate adaptation and other mitigation in the food agriculture sector;
 - (4) Public expose on the implementation of smart agriculture through mass media (TV, newspaper, online media)
 - (5) Public dialogue by presenting smallholders, village governments, women and youth leaders, legislators, regents, governors and the Ministry of Environment and Forestry and Agriculture, academics, the private sector, NGOs and journalists

H. Describe the consultative process, including the list of stakeholders consulted, undertaken during project preparation, with particular reference to be adopted/relicated vulnerable groups, including gender considerations, in compliance with the Environmental and Social Policy and Gender Policy of the Adaptation Fund.

H. Consultative process for Stages of Project/Program Preparation:

16. The project/program preparation process is carried out in and stakeholder consultation with policy makers at the regional (provincial/district) level, stakeholders and potential beneficiaries at the project/program location. Consultation process starts from:
1. Participated in the socialization of the Call for Concept Note 2NDBatch Adaption Fund virtual meeting held by the Directorate of Climate Change Adaptation, Director General of PPI-KLHK and Partnership/Partnership on 24 May 2022.
 2. Consultation with the Village Government and potential beneficiary farmers in:
 - a. Kerinci Regency, Jambi : Salampaung Village, Bitang Marak Village, Talang Kemuning Village, Masgo Village, Kebun Baru Village, Tanjung Syam Village and Sungai Warm Village by the Action Partner Team

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on 28 to 31 May 2022.;

-b. Langkat Regency, North Sumatra : Bukit Mas Village, Halaban Village, Bukit Selamat Village, Lifeboats and Sukajaya Kec. Besitang by PMI Langkat on 29 May to 1 June 2022.;

3. Consultation with the Provincial Forestry Service, KPH and District Agriculture Office-

a. Jambi Province by the Action Partner Team with the Jambi Provincial Forestry Service on 6 June 2022 and Kerinci KPH and Kerinci District Agriculture Office on 9 June 2022

-b. Bappeda and the Department of Agriculture of Langkat Regency by PMI Kab.Langkat on 8 June 2022-

Justification of-

No	Date	Description of stage consultation	stakeholders consulted	Result
1	May,22,2022	Participated in the socialization of the Call for Concept Note 2NDBatch Adaptation Fund virtual meeting organized by the Directorate of Climate Change Adaptation, Director General of PPI-KLHK and Partnerships/Partnerships	Board and Team Management Mitra Aksi Foundation	requirements that must be met by prospective implementing agencies in proposing an adaptation fund proposal
2	May,26,2022	Team coordination meeting to prepare concept notes for proposals to AF, prepare consultations with districts and assessment of prospective project sites	Board and Team Management Mitra Aksi Foundation, and local NGOs that will become consortium	Prepare schedule and assessment tools for prospective project sites. Social and Environmental Screening tools, including gender assessment
3	May,31,2022	Consultation and coordination with the Jambi Province Food Agriculture Office to obtain a letter of Endorsement	Jambi Province Food Agriculture Office	letter of Endorsement
4	3 to 13 June 2022	Public consultation and assessment Social and Environmental Screening, include gender	Village Government, Smallholders, representation of women, youth and vulnerable groups of 8 villages (the number of invited participants based on the representation of gender balance and interest groups 50 people per village	(1) support and readiness of the village government, smallholders, women's groups, youth and vulnerable groups to project plans in their villages. (2) Social and Environmental Screening results, including gender
5	15 Jun,2022	consultation with EA (partnership) in the	Board and Team Management Mitra Aksi	Information on the deadline for submitting

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	<u>process of writing concept notes and complete supporting documents</u>	<u>Foundation, Team EA Partnership</u>	<u>concept notes and documents that must be attached</u>
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I. Provide justification for funding requested funding, focusing on the full cost of adaptation reasonsreasoning.

- (1) ~~The impact of climate change becomes a very heavy burden for small farmers, women and marginal groups around the forest. Crop failure due to extreme weather that is increasingly common, makes farmers vulnerable to being trapped in the abyss of poverty. The heavy burden of small farmers, women and vulnerable groups is increasing with the rising cost of living and production costs (fertilizers, pesticides) as a result of the COVID-19 pandemic.~~
- (2) ~~Conventional farming practices carried out by smallholders in the vicinity of forests, which are characterized by the use of high chemical inputs and unplanned land use, accelerate the degradation of their agricultural land. On the other hand, restoration/rehabilitation of degraded agricultural land becomes a very heavy burden for small farmers. The high cost of restoring degraded agricultural land makes farmers prefer to clear forest areas that are considered fertile to replace their degraded agricultural land. Because of this, land degradation around the forest will trigger deforestation.~~
- (3) ~~The allocation of village funds (DD) which is expected to support the empowerment of small farmers related to climate change adaptation has not become a priority. The use of village fund allocations is more focused on developing village infrastructure and refocusing on Covid-19 prevention.~~
- (4) ~~Regional (provincial and district) budget policies for climate change adaptation in the land-based agriculture sector are also still very small. The priority for financing local government funds is more focused on infrastructure development, bureaucratic operations and the prevention of Covid-19.~~

TheThe full funding from AF of USD975,700 will be focused on supporting capacity building of 2,750 smallholders, women and vulnerable groups in 8 target villages, with the distribution of financing as follows :

17. Distributing of Financial component in Programme:

Component	Description activities component	USD
<u>Component 1</u>	<u>Increasing knowledge about Climate Change for smallholders, young people, local policy makers amounting</u>	<u>36.900</u>
<u>Component 2</u>	<u>Capacity building and technical assistance 30 month for adaptive agriculture (smart agriculture) for 2,750 smallholders in 8 villages</u>	<u>284.700</u>
<u>Component 3</u>	<u>Diversification of Food Sources to reduce food insecurity for families and communities development</u>	<u>175.000</u>
<u>Component 4</u>	<u>Restoration of degraded agricultural land with agroforestry and food crops, and supported by village regulations (Perdes)</u>	<u>250.600</u>
<u>Component 5</u>	<u>Knowledge Management, Policy Stakeholder Coordination, Monitoring and Evaluation</u>	<u>68.500</u>
<u>Project/Programme Execution cost</u>		<u>85.626</u>

18. Funding for social, environmental and gender studies, as well as ESMS monitoring amounting to USD40,000 is sourced from the Implementing Entity's contribution

J. Describe how the sustainability of the project/programme outcomes has been taken into account when designing the project/program / programme.

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~~19. To ensure sustainability, Sustainability of the project/program management will be carried out through prepared with the following approaches/mechanisms:~~

~~1. Strengthen the participation and strong involvement of the main stakeholders of smallholder farmers individually and in groups, village governments, local governments, business actors and civil society organizations in every decision-making process and project implementation that affects the socio-economic life of the community and environmental sustainability during the project take place.~~

~~2. Integrating land-based and non-land-based production sectors by bringing stakeholders together to develop and update land use plans and objectives based on field realities through an adaptive management approach. This strategic approach will link 4 cross-sectoral issues that are an integral part of this project, namely the Economic Rate of Return (ERR), Restoration of Ecosystems around the forest, Environmental and Social Management System and the Social and Gender Integrated Plan (SGIP).~~

~~3. Building institutional-based political support for collective action between parties, increasing local capacity, including the mechanism for improving added value at the producer farmer level.~~

~~4. Transparent communication and information to build mutual trust and mutually benefit the parties in establishing a common agenda and action and ensuring that every stage of the project can be understood by the parties involved.~~

~~5. Building relations with National Provincial and District stakeholders to develop the principles of Smart Agriculture based on international standards, national action plan policies and instruments related to GHG reduction in the land-based agriculture sector.~~

~~(1) K. An Establish a written agreement (MoU) with the Village Government and Farmer Groups in maintaining project investment assets, implementing smart agriculture practices in a sustainable manner~~

~~(2) Facilitating village governments to formulate regulations (Perdes) for the protection of agricultural land, food and ecosystem services to strengthen adaptation and mitigation of climate change~~

~~(3) District policy advocacy to support local initiatives for climate-adaptive farming practices (smart agriculture) to obtain technical assistance and ease of obtaining farming capital.~~

~~(4) Build relationships with provincial, district, private sector and strategic stakeholders to support sustainable empowerment of smallholders, women and vulnerable groups in developing smart agriculture to reduce climate change risks, and opportunities to expand the reach of beneficiaries~~

K. Provide an overview of the environmental and social impacts and risks identified as **being** relevant to the project//programme.

20. The program's approach and management is guided by the principles of FPIC and the 2012 International Finance Corporation (IFC) Environmental and Social Performance Standards.

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Annex 5 to OPG Amended in October 2017

Project Social and Environmental Safeguards Matrix
Increasing the resilience of smallholders around the forest through Good Agriculture Practice (GAP) and Climate-Resilient Agriculture (CRA) principle

Cecklist of Enviromental and Social Principle	No further assessment required for compliance	Potential impacts and risks – further assessment and management required for compliance
Compliance with the Law		Require; The government has prepared various laws, regulations and policies related to cross-sectoral development that guarantee access and equity for every citizen. However, in practice there may still be weaknesses. For example; is not sufficient to prevent conflicts related to tenured land, and thus the IFC Performance Standards should be used as a complement.
Access and Equity		Required; Therefore, this project investment needs to be monitored regularly to ensure that Access and Equity is not biased by elites
Marginalized and Vulnerable Groups		Required; Social status in rural areas allows smallholders, women and marginalized groups to not obtain access and equity from development processes and benefits. Therefore, affirmative action and monitoring are needed in this project to ensure smallholders, women and marginalized groups have access and equality from project activities.
Human Rights		Required; transfer of knowledge from outside, allowing the occurrence of violations of the rights of local wisdom. To avoid violations of the rights of local wisdom, the project approach will use eco-techno-prenuership, namely combining science, technology, research results with local knowledge and wisdoms
Gender Equality and Women's Empowerment		Required; cultural values often prevent women from accessing, participating, and participating in decision-making in the household and community. Therefore, affirmative action and monitoring are needed in this project to ensure gender equality and women's rights are not neglected in this project.
Core Labour Rights		Required; the project may involve individuals in the community to do technical work, such as data collection, leaving work while attending training outside the village. Because in order to avoid losing their source of income, their rights will be calculated as a substitute for working days in accordance with the wage standards applicable in their area.
Indigenous Peoples		Required; The project will work in indigenous peoples. Therefore, the needs, ideas and inputs of indigenous peoples will be the main consideration in the implementation of this project.
Involuntary Resettlement	Not required, the project does not carry out any resettlement activities	
Protection of Natural Habitats		Required; the project will invest in villages surrounding the forest. Therefore, a monitoring standard for High Conservation Value (HCV) protection is needed.
Conservation of Biological Diversity		Required; the project will introduce the Smart Agriculture models, the community may be resistant to accepting this concept, therefore consultation and FPIC are required before the project is implemented in their area
Climate Change		Required guided by the policy of the Director General of PPI Number P.4/PPI/SET/KUM.1/11/2019 concerning Guidelines for Identification of Ecosystem-Based Climate Change Adaptations
Pollution Prevention and Resource Efficiency	Not required	
Public Health		Required; one of the project outputs is food products to be sold to consumers. Therefore, it is necessary to have food safety standards that have been set by FAO.
Physical and Cultural Heritage		Required; at the project site it is possible to find cultural objects or sites. To avoid damage or negative impacts, it is necessary to have a standard of protection for Physical and Cultural Heritage
Lands and Soil Conservation		Required; project investment will restore soil fertility function organically

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Annex 5 to OPG Amended in October 2017

PART III: IMPLEMENTATION ARRANGEMENTS

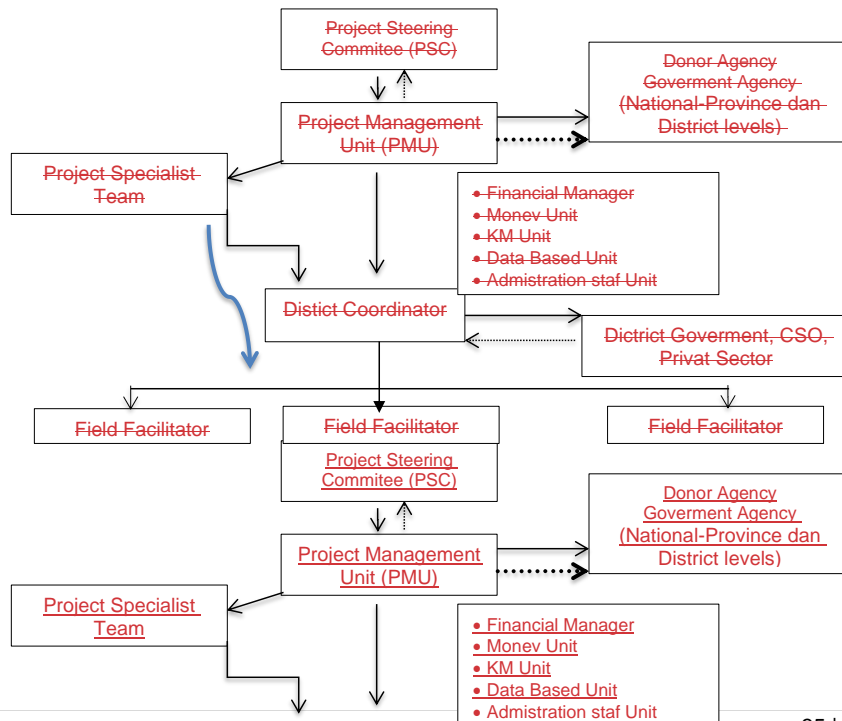
Project/program

A. Describe the arrangements for project / programme implementation arrangements.

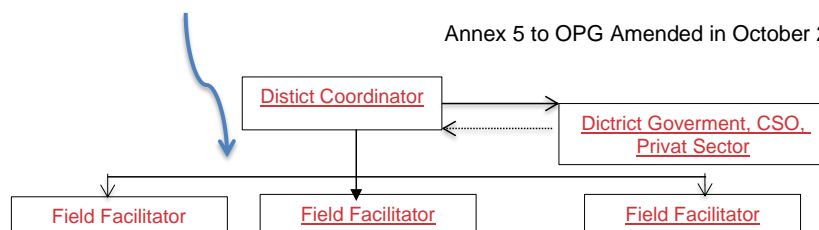
Project management arrangements with the following structure:

- (1) The Project Steering Committee (PSC) will be the top body for approving the annual work plan and budget, providing project management guidance assistance. PSC membership is at least 5 people and a maximum of 7 people, representing elements of consortium membership, elements of Regional Government Organizations (OPD) related to the Provincial/Regency Government level and academics by taking into account gender equality aspects.
- (2) Project Management Unit (PMU) led by Program Manager and assisted by work units and specialists. The PMU will lead and coordinate project management and implementation. The PMU will ensure that the work conforms to the project documents and that they contribute to the project results.
- (3) PMU will report the level of project development in the form of monthly reports, quarterly reports and annual reports to be submitted/ forwarded to donor agencies with a copy to the PSC.
- (4) Coordination will be carried out effectively with PSCs, Related Offices, especially policy makers at the central and regional levels. Coordination will be complemented by presentations on project progress, obstacles and challenges, and proposed action scenarios to be decided upon in the event of an emergency as described in the contingency plan

Project management structure diagram



Annex 5 to OPG Amended in October 2017



Project Leader : Siti Hariati Yuwani, SP, MSc
 Manager Keuangan : Widia Helistifa Dewi, S.Ak
 Manager KM & Publication : Gie Irawan, SE
 Communitie Smart Agriculture Emporment: Ir. Suparlan Siswo Sudarmo
 Adi Candra, S.Hut.
 Affrizal Khan, S.Sos.MM
 Rose Andina, SSI
 Mieke Irawan, SE

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B. Measures Describe the measures for financial and project/program / programme risk management.

- (1) To anticipate the risk of misuse of financial management procedures, Mitra Aksi has a strong internal system to disclose and report corruption and other financial irregularities. Mitra Aksi has a "whistle blowing system" and other measures to prevent, investigate and sanction misuse of funds, and other fraudulent or corrupt practices;
- (2) To avoid a conflict of interest, each Action Partner staff must sign an integrity pact as part of the work agreement with the Action Partner, and comply with the code of ethics set out in the Policy and Procedure Manual (SOP).
- (3) Mitra Aksi, implement strict controls and take action without delaying indications of fraud or corruption. Sanctions such as immediate termination of either staff or accepting contracts/vendors are applied if fraud/corruption is discovered, or cases can be referred to the criminal justice system. Action will be taken whereby staff are dismissed if it is proven that they have misused finances for the benefit of individuals, penalties will be imposed on them;
- (4) Identifiable program financial risks, such as delays in donor fund transfers, the occurrence of a monetary crisis that results in program budget cuts or the occurrence of disasters such as disasters, Mitra Aksi has a contingency plan policy by allocating a budget of USD50,000. - to anticipate if the above conditions occur.

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C. Measures Describe the measures for environmental and social risk management, in line with the Environmental and Social Policy and Gender Policy of the Adaptation Fund.

- 1) Avoidance of adverse environmental and social impacts and risks, and if avoidance is not possible, minimize and compensate, where residual impacts persist;
- 2) If compensation is unavoidable, compensation for any project-related impacts will be provided in a fair, timely and transparent manner, and will be commensurate with the severity of the impacts caused;
- 3) Anticipating changes or potential changes to the environment and community activities that may have a negative impact on the viability and sustainability of the project;
- 4) Environmental and social impacts and risks will be identified in the context of the project area of

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- influence;
- 5) Consultation and engagement with stakeholders to determine key project elements or activities that may impact on livelihoods, customs, access to resources;
 - 6) Promotion of fair employment practices, protection of decent workers, safe and healthy working conditions;
 - 7) Pollution prevention and efficient use of resources at the project site, and promotion of resource efficiency and pollution prevention in the supply chain;
 - 8) Promotion of public health, security and safety at the project site;
 - 9) Avoid land acquisition and involuntary resettlement (physical and economic displacement) as a result of project-related land acquisition and/or restrictions on land or resource use as far as possible;
 - 10) consider into account the different needs, concerns, and aspirations of men and women;
 - 11) consider into account the different needs, concerns, aspirations, values and customs of indigenous peoples and/or other vulnerable groups; and
 - 12) consider into account the plans, policies and programs of the provincial and district governments where the project activities are located.

Arrange for

D. Describe the monitoring and evaluation arrangements and provide a budgeted M&E plan, in accordance with the ESP and the Gender Policy of the Adaptation Fund.

1. M&E Project/Program

4.

To ensure the effectiveness of monitoring and evaluation, Partners of Action has developed an internal monitoring system in which proposed activities are referred to the results framework (LFA). The program monitoring and evaluation plan will serve two functions: First; periodic assessment of program implementation and activity performance (P&E Program Performance). Second; impact/benefit evaluation i.e. relevance, effectiveness and impact (P&E Impact Program).

In detail, the Monitoring and Evaluation activities are as follows:

(1) Monitoring & Evaluation of performance.

Performance evaluation will assess the success of the program in achieving its objectives at the input, process and output levels based on work plans that have been prepared periodically (quarterly, semester and yearly). To that end, Performance Monitoring & Evaluation focuses on the management and supervision of activities/sub-activities to ensure the efficiency and effectiveness of resource use, as well as providing feedback to field implementers. Performance monitoring and evaluation will be monitored closely by the Team Leader and the ~~Action Partner~~ **Mitra Aksi** Management Body through periodic monitoring, semi-annual reports, quarterly implementation reviews.

(2) Monitoring & Evaluation of program impacts

Monitoring & Evaluation of program impacts/benefits is carried out to measure the success of the program in a certain period of time (annually, semi-annually and at the end of the program). Key indicators for impact M&E, refer to the logical framework as attached..

Diagram 1: Monitoring & Evaluation of program performance and program impacts

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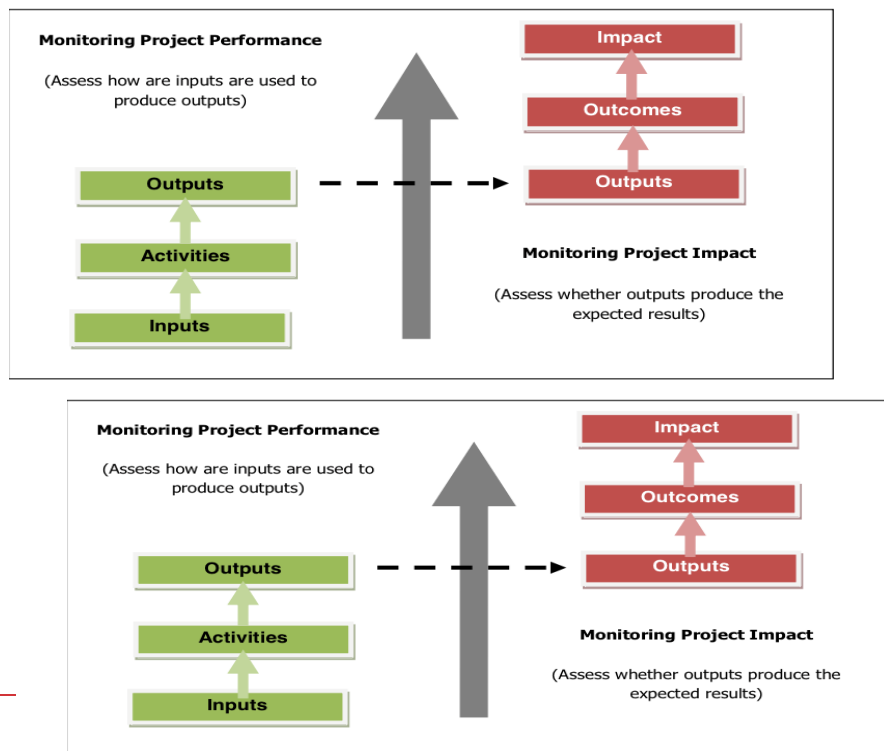
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Source: M&E planning Transboundary Agro-Ecosystem Management Programme, FAO (2011)

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The Final Evaluation will be conducted three months prior to program completion and will involve external M&E consultants if necessary to maintain accountability and transparency. In addition, the final evaluation will review the impact of the program, analyze the sustainability of the results and whether the program has achieved the planned results and objectives.

2. M&E Impact of ESP and Gender Policy

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Monitoring of the impact of ESP and Gender policies is carried out periodically (quarterly) using the 2012 International Finance Corporation (IFC) Environmental and Social Performance Standards and Gender Log Frame Analysis (attached).

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PART IV: ENDORSEMENT BY GOVERNMENT AND CERTIFICATION BY THE IMPLEMENTING ENTITY

Annex 5 to OPG Amended in October 2017

~~Authorization notes on behalf of the government⁴².~~

~~Include the name and position of the government official and state the date of approval.~~

~~If this is a regional project/programme, list the supporting officials of all participating countries. A letter of approval must be attached as an attachment to the project/program proposal. Please attach an endorsement letter with this template; add as many participating governments as possible if the local project/program:~~

⁴² ~~Each party shall designate and communicate to the secretariat the authority which will support on behalf of the national government the projects and programs proposed by the implementing entity.~~

E. Include a results framework for the project proposal, including milestones, targets and indicators, including one or more core outcome indicators of the Adaptation Fund Results Framework, and in compliance with the Gender Policy of the Adaptation Fund.

<i>(Enter Name, Position, Ministry)</i> Expected results	Date: <i>(July, 13, 2022)</i> Indicators
Goals: Strengthening the capacity of smallholders and vulnerable groups to deal with climate change in the agricultural sector through smart agriculture and the restoration of degraded agricultural land to increase economic value and ecosystem services	
Objectives 1. Strengthening agricultural adaptation capacity (smart agriculture) for 2,750 smallholders in 8 target villages, among others through knowledge transfer, capacity building, technological innovation, post-harvest managerial capacity development, provision and improvement of supporting institutions. 2. Protect ecosystem services and biodiversity through the restoration of degraded lands to increase economic and ecological value in the face of climate impacts	1. Number of smallholders who received increased agricultural adaptation capacity (smart agriculture) 2. The area of degraded agricultural land that is restored by agroforestry and managed productively which can be monitored through satellite image maps
Outcome 1.1: Smallholders in 8 target villages adopt the smart agriculture model to reduce the risk of vulnerability to climate impacts.	1.1. Number of smallholders who have adaptation and mitigation capacity in the agri-food sector
Output- 1.1.1: Increasing knowledge about Climate Change for smallholders, young people, local policy makers.	1.1.1. smallholders, women, youth, vulnerable groups and local stakeholders get knowledge and information on climate change through discussions and films
Output-1.1.2: 2,750 Smallholders from 8 target villages received increased capacity for agricultural adaptation (smart agriculture), in the form of: (a) capacity building and technological innovation of land use planning, technical cultivation of smart agriculture and post-harvest processing, and (b.) provision and improvement of supporting institutions, including farmer data based on land ownership area.	1.1.2. smallholders, women's groups, youth, vulnerable groups and local stakeholders in 8 villages received intensive capacity building assistance for 30 months, and 80% of the 2,750 smallholders were able to apply smart agriculture

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Annex 5 to OPG Amended in October 2017

<u>Output-1.1.3. Smallholders are able to implement smart agriculture as evidenced by the risk of crop failure, increased food production, and increased income from the food agriculture sector.</u>	<u>1.1.3. at least 80% of the total smallholders who receive smart agriculture assistance have resilience to climate impacts in developing the agricultural sector.</u>
<u>Outcome 1.2 : A food-based diversification model of livelihoods is developed to support the food security of families and communities.development</u>	<u>1.2. Types of diversification of food-based livelihoods produced by smallholders for family and community food security</u>
<u>Output-1.2.1: Smallholders develop diversified livelihoods to reduce the food insecurity of climate-affected families and communities</u>	<u>1.2.1. at least each smallholder family develops 3 types of food other than rice (paddy)</u>
<u>Output-1.2.2: Availability of non-rice food (rice), such as corn, tubers, sorghum is an alternative to strengthen families and community food security.</u>	<u>1.2.2. there is a change in the consumption pattern of alternative food, other than rice in the family and community</u>
<u>Outcome 2.1: Increase the value of degraded agricultural land through the restoration of agroforestry and food crops to protect ecosystem services and reduce the impacts of climate change, including its variability.</u>	<u>2.1. Total area of degraded land that has been restored by agroforestry and food ingredients through a community based management</u>
<u>Output 2.1.1: Restoration of 1,200 ha of degraded ecosystem services with agroforestry and food commodities that are managed based on the principles of good agricultural practice</u>	<u>2.1.1.xxx ha degraded has been restored with agroforestry and food crops, for example; porang, corn, tubers, taro, etc</u>
<u>Output 2.1.2 : The existence of a Village Regulation to protect forest areas and environmental services to reduce climate impacts from extractive agricultural activities</u>	<u>2.1.2. there is a regulation (Perdes) in each project village regarding the sustainable management and protection of ecosystem services (forests and biodiversity)</u>
<u>Outcome 2.2 : Improvement/replication of project approaches at local and national levels through effective knowledge management and project impact monitoring and evaluation</u>	<u>1.2. there are regular project impact reports through the Q-GIS application, and knowledge products are recorded, documented and published for and replicated elsewhere.</u>
<u>Output 2.2.1 : Project results, land use, including quality of ecosystem services are monitored and reported regularly through the Q-Gis application and satellite image maps</u>	<u>2.2.1. there is a comprehensive report on project results; socio-economic aspects, gender equality, and environmental and biodiversity impacts, supported by satellite imagery map data</u>
<u>Output 2.2.2 : Good practice projects/programs published through websites, books and media</u>	<u>2.2.2. there are learning outcomes that are documented and published through websites, print and electronic media</u>

F. Demonstrate how the project / programme aligns with the Results Framework of the Adaptation Fund

Alignment of Project Objectives/Outcomes with Adaptation Fund Results Framework

Any project or programme funded through the Adaptation Fund (AF) must align with the Fund's results framework and directly contribute to the Fund's overall objective and outcomes outlined. Not every project/programme outcome will align directly with the Fund's framework but at least one outcome and output indicator from the Adaptation Fund's Strategic Results Framework must be included at the project design stage.

There is currently, no place within the project document where an explicit link to the AF's results framework is delineated. As such, the secretariat is requesting project proponents to fill out the table below to directly link, where relevant, project objectives and outcomes to the Fund level outcome and outputs.

<u>Project Objective(s)¹³</u>	<u>Project Objective Indicator(s)</u>	<u>Fund Outcome</u>	<u>Fund Outcome Indicator</u>	<u>Grant Amount (USD)</u>
1. Strengthening agricultural adaptation capacity (smart agriculture) for 2,750 smallholders in 8 target villages, among others through knowledge transfer, capacity building, technological innovation, post-harvest managerial capacity development, provision and improvement of supporting institutions.	1. Number of smallholders who received increased agricultural adaptation capacity (smart agriculture)	1.1. Smallholders in 8 target villages adopt the smart agriculture model to reduce the risk of vulnerability to climate impacts.	a. Number of smallholders who have adaptation and mitigation capacity in the agri-food sector	<u>321.600</u>
		1.2. A food-based diversification model of livelihoods is developed to support the food security of families and communities. development	1.2 Types of diversification of food-based livelihoods produced by smallholders for family and community food security	<u>175.000</u>
2. Protect ecosystem services	2. The area of degraded	2.1. Increase the value of	2.1. Total area of degraded	<u>250.600</u>

¹³ The AF utilized OECD/DAC terminology for its results framework. Project proponents may use different terminology but the overall principle should still apply

Annex 5 to OPG Amended in October 2017

<u>and biodiversity through the restoration of degraded lands to increase economic and ecological value in the face of climate impacts</u>	<u>agricultural land that is restored by agroforestry and managed productively which can be monitored through satellite image maps</u>	<u>degraded agricultural land through the restoration of agroforestry and food crops to protect ecosystem services and reduce the impacts of climate change, including its variability.</u>	<u>land that has been restored by agroforestry and food ingredients through a community based management</u>	
		<u>2.2. Improvement/replication of project approaches at local and national levels through effective knowledge management and project impact monitoring and evaluation</u>	<u>2.2. There are regular project impact reports through the Q-GIS application, and knowledge products are recorded, documented and published for and replicated elsewhere.</u>	68.500
<u>1.Project/Programme Execution cost</u>				85.626
<u>2.Study of Social Environment and Gender</u>				40.000

Note :

Funding for social, environmental and gender studies, as well as ESMS monitoring amounting to USD40,000 is sourced from the Implementing Entity's contribution

¹ The AF utilized OECD/DAC terminology for its results framework. Project proponents may use different terminology but the overall principle should still apply.

PART IV: ENDORSEMENT BY GOVERNMENT AND CERTIFICATION BY THE IMPLEMENTING ENTITY

A. Record of endorsement on behalf of the government² *Provide the name and position of the government official and indicate date of endorsement. If this is a regional project/programme, list the endorsing officials all the participating countries. The endorsement letter(s) should be attached as an annex to the project/programme proposal. Please attach the endorsement letter(s) with this template; add as many participating governments if a regional project/programme:*




ADAPTATION FUND

Letter of Endorsement by Government


JAMBI PROVINCE GOVERNMENT
FOOD CROPS DEPARTMENT,
HORTICULTURE AND LIVESTOCK
Jl. Lingkar Barot 1 No Km 12, Mayang Mangrove, Kec. Kota Baru, Kota Jambi, Jambi 36361

Jambi, 12 July 2022

To: The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation-Fund.org
Fax: 202 522 3240/5

Subject: Endorsement for [Strengthening the food security of smallholders from climate impacts through Good Agriculture Practices/Climate Resilience Agriculture (GAP/CRA) and increasing the value of degraded land and forest ecosystem services in Indonesia]

In my capacity as designated authority for the Adaptation Fund in Indonesia, I confirm that the above regional project/programme proposal is in accordance with the government's national priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in the region.

Accordingly, I am pleased to endorse the above project/programme proposal with support from the Adaptation Fund. If approved, the project/programme will be implemented by [implementing entity] and executed by Indonesia.

Sincerely,

Khairul Asrori, SP., M.Si.
Head of Division

B. Implementing Entity certification *Provide the name and signature of the Implementing Entity Coordinator and the date of signature. Provide also the project/programme contact person's name, telephone number and email address*

Implementing Entity Certification. Include the name and signature of the Implementing Entity Coordinator and the date of signing. Also include the project/program contact name, telephone and email address

I certify that this proposal has been prepared in accordance with the guidelines provided by the Adaptation Fund Agency, and the applicable National Development and Adaptation Plan (Indonesia) and with the approval of the Adaptation Fund Agency, commit to implement the project/program in accordance with Environmental and Social Policy and Gender Policy of the Adaptation Fund and with the understanding that the Implementing Entity will be fully responsible (legally and financially) for the implementation of this project/program.

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Name & Signature
Implementing Entity Coordinator



Hambali

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Date: (July, 10 Sept, 2, 2022)	Tel. and email: +62 81314707650
Project Contact Person : Siti Hariati Yuwani, SP, MSc.	
Tel. And Email: kawani.hisa@gmail.com and shariatiyuwani@mitraaksi.or	
Phone : +62 823-7237-9985	

Attachments

1. ~~Project/Program framework~~
2. ~~Details of the Program Budget/Budget and and target time for disbursement of funds ((attached Annex 1:~~

⁶ Each Party shall designate and communicate to the secretariat the authority that will endorse on behalf of the national government the projects and programmes proposed by the implementing entities.

Annex 5 to OPG Amended in October 2017

Gender Logframe Analysis (LFA)

Outcomes, Output and Activities	Indicators and Target	Timeline	Responsibility	Cost (USD)
Outcome-1. mainstreaming of project/program planning processes, especially from the aspect of women and vulnerable groups' participation in achieving equity in every decision-making process on the benefits and impacts of Smart Agriculture projects/programs				
Output 1.1.: Women and marginalized groups have equal opportunities in the planning process of Smart Agriculture programs	# xxx of women and marginalized groups are present and actively participate in the planning process of the Smart Agriculture program	At the time of planning the smart agriculture program	Program Manager and Team Facilitator	10.000
Act. 1.1.1. Smart Agriculture planning workshop in each village	# implementation of 1 smart agriculture program planning workshop in each village with the presence of at least 30% female farmers and marginal groups from the total invited participants			
Outcome-2 : mainstreaming and ensuring that women and vulnerable groups play an active role in achieving equality in every decision-making process, accessing and benefiting from smart agriculture programs				
Output-2.1. Women and vulnerable groups can get out of stereotypes, restrictions on space, injustice in the structure of society in the development process	there is a collective consciousness and values that respect the equal rights of every individual regardless of gender social status	in every mentoring activity, training, etc	Program Manager and Team Facilitator	integrated into project activity budgets and costs
2.1.1. Awareness of gender equality, equal rights and obligations of each individual to life and resources for survival.	gender-just social order, which respects the human rights of individuals and groups in society	in every mentoring activity, training, etc		
Output-2.2. Women and vulnerable groups have the same space and opportunities in Control, Participation, Awareness, Access, and Welfare of smart agriculture program investments	xxx women and vulnerable groups who are active and benefit from smart agriculture projects	in every mentoring activity, training, etc	Program Manager and Team Facilitator	integrated into project activity budgets and costs
2.2.1. Facilitating women and vulnerable groups in training leadership's	there are at least 5 to 10 women and vulnerable groups occupying key positions in farmer groups or in community organizations.	in cadre training activities, mapping training, etc	Team Facilitator Program	integrated into project activity budgets and costs
2.2.2. Facilitating women and vulnerable groups in smart agriculture cultivation activities	at least 80% of women and vulnerable groups who are active and make decisions in every smart agriculture assistance activity	in every program activities	Program Manager and Team Facilitator	integrated into project activity budgets and costs
2.2.3. Facilitating women and vulnerable groups in developing diversified livelihoods through optimizing the potential of local resource	there are at least 2 or 3 new sources of livelihood for women and vulnerable groups to reduce climate impacts	2nd year program	Program Manager and Team Facilitator	integrated into project activity budgets and costs
2.2.4. Increasing the capacity of women and vulnerable groups in entrepreneurship	at least at the end of the project there will be 20 women and vulnerable groups who have food processing products and NTPF businesses.			

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<u>2.2.5. Facilitating women and vulnerable groups in monitoring and evaluating program impacts, especially in reducing the risk of climate impacts</u>	<u>here are representatives of 10 women and vulnerable groups in each monitoring and evaluation of project impacts in each location</u>	<u>quarterly, midterm and final project</u>	<u>Program Manager and Team Facilitator</u>	<u>integrated into project activity budgets and costs</u>
<u>Output-2.3. Women and vulnerable groups have the confidence to contribute to the management of natural resources, especially the agricultural sector so that they are resilient to climate impacts</u>	<u># build confidence to appear as a facilitator, resource person in the community _____</u>	<u>sharing program learning</u>	<u>Team Facilitator</u>	<u>N/A</u>
<u>Act.2.3.1. Providing space and opportunities for women and vulnerable groups as facilitators, resource persons in learning sharing activities</u>	<u># at the end of the project there are at least 5 to 10 people from women and marginal groups who can become facilitators, resource persons for smart agriculture in the community</u>	<u>during the project and after the project ends</u>	<u>Team Facilitator</u>	<u>N/A</u>

3. Social and Environmental and Social Screening Checklist¹⁴

4. Template 1: Environmental and Social Management Framework (ESMF)

5. Template 2: Gender Analysis/Assessment and framework

The template prepared by EI (Mitra Aksi Foundation) is a Social and Environmental Screening Report as an attachment to the Adaptation Fund Project Proposal Preparation Document.

Project Information

Project/Programme Category	Agriculture
Country/ies	Indonesia
Title of Project/Programme	Increasing the resilience of smallholders from climate impacts through Smart Agriculture and Livelihood Diversification models in Indonesia.
Project Number	N/A
Type of Implementing Entity	Non Government Organization
Implementing Entity	Mitra Aksi Foundation
Executing Entity/ies	Partnership, Indonesia
Amount of Financing Requested	

Part A. : Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach ?

This project fully supports the Adaptation Fund's commitment to a human rights-based approach, and supports universal respect for, and observance of, human rights and fundamental freedoms for all, particularly in this project the rights of smallholders and marginalized groups living around forests in Indonesia.

The importance of a human rights-based approach in this project, because smallholders and marginalized groups are often neglected in their basic social rights in the development process, especially in the land-based agricultural sector which is very vulnerable to climate impacts. In many cases of natural resource management, the right to access and equality of smallholders and marginalized groups does not receive attention from policy makers.

The project will increase the capacity of smallholders and marginalized groups to strengthen resilience to climate impacts. Smart Agriculture which are integrated with community-based forest management and restoration of degraded land in agroforestry so that they can be managed productively and get added value for improving the welfare of smallholders and marginal groups around the forest are the focus of this project.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment ?

The project will emphasize the principles of gender equality and women's empowerment. It is important to do this through affirmative action because so far gender equality, especially with regard to women's rights to land and natural resources, is limited by the social and cultural division of roles, and is legitimized by gender biased interpretations of religious teachings. At the policy level, the shift from a customary tenure system to a formalized market-based private ownership system, which resulted in the privatization of natural resources (land and forests) further marginalized the role of women.

¹⁴ In answering this checklist, you may refer to Annex 1: Guidance on Part A ESS Screening of the "Guidelines for the environmental and social screening of activities proposed under the SAP"

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Through this project, gender equality and women's empowerment are carried out through a special approach, starting from the planning, implementation and monitoring evaluation processes. The project will ensure that women participate in the decision-making process, have equal access and benefits from project investments, and have the ability to exercise control over natural resource management at the family and community levels.

Development of livelihood diversification based on local resource potential, such as: honey bee cultivation, freshwater fish cultivation, various types of food ingredients into processed products (cakes, chips, etc.), handicrafts and the development of natural ecotourism potential through the principle of gender equality, including increasing agro-entrepreneurship capacity for women.

Briefly describe in the space below how the Project mainstreams environmental sustainability

The project objective is to strengthen smallholders and vulnerable groups in developing smart agriculture to reduce climate risk, and protect ecosystem services from deforestation and degradation.

The main focus of this project will be: (i) increasing the capacity of smallholders and vulnerable groups in reducing climate risk through Smart Agriculture and diversification of livelihoods based on local natural resource potential; and (ii) restore degraded land to be managed by the community in strengthening food security and ecosystem services from climate impacts

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Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks?
Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects

QUESTION 3: What is the level of significance of the potential social and environmental risks?
Note: Respond to Questions 4 and 5 below before proceeding to Question 6

QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?

<u>Risk Description</u>	<u>Impact and Probability (1-5)</u>	<u>Significance (Low, Moderate, and High)</u>	<u>Comment</u>	<u>Description of assessment and management measures as reflected in the Project design. If ESIA or SESIA is required note that the assessment should consider all potential impacts and risks</u>
<u>Risk-1 : Land ownership of residents around the forest, including smallholders, generally do not have land rights certificates.</u>	<u>I = 2 P = 2</u>	<u>Moderate</u>	<u>Land ownership status is generally carried out with recognition based on an agreement between land owners from generation to generation. Even if it has legality over land ownership status, in general it is still in the form of qirik or sporadic issued by the village government. This condition allows for land boundary conflicts when data collection is carried out based on ownership and land area. However, through consultation and validation of the legality of ownership status based on its area and boundaries by involving traditional leaders.</u>	<u>It is necessary to collect data on ownership and land area owned by smallholders. To reduce the risk of land ownership conflicts, it is necessary to conduct consultations, ground checks and verifications by involving traditional leaders, between land owners, village governments and relevant policy makers: such as ATR/BPN, KPH and National Park Management</u>

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			possible conflicts can be resolved.	
Risk 2. Tenure Conflict	I = 4 P = 4	High	Several villages that will become project locations are directly adjacent to the buffer zone of national parks, production and protection forests, as well as private plantations), which can trigger conflicts over access to land management between communities (smallholders). This is compounded by the absence of good data on land ownership status that has legal legality in the community	Tenure conflict resolution, mediation needs to be done. The Social Forestry scheme with the Conservation/Community Forest Partnership model is a more equitable management option for areas that have overlapping management and are claimed by communities, companies or national parks
Risk 3: Impact of diversification of community livelihoods and community-based businesses around the forest	I = 2 P = 2	Moderate	Diversification of community livelihoods and forest-based community-based enterprises (eg ecotourism and natural resource-based, NTFPs, etc.) can affect species and habitats if not managed and implemented properly. Likewise, the introduction of climate-adaptive plant species and replanting degraded land with agroforestry plant species whose seeds are imported from outside the area, if not selected through a good quarantine system, will affect local plant species.	Diversification of community livelihoods and community-based businesses around the forest (eg ecotourism and natural resource-based, NTFP, etc.) needs to be regulated and agreed upon through the PFIC mechanism. Strict seed/seedling selection needs to be carried out when bringing in seeds/seedlings from outside for the application of Smart Agriculture and agroforestry practices
Risk 4. Resistance from local elites and farmers in the application of GAP and CRA	I = 2 P = 2	Moderate	The application of the principles of Good Agriculture Practice (GAP) and Smart Agriculture may have an unwanted impact on local elites who have large capital to expand new land clearing in forest areas. In addition, the application of GAP will significantly reduce the use of chemical inputs (fertilizers and pesticides). This can create resistance for local elites who have capital and who have fertilizer and pesticide businesses for smallholders	It is necessary to convince smallholders and local elites of the long-term socio-economic and ecological benefits of reducing climate impacts through the implementation of GAP and Smart Agriculture. Demonstrations of models to change the paradigm of smallholders and local elites on the benefits and advantages of GAP / Smart Agriculture are important to do.
Risk 5. local business actors (touke collectors), resistance.	I = 2 P = 2	Moderate	Impact of increasing the added value of smallholders' agricultural products supported by joint business unit institutions (Koperasi), in order to have a better bargaining position in the business chain in inclusive markets will cause resistance in local business actors (touke collectors), because they no longer have monopoly rights on products and prices at the level of smallholders	It is necessary to approach the collectors, toukes and capital owners in the village. The process of building a business chain of agricultural products that is mutually beneficial and can cooperate with smallholders will be carried out. For example, through transparent cooperation contracts in determining the basic price of smallholders' agricultural products.
Risk 6. Restricted access for women and marginalized groups	I = 2 P = 2	Moderate	Local elites and/or influential groups at the local level may have more control over decision-making at the local level and will try to exclude women and marginalized groups. As a result they may not benefit from the initiatives of the project activities	Project implementation ensures that women and vulnerable groups in local communities are involved in the consultation process, decision-making in every project activity, including in monitoring and evaluation. An affirmative action approach will be taken to ensure at least

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				30% representation of women and vulnerable groups participates in every decision making and in every project activity.
<u>Risk 7 : The implications of the proposed Social Forestry scheme will restrict some communities, including smallholders, from entering forest areas</u>	<u>I = 3</u> <u>P= 2</u>	<u>Moderate</u>	<u>forest area that has obtained a social forestry permit, can no longer be freely exploited. This will lead to reduced sources of income for people who have been taking wood (illegal logging) or changing the function of the forest as an agricultural area.</u>	<u>To replace sources of income from illegal logging activities and forest conversion for agricultural land expansion, the development of ecosystem services and potential non-timber forest products (NTFP) will be a solution to diversify the livelihoods of communities who have been dependent on forests.</u>
<u>Risk 8. Natural disasters and climate change can affect the implementation and outcomes of project initiatives</u>	<u>I = 3</u> <u>P= 2</u>	<u>Moderate</u>	<u>Extreme climate change may be encountered during the project, and this will certainly affect the project plans and work schedules in the community.</u>	<u>If an unavoidable disaster and extreme climate event occurs, and the impact will disrupt the project's outputs and outcomes, then with the community's approval, the work plan will be rescheduled.</u>
<u>Risk 9: Indigenous people's cultural identity or traditional knowledge may be inadvertently impaired during project activities.</u>	<u>I = 2</u> <u>P=2</u>	<u>Moderate</u>	<u>The entry of new knowledge through GAP and Smart Agriculture practices, allows shifting conventional knowledge in land-based agricultural activities.</u>	<u>Project implementers will identify local wisdom and practices that support GAP/Smart Agriculture Local wisdom will be harmonized with modern knowledge based on scientific data, so that it is expected to produce new knowledge that is more adaptive to climate impacts at the smallholder level.</u>
<u>Risk 10: Involvement of children and women at high risk in agricultural activities.</u>	<u>I = 3</u> <u>P = 2</u>	<u>Moderate staking</u>	<u>The activities of the land-based agricultural sector may inadvertently involve minors and pregnant women at high risk of doing this work. Of course, this must be reminded through awareness that this action is a violation of international labor standards.</u>	<u>The project implementer will provide awareness to each individual and smallholder family, not to employ underage children and high-risk pregnant women when carrying out agricultural activities. Project implementers will socialize international standards and Indonesian laws and their sanctions, if they employ minors and pregnant women are at high risk of doing work that will endanger their lives.</u>
<u>Risk 11: Impact of the Covid-19 pandemic and endemic diseases (malaria, DHF, etc.).</u>	<u>I = 3</u> <u>P= 2</u>	<u>Moderate</u>	<u>The COVID19 pandemic with its new variant that has not ended, as well as the potential for outbreaks of other pandemic diseases can cause difficulties when interacting with the public, especially in activities that require face-to-face meetings and field practice</u>	<u>Implementation of health protocols in each project activity will be required. Standard 3: Community Health, Safety and Working Conditions will be a guide in reducing the risk of exposure to endemic diseases: such as Covid-19, malaria, dengue, etc.</u>
QUESTION 4: What is the overall Project risk categorization?				
Select one (see SESP for guidance)			Comments	
<div><div>Low risk</div><div>Moderate risk</div><div>High risk</div></div>			<div><div>V</div></div>	<div><u>If mitigation measures and International standards and laws guide and are applied appropriately and consistently throughout the project, the project will have a low risk of short to long term impact.</u></div>
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?				
Check all that apply			Comments	
<u>Principle 1 : compliance with the law</u>			<u>Moderate</u>	<u>This project does not violate applicable international laws and standards related to this project</u>

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Principle 2: Human Rights	Moderate	The project has no impact on human rights
Principle 3: Gender Equality and Women's Empowerment	Moderate	The project will build gender equality and equity, including affirmative action for women's empowerment
Principle 4: Environmental Sustainability	Moderate	This project does not damage the environment and causes pollution impacts and threats to biodiversity
Principle 5: core labour rights	Low risk	This project does not violate workers' rights, does not employ minors and high-risk pregnant women
Standard 1: Access and Equity	Moderate	Projects provide access and equity for smallholders, women and vulnerable groups
Standard 2: Biodiversity Conservation and Natural Resource Management	Moderate	This project will have overall benefits on the sustainability of natural resources and protection of vulnerable ecosystem services from extractive land use practices and the impact of increasing deforestation and land degradation. Through the GAP and CRA approaches, it will strengthen the protection of natural resources and ecosystem services in reducing climate risk and its variability for communities, smallholders, and vulnerable groups around the forest.
Standard 3: Climate Change Mitigation and Adaptation	Moderate	This project will improve the livelihood resilience of smallholders, women and vulnerable groups from climate impacts. The Smart Agriculture practice, which is integrated with livelihood diversification that has added value in the inclusive market business chain, will strengthen them in dealing with climate impacts.
Standard 4: Community Health, Safety and Working Conditions	Moderate	The project does not introduce the use of chemical inputs and hazardous and toxic materials that can threaten Community Health, Safety and Working Conditions
Standard 5: Cultural Heritage	Moderate	The project will avoid damage to cultural sites and archaeological objects that are protected by law
Standard 6: Protection of HCV and Natural Habitats	Moderate	Project will protect HCV and Natural Habitats
Standard 7: Indigenous Peoples	Moderate	The rights of indigenous peoples are protected and respected. The principle of FPIC will be carried out at the time of project planning
Standard 8: Pollution Prevention and Resource Efficiency	Low risk	the project has no pollution impact, and ineffective (wasteful) use of natural resources
Standard 9: Displacement and Resettlement	Low risk	the project does not involve forced resettlement and resettlement of communities

Final Sign Off

Signature & Name	Date	Description
 Dr. Made Deviani Duaia	May, 28, 2022	Expert in strategic environmental studies, has 20 years of experience. Senior Lecturer at Jambi University. Responsible for risk identification in Principle 1: compliance with the law' and Principle 2: Human Rights
 Rose Adina, SSi	May, 28, 2022	Expert in the field of climate change, with more than 10 years of experience. Senior Lecturer at the Jambi Faculty of Agriculture, responsible for screening on Principle 4: Environmental Sustainability; Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management; and Standard 3: Climate Change Mitigation and Adaptation
 Siti Hariati Yuwani, MSc	May, 28, 2022	Expert in the field of resource management, gender empowerment and work safety standards with more than 6 years of experience. Responsible for screening on Principle 3: Gender Equality and Women's Empowerment; Principle 5: core labor rights; Standard 1: Access and Equity; and Standard 2: Biodiversity Conservation and Natural Resource Management

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QA Assessor 4:  Suparlan Siswo Sudarmo.S.Sos	May.28.2022	Suparlan Siswo Sudarmo, has expertise in organic agriculture with more than 25 years of experience. In this screening assessment, the task is to identify risks related to Principle 4: Environmental Sustainability, Standard 2: Biodiversity Conservation and Natural Resource Management; and Standard 3: Climate Change Mitigation and Adaptation
PAC Chair  Prof.DR.Johaness Simatupang	May.28.2022	Has more than 25 years of experience in leading social and environmental studies, working as a lecturer in undergraduate and doctoral programs at the Faculty of Economics, Jambi University

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MINISTRY OF ENVIRONMENT AND FORESTRY
DIRECTORATE GENERAL OF CLIMATE CHANGE

Manggala Wanabakti Building Block VII 12th Floor, Jalan Gatot Subroto – Senayan, Jakarta 10270

Phone +62 21 5730144 Fax. : +62 21 5720194

Website : <http://ditjenppi.menlhk.go.id>

email : tusetditppi@gmail.com;

Our Ref. : *S. 282 / PPI / API / PPI.0 / 8 / 2022*

Jakarta, 5 August 2022

Attachments :

Subject : **Letter of endorsement**

To:

The Adaptation Fund Board
c/o Global Environment Facility
Mail stop: N 7-700
1818 H Street NW
Washington DC 20433, USA

Dear Board Member,

Directorate General of Climate Change Ministry of Environment and Forestry as the National Designated Authority of Adaptation Fund in Indonesia through *Kemitraan* – Partnership for Governance Reform as the National Implementing Entity, have received and appraised 37 incoming concept notes.

After a thorough assessment process of the incoming concept notes, we come to the decision that the following 10 (ten) concept notes from 10 (ten) different organizations have met and are in accordance with the national priorities in the implementation of adaptation programs and activities to increase adaptive capacity and to reduce the impact and risks of climate change in vulnerable regions in Indonesia:

1. Yapeka; *Ecosystem-based Adaptation to Support Climate Resilience in Coastal and Small Islands of Rote Ndao and Sabu Raijua Districts in the Savu Sea*
2. TLKM; *Sustainable Landscape Governance; Towards Climate Resilience of Community in Tempe Lake Ecosystem*
3. KAPASITAS; *Adaptation to climate change through integrated forest management and sericulture business to achieve ecosystem resilience to food security for the Lake Tempe Catchment Area Community*
4. Garis Biru; *Strengthening the Adaptive Capacity of Coastal Village Communities in Supporting Food Security as a Response to Climate Change Through Stakeholder Elaboration Actions in West Sulawesi Province*
5. Sajogyo Institute; *Collaboration for the Conservation of Cimandiri Watershed Landscapes through the Potential of Silvopasture and Community Agroforestry*
6. KOAKSI; *Building Climate Resilient District in Indonesia: Case of Sigi District*
7. KEMITRAAN; *Village Based Coastal Adaptation and Resilience in Lombok Province of West Nusa Tenggara*
8. HUMA; *Change Climate and Adaptation in the Buffer Area of the New National Capital*
9. Mitra Aksi; *Increasing the resilience of smallholders from climate impacts through Smart Agriculture based on Livelihood Diversification in Indonesia*
10. KUAT (KARSA); *Strengthening Community Adaptation toward Climate Change through ProKlim in Ecoregion Neck of Sulawesi Island*

With this consideration, and in my capacity as the National Designated Authority of Adaptation Fund in Indonesia, I recommend the above proposals be granted support from the Adaptation Fund Board. All those programs will be executed by each of the submitting entities under the supervision of *Kemitraan* – Partnership for Governance Reform.

Sincerely Yours,



Laksmi Dhewanthi
Director General of Climate Change
Ministry of Environment and Forestry
as Indonesia Designated Authority of Adaptation Fund

Copy to:
Kemitraan (Partnership Governance Reform in Indonesia)



Project Formulation Grant (PFG)

Submission Date: **August 8, 2022**

Adaptation Fund Project ID:

Country/ies: **Indonesia**

Title of Project/Programme: **Increasing the resilience of smallholders from climate impacts through Smart Agriculture based on Livelihood Diversification in Indonesia.**

Type of IE (NIE/MIE): **NIE**

Implementing Entity: **Kemitraan – The Partnership for Governance Reform**

Executing Entity/ies: **MITRA AKSI**

A. Project Preparation Timeframe

Start date of PFG	1 September 2022
Completion date of PFG	30 November 2022


B. Proposed Project Preparation Activities (\$)

Describe the PFG activities and justifications:

List of Proposed Project Preparation Activities	Output of the PFG Activities	USD Amount
Data collection for baseline and analysis for each component	Collected data required to set up the basis for argument formulation and programme justification in the proposal	\$ 13.793
Travel meetings required for data collection and consultation	Confirmation of assumptions and situation on the ground before programme document finalized	\$ 12.931
Expert hiring for proposal writing	Assist Kemitraan in writing and use of collected baseline data to justify programme and enhance the proposal	\$ 19.655
Focus Group Discussion with Multistakeholders	To receive feedback and input on the Goal, Objective, Outcome and Output of the proposal which to be submitted to AF, so as to ensure it is in line with the national programmes and strategies of climate change adaptation	\$ 3.621
Total Project Formulation Grant		\$ 50.000

C. Implementing Entity

This request has been prepared in accordance with the Adaptation Fund Board's procedures and meets the Adaptation Fund's criteria for project identification and formulation

Implementing Entity Coordinator, IE Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Laode M. Syarif, KEMITRAAN		08 August 2022	Dewi Rizki	+6221-22780580	dewi.rizki@kemitraan.or.id