



Project Document Revision

Project Title: Sulawesi / Lombok Programme for Earthquake and Tsunami Infrastructure Reconstructive Assistance (PETRA)
Project Award ID: 00116311
Implementing Partner: UNDP CO Indonesia
Start Date: 1 January 2019
End Date: 30 June 2024
PAC Meeting Date: 18 December 2018

Brief Description

The revision of project document is made to accommodate adjustments required due to two major challenges. Firstly, the COVID-19 pandemic which has significantly impacted the PETRA project throughout 2020 – 2021 period, in which the pandemic has changed the project's way of working, and lack of response from the construction work market toward tendering processes during the first semester 2020, for which the project needs to repeat its tendering process for 2 (two) construction work packages in Central Sulawesi. Secondly, the project encountered poor performance from contractors for construction works of 19 subprojects in Central Sulawesi. Despite all adjustments that had been made, the situation has delayed completion of those subprojects. It is estimated that the completion of construction work will be delayed to the 3rd quarter 2023 thus considering the post-construction administration process, including the defect and liability period and asset handover. The revision of the project document has been agreed through the Project Board Meeting on 21 November 2022 (please see Annex 10 on the signed minutes of meeting). The approved changes are encompassing:

- Project duration, extent to 30 June 2024
- Contributing outcome has been revised to align with 2021-2025 UNSDCF/CPD
- Update the target at Results and Resources Frameworks (RRF), incl. multi-year work plan, risk register, and the Social and Environmental Standards (SES)
- Project management, notably the mechanism of assets transfer, whereas assets will transfer to the National Disaster Management Agency (BNPB) through the Deputy Office for Rehabilitation and Reconstruction
- Project structure that only indicates the National Disaster Management Agency (BNPB) as senior beneficiary
- Several annexes as an integral part of the project document were also revised. Update Annex 2 on risk register and Annex 3 on the Social and Environmental Standards (SES). Annex 4 on TOR of Project Board, taking into account that the Indonesian Multi Donor Fund Facility for Disaster Recovery (IMDFFDR) secretariat is no longer active. Annex 6 on Assessment Criteria, updating the progress of facilities that has been built and in the progress of completion; and
- Additional information on the selection criteria for the LVGA is added as Annex 8 of this amendment.

Detailed revisions are annexed to this project document revision, as **Annex 9**.

Contributing Outcome (UNDAF/CPD, RPD or GPD):

- **UNSDCF/CPD 2021-2025 Outcome 3:** Institutions, communities and people actively apply and implement low carbon development, sustainable natural resources management, and disaster resilience approaches that are all gender sensitive.
- **UNSCDF/CPD 2021-2025 Indicative Output 3.3:** Strengthened preparedness of institutions and communities to climate change and disasters risks, including deployment of sustainable solutions.
- Project Output 1 attribute to SP Output 3.3.1 (GEN2; COVID-19)
- Project Output 2 attribute to SP Output 3.3.1 (GEN2; COVID-19)

Total resources required:	\$ 28,441,411.00	
Total resources allocated:	\$ 28,441,411.00	
	UNDP TRAC:	
	KfW ¹ :	\$ 28,441,411.00
	In-Kind:	-
Unfunded:	-	

¹ Kreditanstalt für Wiederaufbau Financing Agreement amounting to Euro 25,000,000 (UNORE December 2018 Euro 1 = \$ 0.879)

Agreed by UNDP:



for

Norimasa Shimomura, UNDP Resident Representative

Date:

Agreed by National Disaster Management Authority:



Lilik Kurniawan, Prime Secretary of National Disaster Management Authority (BNPB)

Date:

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I. DEVELOPMENT CHALLENGE

Indonesia is one of the most natural disaster-prone countries in the world, with over 90% of the population exposed to a diverse range of disasters, including earthquakes, volcanoes, tsunamis, forest fires, floods and droughts. Natural disasters not only cause significant loss of life and social impacts; they also undermine, or even reverse, economic and development gains. The economic impact of natural disasters, in Indonesia, can reach 0.3% of national GDP and up to 45% of provincial level Gross Domestic Product (GDP) - impacts at sub-national level can be particularly acute.

In Indonesia the likelihood of earthquakes is significant, as it is located in the Pacific Ring of Fire region - between four main tectonic plates that interact and form collision zones, active faults, tsunamis and volcanoes. Almost every day there are minor earthquakes felt across the country. Occasionally, there are major earthquakes, like the 2004 Aceh Earthquake and Tsunami, which was the second largest natural disaster recorded globally.

In the span of 12 years, since the Aceh Earthquake alone, large earthquakes with a magnitude of more than 6.5 has occurred in Indonesia almost every year and causing significant damage and resulting in total losses ranging from US \$ 39 million to US \$ 4,745 million and more than 250,000 fatalities (including Aceh). Damage to buildings and infrastructure caused by an earthquake can be divided into two types: (1) earthquake-related damage and deformation, such as liquefaction, shaken landslides, and soil shifts along the earthquake fault lines; and (2) damage to buildings and infrastructure due to the inertial forces received during earthquake shocks. Fortunately, tsunamis have been less frequent; however, after the 2004 Aceh Earthquake and Tsunami, there have been three tsunamis that have caused loss of life, namely, South Java in 2006 (550 fatalities), Bengkulu in 2007 (14 fatalities) and Mentawai in 2010 (428 fatalities).

Since 2004, the Government of Indonesia has invested significantly in better understanding and managing the risks to earthquakes and tsunamis through a variety of measures: improving early warning systems; updating the national earthquake hazard map to improve building codes; modelling the impacts of potential earthquakes and tsunamis; increasing community awareness and promoting 'resilient communities' and integrating disaster risk reduction (DRR) strategies into spatial planning.

However, the two recent earthquakes, in Central Sulawesi and Lombok, highlight that more can and needs to be done by further improving public awareness, developing robust disaster risk management strategies, constructing buildings that are resistant to earthquakes, assessing spatial plans for potential disasters and integrating early warning systems that are based on both traditional community practices and scientific information.

1.1 Central Sulawesi

On 28th September 2018, a series of earthquakes struck Indonesia's Central Sulawesi province, the strongest one being of a magnitude 7.4 of Richter scale and only 10 km deep, with its epicentre close to the provincial capital, Palu. The earthquake triggered a tsunami that hit the coastal areas, including the cities of Palu and Donggala. The combination of earthquakes and tsunami, which also triggered landslides – including submarine landslides- and the rare phenomenon of soil liquefaction, caused a heavy loss of lives and significant damage. As of the 6th November 2018, there was a total of 2,087 fatalities, a further 4,400 people have been seriously injured and at least 1,373 people have been reported missing.

Damage estimates according to provisional loss and damage assessments² carried out by the National Disaster Management Agency (BNPB), Regional Local Disaster Management Agencies (BPBDs) and the United Nations Development Programme (UNDP) stand at IDR 18.48 trillion (IDR 15.8 trillion in damage and IDR 2.89 trillion in losses) or EUR 1.11 billion (EUR 944,5 million in damage and

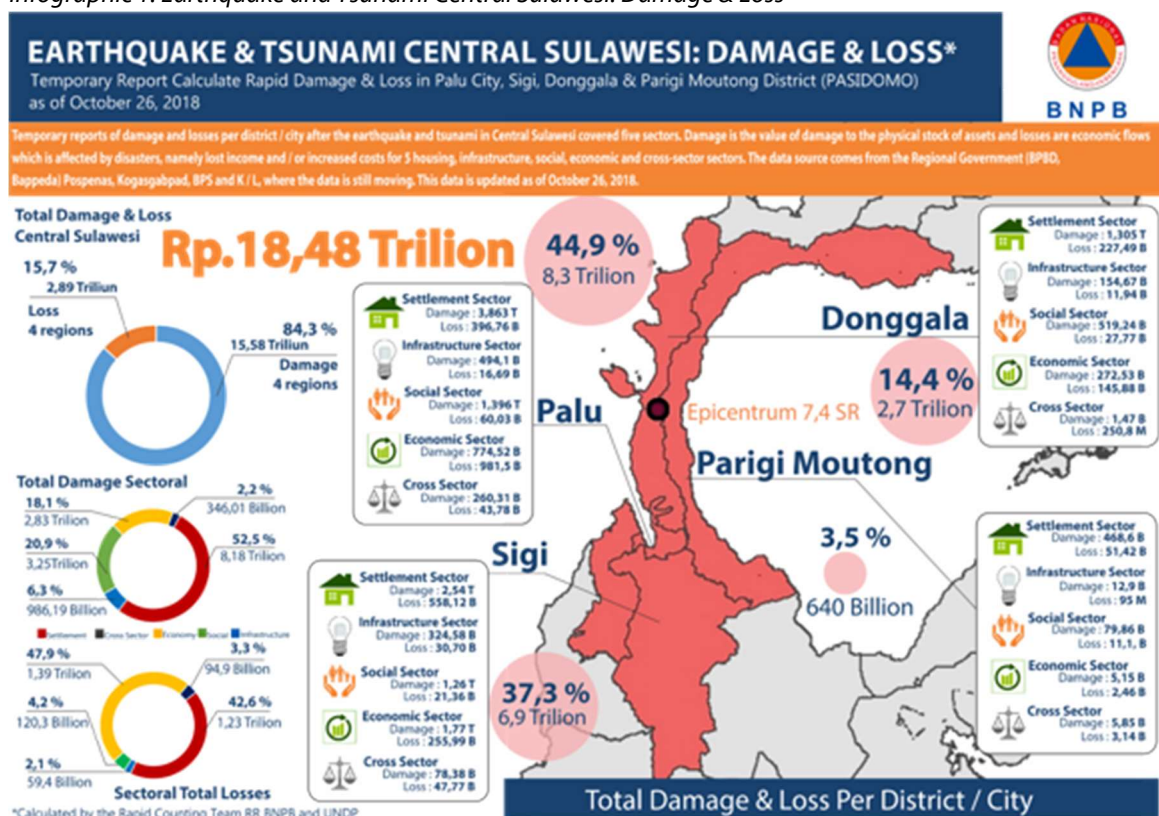
² This provides an estimated scope which shall be further refined through the JituPASNA/PDNA planned for 3rd week of November 2018.

EUR 172,8 million in losses)³ as of October 26, 2018. Figure 2 further elaborates on the nature of the damages and sectors affected.

Based on the data released from the National Facilitation Post (Pospenas) and on the result of the 'Quick Count' exercise by BNPB, covering four affected districts, total damages and losses include, as per 26 October 2018:

- Damages to infrastructure, including 792 km of roads and 10 bridges.
- Damages and losses in agriculture, including 9,718 ha agriculture land, 44 ha fishpond, 152 fishing boats (including engines and equipment);
- Damages and losses in commerce and industry, including 13 marketplaces, 8 unit fish ports/markets; 5,371 units of SMEs; 46-unit kiosks;
- Damage to buildings including 1,509 education buildings (ranging from elementary school to university), 205 government offices (province, city, district, sub-district, village), and 176 health facilities, including two hospitals in Palu City and Parigi Moutong District;
- The Kawantuna Landfill was only partially damaged –including damage to the anaerobic pond. The landfill was designed to manage 150 t/day, however since the Tsunami and Earthquake, all debris has been transported to the Kawantuna Landfill and it is now reaching its full capacity; and,
- An estimated 15,000 houses and residential land around those areas have been destroyed and are in locations areas where tsunami can re-occur. About 17,000 houses are heavily damaged but their location may allow for reconstruction. Around 35,000 families whose houses have been destroyed or damaged need emergency shelter support.

Infographic 1. Earthquake and Tsunami Central Sulawesi: Damage & Loss



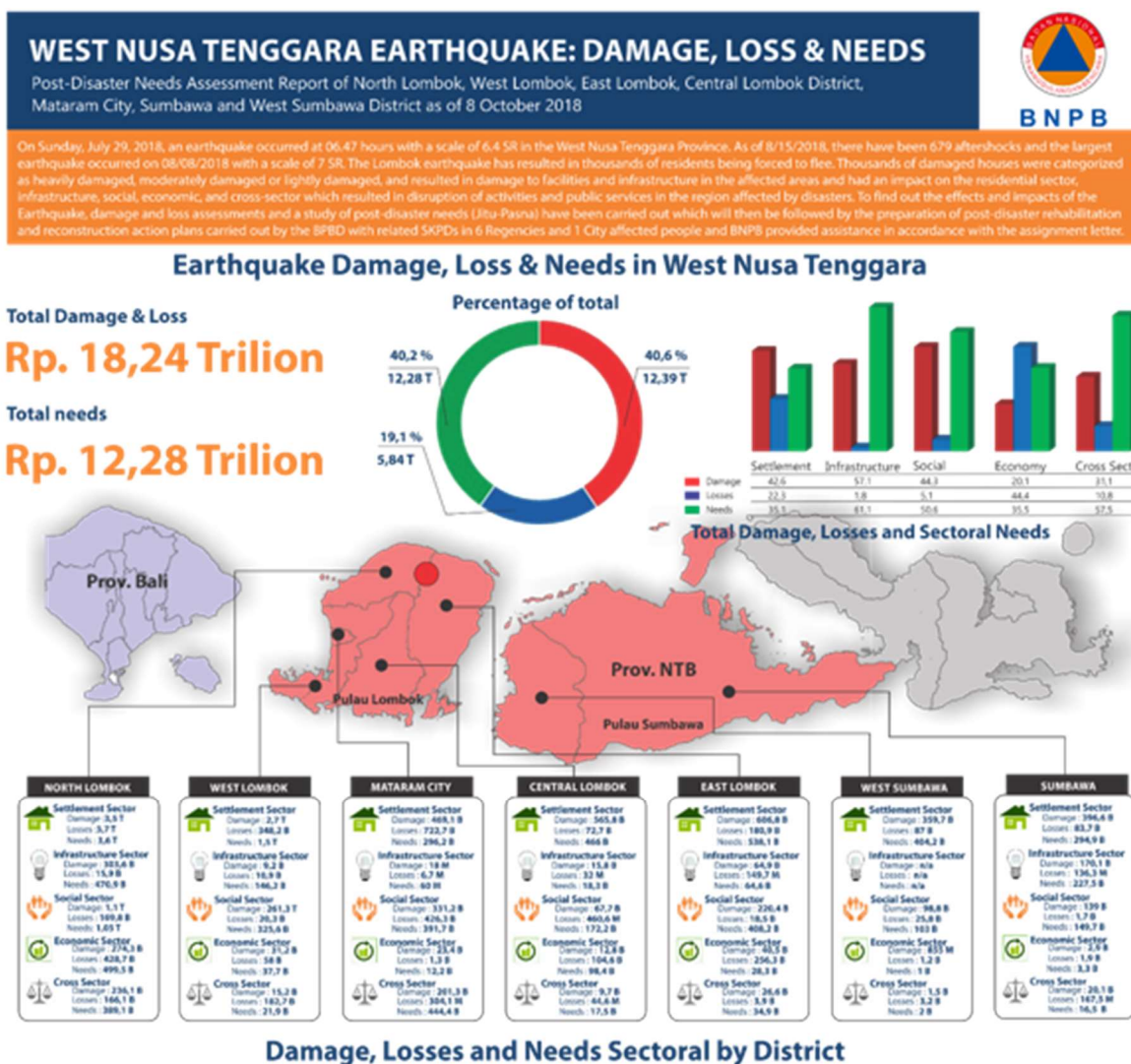
³ Exchange rate EUR 1 = IDR 16,729.98

1.2 Nusa Tenggara Barat

On 5th August 2018, an earthquake of magnitude 7 RS occurred with the epicentre 18 km north-west of East Lombok, West Nusa Tenggara – and with a depth of 15 km. There were a number of aftershocks, with the largest being 6.9 RS. The earthquake was felt in Lombok Island, Sumbawa Island, Bali Island, and up to the eastern part of East Java. Many buildings were damaged in Lombok, including in the capital, Mataram City and Sumbawa. Damage to buildings was primarily due to the fact that they were not constructed in line with the potential earthquake risks in the area and the national building code.

Seven districts and Mataram city in West Nusa Tenggara (NTB) were affected by the earthquake, with the densely populated areas of West Lombok and North Lombok severely impacted. According to BNPB, there were 564 fatalities; 73,000 houses were heavily damaged and approximately 400,000 people were displaced. The latest data published by the National Disaster Management Authority (BNPB⁴) Indicated the total loss was IDR 18,20 trillion (Euro 1 billion), consisting of infrastructure damage of approximately IDR 10,15 trillion (Euro 610 million) - including 125,744 houses, 635 education facilities, 99 health facilities and 789 places of worship, among other infrastructure; and economic losses are in the order of IDR 2 trillion⁵ (Euro 100 million).

Approximately 45% of the total damage occurred in the district of North Lombok. The impact of the earthquake in North Lombok resulted in 481 fatalities: as of September 18, 2018, an estimated *Infographic 2. Earthquake and Tsunami Central Sulawesi: Damage & Loss*



⁴ Badan Nasional Penanggulangan Bencana, <https://bnpb.go.id/>

⁵ <https://www.cnnindonesia.com/ekonomi/20180910124912-532-329123/bnbp-sebut-total-kerugian-gempa-lombok-capai-rp12-triliun>

101,735 people were displaced. Many houses were either severely damaged, moderately damaged or lightly damaged. In addition, various economic facilities (markets, shops, hotels and other accommodations); transportation and communication networks, and water and sanitation systems were severely disrupted. Many public service facilities were also severely impacted: including one regional general hospital, eight Community Health Centers (Puskesmas) units and 45 Auxiliary Health Centres (or village health clinics) across five sub-districts of North Lombok. Damage to educational facilities was spread evenly in all sub-districts in North Lombok District, with 115 primary schools severely damaged out of a total of 151 schools. In addition, numerous government office buildings and office equipment were affected, which is severely hampering government services in some areas.

II. STRATEGY

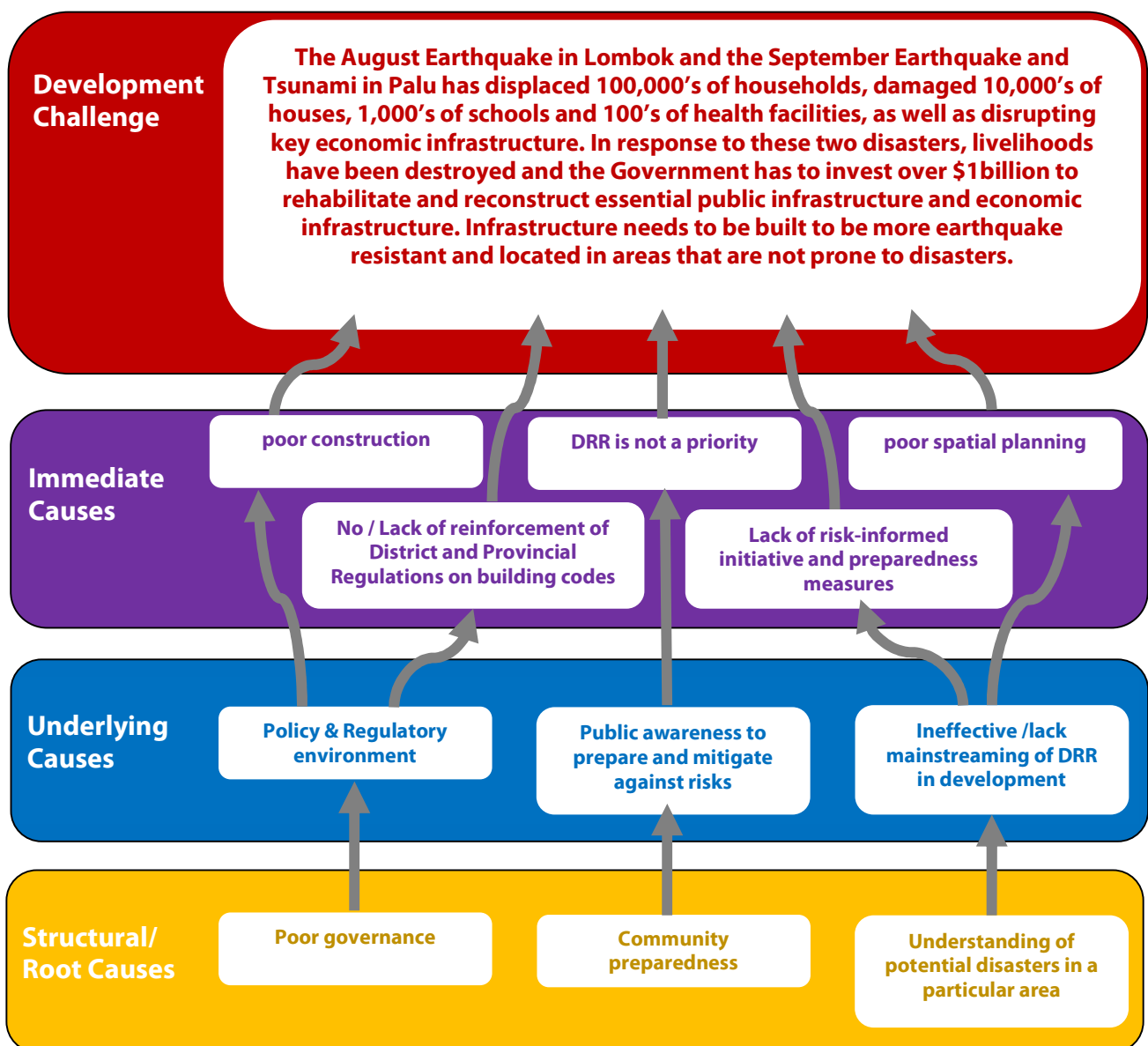


Diagram 1. Problem Tree

In response to the recovery challenges described in the preceding section, UNDP is cooperating with national and local governments, local communities, and international organizations, to support medium-to-long term socio-economic recovery and reconstruction of Central Sulawesi and NTB. Such cooperation will ultimately aim to facilitate and accelerate the transition of ongoing assistance

from the immediate response phase to longer-term development and contribute to the attainment of Sustainable Development Goals.

Under that overarching vision to effectively support resilient recovery and reconstruction processes in Central Sulawesi and Lombok and enhance resilience at National-level, UNDP Indonesia is focusing its efforts on the following three areas: (a) Restoration of provision of critical public services and strengthening of governance functions; (b) Supporting livelihoods and economic recovery and (c) Strengthening disaster risk management and preparedness, with a view to enhance resilience and national and local capacities to withstand future shocks.

Such efforts are in line with UNDP's Country Programme Document for Indonesia (2016-2020)⁶, which highlights the importance of contributing to national efforts to 'strengthen resilience to shocks'; improve the equitable 'delivery of basic services'⁷, as well as to enhance economic livelihoods in vulnerable communities– including through the promoting of sustainable income-generating opportunities⁸.

Such priorities, in turn, are aligned with the United Nations Partnership for Development Framework (2016-2021), or UNPDF⁹, which constitutes the overarching framework of development cooperation between the United Nations and Indonesia. The different roles of UN agencies, including UNDP's, and the complementarities between their respective mandates, are described in the UNPDF. Such roles and complementarities also serve to inform collaboration on medium-to-long term recovery and development efforts in the earthquake and tsunami-affected areas. UNDP will engage and cooperate with other UN agencies – including, inter alia, WHO, UNICEF, IOM and FAO – in its longer-term recovery initiatives in Central Sulawesi and NTB.

UNDP is currently implementing an immediate response initiative, with Central Emergency Relief Fund support, for emergency employment (cash-for-work schemes) and debris management. The intent in the near term is to start transitioning from such immediate response into a longer-term recovery vision – under the three areas described above (on service restoration; economic livelihoods; and DRM).

The proposed **Sulawesi / Lombok Programme for Earthquake and Tsunami Infrastructure Reconstructive Assistance**¹⁰ ('PETRA' in short) is fully aligned to such broader UNDP strategy on recovery and reconstruction. It will contribute, first and foremost, to the first component of UNDP's broader strategy (on restoration of public services) and, to a limited extent, on the second component (economic livelihoods). The following sections of this document describe the scope of PETRA in greater detail and help to situate PETRA under such broader vision. The recovery strategy will be guided by a number of principles aimed at improving the quality and impact of recovery, emphasizing equity and inclusion, and promoting risk reduction.

PETRA's Programme Logic: Expected Outcome, Outputs and Interventions

(a) Outcome: Vulnerable communities in Central Sulawesi and NTB recover from the impact of the 2018 disasters and are more resilient to withstand future shocks

PETRA ultimately seeks to contribute to the socio-economic recovery of disaster-affected communities in Central Sulawesi and NTB, in line with the vision presented above. It will do so by

⁶ For more information, please visit https://digitallibrary.un.org/record/797544/files/DP_DCP_IDN_3-EN.pdf

⁷ Outcome 2 of Country Programme Document for Indonesia (2016-2020); UNPDF Outcome # 2

⁸ Please see Outcome 1 in Country Programme Document for Indonesia (2016-2020); UNPDF Outcome # 2

⁹ For more information, please see <http://un.or.id/what-we-do/partnership-for-development-unpdf>

¹⁰ The reference to 'Lombok' in the project title reflects the fact that the 5th August 2018 earthquake is often described as the 'Lombok earthquake', given the location of its epicenter. The impact of the earthquake, however, was felt beyond Lombok –it also affected other districts in West Nusa Tenggara (NTB) -and to a lesser extent, Bali. In total, seven districts and Mataram city in NTB were affected by the earthquake; affected areas include the island of Sumbawa (part of NTB), which is also under the purview of the current proposal (i.e. reconstruction/rehabilitation projects in Sumbawa could also be considered for funding).

assisting the Government of Indonesia (at national, provincial and district levels) and local communities in the reconstruction and rehabilitation efforts. Through reconstruction and rehabilitation, PETRA will also contribute to address underlying vulnerabilities that have been exacerbated by the disasters, and, in the medium-to-long term, to a change in the development trajectories in both Central Sulawesi and Lombok: towards more risk-informed, inclusive and sustainable development paths.

The initiative is multi-dimensional and cross-sectoral: it addresses the need to restore and enhance the provision of critical public services (such as health, education), improve economic livelihood opportunities for affected communities, while, at the same time, enhancing resilience to future shocks in both provinces. Lessons learned and knowledge generated by the Project can also help inform wider efforts – in other provinces and/or at national level.

As part of wider recovery efforts, the project is aligned with the principles reflected in the Sendai Framework for Disaster Risk Reduction¹¹ as well as with the Sustainable Development Goals (SDGs). Very importantly, the project will be guided and informed by nationally led and locally driven recovery efforts, with a view to ensure full national and local ownership. Interventions will be aligned with national and local planning and budgeting processes – with due attention to the need to ensure recurrent expenditures (on maintenance and operations, for instance) are fully factored prior to programmatic investments.

‘Build back better’ principles will be reflected throughout the initiative, with a view to enhance the safety, resilience, more gender-friendly and energy-efficiency of the local infrastructure. Accessibility considerations (to enable and facilitate physical access for persons with disabilities) will also inform the design of infrastructure rehabilitation or reconstruction projects. In addition, special emphasis will be put on participation of women and vulnerable groups as past experience has demonstrated that such an approach will lead to significantly better recovery and risk reduction outcomes. Conflict sensitivity and the ‘do no harm’ principle will also be mainstreamed into project activities.

While in Lombok a local disaster needs assessment has been completed, in Central Sulawesi such assessment is underway (and is expected to be completed before the end of the year). This proposal describes a tentative line-up of infrastructure to be reconstructed/rehabilitated, but a finalized list will be subject to due consultations and engagements with national and local partners -as national and local ownership will be critical for PETRA.

Based on initial assessments in Central Sulawesi, however, it is very clear that there is very heavy damage to critical public infrastructure across key development sectors including health, education, solid waste management, transport networks, etc. Economic infrastructure, such as local markets and irrigation canals, have also been adversely impacted. While the Pengkajian Kebutuhan Pasca Bencana (JituPASNA), Indonesian version for Post Disaster Needs Assessment (PDNA), will conduct a comprehensive assessment of infrastructure damage, it is already evident that the need for rapid reconstruction, repair, restoration and in some cases relocation of infrastructure will be critical to resume access to services for the affected populations, and to improve livelihoods opportunities.

Eligible infrastructure projects, listed in the NTB Rencana Aksi (Renaksi) and Central Sulawesi Master Plan, will be identified and selected in consultation with the Government (at national and sub-national levels). The initial project selection process will include government commitments to ensure the adequate operations and maintenance of the rehabilitated/reconstructed facilities, following the handover; and, maximizing the number of beneficiaries, especially women and vulnerable groups.

¹¹ The Sendai Framework for Disaster Risk Reduction 2015-2030 (‘Sendai Framework’) is the first major international agreement of the post-2015 development agenda. It sets a number of priorities and targets to ‘achieve the substantial reduction of disaster risk and losses in lives, livelihoods and health and in the economic, physical, social, cultural and environmental assets of persons, businesses, communities and countries’. The Sendai Framework was adopted at the Third UN World Conference on Disaster Risk Reduction in Sendai, Japan, on March 18, 2015. For more information on the Sendai framework, please visit <https://www.unisdr.org/we/coordinate/sendai-framework>

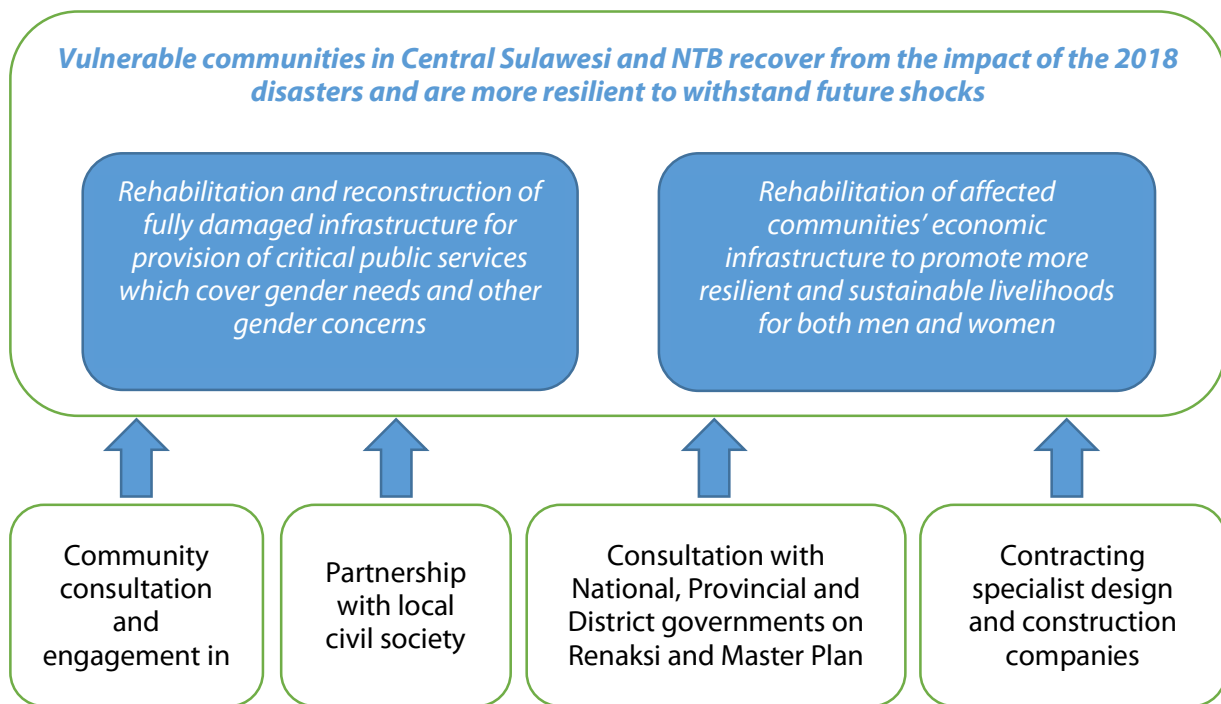


Diagram 2. Theory of Change

III. RESULTS AND PARTNERSHIPS

3.1. Expected Results

To achieve the outcome described in the preceding section, PETRA will deliver on two specific outputs, namely:

Output 1: *Rehabilitation and reconstruction of fully damaged infrastructure for provision of critical public services which cover gender needs and other gender concerns*

Output 2: *Rehabilitation of affected communities' economic infrastructure to promote more resilient and sustainable livelihoods for both men and women*

Both outputs will be delivered in a manner that ensures:

- (a) coordinated, inclusive and well-informed (national and sub-national) decision-making processes, with due attention to vulnerable populations and the need to promote gender-equality;
- (b) the effective adoption of standards for gender-friendly, safe, resilient and energy-efficient construction, as well as standards to enable and facilitate access for people with disabilities (i.e., 'build back better' principles)

The expected results are outlined in the Results Framework (Section 5).

In delivering these outputs, UNDP will also help to strengthen local government capacities in inclusive recovery governance; in the programming and management of recovery investments; in the adoption of greener, 'Build-Back-Better' construction standards; in the integration of climate change mitigation and disaster risk management (DRM) consideration into local plans (including

spatial plans) and budgets. Such capacities are expected to be enhanced primarily through 'learning by doing' – as UNDP will be working closely with local partners throughout project implementation.

3.2. Resources Required to Achieve the Expected Results

Output 1: Rehabilitation and reconstruction of fully damaged infrastructure for critical public services which cover gender needs and other gender concerns

This is the main output of the project, in terms of programmatic investments¹². It seeks to contribute to the accelerated restoration of critical services, including health, education, and solid waste management. Under this output, the proposed interventions are the following:

- Technical assistance and advisory support in the **finalization/ updating of the Multi-Hazard Risk Assessment/ Mapping** for Central Sulawesi and Nusa Tenggara Barat. The Risk Assessment will allow to provide a granular analysis of the varying degrees of exposure that different locations have to natural disaster risks – not only tsunami and earthquakes, but other types of disasters. This constitutes a critical *enabler*, as it will inform **spatial planning and refer to SNI 1726:2012 about Procedures for Planning Earthquake Resilience for Building Structure and Non-Building for safe construction**. Gender disaggregated data and analysis will be ensured to be available in the updated risk assessment. Significant infrastructure investments should only be undertaken if they are well-informed by sufficiently detailed, location-specific, information on disaster risks. The Government of Indonesia is leading this exercise and has asked UNDP to provide technical assistance to local governments in the geo-spatial risk mapping.
- Additional technical expertise will be provided, including **gender sensitive rehabilitation and reconstruction and inclusive emergency preparedness**. All rehabilitation and reconstruction works will be assessed to ensure they are appropriate for women, girls and people with disabilities. GBV-risk mitigation will be a concern in infrastructures rehabilitation and reconstruction. For example, adequate and appropriate toilets, ease of access and other facilities required by Indonesian law, like breastfeeding rooms. Technical assistance will work with the rehabilitated infrastructure management teams to develop emergency preparedness plans, in accordance with Indonesian occupational safety and health regulations (Republic of Indonesia, Law No1: 1970 Workplace Safety). These plans will reinforce the need to emergency drills, whether they be in schools, health facilities or other government infrastructure.
- Preparation of **PETRA's annual investment plans for local recovery**, in close consultation with relevant national and local authorities and local communities (men and women). Such plan will be informed by the risk assessment/mapping referred to above and take into consideration socio-economic vulnerabilities of affected communities. It will seek to complement ongoing and planned investment activities, in alignment with the Renaxis (the local Recovery and Rehabilitation Action Plans for both Lombok and Central Sulawesi), BAPPENAS's Master Plan for Rehabilitation and Reconstruction (for Central Sulawesi) and sub-national development plans. 'Build Back Better' principles will be mainstreamed through the investment planning process. UNDP's Social and Environmental Standards and Screening Procedures¹³ will be used to inform such planning.
- **Undertaking two separate tendering processes for**

¹² Over 74% of resources including both (i) Output 2-only activities and (2) Pro-rated cross-cutting activities

¹³ UNDP's Project-level Social and Environmental Screening Procedures (SESP) are aligned with UNDP's Social and Environmental Standards (SES). UNDP's SES "underpin the organization's commitments to mainstream social and environmental sustainability in our Programmes and Projects to support sustainable development". For more information on both standards and procedures, please visit: <http://www.undp.org/content/undp/en/home/accountability/social-and-environmental-responsibility> More details on the scope and application of Social and Environmental standards and procedures in PETRA are provided in section 2.2.2 of this proposal ('Notes on Rehabilitation and Reconstruction of Infrastructure') as well as under section 2.6 ('Note on the oversight of civil works and the monitoring of construction contracts')

- (a) Civil works design and supervision and
- (b) Construction works

This activity entails the preparation and advertisement of relevant tendering documents required for the design, (re)construction/ rehabilitation of the infrastructure identified under PETRA's investment plan, and engineering supervision. It also encompasses the subsequent review, evaluation, selection, negotiation and award of contracts.

The tendering documents will reflect the 'Build Back Better' principles, including standards for improved safety, resilience and energy-efficiency, as well as accessibility (to enable and facilitate physical access to persons with disabilities. Cost-effectiveness considerations (e.g., to minimize maintenance and operations costs) and the need to ensure compliance with UNDP's Social and Environmental Standards will also be reflected in such documentation.

The procurement process will be conducted in two stages:

- a. First, **Request for Proposals (RFPs)** will be issued through a competitive tendering process – for the submission of architectural services/engineering design (including drawings), detailed scope of construction services, bill of quantities; tender documentation for construction; supervisory services and building approval processes.
 - b. Second, **'Invitations to Bid' (ITBs)** will be advertised for construction companies to respond to the scope of services defined through the RFPs. ITBs will be preceded by request for 'Expressions of Interest' (Eols), as it will help expedite the tendering process (Eols can be issued while the RFPs are underway). Firms selected through the RFPs can be engaged in the process of review and evaluation of bids once these are received.
- **Civil works/Construction.** This is the most capital-intensive intervention under PETRA (over 50% of total project funding). Following the award of contract, the Project will closely supervise the timely delivery of civil works - including through the Project's own Resident Engineers and the supervisory firm. Supervision will also seek to ensure due compliance with Indonesia's Building Code and relevant regulations¹⁴. Payments will be performance or delivery-based, as per terms of contract. The contract will also include arbitration provisions to address potential disputes between the contractor and UNDP and other risk mitigation measures. Compliance with UNDP's Social and Environmental Standards will also be closely monitored during construction.
 - The LVGA will rely to UNDP's CSO Assessment Committee in which will act the oversight mechanism on the result of CSO proposals evaluation conducted by project team that ensures objective, transparent, and effective grant selection process against the established quality criteria in line with UNDP's Programme and project management policies and procedures for LVGA. There are two undergoing assessments on progress. The grant recipient of LVGA will be those with experience in carrying out activities/programs in the field of collaborative management of community infrastructure development, construction/civil works, livelihood, local development planning and stakeholder coordination in rural areas.; and will complete and submit the Grant Proposal in accordance with UNDP's LVGA Proposal Template. All proposals are subject to grant selection processes, which consist of a Pre-screening against the selection criteria and Full Review by the CSO Steering Committee. The agreed selection criteria for LVGAs are elucidated at *annex 10*.
 - The LVGA under output 1 will be applied for construction of temporary classroom in targeted school facilities that have no proper room for students and will be based on the request form targeted school, in consultation with relevant stakeholders and field assessment. The construction of temporary classroom is urgently needed to facilitate the lack of learning space during the period of construction works. This also to ensure UNDP commitment to ensure students' rights in access to education facilities is not neglected during post-disaster reconstruction process.

¹⁴ See 'Notes on Infrastructure Construction'.

- In addition to tenders for the construction process, activities under output one is also carried out through a Low-Value Grant Agreement with local NGOs. We collaborate with local NGOs to construct temporary classrooms in Palu, Parigi Motong, and Sigi districts.
- **Provision of equipment** to accelerate the restoration and enhancement of critical public services. This activity will complement the civil works/construction component – and it will be conducted in close coordination with relevant national and local authorities to ensure due alignment with national legal requirements (e.g., for medical equipment). Where possible procurement will be through the Government of Indonesia “e-catalogue” to ensure the equipment is compatible with government regulations and guidelines, meets Indonesian standards (SNI) and can be maintained throughout the warranty period, post asset transfer. It will also be planned in such a manner as to ensure that recurrent costs (e.g., for maintenance and operations) are duly covered by the relevant authority(ies) in their own systems.
- **Provision of formal and on-the-job training to relevant sub-national authorities and community organizations.** A number of capacity development activities will be important to inform, enable and/or facilitate the delivery of the interventions described above, as well as to ensure the sustainability of the results post-project completion. It will target communities (men and women) within the area of coverage of the public service(s) being supported and/or relevant local government officials within concerned provincial or district-level departments. It constitutes a relatively small proportion of total project funds (less than 0.2%) but it will be critical to ensure the effectiveness, ownership and sustainability of the civil works component. Training programmes (formal and/or ‘on the job’) could include the following
 1. community engagement in recovery; participatory planning and budgeting,
 2. investment programming for recovery,
 3. data and information management – including satellite imagery analysis and use of Unmanned Aerial Vehicles (UAVs) for data collection/ recovery management
 4. social, environmental and safety standards for infrastructure development; resilient, risk-informed/ climate-smart construction
 5. asset management/ maintenance and operations

A learning exchange for local government officials on effective implementation of a recovery programme in Indonesia (e.g., learning from Aceh experience) will also be considered as part of the capacity building programme.

Output 2: Rehabilitation of affected communities’ economic infrastructure to promote more resilient and sustainable livelihoods for both men and women

This output focuses on smaller-scale community infrastructure, and it envisages the following interventions:

- **Facilitation of community-led processes for the identification and prioritization of critical local economic assets (infrastructure) to be recovered/rehabilitated** – including, for instance, community bridges, feeder roads, local markets and/or irrigation systems. Due consideration to varying degrees of socio-economic vulnerabilities will be taken into account when prioritizing assets to be rehabilitated. In addition, comprehensive identification and prioritization of critical local economic assessment will be taken with references to consideration on gender needs and interests. Therefore, project will consult with both men and women as well as with women’s organizations and gender stakeholders. Project will promote women’s leadership in decision making processed in this area of intervention.

- **Conduction of tendering processes** for the rehabilitation of prioritized community (economic) infrastructure. Invitations to Bid (ITB) will be issued to identify construction companies to be contracted for the rehabilitation of small-scale community infrastructure. The preparation of tender documents will be led by PETRA's resident engineers and/or engineering consultants, and with the support of the procurement analyst. This particular intervention will focus on rehabilitation sub-projects that require specialized engineering services and which cannot be adequately delivered by NGOs or through cash-for-work schemes.
- **Civil works/Construction: Contract management and supervision.** Following the tendering processes and the issuance of contracts to selected firms, PETRA will be supervising the civil works through resident engineers and engineering consultants; UNDP CO will also provide oversight (spot checks) to verify the effectiveness, quality, and timeliness of the civil works sub-projects, as well as compliance with the Environmental and Social Management Plans. NGOs/CSOs may also be engaged by UNDP to manage the community involvement in such infrastructure sub-projects (however all design and construction activities will be undertaken by qualified engineering companies).
- **Implementation of small scale, cash-for-work schemes for debris removal and recycling with environmentally sound approaches** through NGOs/CSOs. This intervention will focus on debris management and will complement the more complex civil works that will be delivered through the specialized construction firms (as indicated in the aforementioned activities). PETRA will identify NGOs that have demonstrated experience in the management of cash-for-work schemes for debris management and recycling. Small-scale training of masons and construction workers –promoting local “know how” and public awareness for safe civil works practices – will also be part of the activities expected to be delivered by the NGO.

Community-level interventions, implemented by NGOs/CSOs, will mainly consist of community “cash for work activities”, where the community will provide labour to construct or rehabilitate local infrastructure, like tertiary canals for irrigation or feeder roads, or clear locations from debris, prior to construction. These activities will be managed in line with government regulations and international standards. For example, UNDP has currently contracted four CSOs in Palu to implement cash for work activities, where compensation is in line with minimum wage regulations for the district, and appropriate OSH standards are being met, as UNDP is providing personnel protective equipment (PPE) and technical guidance.

In the implementation of small scale, cash-for-work schemes, project will promote gender equality by providing gender equal access in participation and equal benefit from the intervention. Project will help in tackling gender stereotypes that may become barriers in supporting gender equality and women's leadership in the implementation of small scale, cash-for-work schemes.

- **Design and piloting of a sorting and recycling facility, with the engagement of local authorities and communities.** PETRA will contract a company to design a sorting and recycling facility to process debris. It will build on UNDP's previous experiences in such types of initiative (e.g., in Aceh), whereby local communities benefit from the income-generating opportunities afforded by sustainable debris and waste management and recycling. PETRA will introduce environmentally sound practices and train communities in sorting, recycling, reusing and retailing material for reconstruction and/or other activities. Men and Women are encouraged to participate in this area of intervention. Project will pay attention to gender equal benefit on income-generating opportunities, especially in providing equal wages, gender sensitive policy at working place, etc.
- The activities under output two have also been carried out through low value grant agreement, the agreement in collaboration with local NGOs to conduct reconstruction of infrastructure and community based sustainable livelihood project. The selection process of the local NGOs is conducted through an invitation for the local NGOs that meet the required criteria as in the *annex 10*.

3.3 Partnerships

UNDP will also engage with other international partners working in recovery efforts, such as the Development Partners – to ensure complementarity of interventions and investments. Support from the World Bank and ADB is in line with their existing loan programmes in Indonesia on infrastructure but individual infrastructure investments will be confirmed by the Indonesia Multi Donor Fund Facility for Disaster Recovery. These organisations could support settlements and housing also, in line with the overall approach outlined in the Renaksis. JICA is providing expertise on geotechnical assessments in Central Sulawesi to support the reconstruction plan. This will be done in close consultation with national government to ensure due coordination and national ownership.

3.4. Risks and Assumptions

To achieve these outcomes and outputs, the following conditions need to be in place:

- National and sub-national stakeholders support PETRA’s objectives and are willing to cooperate to enable and facilitate project implementation - including willingness to (a) coordinate and (b) reach agreements to cover recurrent expenses/ maintenance and operations of rehabilitated or reconstructed infrastructure, as applicable, on a case-by-case basis.
- The Government of Indonesia’s rehabilitation and reconstruction programme is implemented in line with the Reconstruction Master Plans and respective district level recovery plans - RENAKSIs.
- Improved women's leadership and participation in the project embracing the political, social, economic and cultural spheres. Addressing barriers to the full and equal participation of women is important to promote and achieve gender equality.
- Preparedness to crises and disaster risk reduction measures fully adopted and national high-level commitments ensured.
- UNDP’s contributing partners with networks with civil society and non-governmental organisations
- Adequate information on location-specific hazard and environmental risks is made available by relevant authorities in a timely manner to facilitate infrastructure reconstruction/ rehabilitation
- Qualified construction companies are (a) available in the market, (b) interested to engage in the implementation of the various components of the civil works/contracts, and willing to take part in competitive selection process, and (c) are able to provide the required design, construction and supervision services as per required standards, including the required social, environmental and safety standards.
- Eligible CSOs/NGOs can mobilize communities to support project implementation, including the rehabilitation of community economic infrastructure, and are willing to receive and adhere to UNDP’s advice with regards to required social, environmental and safety standards
- Local communities engage with the project and develop a sense of ownership for project results, including rehabilitated/ reconstructed local community infrastructure.

Based on the above assumptions, there are some identified key risks that can be categorized as follows:

- a. Social and environmental related risks including community health, safety and security, labor and working conditions, and climate change and disaster risks that may occur during implementation and can potentially affect the implementation process.
- b. Strategic related risk including change or turnover in government structures that may affect the level government acceptance and support to the project.
- c. Operational related risks including partners engagement (contractors, CSO and community), and occupational safety, health, and well-being due to COVID-19 pandemic prevention related policies.

The environmental and social management framework will facilitate mitigating potential social and environmental risks, intense monitoring and communication externally and internally will facilitate mitigating potential strategic and operational related risks. This Environmental and Social Management Framework (ESMF) has been prepared in support of a project proposal for the Sulawesi/Lombok Programme for Earthquake and Tsunami Infrastructure Reconstruction Assistance (PETRA) to the Government of Indonesia. This project is supported by UNDP in its role as the Implementing Partner working with KfW as the Senior Supplier and BNPB as the Senior Beneficiary. The project has been screened against UNDP's Social and Environmental Standards (SES) and deemed a Moderate Risk project. Similarly, under the KfW Sustainability Guidelines, the Project is rated as Category B+.

3.5. Stakeholder Engagement

Eligible infrastructure projects, listed in the NTB Renaksi and Central Sulawesi Master Plan, will be identified and selected in consultation with the Government (at national and sub-national levels). The initial project selection process will include government commitments to ensure the adequate operations and maintenance of the rehabilitated/reconstructed facilities, following the handover; and, maximizing the number of beneficiaries, especially women and vulnerable groups.

The Project Management Unit will also obtain community feedback throughout project implementation – before, during and after completion of the civil works, and document such feedback in PETRA's progress reports. Community feedback will be critical to inform project interventions from an end-user or end-beneficiary perspective – and will enable timely course corrections in planned activities before potential challenges arise in target locations; such engagement will also be critical to promote local ownership and ensure the longer-term sustainability of the PETRA-supported investments, beyond project completion.

3.6. South-South and Triangular Cooperation (SSC/TrC)

Overall, the project is established to deliver international assistance for the Government of Indonesia-led recovery interventions, even though the disaster status in both affected areas were determined as sub-national disaster. This brings a new paradigm where national and international actors provide assistance to sub-national governments, in addressing the recovery needs of the affected communities and engage with multi-level coordination mechanism, to ensure resource effectiveness, accuracy and agility of recovery interventions on the ground. The national recovery framework is still evolving and along the process various knowledge products could be documented for future knowledge imparting initiative. Through its experience in responding to disasters, Gol (Bappenas, BNPB, Line Ministries and Sub-national Government) is at an advance level, in the implementation of disaster management, compared to other southern countries. It would be valuable for other developing countries to learn from Indonesia in disaster management. The project will explore this opportunity and UNDP CO can play important role in facilitating/brokering this learning process through south-south and triangular cooperation modality.

3.7. Digital Solutions

The project will partially apply digital technologies and solutions to improve the target beneficiaries and partners' experiences and solve the development challenge(s) identified. One of such digital technologies that has been used is Cash for Works (CfW) application which using as payment modalities with aim to improve accountability and transparency in the implementation of CfW for reconstruction of community infrastructures under output 2. Other digital technology that is in place, especially considered pandemic COVID 19 is Zoom Platform that play important role during pandemic as medium for coordination and consultation meeting within the project.

3.8. Knowledge

The project will produce a series of publications on the theme “building back better” and how government agencies and communities can mitigate against future disasters.

UNDP’s support to the **Multi-Hazard Risk Assessment/ Mapping** for Central Sulawesi and Nusa Tenggara Barat will enable the two provinces to reduce the impact of future disasters and better inform their spatial plans

We will develop guidelines on **gender sensitive rehabilitation and reconstruction and inclusive emergency preparedness**. The guideline will highlight how infrastructure can be designed to meet the needs women, girls and people with disabilities. For example, adequate and appropriate toilets, ease of access and other facilities required by Indonesian law, like breastfeeding rooms.

Emergency preparedness plans, in accordance with Indonesian occupational safety and health regulations (Republic of Indonesia, Law No1: 1970 Workplace Safety) will be developed for all public facilities. These plans will reinforce the need to emergency drills, whether they be in schools, health facilities or other government infrastructure.

3.9. Sustainability and Scaling Up

All buildings will be constructed in line with the Indonesian Building Code, *Law number 28/ 2002 Concerning Buildings*, and be designed in light of the revised SNI (Standards National Indonesia) for earthquake resistance of buildings in areas designated with high frequencies of earthquakes (SNI 1726:2012). In line with the Indonesian building code, the design will be approved by the government and provided with an approval to construct (*Ijin Membangun Bangunan*) and upon construction completion a certificate of appropriate function (*Sertifikat Layak Fungsi*). The Government will sign a MOU prior to tendering infrastructure that the proposed design is in line with Indonesian standards and the government will be responsible for all ongoing operation and maintenance after the asset has been transferred to the government (please see 4.3 on the asset transfer mechanisms). Similar arrangements will be undertaken with all community owned projects.

IV. PROJECT MANAGEMENT

4.1. Cost Efficiency and Effectiveness

To facilitate implementation, a Direct Implementation Modality (DIM) has been selected to implement the project. The Government of Indonesia has approved this implementation modality. Through the DIM modality, activities can start as soon as possible, using UNDP procurement processes. All activities will be implemented in line with the Government’s Master Plan for Central Sulawesi, the Renaksi for Central Sulawesi and the Renaksi for NTB.

The partnership between KfW and UNDP Indonesia for recovery interventions in Central Sulawesi and Nusa Tenggara Barat (NTB/Lombok) has been agreed by BAPPENAS, and was endorsed by the IMDFFDR Steering Committee, during a meeting on November 4th, 2018. The KfW and UNDP Indonesia project will be administered under the ‘Single Project’ financing mechanism.

Funding for the project will be provided by the German Government through the standard Financing Agreement between KfW and UNDP. In line with the Agreement, UNDP will be the executing entity and administrative authority for the project. The project will be fully aligned with government priorities and strategies for recovery and disaster risk reduction. Consistently with the Direct Implementation (DIM) modality, UNDP will be accountable to the donor for the project implementation and attainment of set objectives in an effective, efficient and transparent manner.

Regular consultations with partners and stakeholders will be undertaken at technical level to ensure that the project implementation is synchronized with broader recovery and reconstruction efforts. Critical project information (e.g., on project budgets, expenditures; progress reports; procurement, etc.) will also be regularly uploaded through UNDP's Transparency Portal (<https://open.undp.org/>), which contains a wide range of data and information on UNDP's development projects worldwide. PETRA will be subject to financial audits, as per UNDP's audit policy.

4.2. Project Management

Under the Direct Implementation Modality (DIM), UNDP Indonesia Country Office (CO) will assume the overall responsibility in the implementation of PETRA. DIM is a modality whereby UNDP assumes full responsibility in management of project inputs in order to deliver planned project outputs¹⁵.

The CO will establish a Project Management Unit (PMU) as an instrument to operationalize PETRA, UNDP will retain ultimate accountability for the achievement of project results. Material decisions pertaining to PETRA's financial resources, procurement and human resources will be subject to review, clearance, and approvals by UNDP CO – and, as and when required, by other UNDP regional and/or corporate units - in accordance with UNDP's Programme and Operations Policies and Procedures. The PMU is led by a National Project Manager (PM) hired by UNDP and based in Palu – Central Sulawesi; a (smaller) sub-field office in Lombok-West Nusa Tenggara will be set up under the responsibility of a Field Coordinator (who will report to the National Project Manager). The NPM will be responsible for the day-to-day management of the project and implementation of activities in line with guidance provided by the CO. S/he will also undertake field visits to West Nusa Tenggara to oversee and support project implementation there. The NPM will be assisted by (a) project operation and technical personnel (including engineers and community mobilizers), (b) specialized consultants to be hired for specific tasks.

To facilitate implementation, UNDP Indonesia can also leverage the technical support and advisory services available through UNDP's Bangkok Regional Hub and UNDP's Headquarters. CO capacities will be augmented on a need basis during the implementation of the project, leveraging UNDP's extensive global network of corporate, regional and country-level technical resources and capacities.

4.3. Asset Transfer

To comply with Government of Indonesia regulation on transfer of asset delivered through grant funding assistance, The National Disaster Management Authority (BNPB) as the Senior Beneficiary of PETRA Project will register the project to the Ministry of Finance (MoF) in accordance with the current regulation on Grant Management Administration¹⁶.

UNDP will transfer assets delivered as results of PETRA project implementation to the National Disaster Management Authority (BNPB) through the Deputy Office for Rehabilitation and Reconstruction of BNPB. Subsequently the Deputy Office will manage asset transfer administration in coordination with the Planning Bureau of BNPB that will proceed to process asset registration with the Ministry of Finance. For signing the records of transfer of assets in which all facilities reconstructed by the project also known as Berita Acara Serah Terima Barang (BAST) from UNDP to BNPB as senior beneficiary, will be signed by at least RRU Team Leader from UNDP Indonesia and Deputy of Rehabilitation and Reconstruction of BNPB

¹⁵ UNDP can also engage with 'Responsible Parties' under the DIM modality to implement certain activities/ deliver certain goods or services. In such cases, the Responsible Party is 'directly accountable to UNDP in accordance to the terms of their agreement or contract'. The DIM modality can be contrasted with the National Implementation ('NIM') modality – under NIM, a third party, such as a Line Ministry, takes the role of implementing partner and assumes 'full' responsibilities in the effective use of UNDP resources and in the delivery of [all] project outputs. For more information, please visit popp.undp.org.

¹⁶ [Peraturan Menteri Keuangan No. 99/PMK.05/2017](#)

Subsequent to the transfer of asset from UNDP, BNPB will transfer the asset to the Sub-national Government as asset grantee in accordance with Management of Grants from the National Government to Sub-national Government¹⁷.

¹⁷ [Peraturan Menteri Keuangan No.224/PMK.07/2017](#)

V. RESULTS FRAMEWORK¹⁸

UNSDCF/CPD Outcome 3. Institutions, communities, and people actively apply and implement low carbon development, sustainable natural resources management, and disaster resilience approaches that are all gender sensitive.

UNSDCF/CPD Outcome indicators, including baseline and targets: Indicator-3.3.1: # of districts classified as high disaster risk; Baseline (2013): 322 ; Target: 135

UNDP Strategic Plan 3.3 Risk informed and gender-responsive recovery solutions, including stabilization efforts and mine action, implemented at regional, national and sub-national levels

Project title and Atlas Project Number: Sulawesi / Lombok Programme for Earthquake and Tsunami Infrastructure Reconstructive Assistance (PETRA) (Project ID: 00116311)

EXPECTED OUTPUTS	OUTPUT INDICATORS ¹⁹	DATA SOURCE	BASELINE		TARGETS (Cumulative by annual data collection)						DATA COLLECTION METHODS & RISKS	
			Value	Year	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	Year 6 (2024)		FINAL
Output 1 <i>Rehabilitation and reconstruction of fully damaged infrastructure for provision of critical public services cover gender needs and other gender concerns</i>	1.1. Cumulative # health units reconstructed or rehabilitated using 'build-back better' construction standards (subject to design geotechnical assessment, estimated 80% of the targeted health units).	Renaksi	0	2018	0	0	10	13	14	14	14	Desk/Document Review and Field Visit Risk: See annex 3. no 4 and 12
	1.2. Cumulative # educational establishments	Renaksi	0	2018	0	0	4	7	21	21	21	Desk/Document Review and Field Visit

¹⁸ UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

¹⁹ It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

EXPECTED OUTPUTS	OUTPUT INDICATORS ¹⁹	DATA SOURCE	BASELINE		TARGETS (Cumulative by annual data collection)							DATA COLLECTION METHODS & RISKS	
			Value	Year	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	Year 6 (2024)	FINAL		
	<i>reconstructed or rehabilitated using 'build-back better' construction standards (subject to design geotechnical assessment, estimated 80% of the targeted educational establishments).</i>												Risk: See annex 3. no 4 and 12
	1.3. Cumulative # men and women live in the surrounding area that potentially benefit from rehabilitated/reconstructed health facilities (men and women; girls and boys)	Renaksi	0	2018	0 (facilities under construction)	0 (facilities under construction)	0 (facilities under construction)	150,000	200,000	250,000	250,000		Desk/Document Review and Field Visit Risk: See annex 3. no 4 and 12
	1.4. Cumulative # of school-age girls and # school-age boys that benefit from reconstructed or rehabilitated educational facilities	Renaksi	0	2018	0 (facilities under construction)	0 (facilities under construction)	0 (facilities under construction)	2,000	4000	6000	6000		Desk/Document Review and Field Visit Risk: See annex 3. no 4 and 12

EXPECTED OUTPUTS	OUTPUT INDICATORS ¹⁹	DATA SOURCE	BASELINE		TARGETS (Cumulative by annual data collection)							DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	Year 6 (2024)	FINAL	
	1.5. Cumulative # tonnes of municipal solid waste sustainably disposed of and/or recycled per day, using rehabilitated facilities and newly introduced waste management systems	Renaksi	0	2018	0 (facilities under construction)	0 (facilities under construction)	0 (facilities under construction)	0 (facilities under construction)	150	200	200	Desk/Document Review and Field Visit Risk: See annex 3. no 8.
	1.6. Extent to which a technical guideline on gender sensitive rehabilitation and reconstruction inclusive preparedness is available	Renaksi	None	2018	Technical guideline on gender sensitive rehabilitation and reconstruction inclusive preparedness.	Dissemination of the technical guideline to the local government.	Adoption of the technical guideline by the government's contractors for school and health facilities.	Adoption of the technical guideline by the government's contractors for school and health facilities.			Adoption of the technical guideline by the government's contractors for school and health	Desk/Document Review and Field Visit Risk: See annex 3. no 4.
Output 2 Rehabilitation of affected communities' economic infrastructure to promote more resilient and	2.1. Cumulative # km of irrigation canals, drainage and other water facilities in disaster-affected areas rehabilitated or reconstructed for	Renaksi	0	2018	0	0	3.9	4.2	n/a	n/a	4.2	Desk/Document Review and Field Visit Risk: See annex 3. no 5 and 6.

EXPECTED OUTPUTS	OUTPUT INDICATORS ¹⁹	DATA SOURCE	BASELINE		TARGETS (Cumulative by annual data collection)							DATA COLLECTION METHODS & RISKS	
			Value	Year	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	Year 6 (2024)	FINAL		
<i>sustainable livelihoods for both men and women</i>	<i>improved agriculture, subject to consultation with local government and communities.</i>												
	2.2. <i>Cumulative # of culverts and bridges disaster-affected areas rehabilitated or reconstructed for improved agriculture, subject to consultation with local government and communities.</i>	Renaksi	0	2018	0	0	1	2	n/a	n/a	2	Desk/Document Review and Field Visit Risk: See annex 3. no 5 and 6.	
	2.3. <i>Cumulative # local markets rehabilitated or reconstructed, subject to consultation with local government and communities.</i>	Renaksi	0	2018	0	0	1	3	n/a	n/a	3	Desk/Document Review and Field Visit Risk: See annex 3. no 5 and 6.	
	2.4. <i>Cumulative # households that benefit from economic infrastructure rehabilitation</i>	Renaksi	0	2018	0	0	Retailer: approx. 100 (direct); 1,000 (indirect)	Retailer: approx. 250 (direct); 3,000 (indirect)	Retailer: approx. 400 (direct); 5,000 (indirect)	n/a	Retailer: approx. 400 (direct); 5,000 (indirect)	Desk/Document Review and Field Visit Risk: See annex 3. no 5 and 6.	

EXPECTED OUTPUTS	OUTPUT INDICATORS ¹⁹	DATA SOURCE	BASELINE		TARGETS (Cumulative by annual data collection)							DATA COLLECTION METHODS & RISKS	
			Value	Year	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	Year 6 (2024)	FINAL		
	<i>(men and women), including direct beneficiaries (self-employed; employees) and indirect beneficiaries (consumers/users) – in retail and agriculture, subject to consultation with local government and communities.</i>						Agriculture (1000 farmers, catchment area)	Agriculture (2000 farmers, catchment area)	Agriculture (4,000 farmers, catchment area)			Agriculture (4,000 farmers, catchment area)	
	2.5. Cumulative # newly created jobs in the waste management and recycling ecosystem (collection, sorting, processing retailing), direct and indirect, men and women, subject to consultation with local government and communities.	Renaksi	0	2018	0	0	0	500 HH	n/a	n/a	500HH	Desk/Document Review and Field Visit Risk: See annex 3. no 5 and 6.	
	2.6. Cumulative # male and # female access	Baseline study and	0	2019	0	0	400 males 183 females	600 males 250 females	n/a	n/a	600 males	Desk/Document Review and Field Visit Risk: See annex 3. no 5 and 6.	

EXPECTED OUTPUTS	OUTPUT INDICATORS ¹⁹	DATA SOURCE	BASELINE		TARGETS (Cumulative by annual data collection)							DATA COLLECTION METHODS & RISKS	
			Value	Year	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	Year 6 (2024)	FINAL		
	<i>newly created jobs in livelihood opportunities</i>	annual survey.										250 females	

VI. MONITORING AND EVALUATION

UNDP's corporate standards and instruments for Monitoring and Evaluation (M&E) will be pursued throughout the implementation of PETRA²⁰. Particular attention will be given to progress against PETRA's Outcome, Outputs, and Targets – but other relevant lessons - outside the scope of the initially envisaged results chain- will also be captured through M&E. Quarterly reporting will provide information on progress, any delays (and reasons for such delays), updated workplan and financial information, including an assessment of the expenditure against budget and variances (Annex IV). The report to be issued after the fourth quarter of every year will constitute a consolidated annual report. The Risk Matrix (Annex VII) will be regularly reviewed and updated, accordingly. A final independent evaluation is envisaged at the end of the project to assist in generation of knowledge and in informing future programmatic initiatives for the Government, KfW, UNDP, and other stakeholders.

6.1. Monitoring Plan²¹

The following matrix describes in more detail the range of monitoring and oversight activities that are envisaged throughout project implementation.

Monitoring and Oversight Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the Results Framework will be collected and analysed to assess the progress of the project in achieving the agreed outputs. Community and user-centred feedback will be collected to inform tracking of progress	Quarterly ²² , or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
Monitor and	Identify specific risks that may threaten achievement	Quarterly	Risks are identified by project management and		

²⁰ For more information on such standards and instruments, please visit: (a) <https://popp.undp.org> (Programme and Project Management section) and (b) UNDP's Evaluation Resource Centre at <https://erc.undp.org/> a portal run by UNDP's Independent Evaluation Office (IEO)

²¹ Optional, if needed

²² Please see a Quarterly Report Template in the Annex 5 section.

Manage Risk	of intended results. Identify and monitor risk management actions and mitigation measures using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage fiduciary risk.		actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		
Learn	<p>Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.</p> <p>A final independent evaluation at the end of the Project period will also be conducted with a view to contribute to the capture of lessons and to inform (advise on) the design of future initiatives</p>	At least annually (to be reflected in annual report); Final evaluation to be conducted in Q3-Q4 2022	Relevant lessons are captured by the project team and used to inform management decisions. An independent evaluation at the end of the project period is organized, with the technical assistance of UNDP's Independent Evaluation Office (IEO) to capture lessons learned and inform organizational learning.		
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		

	making to improve the project.				
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons, and quality will be discussed by the project board and used to make course corrections.		
Project Report	A progress report will be presented to the Project Advisory Committee and key stakeholders, on a quarterly and annual basis.	Quarterly, annually, and at the end of the project (final report)			
Project Review (Project Advisory Committee)	The project's Advisory Committee will hold regular project reviews to assess the performance of the project. In the project's final year, the Committee shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up, if any, and to socialise project results and lessons learned with relevant audiences.	Twice a year; additional ad hoc meeting can be arranged on a need basis	Any quality concerns or slower than expected progress should be discussed by the Committee and management actions agreed to address the issues identified.	BNPB	

See also: 'Note on the oversight of civil works and the monitoring of construction contracts on the next page

Note on the oversight of civil works and the monitoring of construction contracts

Throughout project implementation, field interventions – including civil works- will be subject to robust and evidence-based monitoring and quality assurance. On-the-ground monitoring of civil works activities is carried out by dedicated engineers and field project managers for each sub-project. For large-scale projects, UNDP engineers will follow up directly with construction site managers and submit bi-weekly reports to the Project Management Unit and UNDP CO. UNDP monitoring will complement the monitoring conducted by the representatives from the Public Works agency at the Provincial or district level (depending on which level of government owns the assets), in line with existing government regulations.

For larger government infrastructure, a third-party construction supervision company will monitor all aspects of the contract (see a description of the tendering process under Output 1); for greater efficiency, a third party will be contracted to monitor several construction projects, where possible. Progress payments will be made based on approval from the independent supervisory contractor, information from the Department of Public Works' evaluations and the UNDP engineer. All construction projects and expenditure against contracts will be integrated into the regular reporting system. Any delays of potential risks will be assessed, and remedial action undertaken.

The Project Management Unit will also obtain community feedback throughout project implementation – before, during and after completion of the civil works, and document such feedback in PETRA's progress reports. Community feedback will be critical to inform project interventions from an end-user or end-beneficiary perspective – and will enable timely course corrections in planned activities before potential challenges arise in target locations; such engagement will also be critical to promote local ownership and ensure the longer-term sustainability of the PETRA-supported investments, beyond project completion.

In addition, but equally important, all civil work activities will be monitored to ensure due compliance with UNDP's social and environmental standards and safe construction practices. As indicated under Section 2.2 ('PETRA's Programme Logic: Expected Outcomes, Outputs and Interventions') UNDP's Project-level Social and Environmental Screening Procedures (SESP) will be adopted throughout implementation. Such Procedures are aligned with UNDP's Social and Environmental Standards (SES), which "underpin the organization's commitments to mainstream social and environmental sustainability in our Programmes and Projects to support sustainable development". The objectives of the standards are to:

- "Strengthen the social and environmental outcomes of Programmes and Projects
- Avoid adverse impacts to people and the environment
- Minimize, mitigate, and manage adverse impacts where avoidance is not possible
- Strengthen UNDP and partner capacities for managing social and environmental risks
- Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people"²³

Such standards are aligned with the World Bank/ IFC General EHS Guidelines/ Industry Sector EHS Guidelines, ILO's Core Labour Standards and the right to decent work, as noted in section 2.2.2 ('Notes on Rehabilitation and Reconstruction of Infrastructure'). The Environmental and Social Management Framework (ESMF) to be developed by the project will be the basis upon which compliance against such standards will be appraised. The ESMF will also

²³For more information, please visit: <http://www.undp.org/content/undp/en/home/accountability/social-and-environmental-responsibility>

incorporate any national requirements over and beyond the international standards described above. In cases when a fully-fledged Environmental and Social Impact Assessment is conducted, UNDP will also monitor due compliance with the measures and recommendations identified through such assessments²⁴.

6.2. Evaluation Plan²⁵

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNSCDF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Final Evaluation	BNPB, Bappenas	Output 3.3	3 (Institutions, communities and people actively apply and implement low carbon development, sustainable natural resources management, and disaster resilience approaches that are all gender sensitive)	April 2024	BNPB, BAPPENAS, KFW	USD 25,000 KFW

²⁴ For more details on the SES and compliance mechanisms during civil works please refer to section 2.2.2.

²⁵ Optional, if needed

VII. MULTI-YEAR WORK PLAN ²⁶²⁷

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Actual				Planned Budget by Year						RESPO NSIBLE PARTY	Budget Descriptio n	TOTAL ACTUAL 2019 - 2021	TOTAL 2022 & 2024 BUDGET	TOTAL in USD	
		2019	2020	2021	TOTAL	2022			2023	2024	TOTAL			Amount	Amount	Amount	
		Expense	Expense	Expense		Comm as of 31 Oct	Expense as of 31 Oct	Plan Exp until Nov and Dec									
Output 1 - 113535																	
Rehabilitat ion and Reconstru ction of partially and fully damaged infrastructure for provision of critical public services which cover gender needs and other gender concerns	1.1. Provide support to the finalizatio n/updatin g of the Multi- Hazard Risk Assessmen t and Mapping for Central Sulawesi and Lombok	118,817.51	114,878.82	11,588.05	245,284.38		(166,358.84)	17,483.03			(148,875.81)	UNDP	International and Local Consultants, Travel, Training, Workshops and Conference	245,284.38	(148,875.81)	96,408.57	
	1.2 Complete a detailed annual investmen t plan for	49,340.38	22,227.22		71,567.60		(27,191.19)				(27,191.19)	UNDP	International and Local Consultants,	71,567.60	(27,191.19)	44,376.41	

²⁶ Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

²⁷ Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Actual				Planned Budget by Year						RESPO NSIBLE PARTY	Budget Descriptio n	TOTAL ACTUAL 2019 - 2021	TOTAL 2022 & 2024 BUDGET	TOTAL in USD	
		2019	2020	2021	TOTAL	2022			2023	2024	TOTAL			Amount	Amount	Amount	
		Expense	Expense	Expense		Comm as of 31 Oct	Expense as of 31 Oct	Plan Exp until Nov and Dec									
	local recovery, in close consultation with relevant national and local authorities and local communities																
	1.3 Conduct of tendering processes for (a) Civil works design and supervision (stage one) and (b) Construction (stage two) – using 'Build Back' Better principles	78,279.00	1,107,062.90	497,431.63	1,682,773.53	427,764.54	565,148.00	750,000.00			1,742,912.54	UNDP	Contractual Service Companies, Audio Visual and Printing Productions costs Training, Workshops and Conference	1,682,773.53	1,742,912.54	3,425,686.07	
	1.4. Civil works/Construction: Contract management and	1,196.03	490,434.87	6,628,044.48	7,119,675.38	2,010,835.86	3,406,786.94	270,281.50	3,723,900.00	520,000.00	9,931,804.30	UNDP	Local Consultant Contractual Service - Individual, Contractual Service Companies Audio Visual and	7,119,675.38	9,931,804.30	17,051,479.68	

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Actual				Planned Budget by Year						RESPO NSIBLE PARTY	Budget Descriptio n	TOTAL ACTUAL 2019 - 2021	TOTAL 2022 & 2024 BUDGET	TOTAL in USD
		2019	2020	2021	TOTAL	2022			2023	2024	TOTAL			Amount	Amount	Amount
		Expense	Expense	Expense		Comm as of 31 Oct	Expense as of 31 Oct	Plan Exp until Nov and Dec								
	supervision												Printing Production Costs			
	1.5 Provision of equipment to accelerate the restoration and enhancement of critical public services, in close coordination with national and local authorities	-	181,486.76	-	181,486.76		3,414.76		571,420.54	86,194.66	661,029.96	UNDP	Material and Goods	181,486.76	661,029.96	842,516.72
	1.6 Provision of formal and on-the-job training to relevant sub-national authorities and community	7,497.22	(7,497.22)		-					74,425.48	74,425.48	UNDP	Training, Workshops and Conference	-	74,425.48	74,425.48

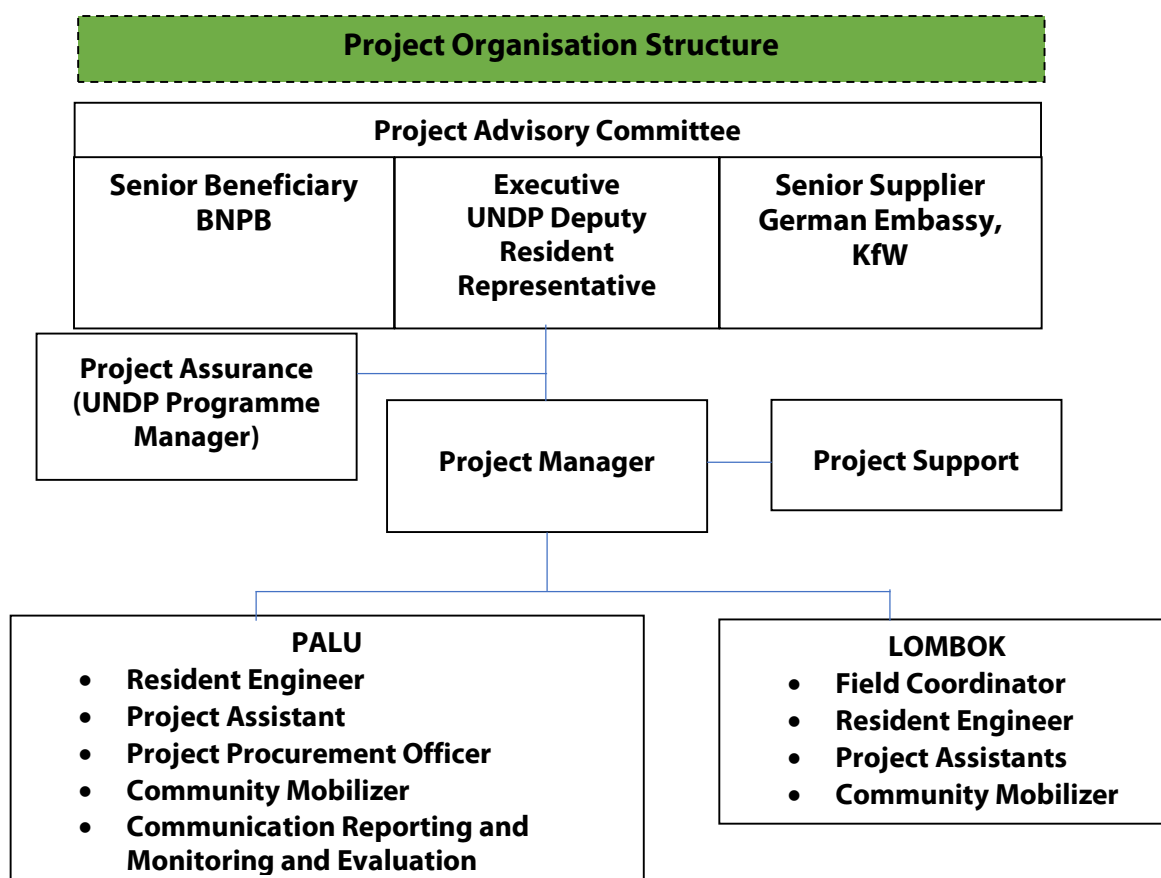
EXPECTED OUTPUTS	PLANNED ACTIVITIES	Actual				Planned Budget by Year						RESPO NSIBLE PARTY	Budget Descriptio n	TOTAL ACTUAL 2019 - 2021	TOTAL 2022 & 2024 BUDGET	TOTAL in USD	
		2019	2020	2021	TOTAL	2022			2023	2024	TOTAL			Amount	Amount	Amount	
		Expense	Expense	Expense		Comm as of 31 Oct	Expense as of 31 Oct	Plan Exp until Nov and Dec									
	organizati ons																
	General Management Cost (GMS)	20,374.56	152,941.07	577,433.50	750,749.13		292,990.58	280,976.16	343,625.64	54,449.61	972,042.00	UNDP	General Managem ent Support	750,749.13	972,042.00	1,722,791.13	
	SUBTOTAL OUTPUT 1 - 00113535	275,504.70	2,061,534.42	7,714,497.66	10,051,536.78	2,438,600.40	4,074,790.25	1,318,740.69	4,638,946.18	735,069.75	13,206,147.28		-	10,051,536.78	13,206,147.28	23,257,684.06	
Output 2 - 00 113549																	
Rehabilitat ion of affected communit ies economic infrastruct ure to promote more resilient and sustainabl e livelihood s for both men and women	2.1 Facilitate communit y led processes for the identificati on and prioritizati on of critical local economic assets (infrastruct ure) to be recovered	14,850.66	64,807.93	1,151.43	80,810.02		(17,051.17)	(11,518.42)	-	-	(28,569.59)	UNDP	Local Consultant s Training,W orkshops and Conference	80,810.02	(28,569.59)	52,240.43	
	2.2 Conductio n of tendering processes for the	6,846.77	(6,846.77)	(8,821.33)	(8,821.33)		380.77				380.77	UNDP	Rental and Maintenan ce of Other Equipment	(8,821.33)	380.77	(8,440.56)	

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Actual				Planned Budget by Year						RESPO NSIBLE PARTY	Budget Description	TOTAL ACTUAL 2019 - 2021	TOTAL 2022 & 2024 BUDGET	TOTAL in USD	
		2019	2020	2021	TOTAL	2022			2023	2024	TOTAL			Amount	Amount	Amount	
		Expense	Expense	Expense		Comm as of 31 Oct	Expense as of 31 Oct	Plan Exp until Nov and Dec						Amount	Amount	Amount	
	rehabilitation of prioritized community (economic) infrastructure																
	2.3 Civil works/construction : Contract management and supervision	-	48,040.22	627,092.70	675,132.92	2,076.00	106,492.23		72,213.53		180,781.76	UNDP	Local Consultants Contractual Service - Company Grants	675,132.92	180,781.76	855,914.68	
	2.4 Implementation of small scale, cash for work schemes through NGOs/CSOs - debris removal and debris management	392.97	261,299.25	35,184.64	296,876.86		30,359.87	134,596.66	98,317.78	64,720.28	327,994.59	UNDP	Local Consultants Contractual Service Individual Grants	296,876.86	327,994.59	624,871.45	
	2.5 Design and piloting of a recycling and sorting facility, with the engagement	-	1,793.02	5,567.92	7,360.94		8,093.08	41,869.07			49,962.15	UNDP	Local Consultant Contractual Service - Individual Contractual Service Company Grants	7,360.94	49,962.15	57,323.09	

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Actual				Planned Budget by Year						RESPONSIBLE PARTY	Budget Description	TOTAL ACTUAL 2019 - 2021	TOTAL 2022 & 2024 BUDGET	TOTAL in USD	
		2019	2020	2021	TOTAL	2022			2023	2024	TOTAL			Amount	Amount	Amount	
		Expense	Expense	Expense		Comm as of 31 Oct	Expense as of 31 Oct	Plan Exp until Nov and Dec						Amount	Amount	Amount	
	nt of local authorities and communities																
	General Management Cost (GMS)	1,765.70	29,181.38	52,694.08	83,641.16		9,490.17	14,601.17	13,642.50	5,177.62	42,911.47	UNDP	General Management Support	83,641.16	42,911.47	126,552.63	
	SUBTOTAL OUTPUT 2 - 00113549	23,856.10	398,275.03	712,869.44	1,135,000.57	2,076.00	137,764.95	179,548.48	184,173.81	69,897.90	573,461.15		-	1,135,000.57	573,461.15	1,708,461.72	
Output 3 - 00 114397																	
Project Management Unit	3.1 Project Management Unit	428,239.37	520,095.63	506,564.97	1,454,899.97	-	327,849.50	59,000.00	224,661.30	24,000.00	635,510.80	UNDP	Contractual Service Individual - PMU	1,454,899.97	635,510.80	2,090,410.77	
	3.2 Programme Staff (Project Quality Assurance, Technical Guidance and Support oversight)	56,019.81	108,904.45	102,585.61	267,509.87		86,856.18	15,519.15	-	-	102,375.33	UNDP	Contractual Service Individual - Programme	267,509.87	102,375.33	369,885.20	
	3.3 Travel (for quality control/supervision; technical support; administrative)	66,087.18	14,100.78		80,187.96		21,348.49		8,925.42	5,000.00	35,273.91	UNDP	Travel	80,187.96	35,273.91	115,461.87	

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Actual				Planned Budget by Year						RESPO NSIBLE PARTY	Budget Descriptio n	TOTAL ACTUAL 2019 - 2021	TOTAL 2022 & 2024 BUDGET	TOTAL in USD	
		2019	2020	2021	TOTAL	2022			2023	2024	TOTAL			Amount	Amount	Amount	
		Expense	Expense	Expense		Comm as of 31 Oct	Expense as of 31 Oct	Plan Exp until Nov and Dec									
	support,oversight,etc) - Non Consulting Personnel																
	3.4 Other Operating Expenses	129,799.77	251,920.26	241,758.65	623,478.68	24,433.24	165,831.10	(276,379.65)	10,000.00	10,000.00	(66,115.31)	UNDP	Operational for PMU	623,478.68	(66,115.31)	557,363.37	
	3.5 Communications and Publications	6,834.75	15,910.47	31,465.54	54,210.76		2,163.57	(22,895.03)	-	-	(20,731.46)	UNDP	Communication and Publication	54,210.76	(20,731.46)	33,479.30	
	3.6 Evaluation and Audit	45.53	19.51		65.04		9,802.50		11,370.00	30,000.22	51,172.72	UNDP	Audit service fee	65.04	51,172.72	51,237.76	
	General Management Cost (GMS)	54,930.18	72,906.65	70,599.99	198,436.82		43,097.29	(10,023.57)	20,396.54	5,520.02	58,990.27	UNDP	General Management Support	198,436.82	58,990.27	257,427.09	
	SUBTOTAL OUTPUT 3 - 00114397	741,956.59	983,857.75	952,974.76	2,678,789.10	24,433.24	656,948.63	(234,779.10)	275,353.26	74,520.24	796,476.26		-	2,678,789.10	796,476.26	3,475,265.36	
	GRAND TOTAL	1,041,317.39	3,443,667.20	9,380,341.86	13,865,326.45	2,465,109.64	4,869,503.83	1,263,510.07	5,098,473.26	879,487.89	14,576,084.69		-	13,865,326.45	14,576,084.69	28,441,411.14	

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENT²⁸



Project Advisory Committee.

At a strategic level, a Project Advisory Committee will be established with the participation of relevant stakeholders – BAPPENAS, BNPB, other relevant national and Provincial stakeholders, KfW, German Embassy and UNDP²⁹. The Committee will provide strategic guidance to PETRA and facilitate due coordination to ensure PETRA’s investment priorities (investment plan) contribute to the Reconstruction Master Plan in the most effective way³⁰. The committee will also advise on scaling up project experiences and lessons learned widely across different provinces and at the national level. It will typically meet twice a year; however, ad hoc meetings can be arranged on a need basis.

²⁸ See annex 4. Page.89

²⁹ Senior official from KfW, UNDP and echelon I officials from Bappenas and BNPB. The committee may invite relevant officials from Ministry of Public Work, Ministry of Finance, Ministry of Education and Ministry of Health and other national and local agencies when required.

³⁰ It is important for the project to align the activities with the national development plan and priorities. While BPBD with support from BNPB will conduct *JituPASNA* followed by *Renaksi* development, Bappenas will focus on developing a master plan for Palu recovery. This master plan along with the *Renaksi* (recovery action plan) resulting from the *JituPASNA* exercise will serve as the main reference for any Palu recovery initiatives conducted by different partners

Quarterly meetings will be arranged between UNDP CO and KfW to provide strategic guidance and steering to the project implementation. Decisions about investment priorities, modifications in work plans, re-allocation of budget along the budget lines, etc. will be taken during these meetings.

Oversight and Quality Assurance

The second tier of PETRA's governance system will address project implementation, assurance (or quality control) and oversight dimensions. PETRA's implementation will support coordination by government through Bappenas and BNPB.

PETRA will be implemented according to UNDP's procedures, rules, and regulations, which are premised on the highest standard of transparency, accountability, efficiency, and effectiveness. The project, as all UNDP projects, will be subject to rigorous Quality Assurance processes – including assess socio-economic and environmental impact assessment for each infrastructure facility selected for rehabilitation and reconstruction. UNDP's financial management protocols and oversight procedures, coupled with the organization's own Enterprise Resource Planning (ERP) system (known as 'ATLAS'), ensures that financial transactions (including project's financial transactions) are duly recorded and traceable through an online platform - accessible 24/7 to UNDP's management and to UNDP's corporate Office of Financial Resource Management, UNDP's Office of Audit and Investigations and UNDP's Independent Evaluation Office. In line with UNDP's rules and regulations, review/clearance of high-value procurement activities will be undertaken by the regional office or HQs.

IX. LEGAL CONTEXT

The project document shall be the instrument envisaged and defined in the Supplemental Provisions to the Project Document, attached hereto and forming an integral part hereof, as “the Project Document”.

This project will be implemented by UNDP (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

X. RISK MANAGEMENT

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS).
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the project funds are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse (“SEA”) and sexual harassment (“SH”) allegations in accordance with its regulations, rules, policies and procedures.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, sub-contractor, and sub-recipient:
 - a. Consistent with the Article III of the Supplemental Provisions to the Project Document, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible parties, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor, and sub-recipient. To this end, each responsible party, subcontractor, and sub-recipient shall:
 - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried.

- ii. assume all risks and liabilities related to such responsible parties, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
- b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible parties, subcontractors, and sub-recipient's obligations under this Project Document.
- c. Each responsible party, subcontractor, and sub-recipient (each a "sub-party" and together "sub-parties") acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the sub-parties, and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.
 - (a) In the implementation of the activities under this Project Document, each sub-party shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").
 - (b) Moreover, and without limitation to the application of other regulations, rules, policies, and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, each sub-party, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment, or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.
- d. In the performance of the activities under this Project Document, each sub-party shall (with respect to its own activities) and shall require from its sub-parties (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures to be able to take effective preventive and investigative action. These should include policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, sub-parties will and will require that their respective sub-parties will take all appropriate measures to:
 - (i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA.
 - (ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP.
 - (iii) Report and monitor allegations of SH and SEA of which any of the sub-parties have been informed or have otherwise become aware, and status thereof.
 - (iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
 - (v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the relevant

sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

- e. Each sub-party shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
- f. Each responsible party, subcontractor and sub-recipient will ensure that any project activities undertaken by them will be implemented in a manner consistent with the UNDP Social and Environmental Standards and shall ensure that any incidents or issues of non-compliance shall be reported to UNDP in accordance with UNDP Social and Environmental Standards.
- g. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud, corruption, or other financial irregularities, by its officials, consultants, subcontractors, and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption, anti-fraud, and anti-money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.
- h. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor, and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices (b) UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy; and (c) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
- i. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors', and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- j. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud, corruption other financial irregularities with due confidentiality. Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation
- k. UNDP will be entitled to a refund from the responsible party, subcontractor, or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding

is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors, and sub-recipients.

- l. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- m. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- n. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

ANNEXES

- Annex 1. Project Quality Assurance Report
- Annex 2. Social and Environmental Screening
- Annex 3. Risk Analysis.
Use the standard [Risk Log template](#). Please refer to the [Deliverable Description of the Risk Log](#) for instructions
- Annex 4. Project Board Terms of Reference and TORs of key management positions
- Annex 5. Supplemental Provisions to the Project Document: The Legal Context
- Annex 6. Assessment Criteria, List of Proposed Project Activities and Verified by BAPPENAS, BNPB, West Nusa Tenggara Provincial Government, UNDP and KfW on 26 March 2019.
- Annex 7. Assessment Criteria, List of Proposed Project Activities and Verified by BAPPENAS, BNPB, Central Sulawesi Provincial Government, UNDP and KfW on 21 May 2019.
- Annex 8. UNDP Low Value Grant Agreement (LVGA) Criteria.

Annex 1. Project Quality Assurance Report

Design and Appraisal phase

<https://intranet-apps.undp.org/ProjectQA/Forms/Design?fid=4507&year=2019&ou=IDN&pid=00116311&fltr=PROJECT>

Implementation and monitoring phase

<https://intranet-apps.undp.org/ProjectQA/Forms/Implementation?fid=11565&year=2021&ou=IDN&pid=00116311&fltr=PROJECT>

Annex 2. Social and Environmental Screening

Project Information

Project Information	
1. Project Title	Sulawesi/Lombok Programme for Earthquake and Tsunami Infrastructure Reconstructive Assistance
2. Project Number (i.e. Atlas project ID, PIMS+)	00116311
3. Location (Global/Region/Country)	Indonesia
4. Project stage (Design or Implementation)	Implementation
5. Date	1 st January 2019 – 30 th June 2024

Part A. Integrating Programming 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?
<i>Briefly describe in the space below how the project mainstreams the human rights-based approach</i>
The project will consult all stakeholders including the poor and vulnerable throughout the project cycle. Any potential impacts will be identified and will be addressed in a timely way.
<i>Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment</i>
The project will actively involve women throughout the project cycle. All rehabilitation and reconstruction works will be assessed to ensure they are appropriate for women, girls and people with disabilities. For example, adequate and appropriate toilets, ease of access and other facilities required by Indonesian law, like breastfeeding rooms.
<i>Briefly describe in the space below how the project mainstreams sustainability and resilience</i>
The project will follow international standards and Indonesian law to ensure environmental sustainability is mainstreamed throughout. The Environmental Management Plans (EMP) will ensure all infrastructure address any potential environmental risks post-handover. All EMP will be discussed with the beneficiary of the infrastructure to ensure it is understood, budget allocated to operate and maintain the assets post-handover. All infrastructures will be designed to minimize environmental impact wherever possible.
<i>Briefly describe in the space below how the project strengthens accountability to stakeholders</i>
The project will follow the UNDP protocol, project document as well as relevant national and local rule and regulation to ensure relevant stakeholders are well informed and involve. The project will regularly communicate and coordinate project plan, progress and results to all relevant stakeholders at national, sub-national and local level.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i>			QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High												
<i>Risk Description (broken down by event, cause, impact)</i>	<i>Impact and Likelihood (1-5)</i>	<i>Significance (Low, Moderate Substantial, High)</i>	<i>Comments (optional)</i>	<i>Description of assessment and management measures for risks rated as Moderate, Substantial or High</i>												
Risk 1: Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	I = 1 L = 4	Medium	The project will construct an integrated landfill facility. Also support to medical facilities will result in possible management of medical waste management	EIA (AMDAL) in line with international standards and Indonesian Law												
Risk 2: Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	I = 4 L = 4	Medium	Debris management and recycling activities.	OSH Risk management strategy to minimise potential risks. Use of PPE, safe disposal of waste.												
[add additional rows as needed]																
QUESTION 4: What is the overall project risk categorization?																
<table border="1"> <tr> <td>Low Risk</td> <td><input type="checkbox"/></td> <td></td> </tr> <tr> <td>Moderate Risk</td> <td><input checked="" type="checkbox"/></td> <td>Construction related waste is the main risk.</td> </tr> <tr> <td>Substantial Risk</td> <td><input type="checkbox"/></td> <td></td> </tr> <tr> <td>High Risk</td> <td><input type="checkbox"/></td> <td></td> </tr> </table>					Low Risk	<input type="checkbox"/>		Moderate Risk	<input checked="" type="checkbox"/>	Construction related waste is the main risk.	Substantial Risk	<input type="checkbox"/>		High Risk	<input type="checkbox"/>	
Low Risk	<input type="checkbox"/>															
Moderate Risk	<input checked="" type="checkbox"/>	Construction related waste is the main risk.														
Substantial Risk	<input type="checkbox"/>															
High Risk	<input type="checkbox"/>															
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (Check all that apply)																
Question only required for Moderate, Substantial and High Risk projects																
<i>Is assessment required? (check if "yes")</i>	<input type="checkbox"/>			<i>Status? (Completed, planned)</i>												
<i>if yes, indicate overall type and status</i>		<input checked="" type="checkbox"/>	Targeted assessment(s)	Completed												
		<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)													

		<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)	
	Are management plans required? (check if "yes")	<input type="checkbox"/>		
		<input checked="" type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	Completed
		<input checked="" type="checkbox"/>	ESMF (Environmental and Social Management Framework)	Completed
	Based on identified risks, which Principles/Project-level Standards triggered?		Comments (not required)	
	Overarching Principle: Leave No One Behind			
	Human Rights	<input checked="" type="checkbox"/>	Conflict risk – Stakeholder engagement, grievance mechanism	
	Gender Equality and Women's Empowerment	<input type="checkbox"/>		
	Accountability	<input type="checkbox"/>		
	1. Biodiversity Conservation and Sustainable Natural Resource Management	<input type="checkbox"/>		
	2. Climate Change and Disaster Risks	<input type="checkbox"/>		
	3. Community Health, Safety and Security	<input checked="" type="checkbox"/>	OSH risk assessment and management plan	
	4. Cultural Heritage	<input type="checkbox"/>		
	5. Displacement and Resettlement	<input type="checkbox"/>		
	6. Indigenous Peoples	<input type="checkbox"/>		
	7. Labor and Working Conditions	<input type="checkbox"/>		
	8. Pollution Prevention and Resource Efficiency	<input checked="" type="checkbox"/>	Municipal and Medical waste management strategies.	

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

Signature	Date	Description
QA Assessor		Budhi Ulaen National Project Manager PETRA
QA Approver		Sujala Pant Deputy Resident Representative
PAC Chair		

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
<p>INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.</p>		
<p>Overarching Principle: Leave No One Behind</p> <p>Human Rights</p>		Answer (Yes/No)
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	NO
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	NO
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	NO
<i>Would the project potentially involve or lead to:</i>		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	NO
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? ¹⁶	NO
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	NO
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	NO
Gender Equality and Women's Empowerment		
P.8	Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	NO
<i>Would the project potentially involve or lead to:</i>		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	NO
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	NO
P.11	limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	NO
P.12	exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	NO

¹⁶ Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people.

Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
<i>Would the project potentially involve or lead to:</i>		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	NO
P.14	grievances or objections from potentially affected stakeholders?	NO
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	NO
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
<i>Would the project potentially involve or lead to:</i>		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	NO
1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	NO
1.3	changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	NO
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	NO
1.5	exacerbation of illegal wildlife trade?	NO
1.6	introduction of invasive alien species?	NO
1.7	adverse impacts on soils?	NO
1.8	harvesting of natural forests, plantation development, or reforestation?	NO
1.9	significant agricultural production?	NO
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	NO
1.11	significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	NO
1.12	handling or utilization of genetically modified organisms/living modified organisms? ¹⁷	NO
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ¹⁸	NO
1.14	adverse transboundary or global environmental concerns?	NO
Standard 2: Climate Change and Disaster Risks		
<i>Would the project potentially involve or lead to:</i>		

¹⁷ See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

¹⁸ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

2.1	areas subject to hazards such as earthquakes, floods, landslides, severewinds, storm surges, tsunami, or volcanic eruptions?	NO
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	NO
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	NO
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	NO
Standard 3: Community Health, Safety and Security		
<i>Would the project potentially involve or lead to:</i>		
3.1	construction and/or infrastructure development (e.g., roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	NO
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	NO
3.3	harm or losses due to failure of structural elements of the project (e.g., collapse of buildings or infrastructure)?	NO
3.4	risks of water-borne or other vector-borne diseases (e.g., temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	NO
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g., explosives, fuel and other chemicals during construction and operation)?	NO
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g., food, surface water purification, natural buffers from flooding)?	NO
3.7	influx of project workers to project areas?	NO
3.8	engagement of security personnel to protect facilities and property or to support project activities?	NO
Standard 4: Cultural Heritage		
<i>Would the project potentially involve or lead to:</i>		
4.1	activities adjacent to or within a Cultural Heritage site?	NO
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	NO
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	NO
4.4	alterations to landscapes and natural features with cultural significance?	NO
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	NO
Standard 5: Displacement and Resettlement		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	NO

5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	NO
5.3	risk of forced evictions? ¹⁹	NO
5.4	impacts on or changes to land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources?	NO
Standard 6: Indigenous Peoples		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	NO
6.2	activities located on lands and territories claimed by indigenous peoples?	NO
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to screening question 6.3 is “yes”, then Standard 6 requirements apply, and the potential significance of risks related to impacts on indigenous peoples must be Moderate or above.*</i>	NO
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	NO
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	NO
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	NO
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	NO
6.8	risks to the physical and cultural survival of indigenous peoples?	NO
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	NO
Standard 7: Labour and Working Conditions		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
7.1	working conditions that do not meet national labour laws and international commitments?	NO
7.2	working conditions that may deny freedom of association and collective bargaining?	NO
7.3	use of child labour?	NO
7.4	use of forced labour?	NO
7.5	discriminatory working conditions and/or lack of equal opportunity?	NO
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life cycle?	NO

¹⁹Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

Standard 8: Pollution Prevention and Resource Efficiency		
<i>Would the project potentially involve or lead to:</i>		
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	NO
8.2	the generation of waste (both hazardous and non-hazardous)?	NO
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	NO
8.4	the use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention</i>	NO
8.5	the application of pesticides that may have a negative effect on the environment or human health?	NO
8.6	significant consumption of raw materials, energy, and/or water?	NO

Annex 3. Risk Analysis (Offline Risk Log)

(see Deliverable Description for the Risk Log regarding its purpose and use)

Project Title: Sulawesi/Lombok Programme for Earthquake and Tsunami Infrastructure Reconstructive Assistance	Project Number: 00116311	Date: 30-Jun-24
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#	Event	Cause	Impact(s)	Risk Category and Sub-category (including Risk Appetite)	Impact, Likelihood & Risk Level (See Annex 3 Risk Matrix)	Risk Valid From/To	Risk Owner (Individual accountable for managing the risk)	Risk Treatment and Treatment Owner
1	There is a risk that a leachate from the waste management facility	As a result of Damaged waste facilities impacted by the earthquake	Which will impact in damage to the quality of surrounding environment for example the aquifer if the leachate from the waste management facility was not treated appropriately.	1. SOCIAL AND ENVIRONMENTAL (1.6. Community health, safety and security) - UNDP Risk Appetite: CAUTIOUS	Likelihood: 3 - Moderately likely Impact: 3 - Intermediate Risk level: MODERATE (equates to a risk appetite of EXPLORATORY)	From: 18-Dec-18 To: 28-Feb-23	Project Manager	<p>Risk Treatment 1.1: Environmental and Social Management Framework to identify and plan for potential risks. Each subproject will have its own environmental and social risk management.</p> <p>Risk Treatment Owner: Project Manager</p> <p>Risk Treatment 1.2: ESMF integrated into RFPs/ ITBs of design, construction, and supervision.</p> <p>Risk Treatment Owner: Project Manager</p> <p>Risk Treatment 1.3: Include reconstruction of waste management facilities amongst priority targets</p> <p>Risk Treatment Owner: Project Manager</p>

#	Event	Cause	Impact(s)	Risk Category and Sub-category <i>(including Risk Appetite)</i>	Impact, Likelihood & Risk Level <i>(See Annex 3 Risk Matrix)</i>	Risk Valid From/To	Risk Owner <i>(Individual accountable for managing the risk)</i>	Risk Treatment and Treatment Owner
2	There is a risk that occupational health and safety due to physical, chemical, biological, and radiological hazards during project construction, operation, or decommissioning	As a result of project construction, operation, or decommissioning may carry occupational risks such as contaminants during demolition and/or construction	Which will impact in contaminants during demolition, construction	1. SOCIAL AND ENVIRONMENTAL (1.10. Labour and working conditions) - UNDP Risk Appetite: CAUTIOUS	Likelihood: 3 - Moderately likely Impact: 3 - Intermediate Risk level: MODERATE (equates to a risk appetite of EXPLORATORY)	From: 18-Dec-18 To: 31-Oct-23	Project Manager	<p>Risk Treatment 2.1: Environmental and Social Management Framework to identify and plan for potential risks. Each subproject will have its own environmental and social risk management plan.</p> <p>Risk Treatment Owner: Project manager</p> <p>Risk Treatment 2.2: Project ensured use of PPE by project personnel, partners, and involved beneficiaries, i.e. in Cash-for-Work, in demolition and construction related activities</p> <p>Risk Treatment Owner: Project Manager</p> <p>Risk Treatment 2.3: Adopting Gol standard policy on COVID-19 Preventive Measures in Construction Works.</p> <p>Risk Treatment Owner: Project Manager</p>

#	Event	Cause	Impact(s)	Risk Category and Sub-category (including Risk Appetite)	Impact, Likelihood & Risk Level (See Annex 3 Risk Matrix)	Risk Valid From/To	Risk Owner (Individual accountable for managing the risk)	Risk Treatment and Treatment Owner
3	There is a risk that the national and sub-national stakeholders do not support PETRA's objectives and are not willing to cooperate.	As a result of changes in government structure, both at national and sub-national level may affect the project implementation. New structure may have different priorities.	Which will impact in project would not be able to identify and restore damaged infrastructure.	7. STRATEGIC (7.6. Change/turnover in government) - UNDP Risk Appetite: OPEN TO SEEKING	Likelihood: 2 - Low likelihood Impact: 3 - Intermediate Risk level: MODERATE (equates to a risk appetite of EXPLORATORY)	From: 18-Dec-18 To: 31-Oct-23	Project Manager	Risk Treatment 3.1: Active consultation with the government at all stages of the programme. Seek approval from government on the proposed infrastructure. Develop a consultation and monitoring framework with Government stakeholder for the design and construction work of infrastructure sub-projects. Risk Treatment Owner: Project Manager
4	There is a risk that qualified construction companies are not (a) available in the market, (b) interested to engage in the	As a result of some requirements may be difficult to be met by the interested qualified bidders.	Which will impact in poorly constructed infrastructure will place communities at risk	3. OPERATIONAL (3.5. Partners' engagement) - UNDP Risk Appetite: EXPLORATORY TO OPEN	Likelihood: 3 - Moderately likely Impact: 3 - Intermediate	From: 18-Dec-18 To: 31-Dec-22	Project Manager	Risk Treatment 4.1: Asking potential companies to submit EOI. Ensure tenders are widely advertised; Prepare detailed RFQs/ITBs;

#	Event	Cause	Impact(s)	Risk Category and Sub-category <i>(including Risk Appetite)</i>	Impact, Likelihood & Risk Level <i>(See Annex 3 Risk Matrix)</i>	Risk Valid From/To	Risk Owner <i>(Individual accountable for managing the risk)</i>	Risk Treatment and Treatment Owner
	implementation of the various components of the civil works/contracts				Risk level: MODERATE (equates to a risk appetite of EXPLORATORY)			RFQs/ ITBs are packaged in accordance with Gol's standard classification of construction companies' financial capacity. Risk Treatment Owner: Project Manager Risk Treatment 4.2: Re-strategizing construction tender subprocess; Adopting Gol standard policy on COVID-19 Preventive Measures in Construction Works.Risk Treatment Owner: Project Manager Risk Treatment 4.3: Intensifying communications as part of monitoring and oversight over partners in assuring delivery of contracted works. Risk Treatment Owner: Project Manager
5	There is a risk that eligible CSOs/ NGOs are not able	As a result of low level of awareness of the project may	Which will impact in CSOs/NGOs are not able to	3. OPERATIONAL (3.5. Partners'	Likelihood: 2 - Low likelihood	From: 18-Dec-18	Project Manager	Risk Treatment 5.1: Select local NGOs that already have

#	Event	Cause	Impact(s)	Risk Category and Sub-category <i>(including Risk Appetite)</i>	Impact, Likelihood & Risk Level <i>(See Annex 3 Risk Matrix)</i>	Risk Valid From/To	Risk Owner <i>(Individual accountable for managing the risk)</i>	Risk Treatment and Treatment Owner
	to engage with the community, or do not have appropriate experience.	result in reluctance in communities.	mobilize communities to support project implementation, including the rehabilitation of community economic infrastructure, and are willing to receive and adhere to UNDP's advice with regards to required social,	engagement) - UNDP Risk Appetite: EXPLORATORY TO OPEN	Impact: 3 - Intermediate Risk level: MODERATE (equates to a risk appetite of EXPLORATORY)	To: 31-Dec-22		community networks in Palu and Lombok. Establish, review and update NGO/ CSO roster; Maintain relationship with NGO previously worked with UNDP through informal discussion and learning forum. Risk Treatment Owner: Project Manager

#	Event	Cause	Impact(s)	Risk Category and Sub-category <i>(including Risk Appetite)</i>	Impact, Likelihood & Risk Level <i>(See Annex 3 Risk Matrix)</i>	Risk Valid From/To	Risk Owner <i>(Individual accountable for managing the risk)</i>	Risk Treatment and Treatment Owner
			environmental and safety standards.					<p>Risk Treatment 5.2: Keep abreast of activities and/or event managed by potential NGOs/ CSOs, to indirectly monitor their capacities and performance; Adopting GoI standard policies on COVID-19 Preventive Measures in Construction Works issued by MOPW, and similar COVID-19 preventive measures policy in conducting Village-based Cash for Work issued by MoV by end of March 2020.</p> <p>Risk Treatment Owner: Project Manager</p>

#	Event	Cause	Impact(s)	Risk Category and Sub-category <i>(including Risk Appetite)</i>	Impact, Likelihood & Risk Level <i>(See Annex 3 Risk Matrix)</i>	Risk Valid From/To	Risk Owner <i>(Individual accountable for managing the risk)</i>	Risk Treatment and Treatment Owner
6	There is a risk that Local communities will not engage with the project and have a low sense of ownership for project results, including rehabilitated/ reconstructed local community infrastructure.	As a result of low level of awareness of the project at the targeted community	Which will impact in community Infrastructure not operated or maintained.	3. OPERATIONAL (3.5. Partners' engagement) - UNDP Risk Appetite: EXPLORATORY TO OPEN	Likelihood: 2 - Low likelihood Impact: 3 - Intermediate Risk level: MODERATE (equates to a risk appetite of EXPLORATORY)	From: 18-Dec-18 To: 30-Mar-23	Project Manager	Risk Treatment 6.1: Community mobilizer involves communities at all stages of the project cycle; Engagement with communities and local government started before assignment of Implementing Partners to sense on their acceptance towards the Project's scope of intervention. Risk Treatment Owner: Project Manager

7	There is a risk that social distancing policy and consequently limitations to physical activities may likely slowing the project implementation progress.	As a result of COVID-19 global pandemic	Which will impact in health risk to project personnel, beneficiaries and other involved stakeholders	3. OPERATIONAL (3.7. Occupational safety, health and well-being) - UNDP Risk Appetite: EXPLORATORY TO OPEN	Likelihood: 2 - Low likelihood Impact: 3 - Intermediate Risk level: MODERATE (equates to a risk appetite of EXPLORATORY)	From: 16-Mar-20 To: 30 June - 24	Project Manager	Risk Treatment 7.1: Set up protocol for safety, especially activities that required physical contact. Optimizing utilization of online technology platform as media for coordination and communication. Revisiting workplan and target. Re-strategizing activities monitoring and supervision by optimizing the visual documentation. Implementation of construction activities by putting in practice the COVID-19 Prevention Measures in Construction Works. Optimizing utilization of online technology platform as media for coordination and communication; Revisiting workplan and target; Re-strategizing activities monitoring and supervision by optimizing the visual documentation. Risk Treatment Owner: Project Manager
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#	Event	Cause	Impact(s)	Risk Category and Sub-category <i>(including Risk Appetite)</i>	Impact, Likelihood & Risk Level <i>(See Annex 3 Risk Matrix)</i>	Risk Valid From/To	Risk Owner <i>(Individual accountable for managing the risk)</i>	Risk Treatment and Treatment Owner
8	There is a risk that disrupted access to sites, sites' condition, and damaged construction in progress due to heavy rain, strong winds, and flashfloods in project locations	As a result of natural hazards event	Which will impact in slow the pace of activities implementation and incur project's financial implications	1. SOCIAL AND ENVIRONMENTAL (1.5. Climate change and disaster risks) - UNDP Risk Appetite: CAUTIOUS	Likelihood: 3 - Moderately likely Impact: 3 - Intermediate Risk level: MODERATE (equates to a risk appetite of EXPLORATORY)	From: 09-Aug-20 To: 30-June-24	Project Manager	Risk Treatment 8.1: Closely monitor meteorological data and trends jointly with implementing partners and discussed relevant anticipative measures. Risk Treatment Owner: Project Manager Risk Treatment 8.2: Construct scenarios and possible approaches and strategies in project activity implementation, including scenarios on securing work-in-progress construction sites Risk Treatment Owner: Project Manager
9	There is a risk that project implementation affected by new interest or policy of new local government leadership, or to the worst scenario,	As a result of general elections activities in the Project's target provinces and municipality/district, and PETRA Project is associated with any of incumbents who	Which will impact in less support from the new Provincial/District Government administration to or interruption in project activity implementation	7. STRATEGIC (7.6. Change/turnover in government) - UNDP Risk Appetite: OPEN TO SEEKING	Likelihood: 2 - Low likelihood Impact: 3 - Intermediate Risk level:	From: 31-Jul-20 To: 30-Jun-24	Project Manager	Risk Treatment 9.1: Maintain neutrality in communication and coordination, including individual interactions; regularly update key stakeholders on implementation progress through

#	Event	Cause	Impact(s)	Risk Category and Sub-category (including Risk Appetite)	Impact, Likelihood & Risk Level (See Annex 3 Risk Matrix)	Risk Valid From/To	Risk Owner (Individual accountable for managing the risk)	Risk Treatment and Treatment Owner
	an "elite capture" situation	were actively involved in project planning.			MODERATE (equates to a risk appetite of EXPLORATORY)			written materials that widely distributed. Risk Treatment Owner: Project Manager
10	There is a risk that reduced or loosen institutional memory and commitment of new local government structure towards PETRA Project	As a result of general elections may result in new leadership, which likely means new structure of local government	Which will impact in challenges in maintain commitment towards fulfilment of the 8 criteria agreed during identification and prioritization of Project's targets	7. STRATEGIC (7.6. Change/turnover in government) - UNDP Risk Appetite: OPEN TO SEEKING	Likelihood: 3 - Moderately likely Impact: 3 - Intermediate Risk level: MODERATE (equates to a risk appetite of EXPLORATORY)	From: 31-Jul-20 To: 31-Dec-21	Project Manager	Risk Treatment 10.1: Maintain regular updates and coordination at technical/ operational level of respective Local Government Units; Maintain communications with key individuals within the LGUs who regarded as ones championing the project. Risk Treatment Owner: Project Manager
11	There is a risk that construction works are not finished and completed by Project's contractor as agreed schedule.	As a result of poor performance in work progress and issues in the national media on the closure of PT. Istaka Karya (Persero) as the Contractor for 19 subprojects in Central Sulawesi.	Which will impact in delayed delivery of benefits to project stakeholders and most likely longer timeline for completion of PETRA Project, which may lead into reputational hazard to UNDP	3. OPERATIONAL (3.5. Partners' engagement) - UNDP Risk Appetite: EXPLORATORY TO OPEN	Likelihood: 3 - Moderately likely Impact: 3 - Intermediate Risk level: MODERATE (equates to a risk appetite of	From: 01-Jul-21 To: 30-June-23	Project Manager	Risk Treatment 11.1: Intensive technical oversight, discussion between PETRA Project Team and Supervision Consultant Firm with PT. Istaka Karya's Project Management Team and Senior Management Team in Jakarta; PETRA Project Team instructed provision of

#	Event	Cause	Impact(s)	Risk Category and Sub-category (including Risk Appetite)	Impact, Likelihood & Risk Level (See Annex 3 Risk Matrix)	Risk Valid From/To	Risk Owner (Individual accountable for managing the risk)	Risk Treatment and Treatment Owner
					EXPLORATORY)			an Action Plans from the Contractor for accelerating work progress Issuance of technical warnings up to temporary suspension for some sites. Risk Treatment Owner: ...
12	There is a risk that a fraction of local project stakeholders and community in Central Sulawesi perceived that UNDP is not capable in delivering reconstruction works.	As a result of construction progress in 19 locations stopped few times for few months; students are having learning activities in poor temporary structure, e.g. tarpaulin, as previous temporary learning facilities were already demolished when construction work began in Q2 2021.	Which will impact in decreased public confidence towards capacity of UNDP for post-disaster recovery, increased anxiety of public in surrounding target facilities specifically the direct beneficiaries.	5. REPUTATIONAL (5.1. Public opinion and media) - UNDP Risk Appetite: CAUTIOUS	Likelihood: 4 - Highly likely Impact: 4 - Extensive Risk level: HIGH RISK (equates to a risk appetite of SEEK)	From: 07-Mar-22 To: 31-Dec-22	Senior Management Operations Team RRU Team Leader Project Manager Communication Team	Risk Treatment 12.1: Managerial review and decision for providing proper temporary facilities for children to study. Risk Treatment Owner: SM,Ops,Comms,RRU TL-NPM Risk Treatment 12.2: Accelerating lead time and/or processes for continuation of construction work Risk Treatment Owner: SM,Ops,Comms,RRU TL-NPM Risk Treatment 12.3: Plan, deliver, and regularly review communication strategy, including

#	Event	Cause	Impact(s)	Risk Category and Sub-category <i>(including Risk Appetite)</i>	Impact, Likelihood & Risk Level <i>(See Annex 3 Risk Matrix)</i>	Risk Valid From/To	Risk Owner <i>(Individual accountable for managing the risk)</i>	Risk Treatment and Treatment Owner
								<p>guiding messages tailored to each identified stakeholders.</p> <p>Risk Treatment Owner: SM,Ops,Comms,RRU TL-NPM</p> <p>Risk Treatment 12.4: Inform Project Board and KfW on key follow up actions related to closure of contract with PT. Istaka Karya and completion of its outstanding construction work</p> <p>Risk Treatment Owner: SM,Ops,Comms,RRU TL-NPM</p>
13	There is a risk that losses of materials on-site and/or installed in construction sites in Vocational High School (SMKN) 1 Sigi due to theft.	As a result of minimum or absence of site security which implicated from contract termination of PT. Istaka Karya.	Which will impact in to greater loss of financial cost in the project sites. Disharmony between UNDP and PT. Istaka Karya's local vendors leading to impedance and slow progress of the subproject, and potential	2. FINANCIAL (2.5. Delivery) - UNDP Risk Appetite: MINIMAL TO CAUTIOUS	<p>Likelihood: 4 - Highly likely</p> <p>Impact: 3 - Intermediate</p> <p>Risk level: MODERATE (equates to a risk appetite of</p>	<p>From: 01-Jun-22</p> <p>To: 31-Dec-22</p>	Project Manager	<p>Risk Treatment 13.1: Intensive coordination with village government and school principal for participatory security measures in the subproject sites.</p> <p>Risk Treatment Owner: John Benjamin, Operation manager</p>

#	Event	Cause	Impact(s)	Risk Category and Sub-category <i>(including Risk Appetite)</i>	Impact, Likelihood & Risk Level <i>(See Annex 3 Risk Matrix)</i>	Risk Valid From/To	Risk Owner <i>(Individual accountable for managing the risk)</i>	Risk Treatment and Treatment Owner
			disruption on sites during continuation of works.		EXPLORATORY)			

Annex 4. Project Advisory Committee Terms of Reference and TORs of key management positions

PROJECT ADVISORY COMMITTEE

Overall responsibilities: The Project Advisory Committee or Project Board is the group responsible for making by consensus management decisions for a project when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance to standards³¹ that shall ensure best value to money, fairness, integrity transparency and effective international competition. In case a consensus cannot be reached, final decision shall rest with the UNDP Programme Manager. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Manager. This group is consulted by the Project Manager for decisions when PM tolerances (normally in terms of time and budget) have been exceeded.

Based on the approved annual work plan (AWP), the Project Board may review and approve project quarterly plans when required and authorizes any major deviation from these agreed quarterly plans. It is the authority that signs off the completion of each quarterly plan as well as authorizes the start of the next quarterly plan. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the project and external bodies. In addition, it approves the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities.

Composition and organization: This group contains three roles, including:

- 1) An Executive: UNDP representing the project ownership to chair the group.
- 2) Senior Supplier: German Embassy and KfW representing the interests of the parties concerned which provide funding and/or technical expertise to the project. The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project.
- 3) Senior Beneficiary: BNPB representing the interests of Government of Indonesia who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. Representative of Local Governments as the direct beneficiary can be included as member of Senior Beneficiary and participate in Project Board meeting as appropriate.

Specific responsibilities:

Running a project

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints.
- Address project issues as raised by the Project Manager.
- Provide guidance and agree on possible countermeasures/management actions to address specific risks.
- Agree on Project Manager's tolerances in the Annual Work Plan and quarterly plans when required.
- Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner.

³¹ UNDP Financial Rules and Regulations: Chapter E, Regulation 16.05: a) The administration by executing entities or, under the harmonized operational modalities, implementing partners, of resources obtained from or through UNDP shall be carried out under their respective financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. b) Where the financial governance of an executing entity or, under the harmonized operational modalities, implementing partner, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, that of UNDP shall apply.

- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review.
- Review and approve end project report, make recommendations for follow-on actions.
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded.
- Assess and decide on project changes through revisions.
- Address complaints made by individuals, peoples, and communities that are affected by the UNDP projects through the UNDP Stakeholder Response Mechanism (SRM) and/or the UNDP Social and environmental Compliance unit (SECU)³².

Closing a project

- Assure that all Project deliverables have been produced satisfactorily.
- Review and approve the Final Project Review Report, including Lessons-learned.
- Make recommendations for follow-on actions to be submitted to the Outcome Board.
- Commission project evaluation (only when required by partnership agreement)
- Notify operational completion of the project to the Outcome Board.

EXECUTIVE

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organisation structure and logical set of plans
- Set tolerances in the AWP and other plans as required for the Project Manager
- Monitor and control the progress of the project at a strategic level
- Ensure that risks are being tracked and mitigated as effectively as possible
- Brief Outcome Board and relevant stakeholders about project progress
- Organise and chair Project Board meetings

The Executive is responsible for overall assurance of the project as described below. If the project warrants it, the Executive may delegate some responsibility for the project assurance functions.

SENIOR BENEFICIARY

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Ensure the expected output(s) and related activities of the project are well defined
- Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective
- Promote and maintain focus on the expected project output(s)
- Prioritise and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Resolve priority conflicts

³² <http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm.html>

The assurance responsibilities of the Senior Beneficiary are to check that:

- Specification of the Beneficiary's needs is accurate, complete and unambiguous
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target
- Impact of potential changes is evaluated from the beneficiary point of view
- Risks to the beneficiaries are frequently monitored

Where the project's size, complexity or importance warrants it, the Senior Beneficiary may delegate the responsibility and authority for some of the assurance responsibilities.

SENIOR SUPPLIER

The Senior Supplier represents the interests of the parties which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management
- Ensure that the supplier resources required for the project are made available
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts

The supplier assurance role responsibilities are to:

- Advise on the selection of strategy, design and methods to carry out project activities
- Ensure that any standards defined for the project are met and used to good effect
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective
- Monitor any risks in the implementation aspects of the project

PROJECT MANAGER

Overall responsibilities: The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The Implementing Partner appoints the Project Manager, who should be different from the Implementing Partner's representative in the Outcome Board. Prior to the approval of the project, the Project Developer role is the UNDP staff member responsible for project management functions during formulation until the Project Manager from the Implementing Partner is in place.

Specific responsibilities would include:

Overall project management:

- Manage the realization of project outputs through activities.
- Provide direction and guidance to project team(s)/ responsible party(ies).
- Liaise with the Project Board or its appointed Project Assurance roles to assure the overall direction and integrity of the project.
- Identify and obtain any support and advice required for the management, planning and control of the project.
- Responsible for project administration.
- Liaise with any suppliers.

- May also perform Team Manager and Project Support roles.

Running a project

- Plan the activities of the project and monitor progress against the initial quality criteria.
- Mobilize goods and services to initiative activities, including drafting TORs and work specifications.
- Monitor events as determined in the Monitoring & Communication Plan, and update the plan as required.
- Manage requests for the provision of financial resources by UNDP, using advance of funds, direct payments, or reimbursement using the FACE (Fund Authorization and Certificate of Expenditures).
- Monitor financial resources and accounting to ensure accuracy and reliability of financial reports.
- Manage and monitor the project risks as initially identified in the Project Brief appraised by the LPAC, submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the Project Risks Log.
- Be responsible for managing issues and requests for change by maintaining an Issues Log.
- Prepare the Project Quarterly Progress Report (progress against planned activities, update on Risks and Issues, expenditures) and submit the report to the Project Board and Project Assurance.
- Prepare the Annual review Report, and submit the report to the Project Board and the Outcome Board.
- Based on the review, prepare the AWP for the following year, as well as Quarterly Plans if required.

Closing a Project

- Prepare Final Project Review Reports to be submitted to the Project Board and the Outcome Board.
- Identify follow-on actions and submit them for consideration to the Project Board.
- Manage the transfer of project deliverables, documents, files, equipment, and materials to national beneficiaries.
- Prepare final CDR/FACE for signature by UNDP and the Implementing Partner.

PROJECT ASSURANCE

Overall responsibility: Project Assurance is the responsibility of each Project Board member; however the role can be delegated. The Project Assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed.

Project Assurance has to be independent of the Project Manager; therefore, the Project Board cannot delegate any of its assurance responsibilities to the Project Manager. A UNDP Programme Officer typically holds the Project Assurance role.

The implementation of the assurance responsibilities needs to answer the question “What is to be assured?”. The following list includes the key suggested aspects that need to be checked by the Project Assurance throughout the project as part of ensuring that it remains relevant, follows the approved plans and continues to meet the planned targets with quality.

- Maintenance of thorough liaison throughout the project between the members of the Project Board.
- Beneficiary needs and expectations are being met or managed
- Risks are being controlled
- Adherence to the Project Justification (Business Case)
- Projects fit with the overall Country Programme
- The right people are being involved
- An acceptable solution is being developed
- The project remains viable
- The scope of the project is not “creeping upwards” unnoticed
- Internal and external communications are working
- Applicable UNDP rules and regulations are being observed

- Any legislative constraints are being observed
- Adherence to RMG monitoring and reporting requirements and standards
- Quality management procedures are properly followed
- Project Board's decisions are followed, and revisions are managed in line with the required procedures

Specific responsibilities would include:

Initiating a project

- Ensure that project outputs definitions and activity definitions including description and quality criteria have been properly recorded in the Atlas Project Management module to facilitate monitoring and reporting.
- Ensure that people concerned are fully informed about the project
- Ensure that all preparatory activities, including training for project staff, logistic supports are timely carried out

Running a project

- Ensure that funds are made available to the project.
- Ensure that risks and issues are properly managed, and that the logs in Atlas are regularly updated.
- Ensure that critical project information is monitored and updated in Atlas, using the Activity Quality log in particular.
- Ensure that Project Quarterly Progress Reports are prepared and submitted on time, and according to standards in terms of format and content quality.
- Ensure that CDRs and FACE are prepared and submitted to the Project Board and Outcome Board.
- Perform oversight activities, such as periodic monitoring visits and "spot checks".
- Ensure that the Project Data Quality Dashboard remains "green"

Closing a project

- Ensure that the project is operationally closed in Atlas.
- Ensure that all financial transactions are in Atlas based on final accounting of expenditures.
- Ensure that project accounts are closed, and status set in Atlas accordingly.

PROJECT SUPPORT

Overall responsibilities: The Project Support role provides project administration, management and technical support to the Project Manager as required by the needs of the individual project or Project Manager. The provision of any Project Support on a formal basis is optional. It is necessary to keep Project Support and Project Assurance roles separate in order to maintain the independence of Project Assurance.

Specific responsibilities: Some specific tasks of the Project Support would include:

Provision of administrative services:

- Set up and maintain project files
- Collect project related information data
- Update plans
- Administer the quality review process
- Administer Project Board meetings

Project documentation management:

- Administer project revision control
- Establish document control procedures
- Compile, copy and distribute all project reports

Financial Management, Monitoring and reporting

- Assist in the financial management tasks under the responsibility of the Project Manager

- Provide support in the use of Atlas for monitoring and reporting

Provision of technical support services

- Provide technical advice
- Review technical reports
- Monitor technical activities carried out by responsible parties

Annex 5. Supplemental Provisions to the Project Document³³: The Legal Context

General responsibilities of the Government, UNDP, and the executing agency

1. All phases and aspects of UNDP assistance to this project shall be governed by and carried out in accordance with the relevant and applicable resolutions and decisions of the competent United Nations organs and in accordance with UNDP's policies and procedures for such projects, and subject to the requirements of the UNDP Monitoring, Evaluation and Reporting System.
2. The Government shall remain responsible for this UNDP-assisted development project and the realization of its objectives as described in this Project Document.
3. Assistance under this Project Document being provided for the benefit of the Government and the people of Indonesia, the Government shall bear all risks of operations in respect of this project.
4. The Government shall provide to the project the national counterpart personnel, training facilities, land, buildings, equipment and other required services and facilities. It shall designate the Government Co-operating Agency named in the cover page of this document (hereinafter referred to as the "Co-operating Agency"), which shall be directly responsible for the implementation of the Government contribution to the project.
5. The UNDP undertakes to complement and supplement the Government participation and will provide through the Executing Agency the required expert services, training, equipment and other services within the funds available to the project.
6. Upon commencement of the project the Executing Agency shall assume primary responsibility for project execution and shall have the status of an independent contractor for this purpose. However, that primary responsibility shall be exercised in consultation with UNDP and in agreement with the Co-operating Agency. Arrangements to this effect shall be stipulated in the Project Document as well as for the transfer of this responsibility to the Government or to an entity designated by the Government during the execution of the project.
7. Part of the Government's participation may take the form of a cash contribution to UNDP. In such cases, the Executing Agency will provide the related services and facilities and will account annually to the UNDP and to the Government for the expenditure incurred.

(a) Participation of the Government

1. The Government shall provide to the project the services, equipment and facilities in the quantities and at the time specified in the Project Document. Budgetary provision, either in kind or in cash, for the Government's participation so specified shall be set forth in the Project Budgets.
2. The Co-operating Agency shall, as appropriate and in consultation with the Executing Agency, assign a director for the project on a full-time basis. He shall carry out such responsibilities in the project as are assigned to him by the Co-operating Agency.
3. The estimated cost of items included in the Government contribution, as detailed in the Project Budget, shall be based on the best information available at the time of drafting the project proposal. It is understood that price fluctuations during the period of execution of the project may necessitate an adjustment of said contribution in monetary terms; the latter shall at all times be determined by the value of the services, equipment and facilities required for the proper execution of the project.
4. Within the given number of man-months of personnel services described in the Project Document, minor adjustments of individual assignments of project personnel provided by the Government may be made by the Government in consultation with the Executing Agency, if this is found to be in the best interest of the project. UNDP shall be so informed in all instances where such minor adjustments involve financial implications.
5. The Government shall continue to pay the local salaries and appropriate allowances of national counterpart personnel during the period of their absence from the project while on UNDP fellowships.

³³ Standard annex to project documents for use in countries which are not parties to the Standard Basic Assistance Agreement (SBAA).

6. The Government shall defray any customs duties and other charges related to the clearance of project equipment, its transportation, handling, storage and related expenses within the country. It shall be responsible for its installation and maintenance, insurance, and replacement, if necessary, after delivery to the project site.
7. The Government shall make available to the project - subject to existing security provisions - any published and unpublished reports, maps, records and other data which are considered necessary to the implementation of the project.
8. Patent rights, copyright rights and other similar rights to any discoveries or work resulting from UNDP assistance in respect of this project shall belong to the UNDP. Unless otherwise agreed by the Parties in each case, however, the Government shall have the right to use any such discoveries or work within the country free of royalty and any charge of similar nature.
9. The Government shall assist all project personnel in finding suitable housing accommodation at reasonable rents.
10. The services and facilities specified in the Project Document which are to be provided to the project by the Government by means of a contribution in cash shall be set forth in the Project Budget. Payment of this amount shall be made to the UNDP in accordance with the Schedule of Payments by the Government.
11. Payment of the above-mentioned contribution to the UNDP on or before the dates specified in the Schedule of Payments by the Government is a prerequisite to commencement or continuation of project operations.

(b) Participation of the UNDP and the executing agency

1. The UNDP shall provide to the project through the Executing Agency the services, equipment and facilities described in the Project Document. Budgetary provision for the UNDP contribution as specified shall be set forth in the Project Budget.
2. The Executing Agency shall consult with the Government and UNDP on the candidature of the Project Manager³⁴ who, under the direction of the Executing Agency, will be responsible in the country for the Executing Agency's participation in the project. The Project Manager shall supervise the experts and other agency personnel assigned to the project, and the on-the-job training of national counterpart personnel. He shall be responsible for the management and efficient utilization of all UNDP-financed inputs, including equipment provided to the project.
3. The Executing Agency, in consultation with the Government and UNDP, shall assign international staff and other personnel to the project as specified in the Project Document, select candidates for fellowships and determine standards for the training of national counterpart personnel.
4. Fellowships shall be administered in accordance with the fellowship's regulations of the Executing Agency.
5. The Executing Agency may, in agreement with the Government and UNDP, execute part or all of the project by subcontract. The selection of subcontractors shall be made, after consultation with the Government and UNDP, in accordance with the Executing Agency's procedures.
6. All material, equipment and supplies which are purchased from UNDP resources will be used exclusively for the execution of the project and will remain the property of the UNDP in whose name it will be held by the Executing Agency. Equipment supplied by the UNDP shall be marked with the insignia of the UNDP and of the Executing Agency.
7. Arrangements may be made, if necessary, for a temporary transfer of custody of equipment to local authorities during the life of the project, without prejudice to the final transfer.
8. Prior to completion of UNDP assistance to the project, the Government, the UNDP and the Executing Agency shall consult as to the disposition of all project equipment provided by the UNDP. Title to such

³⁴ May also be designated Project Co-coordinator or Chief Technical Adviser, as appropriate.

equipment shall normally be transferred to the Government, or to an entity nominated by the Government, when it is required for continued operation of the project or for activities following directly therefrom. The UNDP may, however, at its discretion, retain title to part or all of such equipment.

9. At an agreed time after the completion of UNDP assistance to the project, the Government and the UNDP, and if necessary, the Executing Agency, shall review the activities continuing from or consequent upon the project with a view to evaluating its results.
10. UNDP may release information relating to any investment-oriented project to potential investors, unless and until the Government has requested the UNDP in writing to restrict the release of information relating to such project.

Rights, Facilities, Privileges and Immunities

1. In accordance with the Agreement concluded by the United Nations (UNDP) and the Government concerning the provision of assistance by UNDP, the personnel of UNDP and other United Nations organizations associated with the project shall be accorded rights, facilities, privileges and immunities specified in said Agreement.
2. The Government shall grant UN volunteers, if such services are requested by the Government, the same rights, facilities, privileges and immunities as are granted to the personnel of UNDP.
3. The Executing Agency's contractors and their personnel (except nationals of the host country employed locally) shall:
 - (a) Be immune from legal process in respect of all acts performed by them in their official capacity in the execution of the project.
 - (b) Be immune from national service obligations.
 - (c) Be immune together with their spouses and relatives dependent on them from immigration restrictions.
 - (d) Be accorded the privileges of bringing into the country reasonable amounts of foreign currency for the purposes of the project or for personal use of such personnel, and of withdrawing any such amounts brought into the country, or in accordance with the relevant foreign exchange regulations, such amounts as may be earned therein by such personnel in the execution of the project.
 - (e) Be accorded together with their spouses and relatives dependent on them the same repatriation facilities in the event of international crisis as diplomatic envoys.
4. All personnel of the Executing Agency's contractors shall enjoy inviolability for all papers and documents relating to the project.
5. The Government shall either exempt from or bear the cost of any taxes, duties, fees or levies which it may impose on any firm or organization which may be retained by the Executing Agency and on the personnel of any such firm or organization, except for nationals of the host country employed locally, in respect of:
 - (a) The salaries or wages earned by such personnel in the execution of the project.
 - (b) Any equipment, materials and supplies brought into the country for the purposes of the project or which, after having been brought into the country, may be subsequently withdrawn therefrom.
 - (c) Any substantial quantities of equipment, materials and supplies obtained locally for the execution of the project, such as, for example, petrol and spare parts for the operation and maintenance of equipment mentioned under (b), above, with the provision that the types and approximate quantities to be exempted and relevant procedures to be followed shall be agreed upon with the Government and, as appropriate, recorded in the Project Document; and
 - (d) As in the case of concessions currently granted to UNDP and Executing Agency's personnel, any property brought, including one privately owned automobile per employee, by the firm or organization or its personnel for their personal use or consumption or which after having been

brought into the country, may subsequently be withdrawn therefrom upon departure of such personnel.

6. The Government shall ensure:
 - (a) prompt clearance of experts and other persons performing services in respect of this project; and
 - (b) the prompt release from customs of:
 - (i) equipment, materials and supplies required in connection with this project; and
 - (ii) property belonging to and intended for the personal use or consumption of the personnel of the UNDP, its Executing Agencies, or other persons performing services on their behalf in respect of this project, except for locally recruited personnel.
7. The privileges and immunities referred to in the paragraphs above, to which such firm or organization and its personnel may be entitled, may be waived by the Executing Agency where, in its opinion or in the opinion of the UNDP, the immunity would impede the course of justice and can be waived without prejudice to the successful completion of the project or to the interest of the UNDP or the Executing Agency.
8. The Executing Agency shall provide the Government through the resident representative with the list of personnel to whom the privileges and immunities enumerated above shall apply.
9. Nothing in this Project Document or Annex shall be construed to limit the rights, facilities, privileges or immunities conferred in any other instrument upon any person, natural or juridical, referred to hereunder.

Suspension or termination of assistance

1. The UNDP may by written notice to the Government and to the Executing Agency concerned suspend its assistance to any project if in the judgement of the UNDP any circumstance arises which interferes with or threatens to interfere with the successful completion of the project or the accomplishment of its purposes. The UNDP may, in the same or a subsequent written notice, indicate the conditions under which it is prepared to resume its assistance to the project. Any such suspension shall continue until such time as such conditions are accepted by the Government and as the UNDP shall give written notice to the Government and the Executing Agency that it is prepared to resume its assistance.
2. If any situation referred to in paragraph 1, above, shall continue for a period of fourteen days after notice thereof and of suspension shall have been given by the UNDP to the Government and the Executing Agency, then at any time thereafter during the continuance thereof, the UNDP may by written notice to the Government and the Executing Agency terminate the project.
3. The provisions of this paragraph shall be without prejudice to any other rights or remedies the UNDP may have in the circumstances, whether under general principles of law or otherwise.




Annex 6. Assessment Criteria, List of Proposed Project Activities and Verified by BAPPENAS, BNPB, West Nusa Tenggara Provincial Government, UNDP and KfW on 26 March 2019.

8 criteria for assessment of proposed activities in the KfW-UNDP grant (IDMF) for the West Nusa Tenggara Province:






1. Is part of RENAKSI.
2. The affected facilities and infrastructure of the government have suffered severe damage (the most priority and high value);
3. Proposed according to authority and not duplicating with other funding sources;
4. Located in a safe location (not in the fault line)³⁵;
5. The regional government provides land with Clear and Clean status;
6. Willingness to erase assets of buildings that will be reconstructed;
7. Local governments are willing to accept and maintain the assets built (letter from the Regional Government statement);
8. The local government is responsible for all forms of licensing;



List of Proposed Project Activities and Verified by BAPPENAS, BNPB, West Nusa Tenggara Provincial Government, UNDP and KfW:



Output 1



No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
1	Education	SMK Negeri 1 Pemenang	Lombok Utara	
2	Education	SMK Negeri 1 Tanjung	Lombok Utara	
3	Education	SMK Negeri 1 Gangga	Lombok Utara	

³⁵ UNDP will conduct more detail geological assessment on each proposed site to confirm its safety and identify the adequate structural enhancement measures needed for new construction. In condition where the geological assessment concluded the proposed site is not safe for new construction, UNDP will coordinate with Local Government and the IDMF Secretariat to reallocate the infrastructure to new site or change the allocation for other infrastructure.



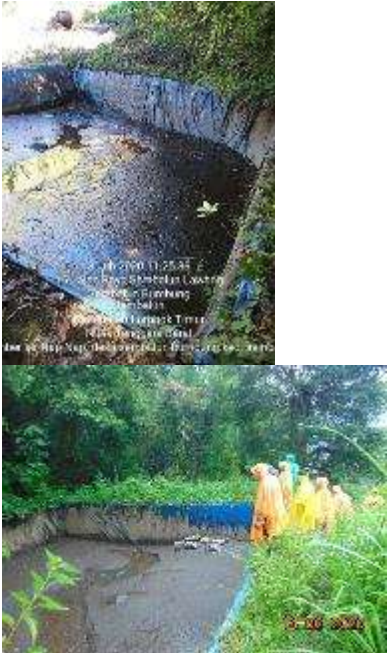
No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
4	Education	SMK Negeri 1 Kayangan	Lombok Utara	
5	Health	Puskesmas Pembantu Rangso Desa Sigar Penjalin	Lombok Utara	
6	Health	Puskesmas Labuhan Lombok	Lombok Timur	
7	Health	Puskesmas Pembantu Telage Wareng	Lombok Utara	
8	Health	Puskesmas Pembantu Tegal Maja	Lombok Utara	


No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
9	Health	Puskesmas Pembantu Gangga	Lombok Utara	
10		Puskesmas Pembantu Loloan Bayan	Lombok Utara	

No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
11	Health	Puskesmas Pembantu Selengen Kayangan	Lombok Utara	
12		Puskesmas Pembantu Sesait	Lombok Utara	

No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
13	Health	Puskesmas Pembantu Pendua	Lombok Utara	
14	Health	Puskesmas Pembantu Gapuk	Lombok Barat	

No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
1	Community Infrastructure	Clean Water Installation Birisan Nangka – Sambik Elen village	North Lombok, Sub-district: Bayan, Village: Sambik Elen	
2	Community Infrastructure	Commodity kiosk/Local market – Genggelang village	North Lombok, Sub-district: Gangga, Village: Genggelang	
3	Community Infrastructure	Irrigation canal Orong Sempada – Sajang village	East Lombok, Sub-district: Sembalun, Village: Sajang	
4	Community Infrastructure	Irrigation Canal Bawak Nao Daya, Sajang village	East Lombok, Sub-district: Sembalun, Village: Sajang	

No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
5	Community Infrastructure	Farmer Bridge Belunak, Sembalun Lawang village	East Lombok, Sub-district: Sembalun, Village: Sembalun Lawang	
6	Community Infrastructure	Water Retention Basin Rante Mas, Sembalun Lawang village	East Lombok, Sub-district: Sembalun, Village: Sembalun Lawang	
7	Community Infrastructure	Water retention basin Nap-nap, Sembalun Bumbang village	East Lombok, Sub-district: Sembalun, Village: Sembalun Bumbang	

No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
8	Community Infrastructure	Irrigation Canal Dayan Rurung Timuk, Sembalun Bumbung village	East Lombok, Sub-district: Sembalun, Village: Sembalun Bumbung	

Annex 7. Assessment Criteria, List of Proposed Project Activities and Verified by BAPPENAS, BNPB, Central Sulawesi Provincial Government, UNDP and KfW on 21 May 2019.

8 criteria for assessment of proposed activities in the KfW-UNDP grant (IDMF) for the Central Sulawesi Province:

1. Is part of the ACTION PLAN and Master Plan Strategy;
2. Facilities and infrastructure owned by the affected government were heavy damaged;
3. Proposed according to authority and not duplicating with other funding sources;
4. Located in a safe location and not in the area of the Disaster Prone Zone (ZRB)³⁶;
5. The regional government provides land with Clear and Clean status;
6. Willingness to erase assets of buildings that will be reconstructed;
7. Local governments are willing to accept and maintain the assets built;
8. The local government is responsible for all forms of licensing.






List of Proposed Project Activities and Verified by BAPPENAS, BNPB, Central Sulawesi Provincial Government, UNDP and KfW:

Output 1

No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
1	Health	Rumah Sakit Anutapura Ruang Perawatan Murai (Stroke Center) + Selasar Penghubung, Gedung Farmasi dan Transformer Listrik PLN	PALU, Sub-District: Palu Barat, Village: Donggala Kodi	
2	Environment	TPA Kawatuna	PALU Sub-District: Mantikulore Village: Kawatuna	

³⁶ UNDP will conduct more detail geological assessment on each proposed site to confirm its safety and identify the adequate structural enhancement measures needed for new construction. In condition where the geological assessment concluded the proposed site is not safe for new construction, UNDP will coordinate with Local Government and the IDMF Secretariat to reallocate the infrastructure to new site or change the allocation for other infrastructure.

No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
3	Education	SD Negeri 21 Palu	PALU Sub-District: Tatanga Village: Bayaoge	
4	Education	SD Negeri Pengawu	PALU Sub-District: Tatanga Village: Pengawu	
5	Education	SMP Negeri 14 Palu	PALU Sub-District: Palu Timur Village: Besusu Tengah	
6	Education	SMK Negeri 8 Palu	PALU Sub-District: Mantikulore Village: Talise	
7	Education	SD Inpres Jono Oge	SIGI Sub-District: Sigi Biomaru Village: Jono Oge	

No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
8	Education	SMK Negeri 1 Sigi	SIGI Sub-District: Sigi Biromaru Village: Sidera	
9	Health	Rumah Sakit Sigi Torabelo R. Perawatan Anak (Pinus), R. Perawatan Bedah (Ebony) & Ruang Bersalin	SIGI Sub-District: Sigi Biromaru Village: Sidera	
10	Education	SD Negeri Bulupontu Jaya	SIGI Sub-District: Sigi Biromaru Village: Sidera	
11	Education	SD Negeri Lompio	SIGI Sub-District: Sigi Biromaru Village: Sidondo IV	
12	Health	Puskesmas Kulawi	SIGI Sub-District: Kulawi Village: Bolapapu	 <small>Lantai: ± 512720 Ruang: 110.66457 Tinggi: 570.50m Persegi: 2.30m Sektor: 32-13-2018.03.17 Garis: 144.000m</small>


No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
13	Education	SMP Negeri 3 Sigi	SIGI Sub-District: Kulawi Village: Bolapapu	
14	Education	SD Negeri 1 Boladangko	SIGI Sub-District: Kulawi Village: Boladangko	
15	Education	SD Negeri 2 Gimpu	SIGI Sub-District: Kulawi Selatan Village: Gimpu	
16	Environment	TPA Kabonga	DONGGALA Sub-District: Banawa Village: Kabonga	
17	Health	Puskesmas Pembantu Labuan Induk	DONGGALA Sub-District: Labuan Village: Labuan Induk	





No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
18	Health	Puskesmas Malei	DONGGALA Sub-District: Balaesang Tanjung Village: Malei	
19	Education	SMP Negeri 1 Labuan	DONGGALA Sub-District: Labuan Village: Labuan Induk	
20	Education	SMP Negeri Satap 3 Sindue Tobata	DONGGALA Sub-District: Sindue Tobata Village:	
21	Education	SD Negeri 3 Kasimbar	PARIGI MOUTONG Sub-District: Kasimbar Village: Kasimbar	
22	Education	SD Inpres Marantale	PARIGI MOUTONG Sub-District: Siniu Village: Marantale	

No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
23	Education	SD Negeri Toboli	PARIGI MOUTONG Sub-District: Parigi Utara Village: Toboli	 A photograph showing a vertical crack running down a light-colored concrete wall. The ground in the foreground is dark and appears to be a paved or dirt area.
24	Education	SD Negeri Parigimpuu	PARIGI MOUTONG Sub-District: Parigi Barat Village: Parigimpuu	 A photograph of a bright red wall with a white window frame. A vertical crack is visible on the right side of the wall. A timestamp in the bottom right corner reads: "0,81384, 120,13956, 69,7m 28 Okt 2018 9:27:16 AM".
25	Education	SD Negeri Purwosari	PARIGI MOUTONG Sub-District: Torue Village: Purwosari	 A photograph of a green wall with a large, jagged vertical crack. A black metal post is visible on the right side. A timestamp in the bottom right corner reads: "0,81384, 120,13956, 69,7m 28 Okt 2018 11:27:16 AM".
26	Education	SMPN 2 Satap Parigi Selatan	PARIGI MOUTONG Sub-District: Parigi Selatan Village: Sumber Sari	 A photograph of a white wall with a vertical crack. To the right, there is a window with a wooden frame and horizontal slats. The background shows some greenery and a building.
27	Education	SMPN 1 Parigi Utara	PARIGI MOUTONG Sub-District: Parigi Utara Village: Toboli	 A photograph showing the interior of a building with a damaged roof. The wooden beams and rafters are exposed, and some are missing or broken. Blue banners are hanging from the ceiling.
Excluded due to other funding				

No	Sector	Proposed Project Activities	Location	Selected Photos (2019)
1	Economic	Sentra IKM Tenun Ikat Donggala	DONGGALA Sub-District: Banawa Tengah Village: Limboro	
2	Education	SD Negeri 21 Sirenja	DONGGALA Sub-District: Sirenja Village: Lende Tovea, Dusun 3 Labuana	

Output 2

No	Sector	Proposed Project Activities	Location	Selected Photos (21 May 2019)
1	Socio Economic	Tuva Suspension Bridge	SIGI, Sub-District: Gumbasa, Village: Tuva	

No	Sector	Proposed Project Activities	Location	Selected Photos (21 May 2019)
2	Socio Economic	Tuva Irrigation canal	SIGI, Sub-District: Gumbasa, Village: Tuva	
3	Socio Economic	Jono Irrigation Canal	SIGI, Sub-District: Dolo Selatan, Village: Jono	
4	Socio Economic	Omu Local Market	SIGI, Sub-District: Gumbasa, Village: Omu	
5	Socio Economic	Sibado Local Market	DONGGALA, Sub-District: Sirenja, Village: Sibado	

Annex 8. The UNDP Low Value Grant Agreement Criteria

The selection process of the local NGOs is conducted through an invitation for the local NGOs that meet the required criteria, which set as follows:

1. The grant recipient (civil society or non-governmental organization) with experiences in:
 - At least 3 years or more of cumulative work experience in the area of collaborative management of community infrastructure development, construction/civil works, livelihood, local development planning and stakeholder coordination in rural areas.
 - At least 3 years or more cumulative of working experiences or coordinating with the Government of Indonesia/Local Government on related key issues of construction/civil works, economic/livelihood development, or disaster management would be an advantage
2. All grant proposals shall be subject to grant selection processes which consist of a pre-screening against the selection criteria and full review by the CSO Steering Committee. The Selection Criteria are as follows:
 - Method: proposed methodology, workplan, approach , timeline, completeness of deliverables, including how the organization applies gender inclusion in its implementation.
 - Identity: registration status, having a specific status if that is necessary in the country context, etc.
 - Capacity: specialized knowledge and experience on similar engagement, standard operating procedure, financial report (audit report if available).
 - Utilization of resources: financial SOP, realistic budget for how funds will be spent (in accordance with UNDP standard cost: UN Harmonized Cost Rates, etc.).
 - Submission Requirements: ideas presented, including any requirements with regards to utilization of resources, reporting, duration, and other formal criteria.



Proposed PETRA Project Document Revision

Palu, 22 September 2022



Section	Original	Amendment	y/n
Logo	Garuda and UNDP former logo	Garuda and UNDP new logo	
End date	31 December 2021 for Operationally Closed, 31 December 2022 for Financially Closed.	30 th June 2024 , the amendment has been approved by KfW and also Project Board as follow details : <ul style="list-style-type: none"> • KfW has approved the revision through an e-mail that sent on 7th October 2022 • The project board has approved the revision through Project board meeting on 21st November 2022 	
Brief Description	--	Additional 2 paragraph: <ol style="list-style-type: none"> 1. Rationale for project extension (pandemic and poor performance) 2. Brief introduction on senior beneficiaries' structures and additional annex that describe project's recent condition) 	
Budget Resources	Only KfW as single donor	Remain the sane	

Section	Original	Amendment	y/n
Contributing Outcome (UNDAF/CPD, RPD or GPD):	1. UNPDF/CPD 2016-2020 Outcome 3 2. CPD 2016-2020 Indicative Output 3.9 3. Project Output 1 attribute to SP Output 3.1.1 (GEN2) 4. Project Output 2 attribute to SP Output 3.1.1 (GEN2)	1. UNPDF/CPD 2021-2025 Outcome 3 2. CPD 2021-2025 Indicative Output 3.3 3. Project Output 1 attribute to SP Output 3.1.1 (GEN2; COVID 19) 4. Project Output 2 attribute to SP Output 3.1.1 (GEN2; COVID 19)	
Signatory section	Agreed by UNDP and BNPB Acknowledged by BAPPENAS	Agreed by UNDP and BNPB	
Development challenge & Strategy	--	Remain the same	

Section	Original	Amendment	y/n
Results and partnerships	Pg. 11	<p>Additional on: 3.2. Resources Required to Achieve the Expected Results, pg. 15.</p> <p>The LVGA will rely to UNDP's CSO Assessment Committee in which will act the oversight mechanism on the result of CSO proposals evaluation conducted by project team that ensures objective, transparent, and effective grant selection process against the established quality criteria in line with UNDP's Programme and project management policies and procedures for LVGA. There are two undergoing assessments on progress. The grant recipient of LVGA will be those with experience in carrying out activities/programs in the field of collaborative management of community infrastructure development, construction/civil works, livelihood, local development planning and stakeholder coordination in rural areas.; and will complete and submit the Grant Proposal in accordance with UNDP's LVGA Proposal Template. All proposals are subject to grant selection processes, which consist of a Pre-screening against the selection criteria and Full Review by the CSO Steering Committee. The agreed selection criteria for LVGAs are elucidated at annex 10.</p> <p>The LVGA under output 1 will be applied for construction of temporary classroom in targeted school facilities that have no proper room for students and will be based on the request form targeted school, in consultation with relevant stakeholders and field assessment. The construction of temporary classroom is urgently needed to facilitate the lack of learning space during the period of construction works. This also to ensure UNDP commitment to ensure students' rights in access to education facilities is not neglected during post-disaster reconstruction process.</p>	

Section	Original	Amendment	y/n
Results and partnerships – 3.4 risk and assumptions	---	<p>Additional: Based on the above assumptions, there are some identified key risks that can be categorized as follows: <u>Social and environmental related risks including community health, safety and security, labor and working conditions, and climate change and disaster risks that may occur during implementation and can potentially affect the implementation process.</u> Strategic related risk including change or turnover in government structures that may affect the level government acceptance and support to the project. Operational related risks including partners engagement (contractors, CSO and community), and occupational safety, health and well-being due to COVID-19 pandemic prevention related policies. The <u>environmental and social management framework</u> will facilitate mitigating potential social and environmental risks, intense monitoring and communication externally and internally will facilitate mitigating potential strategic and operational related risks. This Environmental and Social Management Framework (ESMF) has been prepared in support of a project proposal for the Sulawesi/Lombok Programme for Earthquake and Tsunami Infrastructure Reconstruction Assistance (PETRA) to the Government of Indonesia. This project is supported by UNDP in its role as the Implementing Partner working with KfW as the Senior Supplier and Bappenas and BNPB as the Senior Beneficiary. The project has been screened against UNDP's Social and Environmental Standards (SES) and deemed a Moderate Risk project. Similarly, under the KfW Sustainability Guidelines, the Project is rated as Category B+.</p>	

Section	Original	Amendment	y/n
Results and partnerships – 3.7. Digital Solution	---	<p>Additional sub section: 3.7 Digital solution: The project will partially apply digital technologies and solutions to improve the target beneficiaries and partners' experiences and solve the development challenge(s) identified. One of such digital technologies that has been used is Cash for Works (CfW) application which using as payment modalities with aim to improve accountability and transparency in the implementation of CfW for reconstruction of community infrastructures under output 2. Other digital technology that is in place, especially considered pandemic COVID 19 is Zoom Platform that play important role during pandemic as medium for coordination and consultation meeting within the project.</p>	

Section	Original	Amendment	y/n
Project management	Paragraph 2: UNDP will transfer assets delivered as results of PETRA project implementation to the National Disaster Management Agency (BNPB). Subsequent to the transfer of asset from UNDP, BNPB will transfer the asset to the Sub-national Government as asset grantee in accordance to Management of Grants from the National Government to Sub-national Government.	UNDP will transfer assets delivered as results of PETRA project implementation to the National Disaster Management Authority (BNPB) through the Deputy Office for Rehabilitation and Reconstruction of BNPB. Subsequently the Deputy Office will manage asset transfer administration in coordination with the Planning Bureau of BNPB that will proceed to process asset registration with the Ministry of Finance. Subsequent to the transfer of asset from UNDP, BNPB will transfer the asset to the Sub-national Government as asset grantee in accordance with Management of Grants from the National Government to Sub-national Government.	

Section	Original	Amendment	y/n
Results Framework - heading	UNPDF/CPD Outcome 3. By 2020, Indonesia is sustainably managing its natural resources, on land and at sea, with an increased resilience to the effects of climate change, disasters and other shocks.	UNSDCF/CPD Outcome 3. Institutions, communities, and people actively apply and implement low carbon development, sustainable natural resources management, and disaster resilience approaches that are all gender sensitive.	
	UNDP Strategic Plan Output 3.1.1. Core government functions and inclusive basic services ⁴ restored post-crisis for stabilisation, durable solutions to displacement and return to sustainable development pathways within the framework of national policies and priorities	UNDP Strategic Plan_ 3.3 Risk informed and gender-responsive recovery solutions, including stabilization efforts and mine action, implemented at regional, national and sub-national levels	
Results Framework – target year	2018 (Baseline) to Year 3	2018 (Baseline) to year 6 (2024)	

Section	Original	Amendment	y/n
Results Framework – Output 1	7 indicators	6 indicators: Remove indicators 1.6: <i>Cumulative # of cubic metres of earthquake and tsunami debris recycled by municipal public facilities by the end of the project – due to irrelevant</i>	
Monitoring and evaluation	4 columns: Monitoring and Oversight Activity; Purpose; Frequency; Expected Action	Additional 2 columns became 6 columns: Monitoring and Oversight Activity; Purpose; Frequency; Expected Action; Partners (if joint and Cost (if any)	
Evaluation Plan	Planned Completion Date: November 2021 Key Evaluation Stakeholders: <u>Bappenas</u> , <u>KfW</u>	Planned Completion Date: April 2024 Key Evaluation Stakeholders: BNPB, Bappenas, <u>KfW</u>	

Section	Original	Amendment	y/n
Multi-Year Work Plan	USD 28,441,411.00	There is an additional fund from TRAC (UNDP) to build temporary schools amount to USD 196,151.00, as temporary seed funding, however the <u>KfW</u> remains the same USD 28,441,411.00	

Work Plan 2019 – 2022 (and proposed timeline until 2024)

		PLAN				ACTUAL				COMPLETED															
No	Key Activities	2019				2020				2021				2022				2023				2024 (Financial Closure)			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1																									
1	Multi-Hazard Risk Assessment/ Mapping	Completed																Request for Time Extension Operational to September 2023; Financial Closure to June 2024							
2	Detailed Annual Investment Plan – basic public service infrastructures	Completed																							
3	Tendering for target infrastructures design and supervision	Completed												Defect Liability Period				Asset Transfer							
4	Detail engineering designs (DEDs) and construction tender document	Completed												Re-planning											
5	Tendering for construction of target infrastructures					Completed								Re-tendering											
6	Civil works/ Construction					Partially Completed 14 sp								Extended Construction Period 19 sp											
7	Provision of equipment in reconstructed infrastructures					Partially Completed, Continuing as required																			
8	Provision of formal and on-the-job training for basic public services					Partially Completed, to continue as required																			
9	Monitoring	Ongoing																							
Output 2																									
1	Community-led process for identification of local economic assets' recovery	Completed																							
2	Mobilization of CSO partners for community engagement	Phase I Completed				Phase II Completed				Phase III Ongoing															
3	Tendering for rehabilitation-reconstruction of community infrastructures	Phase I Completed				Phase II In progress																			
4	Civil works/ construction of prioritized community infrastructures					Completed																			
5	Cash for Work scheme for immediate livelihood recovery					Completed																			
6	Design and piloting waste recycling facility					In progress				Extended															
7	Monitoring	Ongoing																							

Section	Original	Amendment	y/n
Governance and management Arrangement	The IMDFF-DR secretariat included in the structure	The IMDFF-DR secretariat excluded from the structure	
Risk Management	Point 5.	Insert new point as point 5. (point 5 in the original move to point 6.) In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse (“SEA”) and sexual harassment (“SH”) allegations in accordance with its regulations, rules, policies and procedures.	
Risk Management			

Section	Original	Amendment	y/n
Risk Management	Point 6.	Became point 7, with additional on sub point c: (a) In the implementation of the activities under this Project Document, each sub-party shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA"). (b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, each sub-party, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.	

Section	Original	Amendment	y/n
Risk Management		Additional sub-point d: In the performance of the activities under this Project Document, each sub-party shall (with respect to its own activities) and shall require from its sub-parties (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, sub-parties will and will require that their respective sub-parties will take all appropriate measures to: (i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA; (ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP; (iii) Report and monitor allegations of SH and SEA of which any of the sub-parties have been informed or have otherwise become aware, and status thereof; (iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and (v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the relevant sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.	

Section	Original	Amendment	y/n
Risk Management		Additional sub-point e: Each sub-party shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.	

Section	Original	Amendment	y/n
Annex 2.	Social and Environmental Screening	The template has been adapted to the new template in accordance with UNDP regulations	
Annex 3.	Risk Analysis	The template has been adapted to the new template in accordance with UNDP regulations	
Annex 4.	Project Board Terms of Reference and TORs of key management positions	Proposed changes to <u>take into account</u> that the IMDFDR secretariat is no longer active	
Annex 6.	Assessment Criteria, List of Proposes Project Activities and Verified, West Nusa Tenggara	Updating the list of target and progress of facilities that have been built and are in progress for completion	
Annex 7.	Assessment Criteria, List of Proposes Project Activities and Verified, Central <u>Sulawes</u>	Updating the progress of facilities that have been built and are in progress for completion	
Annex 8.	---	Additional annex: Documentation of Implementation Progress Activity of PETRA	
Annex 9.	---	Proposed Project Document Revision	

Annex 10. Minute of Meeting Project Board

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Risalah Project Board Meeting PETRA

Project Board Meeting dan Penandatanganan Project Document PETRA
Senin, 21 November 2022, Pukul 13.00 – 15.00 WIB
Hotel Borobudur, Jakarta

Pimpinan Pertemuan : Lilik Kurniawan, Sekretaris Utama, BNPB
Moderator : Zaenudin, Project Coordinator, PETRA NTB
Peserta : Perwakilan BNPB, Bappenas, Kemenkeu, KfW, dan UNDP

Agenda
<ul style="list-style-type: none">• Sambutan dan Pembukaan<ul style="list-style-type: none">• Sambutan Team Leader RRU UNDP Indonesia• Sambutan Perencana Ahli Utama, KemenPPN/ Bappenas• Sambutan Sekretaris Utama BNPB• Laporan Perkembangan Pelaksanaan dan Rencana Kerja Tahunan Proyek PETRA• Diskusi dan Tanggapan<ul style="list-style-type: none">• Kementerian PPN/ Bappenas• BNPB• KfW• UNDP Indonesia• Kesimpulan, Rencana Tindak Lanjut dan Penutup
Kesimpulan Rapat
<ul style="list-style-type: none">• Permohonan Proyek PETRA untuk perubahan dalam Dokumen Proyek PETRA terutama terkait realokasi anggaran, strategi management risiko, dan rencana kerja tahunan yang mengarah pada permohonan perpanjangan waktu sampai dengan 30 Juni 2024, telah disetujui oleh <i>Project Board</i> dan untuk segera ditindaklanjuti dengan penandatanganan ringkasan perubahan Dokumen Proyek antara BNPB dan UNDP.• <i>Project Board</i> mengapresiasi pekerjaan rehabilitasi dan rekonstruksi PETRA yang telah selesai di NTB dan beberapa subproyek di Sulawesi Tengah, termasuk upaya-upaya yang sudah dilakukan untuk menyelesaikan permasalahan kontraktual dengan kontraktor pelaksana, dan mengharapkan percepatan terhadap penyelesaian pekerjaan yang belum selesai terutama untuk 19 subproyek di Sulawesi Tengah.• Diharapkan bahwa koordinasi dapat berlanjut secara reguler antara BNPB, Bappenas dan Kementerian Keuangan dalam pengelolaan hibah langsung PETRA.• <i>Project Board</i> memahami kebutuhan mendesak Pemda dan Penerima Manfaat untuk segera memanfaatkan fasilitas yang telah rampung. Proses serah terima aset dari kegiatan PETRA memerlukan perhatian dari semua pemangku kepentingan yang terlibat untuk melakukan percepatan pelaksanaan BAST dan BASTO untuk subproyek yang telah selesai. Kedepannya, proses BAST dan BASTO agar dapat dilakukan sesegera mungkin berdasarkan subproyek yang telah rampung.• Penandatanganan BAST dan BASTO oleh Deputi Rehabilitasi dan Rekonstruksi BNPB untuk 11 fasilitas yang telah selesai di Sulawesi Tengah dijadwalkan pada 19 Desember 2022, dan proses pelaporannya ke Kemenkeu diharapkan rampung sebelum akhir tahun. Pihak terkait dari BNPB dan Kemenkeu serta Bappenas berkomitmen mendukung percepatan proses BAST dan BASTO ini.
Rencana Tindak Lanjut
<ul style="list-style-type: none">• Penyiapan ringkasan perubahan Dokumen Proyek PETRA dan ditindaklanjuti dengan penandatanganan oleh BNPB dan UNDP.• Tim UNDP dan BNPB akan bersama merampungkan draft dokumen BAST dan BASTO untuk 11 subproyek di Sulawesi Tengah, dalam koordinasi dengan tim terkait dari Kemenkeu.• BNPB melaporkan amandemen Dokumen Proyek yang telah ditandatangani ke Kementerian Keuangan (pemuktakhiran data).

Project Board Meeting and Project Document Signing of PETRA Project
Monday, 21 November 2022, 13.00 – 15.00 WIB
Borobudur Hotel, Jakarta

Meeting Leader : Lilik Kurniawan, Chief Secretary, BNPB
Moderator : Zaenudin, Project Coordinator, PETRA NTB
Participants : Representatives of BNPB, Bappenas, Ministry of Finance, KfW, UNDP

Agenda
<ul style="list-style-type: none">• Opening remarks<ul style="list-style-type: none">• Remarks from Team Leader of RRU, UNDP Indonesia• Remarks from Expert Planner, KemenPPN/Bappenas• Remarks from Chief Secretary of BNPB• Reporting of PETRA Project Implementation Progress and Annual Work Plan• Discussion and Responses:<ul style="list-style-type: none">• Kementerian PPN/ Bappenas• BNPB• KfW• UNDP Indonesia• Conclusion, Follow-up Plan, and Closing Remarks
Meeting Conclusion
<ul style="list-style-type: none">• The Project Board has approved PETRA's request for amendments of the Project Document, especially on the budget reallocation, risk management strategy, and annual work plan that leads toward the request for time extension until 30 June 2024, and this approval to be followed up immediately with the signing of the summary of Project Document amendment between BNPB and UNDP.• The Project Board appreciates the completed PETRA rehabilitation and reconstruction work in NTB and several subprojects in Central Sulawesi, including the efforts that have been made to resolve contractual issues with the implementing contractor, and expects an acceleration towards the completion of unfinished work, especially the 19 subprojects in Central Sulawesi.• It is expected that coordination can continue regularly between BNPB, Bappenas and the Ministry of Finance in the management of PETRA direct grants.• The Project Board understands the urgent need for local governments and beneficiaries to immediately utilize the completed facilities. The transfer of assets from PETRA requires attention from all stakeholders involved to accelerate the implementation of BAST (asset transfer) and BASTO (operational of asset transfer) for the completed subprojects. In the future, it is expected that the BAST and BASTO processes can be conducted as soon as the subproject completes.• The signing of BAST and BASTO by BNPB's Deputy for Rehabilitation and Reconstruction for 11 completed facilities in Central Sulawesi are scheduled for 19 December 2022, and the reporting process to the Ministry of Finance is expected to be completed before the end of this year. Related parties from BNPB and the Ministry of Finance and Bappenas are committed to supporting the acceleration of the BAST and BASTO processes.
Follow-up Plan
<ul style="list-style-type: none">• Preparation of the summary of PETRA Project Document amendment and followed up with signing process by BNPB and UNDP.• UNDP and BNPB teams will jointly finalize the draft BAST and BASTO documents for 11 subprojects in Central Sulawesi, in coordination with relevant teams from the Ministry of Finance.• BNPB to report the signed Project Documents to the Ministry of Finance (for data update purpose).

Signature of Project Board Members:

**For the National Disaster
Management Authority**



Mr. Lilik Kurniawan, S.T., M.Si.
Chief Secretary BNPB

**For The Kreditanstalt für
Wiederaufbau**

Mr. Burkhard Hinz
Director KfW Office Jakarta

**For the United Nations
Development Programme**



DocuSigned by:
Sujala Pant
C418E09E3A89435

Mrs. Sujala Pant
Deputy Resident Representative