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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: 31 December 2021 for Operationally Closed,
31 December 2022 for Financially Closed.
PAC Meeting Date: 18 December 2018

Brief Description

In 2018 Indonesia was struck by two particularly severe natural disasters: a 7.0 magnitude earthquake in West Nusa Tenggara (NTB)¹ on 5 August and, less than 8 weeks later - on 28th September - a 7.4 magnitude earthquake, followed by a tsunami and a rare phenomenon known as 'soil liquefaction', in Central Sulawesi².

In Lombok, according to the National Disaster Management Authority (BNPB), 564 people died; 73,000 houses were heavily damaged, and approximately 400,000 people were displaced as a result of the earthquake; total loss is estimated at IDR 18,20 trillion (Euro 1 billion). Affected infrastructure, besides housing, includes over 600 education facilities and nearly 100 health facilities; the economic livelihoods of local communities, inter alia, have also been severely impacted by the earthquake.

In Central Sulawesi, over 2,096 people are known to have died as a result of the disaster, with more than 4,438 people seriously injured and 1,373 people missing. 68,451 houses are estimated to have been directly damaged and over 173,522 people are displaced. Affected public service infrastructure includes 176 health facilities (among which two hospitals, in Palu city and Parigi Moutong, have been severely impacted) and 1509 education buildings (ranging from elementary schools to universities). Local economic infrastructure has not been immune to damage: 13 market places and 9718 ha of agricultural land have been adversely impacted - with extensive losses being reported in other sectors, such as fisheries and public administration.

The programmatic response. Beyond the immediate humanitarian and relief assistance, UNDP has initiated engagements with national and local governments and international partners in support of Central Sulawesi and NTB's recovery efforts. **The Sulawesi / Lombok Programme for Earthquake and Tsunami Infrastructure Reconstruction Assistance ('PETRA' in short)** has been designed to contribute to such transition: from the immediate response to longer-term recovery.

The ultimate goal of PETRA is to contribute to the rehabilitation and reconstruction of key infrastructure to support the resilient recovery of disaster-affected communities in both provinces. It addresses the need to accelerate the restoration of critical public services (such as health and education), improve economic livelihood opportunities for affected communities (both men and women), while, at the same time, enhancing resilience to future shocks in both provinces.

¹Also known as 'Lombok' earthquake given the location of the earthquake epicenter. In total, seven districts and Mataram city in West Nusa Tenggara (NTB) were severely affected by the earthquake. Affected areas in NTB include the densely populated West Lombok and North Lombok, as well as the island of Sumbawa, which is also under the purview of this proposal.

²Also known as 'Palu' earthquake given the proximity of its epicenter to Palu city, which was one of the most severely damaged areas.

It will be guided and informed by gender-sensitive post-disaster needs assessments and will be fully aligned with relevant national and sub-national recovery plans.

PETRA will deliver two outputs, namely: (a) **Rehabilitation and reconstruction of partially and fully damaged infrastructure for critical public services which consider gender needs and other gender concerns**; and (b) **Rehabilitation of affected communities' economic infrastructure to promote more resilient and sustainable livelihoods for both men and women**

Lessons learned and knowledge generated by the Project will also be leveraged to inform wider efforts – in other provinces and/or at national level.

PETRA-supported investments will be delivered through coordinated, inclusive and well-informed (national and sub-national) decision-making processes, with due attention to vulnerable populations and the need to promote gender-sensitive development. 'Build back better' principles will be reflected throughout the initiative, with a view to enhance the safety, resilience, energy-efficiency, and more gender-friendly of the local infrastructure. Accessibility considerations (to enable and facilitate physical access to persons with disabilities) will also inform the design of infrastructure rehabilitation or reconstruction projects. Best practice in social and environmental standards will also be adopted by the Project.

Project will contribute in the promotion of gender equality by giving consideration to gender concerns, encouraging gender equality in participation, gender equal access and control over livelihood resources and women's leadership. PETRA will consult with women's organizations and gender stakeholders in project's implementation cycle, including at decision making processes. Project will support in tackling gender barriers for equality.

PETRA's objectives are aligned with the Sustainable Development Goals (SDGs) as well as with the Sendai Framework for Disaster Risk Reduction. 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 and sustainability.**

Contributing Outcome (UNDAF/CPD, RPD or GPD):	
<ul style="list-style-type: none"> • UNPDF/CPD 2016-2020 Outcome 3: By 2020, Indonesia is sustainably managing its natural resources, on land and at sea, with increased resilience to the effects of climate change, disasters and other shocks • CPD 2016-2020 Indicative Output 3.9: Recovery preparedness is strengthened particularly in the areas of methodology, financing schemes and institutional arrangements. • Project Output 1 attribute to SP Output 3.1.1 (GEN2) • Project Output 2 attribute to SP Output 3.1.1 (GEN2) 	

Total resources required:	\$ 28,441,411	
Total resources allocated:	\$ 28,441,411	
	UNDP TRAC:	-
	KfW ³ :	\$ 28,441,411
	In-Kind:	-
Unfunded:	-	

³ Kreditanstalt für Wiederaufbau Financing Agreement amounting to Euro 25,000,000 (UNORE December 2018 Euro 1 = \$ 0.879)

Agreed by UNDP:



Sophie Kemkhadze, Resident Representative, a.i.

Date:

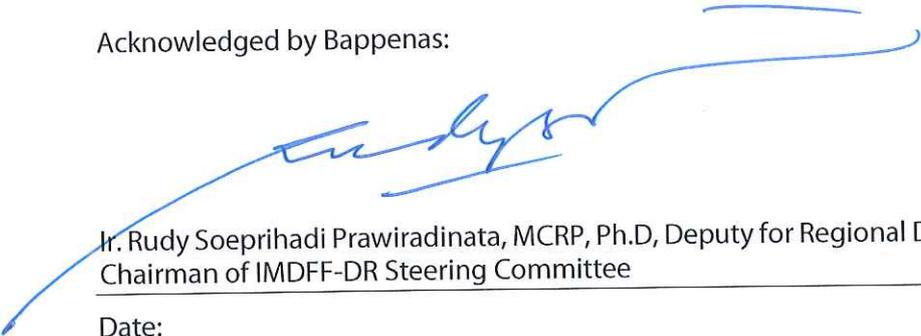
Agreed by National Disaster Management Authority:



Ir. Dody Ruswandi, MSCE, Prime Secretary BNPB as The Vice Chairman of IMDFF-DR Steering Committee

Date:

Acknowledged by Bappenas:



Ir. Rudy Soeprihadi Prawiradinata, MCRP, Ph.D, Deputy for Regional Development BAPPENAS as The Chairman of IMDFF-DR Steering Committee

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 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.

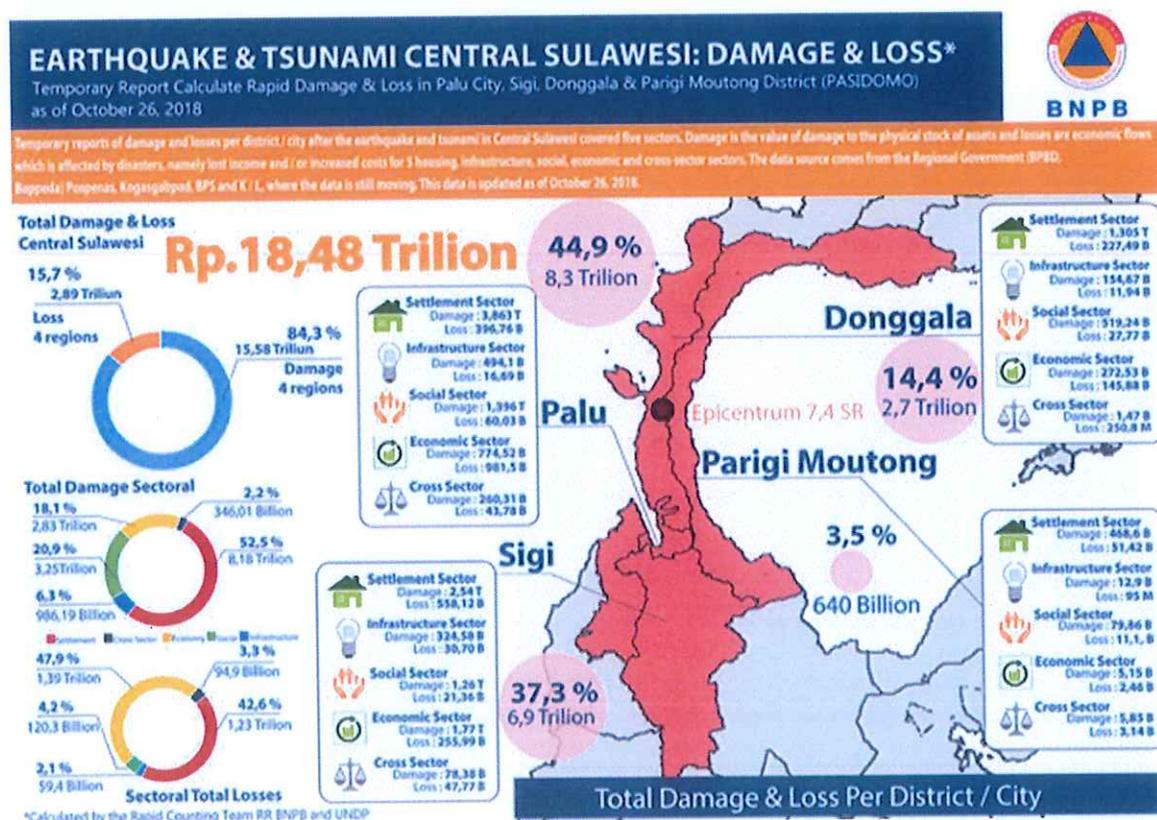
Damage estimates according to provisional loss and damage assessments⁴ carried out by the National Disaster Management Agency (BNPb), Regional Local Disaster Management Agencies (BPBDs) and the United Nations Development Programme (UNDP) stand at IDR 18.48 trillion (IDR 15.8

⁴ This provides an estimated scope which shall be further refined through the JituPASNA/PDANA planned for 3rd week of November 2018.

Trillion in damage and IDR 2.89 Trillion in losses) or EUR 1.11 billion (EUR 944,5 million in damage and EUR 172,8 million in losses)⁵ 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 fish pond, 152 fishing boats (including engines and equipment);
- Damages and losses in commerce and industry, including 13 market places, 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.

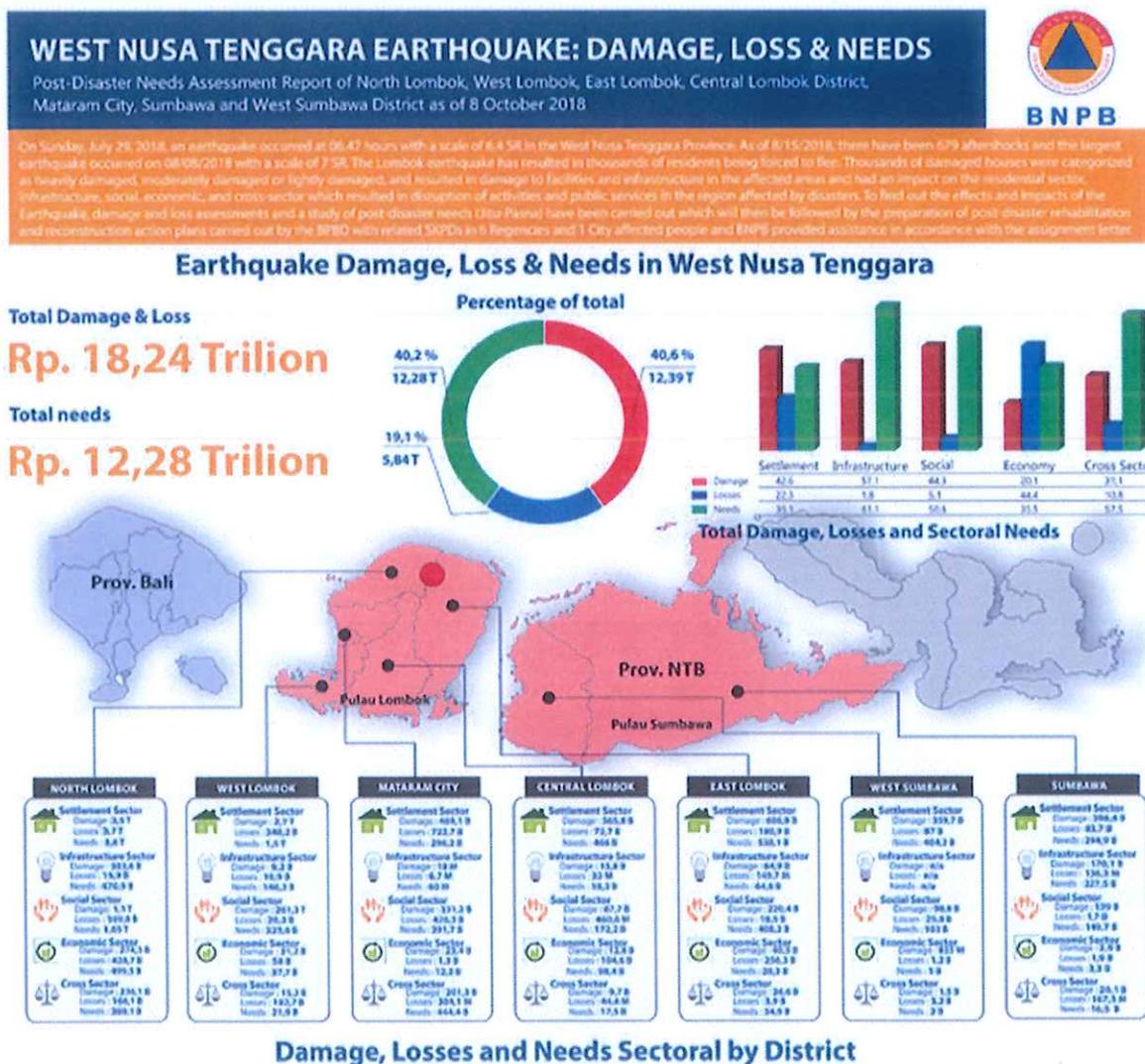


⁵ Exchange rate EUR 1 = IDR 16,729.98

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 (BNPB⁶) 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 trillion⁷ (Euro 100 million).



⁶ Badan Nasional Penanggulangan Bencana, <https://bnpb.go.id/>

⁷ <https://www.cnnindonesia.com/ekonomi/20180910124912-532-329123/bnpb-sebut-total-kerugian-gempa-lombok-capai-rp12-triliun>

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 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 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

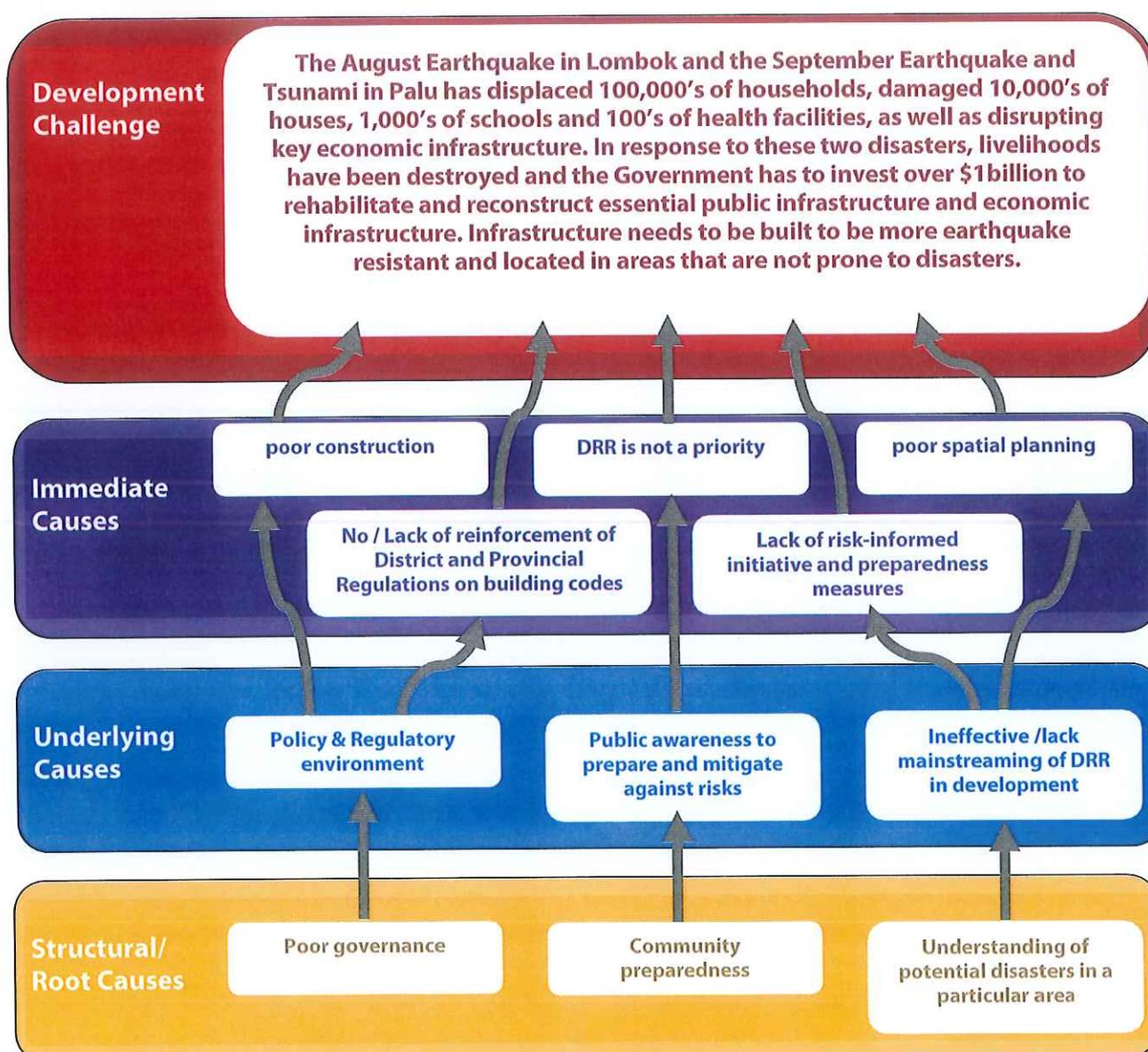


Diagram 1. Problem Tree

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)⁸, which highlights the importance of contributing to national efforts to 'strengthen resilience to shocks'; improve the equitable 'delivery of basic services'⁹, as well as to enhance economic livelihoods in vulnerable communities- including through the promoting of sustainable income-generating opportunities¹⁰.

Such priorities, in turn, are aligned with the United Nations Partnership for Development Framework (2016-2021), or UNPDF¹¹, 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 Reconstruction Assistance**¹² ('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.

⁸ For more information, please visit https://digitallibrary.un.org/record/797544/files/DP_DCP_IDN_3-EN.pdf

⁹ Outcome 2 of Country Programme Document for Indonesia (2016-2020); UNPDF Outcome # 2

¹⁰ Please see Outcome 1 in Country Programme Document for Indonesia (2016-2020); UNPDF Outcome # 2

¹¹ For more information, please see <http://un.or.id/what-we-do/partnership-for-development-unpdf>

¹² 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).

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 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 Reduction¹³ 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 JituPASNA 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.

¹³ 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>

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.

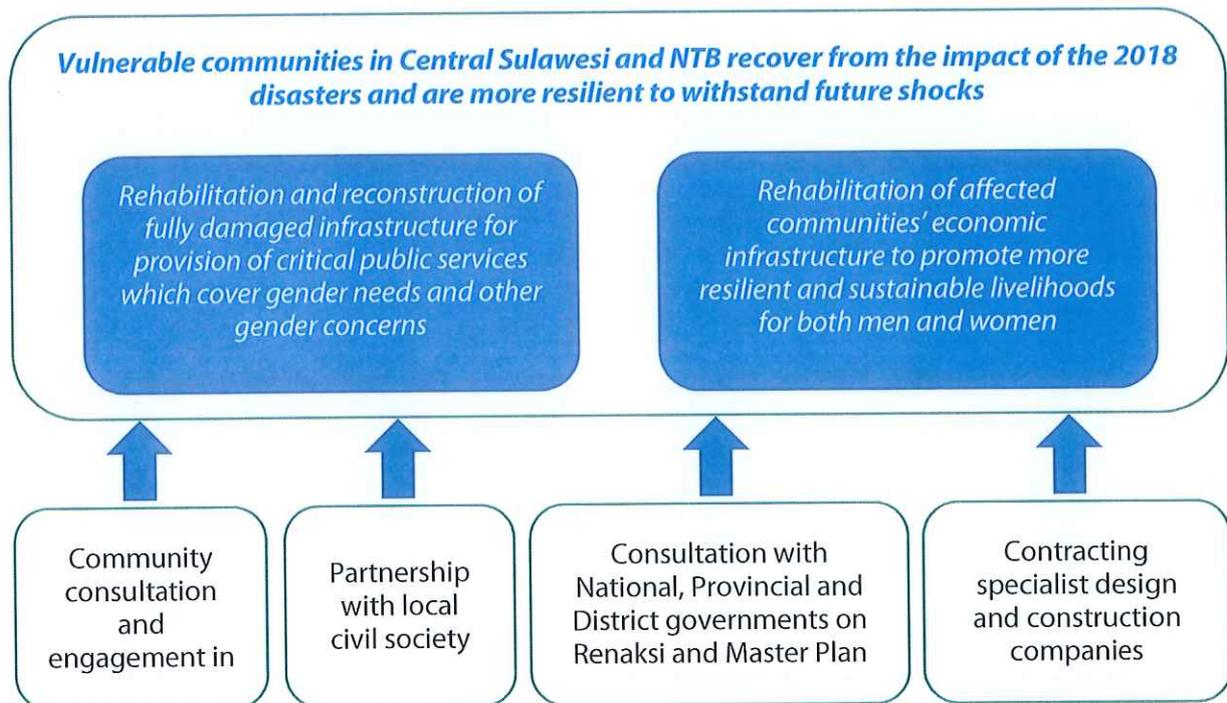


Diagram 2. Theory of Change

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 investments¹⁴. It seeks to contribute to the accelerated restoration of critical services, including on 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.

¹⁴ Over 74% of resources including both (i) Output 2-only activities and (2) Pro-rated cross-cutting activities

- 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 Procedures¹⁵ will be used to inform such planning.
- **Undertaking two separate tendering processes for**
 - (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:

- 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.
- 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

¹⁵ 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’)

request for 'Expressions of Interest' (EoIs), as it will help expedite the tendering process (EoIs 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 regulations¹⁶. 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.

- **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
 - community engagement in recovery; participatory planning and budgeting,
 - investment programming for recovery,
 - data and information management – including satellite imagery analysis and use of Unmanned Aerial Vehicles (UAVs) for data collection/ recovery management
 - social, environmental and safety standards for infrastructure development; resilient, risk-informed/ climate-smart construction
 - 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.

¹⁶ See 'Notes on Infrastructure Construction'.

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.

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

The Project's logic is based on the following assumptions:

- 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.
- 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 are able to 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.

The environmental and social management framework will facilitate mitigating potential social and environmental risks.

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. 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.

3.8. 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. 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 to 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 on planned project outputs¹⁷.

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 to UNDP's Programme and Operations Policies and Procedures. The PMU is led by a Project Manager (PM) hired by UNDP and based in Central Sulawesi; a (smaller) sub-field office in Lombok will be set up under the responsibility of a Field Coordinator (who will report to the Project Manager). The PM will be responsible for the day to day management of the project and implementation of activities in line with guidance provided by the CO. S/he will also undertake field visits to Lombok to oversee and support project implementation there. The PM will be assisted by (a) project operation and technical personnel (including engineers and community mobilizers), (b) specialized consultants to be hired for specific tasks.

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

¹⁷ 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.

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 Agency (BNPB) as the Senior Beneficiary of PETRA Project will registered the project to the Ministry of Finance (MoF) in accordance to the current regulation on Grant Management Administration¹⁸.

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 Government¹⁹.

¹⁸ [Peraturan Menteri Keuangan No. 99/PMK.05/2017](#)

¹⁹ [Peraturan Menteri Keuangan No. 224/PMK.07/2017](#)

V. RESULTS FRAMEWORK²⁰

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.

UNPDF/CPD Outcome indicators, including baseline and targets: Indicator-3.8: # of districts classified as high disaster risk ; Baseline(2013): 322 ; Target: 135

UNDP Strategic Plan Output 3.1.1. Core government functions and inclusive basic services⁴ restored post-crisis for stabilisation, durable solutions to displacement and return to sustainable development pathways within the framework of national policies and priorities

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

EXPECTED OUTPUTS	OUTPUT INDICATORS ²¹	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)			DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	
Output 1 Rehabilitation and reconstruction of fully damaged infrastructure for provision of critical public services cover gender needs and other gender concerns	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	5	10	Desk and Document Review
	1.2. Cumulative # educational establishments reconstructed or rehabilitated using 'build-back better' construction standards (subject to design geotechnical assessment, estimated 80% of the targeted educational establishments).	Renaksi	0	2018	0	9	18	Desk and Document Review
	1.3. Cumulative # men and women of service users that benefit from rehabilitated/ reconstructed health	Renaksi	0	2018	10,000	50,000	200,000	Desk and Document Review

²⁰ 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.

²¹ 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 ²¹	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)			DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	
	facilities (men and women; girls and boys)							
	1.4. Cumulative # of school-age girls and # school-age boys that benefit from reconstructed or rehabilitated educational facilities	Renaksi	0	2018	1,000	5,000	10,560	Desk and Document Review
	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)	150	Desk and Document Review
	1.6. Cumulative # of cubic metres of earthquake and tsunami debris recycled by municipal public facilities by the end of the project	Renaksi		2018	10,000	50,000	100,000	Desk and Document Review
	1.7. 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.	Desk and document review
Output 2 Rehabilitation of affected communities' economic infrastructure to	2.1. Cumulative # km of irrigation canals and drainage in disaster-affected areas rehabilitated or reconstructed for improved agriculture (Donggala and Sigi), subject to consultation with local government and communities.	Renaksi	0	2018	2	4	7	Desk and Document Review

EXPECTED OUTPUTS	OUTPUT INDICATORS ²¹	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)			DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	
promote more resilient and sustainable livelihoods for both men and women	2.2. Cumulative # of culverts and bridges disaster-affected areas rehabilitated or reconstructed for improved agriculture (Donggala and Sigi), subject to consultation with local government and communities.	Renaksi	0	2018	1	2	3	Desk and Document Review
	2.3. Cumulative # local markets rehabilitated or reconstructed, subject to consultation with local government and communities.	Renaksi	0	2018	0	1	2	Desk and Document Review
	2.4. Cumulative # households that benefit from economic infrastructure rehabilitation (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.	Renaksi	0	2018	Retail: approx. 100 (direct); 500 (direct) Agriculture (500) farmers, catchment area)	Retail: approx. 300 (direct); 1,000 (direct) Agriculture (1000) farmers, catchment area)	Retail: approx. 400 (direct); 3,000 (direct) Agriculture (2000) farmers, catchment area)	Desk and Document Review
	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	100	250	1,000	Desk and Document Review
	2.6. Cumulative # male and # female access newly created jobs in livelihood opportunities	Baseline study and annual survey.	TBD in 2019	2019	TBD (Baseline)	250	1,000	Desk, Document Review and Field assessment

VI. MONITORING AND EVALUATION

UNDP's corporate standards and instruments for Monitoring and Evaluation (M&E) will be pursued throughout the implementation of PETRA²². 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 Plan²³

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
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 ²⁴ , or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.
Monitor and Manage Risk	Identify specific risks that may threaten achievement 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.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.

²² 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)

²³ Optional, if needed

²⁴ Please see a Quarterly Report Template in the Annex 5 section.

	Audits will be conducted in accordance with UNDP's audit policy to manage fiduciary risk.		
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 2021	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 making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.
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 an annual basis.	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.

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 people²⁵

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

²⁵For 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 assessments²⁶.

6.2. Evaluation Plan²⁷

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Final Evaluation			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)	November 2021	BAPPENAS, KFW	USD25,000 KFW

²⁶ For more details on the SES and compliance mechanisms during civil works please refer to section 2.2.2.

²⁷ Optional, if needed

VII. MULTI-YEAR WORK PLAN ^{28,29}

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.

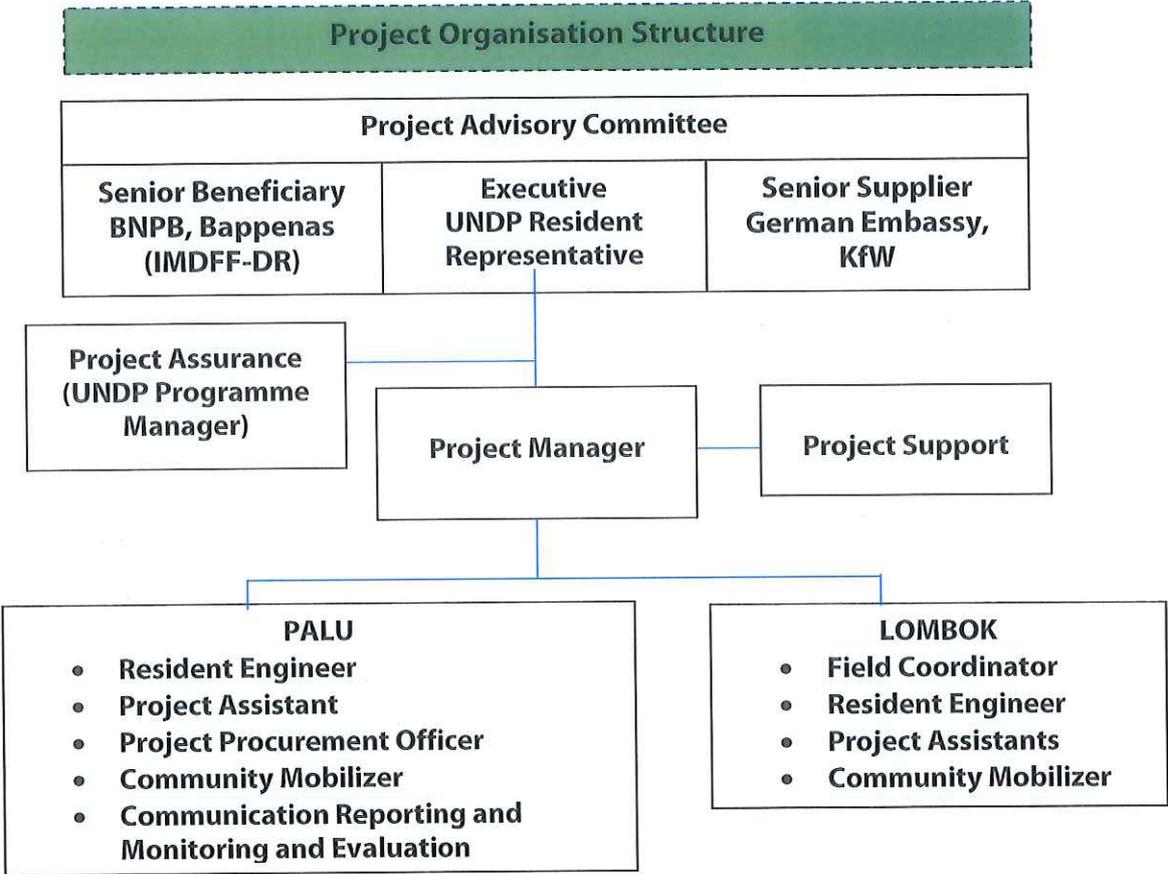
EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year (USD)			RESPONSIBLE PARTY	PLANNED BUDGET (USD)		
		Y1	Y2	Y3		Funding Source	Budget Description	Amount
Output 1: <i>Rehabilitation and reconstruction of partially and fully damaged infrastructure for provision of critical public services which cover gender needs and other gender concerns</i> Gender marker: 2	1.1. Provide support to the finalization/updating of the Multi-Hazard Risk Assessment and Mapping for Central Sulawesi and Lombok	34,130			UNDP	KFW	consultants	34,130
	1.2. Complete a detailed annual investment plan for local recovery, in close consultation with relevant national and local authorities and local communities	34,130			UNDP	KFW	consultants	34,130
	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	1,137,656	227,531		UNDP	KFW	consultants	1,365,188
	1.4. Civil works/Construction: Contract management and supervision	3,548,066	8,870,165	5,322,099	UNDP	KFW	Procurement	17,740,330
	1.5. Provision of equipment to accelerate the restoration and enhancement of critical public services, in close coordination with national and local authorities	568,828	1,137,656	568,828	UNDP	KFW	Procurement	2,275,313

²⁸ 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

²⁹ 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	Planned Budget by Year (USD)			RESPONSIBLE PARTY	PLANNED BUDGET (USD)	
		Y1	Y2	Y3		Funding Source	Amount
	1.6. Provision of formal and on-the-job training to relevant sub-national authorities and community organizations	28,601	28,601	28,601	UNDP	KFW	85,802
	Sub-Total for Output 1						21,466,633
Output 2: <i>Rehabilitation of affected communities' economic infrastructure to promote more resilient and sustainable livelihoods for both men and women</i> Gender marker: 3	2.1. Facilitate community-led processes for the identification and prioritization of critical local economic assets (infrastructure) to be recovered	19,909	23,891		UNDP	KFW	43,800
	2.2. Conduction of tendering processes for the rehabilitation of prioritized community (economic) infrastructure	113,766			UNDP	KFW	113,766
	2.3. Civil works/Construction: Contract management and supervision	266,690	266,690	266,690	UNDP	KFW	799,711
	2.4. Implementation of small scale, cash-for-work schemes through NGOs/CSOs – debris removal and debris management	113,766	113,766		UNDP	KFW	227,531
	2.5. Design and piloting of a recycling and sorting facility, with the engagement of local authorities and communities	113,766	169,509	113,766	UNDP	KFW	397,040
	Sub-Total for Output 2						1,581,908
PMU		1,054,031	1,054,031	1,054,031	UNDP	KFW	3,162,092
Evaluation (as relevant)	MONITORING AND EVALUATION	7,964	7,964	39,818	UNDP	KFW	55,745
General Management Support		702,256	702,256	702,262	UNDP	KFW	2,106,774
TOTAL							28,441,411

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENT



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 UNDP³⁰. 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 way³¹. 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.

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.

³⁰ Senior official from KfW, UNDP and echelon I officials from Bappenas, BNPB and MoHA. 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.

³¹ 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

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 IMDFF-DR secretariat as representative from 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.

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. 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.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor 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 party's, 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 party's, 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 party's, subcontractor's and sub-recipient's obligations under this Project Document.

- c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, 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 and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
- d. 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 and (b) 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.
- e. 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.
- f. 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 or corruption 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.

- g. 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.

- h. 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.

- i. 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.
- j. 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 1. Project Quality Assurance Report

Completed on the UNDP Intranet Project Quality Assurance System and will be inserted in the Project Document.

Annex 2. Social and Environmental Screening

Project Information

Project Information	
1. Project Title	Sulawesi/Lombok Programme for Earthquake and Tsunami Infrastructure Reconstruction Assistance
2. Project Number	00116311
3. Location (Global/Region/Country)	Indonesia

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

QUESTION 1: How Does the Project Integrate the Overarching 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 environmental sustainability</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 infrastructure will be designed to minimise environmental impact where ever possible.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.</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 6</i>			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Risk 1: Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	I = 1 P = 5	high	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,	I = 4 P = 4	high	Debris management and recycling activities.	OSH Risk management strategy to minimise potential risks. Use of PPE, safe disposal of waste.

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</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 6</i>			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
operation, or decommissioning?				
QUESTION 4: What is the overall Project risk categorization?				
Select one (see <u>SESP</u> for guidance)			Comments	
Low Risk			<input type="checkbox"/>	
Moderate Risk			<input checked="" type="checkbox"/>	Waste management is the main risk.
High Risk			<input type="checkbox"/>	
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?				
Check all that apply			Comments	
Principle 1: Human Rights			<input type="checkbox"/>	
Principle 2: Gender Equality and Women’s Empowerment			<input type="checkbox"/>	
1. Biodiversity Conservation and Natural Resource Management			<input type="checkbox"/>	
2. Climate Change Mitigation and Adaptation			<input type="checkbox"/>	
3. Community Health, Safety and Working Conditions			<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. Pollution Prevention and Resource Efficiency			<input checked="" type="checkbox"/>	Municipal and Medical waste management strategies.

Final Sign Off

Signature	Date	Name
QA Assessor		Christian Budi Usfinit Head of the Resilience and Reconstruction Unit
QA Approver		Sophie Kemkhadze Deputy Resident Representative
PAC Chair		Sophie Kemkhadze Deputy Resident Representative

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
Principles 1: Human Rights		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	NO
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ³²	NO
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	NO
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	NO
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	NO
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	NO
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	NO
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	NO
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	NO
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	NO
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	NO
4.	Would the Project potentially limit 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
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause 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	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including 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	Does the Project involve 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	Would Project activities pose risks to endangered species?	NO
1.5	Would the Project pose a risk of introducing invasive alien species?	NO
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	NO
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	NO
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water?	NO

³² Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, 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 people and transsexuals.

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
<i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>		
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	NO
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	NO
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	NO
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ³³ greenhouse gas emissions or may exacerbate climate change?	NO
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	NO
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive 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
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	NO
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	NO
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	NO
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	NO
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	NO
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	NO
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	YES
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	NO
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	NO
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact 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
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	NO
Standard 5: Displacement and Resettlement		

³³ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	NO
5.2	Would the Project possibly result in 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	Is there a risk that the Project would lead to forced evictions? ³⁴	NO
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	NO
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	NO
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	NO
6.3	Would the proposed Project potentially affect 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 the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	NO
6.4	Has there been an 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	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	NO
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	NO
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	NO
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	NO
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	NO
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in 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
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	YES
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose 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 Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	NO
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	NO
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	NO

³⁴ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

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 Reconstruction Assistance	Award ID:
Date: 18 th December 2018	

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Potential environmental risks, especially with the waste management aspects of the project.	18/12/2018	Environmental	Damage to the environment for example the aquifer if the leachate from the waste management facility was not treated appropriately. P = 3 I = 3	Environmental and Social Management Framework to identify and plan for potential risks. Each subproject will have its own environmental and social risk management plan.	Project Manager	Project Manager	When was the status of the risk last checked	e.g. dead, reducing, increasing, no change
2	Occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	18/12/2018	Environmental	Contaminants during demolition, construction P=3 L=3	Environmental and Social Management Framework to identify and plan for potential risks. Each subproject will have its own environmental and social risk management plan.	Project Manager	Project Manager		
3	National and sub-national stakeholders do not support PETRA's objectives and are not willing to cooperate.		Political	Project would not be able to identify and restore damaged infrastructure.	Active consultation with the government at all stages of the programme. Seek	Project Manager	Project Manager		

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
4	Qualified construction companies are not (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.		Operational	P = 2 I = 5 Poorly constructed infrastructure will place communities at risk P = 3 I = 2	approval from government on the proposed infrastructure. Asking potential companies to submit EOI. Ensure tenders are widely advertised. Prepare detailed RFQs	Project Manager	Project Manager		
5	Eligible CSOs/NGOs are not able to 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.		Operational	NGOs are not able to engage with the community, or do not have appropriate experience. P = 3 I = 1	Select local NGOs that already have community networks in Palu and Lombok.	Project Manager	Project Manager		
6	Local communities will not engage with the project and develop a sense of ownership for project results, including rehabilitated/ reconstructed local community infrastructure.			Community Infrastructure not operated or maintained P = 3 I = 1	Community mobilizer involves communities at all stages of the project cycle.	Community mobilizer	Project Manager		

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

PROJECT BOARD / PROJECT ADVISORY COMMITTEE

Overall responsibilities: The 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 standards³⁵ 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: individual representing the project ownership to chair the group.
- 2) Senior Supplier: individual or group 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: individual or group of individuals representing the interests of those 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.

Potential members of the Project Board are reviewed and recommended for approval during the PAC meeting. For example, the Executive role can be held by a representative from the Government Cooperating Agency or UNDP, the Senior Supplier role is held by a representative of the Implementing Partner and/or UNDP, and the Senior Beneficiary role is held by a representative of the government or civil society. Representative of other stakeholders can be included in the Board 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;

³⁵ 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.

- 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;
- 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)³⁶.

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.

³⁶ <http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm.html>

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

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 definition 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 advices
- Review technical reports
- Monitor technical activities carried out by responsible parties

Annex 5. Supplemental Provisions to the Project Document³⁷: 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.

³⁷ Standard annex to project documents for use in countries which are not parties to the Standard Basic Assistance Agreement (SBAA).

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.
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 Manager³⁸ 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 fellowships 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

³⁸ May also be designated Project Co-coordinator or Chief Technical Adviser, as appropriate.

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 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 (IMDFF-DR) 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)³⁹;
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 on 26 March 2019 :

No	Sector	Proposed Project Activities	Location	Selected Photos (26 March 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	

³⁹ 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 IMDFF-DR Secretariat to reallocate the infrastructure to new site or change the allocation for other infrastructure.

No	Sector	Proposed Project Activities	Location	Selected Photos (26 March 2019)
4	Education	SMK Negeri 1 Kayangan	Lombok Utara	 <p>26 Feb 2019 2:11:11 PM -8°13'55.709"S 116°18'22.425"E Kabupaten Lombok Utara</p>
5	Health	Puskesmas Pembantu Rangsot Desa Sigar Penjalin	Lombok Utara	
6	Health	Puskesmas Labuhan Lombok	Lombok Timur	 <p>8.50228465S 116.66326374E Pringgabaya 27 Feb 2019 13:38:42</p>
7	Health	Puskesmas Pembantu Telage Wareng	Lombok Utara	
8	Health	Puskesmas Pembantu Tegal Maja	Lombok Utara	 <p>27 Mar 2019 07:16 AM -8°23'17.104"S 116°05'19.171"E Kabupaten Lombok Utara</p>

No	Sector	Proposed Project Activities	Location	Selected Photos (26 March 2019)
9	Health	Puskesmas Pembantu Gangga	Lombok Utara	
10		Puskesmas Pembantu Loloan Bayan	Lombok Utara	

No	Sector	Proposed Project Activities	Location	Selected Photos (26 March 2019)
11	Health	Puskesmas Pembantu Selengen Kayangan	Lombok Utara	
12		Puskesmas Pembantu Sesait	Lombok Utara	

No	Sector	Proposed Project Activities	Location	Selected Photos (26 March 2019)
13	Health	Puskesmas Pembantu Pendua	Lombok Utara	 <p>The top photograph shows the exterior of a small, single-story building with a wooden door. A sign on the wall reads "PUSKESMAS PEMBANTU PENDUA". To the left, there is a blue banner with the text "GEMAS" and some smaller text below it. The bottom photograph shows a group of people standing in a paved area in front of the building. A timestamp at the bottom of the second photo reads "27 Mar 2019 6:11:40 PM".</p>

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 (IMDFF-DR) 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)⁴⁰;
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 on 21 May 2019 :

No	Sector	Proposed Project Activities	Location	Selected Photos (21 May 2019)
1	Health	Rumah Sakit Anutapura Ruang Perawatan Murai (Stroke Center) + Selasar Penghubung, Gedung Farmasi dan Transformer Listrik (Trafo dan jaringan)	PALU, Sub-District: Palu Barat, Village: Donggala Kodi	
2	Environment	TPA Kawatuna	PALU Sub-District: Mantikulore Village: Kawatuna	

⁴⁰ 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 IMDFF-DR Secretariat to reallocate the infrastructure to new site or change the allocation for other infrastructure.

No	Sector	Proposed Project Activities	Location	Selected Photos (21 May 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	

No	Sector	Proposed Project Activities	Location	Selected Photos (21 May 2019)
7	Education	SD Inpres Jono Oge	SIGI Sub-District: Sigi Biromaru Village: Jono Oge	
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	

No	Sector	Proposed Project Activities	Location	Selected Photos (21 May 2019)
11	Education	SD Negeri Lompio	SIGI Sub-District: Sigi Biromaru Village: Sidondo IV	
12	Health	Puskesmas Kulawi	SIGI Sub-District: Kulawi Village: Bolapapu	 Lintang: -1.442954 Bujur: 119.925157 Utmaz: 570.00m Akurasi: 7.0m Waktu: 15-11-2018 08:17 Catatan: p14kzmsm <i>Powered by NoteCam</i>
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	

No	Sector	Proposed Project Activities	Location	Selected Photos (21 May 2019)
16	Environment	TPA Kabonga	DONGGALA Sub-District: Banawa Village: Kabonga	
17	Economic	Sentra IKM Tenun Ikat Donggala	DONGGALA Sub-District: Banawa Tengah Village: Limboro	
18	Health	Puskesmas Pembantu Labuan Induk	DONGGALA Sub-District: Labuan Village: Labuan Induk	
19	Education	SD Negeri 21 Sirenja	DONGGALA Sub-District: Sirenja Village: Lende Tovea, Dusun 3 Labuana	
20	Health	Puskesmas Malei	DONGGALA Sub-District: Balaesang Tanjung Village: Malei	

No	Sector	Proposed Project Activities	Location	Selected Photos (21 May 2019)
21	Education	SMP Negeri 1 Labuan	DONGGALA Sub-District: Labuan Village: Labuan Induk	
22	Education	SMP Negeri Satap 3 Sindue Tobata	DONGGALA Sub-District: Sindue Tobata Village:	
23	Education	SD Negeri 3 Kasimbar	PARIGI MOUTONG Sub-District: Kasimbar Village: Kasimbar	
24	Education	SD Inpres Marantale	PARIGI MOUTONG Sub-District: Siniu Village: Marantale	
25	Education	SD Negeri Toboli	PARIGI MOUTONG Sub-District: Parigi Utara Village: Toboli	

No	Sector	Proposed Project Activities	Location	Selected Photos (21 May 2019)
26	Education	SD Negeri Parigi Mpuu	PARIGI MOUTONG Sub-District: Parigi Barat Village: Pariri Mpuu	
27	Education	SD Negeri Purwosari	PARIGI MOUTONG Sub-District: Torue Village: Purwosari	
28	Education	SMPN 2 Satap Parigi Selatan	PARIGI MOUTONG Sub-District: Parigi Selatan Village: Sumber Sari	
29	Education	SMPN 1 Parigi Utara	PARIGI MOUTONG Sub-District: Parigi Utara Village: Toboli	