PMIG
PROJECT MANAGEMENT IMPLEMENTATION GUIDELINE
2009

Transparency, Alignment, Ownership, Harmonization, and
Strengthening National Systems to Better Account for Development
PROJECT MANAGEMENT IMPLEMENTATION GUIDELINE (PMIG)


Version 1
2009

Prepared jointly by the National Development and Planning Agency (BAPPENAS), Government of Indonesia and United Nations Development Programme Indonesia

Directorate for Multilateral Foreign Funding
National Development Planning Agency (BAPPENAS)
PREFACE

The Project Management Implementation Guideline (PMIG) was prepared under the leadership of Bappenas in partnership with UNDP. It describes the agreed minimum requirements and processes that will be applied to all UNDP-funded activities in Indonesia. The PMIG brings together the Government of Indonesia rules and regulations and the current corporate UNDP Programme and Operations Policies and Procedures (POPP).

The PMIG incorporates the agenda of the Jakarta Commitment that was signed on 12 January 2009 and the commonly agreed principles of the Paris Declaration: Ownership, Harmonization, Efficiency, Effectiveness, Openness, Competition, Transparency, Fairness/Non Discrimination and Accountability. This PMIG will assist both the Government of Indonesia and UNDP to ensure the effectiveness of project implementation, which contributes to the impact in reducing poverty, building the capacity of human resources and institutions, strengthening governance, improving development outcomes, and accelerating the achievement of the MDGs.

The purpose of this PMIG is to provide key officials, programme and project management staff with a quick and accessible reference to ensure that UNDP supported projects are implemented in an efficient and agreed manner. PMIG covers the areas of Programme/Project Management, Planning, Implementation, Reporting, Monitoring & Evaluation and Audit as well as Project Closure.

Bappenas and UNDP will establish a Review Group that will periodically review the PMIG, in particular the Annexes, to reflect changes in policies and procedures, as well as rules and regulations from both UNDP and the Government of Indonesia that have implications to the implementation of UNDP projects. The review process will involve all stakeholders through a participative process. Hence, the PMIG is understood to be a living document that can accommodate changes in conditions and policy related to the management of foreign grants in Indonesia.
Bappenas and UNDP expect that this PMIG will support project implementation and strengthen the cooperation between the Government of Indonesia and UNDP. We would like to thank all stakeholders that have contributed to the development of this PMIG, especially representatives from the Ministry of Finance, the Ministry of Foreign Affairs, the State Secretariat, the Ministry of Law and Human Rights, and all of our other partners that we are unable to mention individually. We believe that this PMIG will benefit all of us by improving the quality of the cooperation between the Government of Indonesia and UNDP. We look forward to the continual review process that will be undertaken initially on an annual basis by the PMIG Review Group to update and improve this tool for our projects.

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State Ministry of National Development Planning / National Development Planning Agency (BAPPENAS)

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United Nations Development Programme (UNDP)  
Indonesia
## Abbreviations and Acronyms

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<th>Description</th>
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<tr>
<td>ADR</td>
<td>Assessment of Development Results</td>
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<tr>
<td>ATLAS</td>
<td>Enterprise Resource Planning (ERP) software used by UNDP and other UN agencies to manage official records.</td>
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<tr>
<td>APR</td>
<td>Annual Project (Progress) Report</td>
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<td>APBN</td>
<td>Indonesia’s State Revenue and Expenditure Budget</td>
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<td>AWP</td>
<td>Annual Work Plan</td>
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<td>BAPPENAS</td>
<td>National Development Planning Agency–Government of Indonesia</td>
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<td>BCPR</td>
<td>UNDP Bureau for Crisis Prevention and Recovery</td>
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<td>BOM</td>
<td>UNDP Bureau of Management</td>
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<td>BUMN</td>
<td>National State Owned Enterprise</td>
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<td>CCA</td>
<td>UN Common Country Assessment</td>
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<td>CDR</td>
<td>Combined Delivery Report</td>
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<td>CEDAR</td>
<td>Capacity of Efficient Delivery for Achievable Results</td>
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<td>CP</td>
<td>Country Programme</td>
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<td>CPAP</td>
<td>Country Programme Action Plan</td>
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<td>CPB</td>
<td>Country Programme Board</td>
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<td>CPD</td>
<td>Country Programme Document</td>
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<td>CSO</td>
<td>Civil Society Organization</td>
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<tr>
<td>DCT</td>
<td>Direct Cash Transfer (formerly UNDP Advance of Funds)</td>
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<tr>
<td>DEX</td>
<td>Direct Execution modality (now DIM as the term ‘execution’ has now refers to programme level ownership under new CPAP terminology)</td>
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<td>DIM</td>
<td>Direct Implementation Modality (new terminology since Indonesia CPAP signature, formerly DEX)</td>
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<td>DIPA</td>
<td>Budget Implementation Document</td>
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<tr>
<td>DRPHLN – JM</td>
<td>Schedule of Foreign Loans and Grants – Medium Term Project and Technical Assistance Proposal (Blue Book)</td>
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<td>DRPPHLN</td>
<td>Annual Project and Technical Assistance Proposal (Schedule of Priority List for Foreign Loans and Grants)</td>
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<tr>
<td>DSA</td>
<td>UN Daily Subsistence Allowance</td>
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<tr>
<td>EA</td>
<td>Executing Agency (pre-CPAP terminology subsequently replaced by ‘Implementing Partner’)</td>
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<tr>
<td>EB</td>
<td>UNDP/UNFPA Executive Board</td>
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<td>EPTA</td>
<td>UN Expanded Programme of Technical Assistance</td>
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<tr>
<td>FACE</td>
<td>Funding Authorization and Certificate of Expenditure (harmonized and simplified form under the HACT policy)</td>
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<tr>
<td>FPR</td>
<td>Final Project Review Report (formerly Project Terminal Report)</td>
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<tr>
<td>Abbreviation</td>
<td>Description</td>
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<tr>
<td>HACT</td>
<td>UN Harmonized Approach to Cash Transfers to Implementing Partners Policy Framework issued in 2005</td>
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<td>GEF</td>
<td>Global Environment Facility</td>
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<tr>
<td>IP</td>
<td>Implementing Partner (formerly ‘Executing Agency’)</td>
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<td>IPAC</td>
<td>Internal Project Appraisal Committee (in UNDP's POPP referred to as “Pre” or Preparatory PAC)</td>
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<td>KPPN</td>
<td>State Treasury Office</td>
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<td>KPA</td>
<td><em>Kuasa Pengguna Anggaran</em> (Representative Budget User)</td>
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<td>LoA</td>
<td>UNDP Letter of Agreement (an agreement with a Responsible Party under a UNDP Project)</td>
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<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
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<td>MDG</td>
<td>Millennium Development Goals</td>
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<td>MOSS</td>
<td>UN Minimum Operating Security Standards</td>
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<td>MOU</td>
<td>Memorandum of Understanding</td>
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<td>NOD</td>
<td>Notice of Disbursement</td>
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<td>NGO</td>
<td>Non-Governmental Organization</td>
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<tr>
<td>NEX</td>
<td>National Execution (now used at programme level; at project level referred to as NIM)</td>
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<td>NGOIM</td>
<td>NGO Implementation</td>
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<td>NIM</td>
<td>National Implementation Modality (formerly NEX)</td>
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<td>NIP</td>
<td>National Implementing Partner</td>
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<td>NPD</td>
<td>National Project Director (legacy terminology, replaced by ‘Executive at Project Board’)</td>
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<td>NPPP</td>
<td>National Project Professional Personnel</td>
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<td>NPPHLN</td>
<td>Loan/Grant Agreement</td>
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<tr>
<td>OAI</td>
<td>UNDP Office of Audit and Investigation (formerly OAPR)</td>
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<td>ODA</td>
<td>Official Development Assistance</td>
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<tr>
<td>OECD/DAC</td>
<td>Organization for Economic Cooperation and Development/Development Assistance Committee</td>
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<tr>
<td>OPB</td>
<td>UNDP – Office of Planning and Budget</td>
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<td>OSG</td>
<td>UNDP – Operations Support Group</td>
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<td>OLS</td>
<td>UNDP – Office of Legal Support</td>
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<td>PSO</td>
<td>UNDP – Procurement Support Office</td>
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<tr>
<td>PAC</td>
<td>Project Appraisal Committee (formerly Local PAC)</td>
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<tr>
<td>PB</td>
<td>Project Board (formerly Steering Committee) or UNDP Partnerships Bureau (formerly BRSP)</td>
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<tr>
<td>PD</td>
<td>Project Director</td>
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<tr>
<td>PIP</td>
<td>Project Initiation Plan (POPP refers to this as ‘Initiation Plan’)</td>
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<td>PMIG</td>
<td>Project Management Implementation Guideline</td>
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<td>PM</td>
<td>Project Manager</td>
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PMU  Project Management Unit
PPK  Commitment Officer
PO  Purchase Order
POPP  UNDP Project and Operations Policies and Procedures
(also known as UNDP User Guide)
QPR  Quarterly Project (Progress) Report
BPAC  Regional Bureau Project Appraisal Committee
RBAP  UNDP Regional Bureau for Asia and the Pacific
RBB  Results Based Budgeting
RBM  Results-Based Management
RC  UN Resident Coordinator
RKA-KL  Ministry and Agency Work Plan and Budget
RR  UNDP Resident Representative
RRF  Results and Resource Framework
RFQ  Request for Quotation
RMG  UNDP Results Management Guide released in August 2005
integrated in POPP January 2008
Rp  Indonesian Rupiah currency
RPJMN  Government of Indonesia 2004 – 2009 National Medium Term Development Plan
RP  Responsible Party (new CPAP terminology, formerly
Implementing Agent/Agency)
QWP  Quarterly Work Plans
SBAA  UNDP Standard Basic Assistance Agreement
SOE  Statement of Expenditure
SOP  Standard Operating Procedures
SMART  Specific, Measurable, Accurate, Reliable and Time-bound
SNPK  Government of Indonesia’s National Strategy for Prevention of Poverty
SRM  Security Risk Management
SU  Support Staff
SWAP  Sector-wide Approach Plan
TCPR  Triennial Comprehensive Policy Review
ToR  Terms of Reference
TRAC  UNDP Targeted Resource Allocation from Core Funds
UN  United Nations
UNCT  United Nations Country Team
UNDAF  United Nations Development Assistance Framework
UNDG  United Nations Development Group
UNDP  United Nations Development Programme
UNDP CO  UNDP Country Office in Indonesia
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On 12 January 2009, The Government of Indonesia and its Development Partners signed the Jakarta Commitment (reference Annex A1). The Jakarta Commitment is an agreement to implement common goals to improve the effectiveness of foreign grant aid and loans for achieving improved development in Indonesia. The signing of the Commitment has shown that the management of foreign grants/loans in Indonesia will strive to be in-line with national development priorities. The Jakarta Commitment document was signed by 22 Development Partners both multilateral and bilateral, including the United Nations Development Programme (UNDP) as one of the United Nations (UN) Agencies in Indonesia.

UNDP is one of the few Development Partners that supports Indonesia entirely through grant funding. The present UNDP Country Programme focuses its cooperation in the fields of governance and democratization, poverty reduction and efforts towards the Millennium Development Goals (MDGs), reducing susceptibility to crisis, the recovery of Aceh and North Sumatra, as well as sustainable environmental management and more effective energy utilization.

As ignatories of the Jakarta Commitment, UNDP and the Government will strive to continue improving the effectiveness and efficiency of their development cooperation, and this Project Management Implementation Guideline (PMIG) as such, becomes one of the milestones under the Jakarta Commitment. The main purpose in the development of the PMIG is to enhance accountability and transparency by contributing the harmonisation, national ownership and support of the implementation of national systems in the programmes and projects funded by UNDP in Indonesia.
1.1. Overview UNDP

UNDP is the UN’s global development network, an organization advocating for change and connecting countries to knowledge, experience and resources to help people build a better life. UNDP is on the ground in 166 countries, working with them on their own solutions to global and national development challenges. UNDP is dedicated to the UN reform agenda, working together with all UN agencies towards promoting the UN Millennium Declaration and achieving the Millennium Development Goals, the world’s first common agenda for human development.

In Indonesia, UNDP works to advance human development; fight poverty and inequality; consolidate democratic governance at both national and local levels; support crisis prevention and recovery; and promote environmentally sound development. UNDP is also fully engaged in the fight against HIV and AIDS and the promotion of gender equality.

UNDP is at the service of Indonesia and its people, and is committed to support Indonesia’s national priorities and the implementation of Government of Indonesia’s Medium Term Development Plan 2000-2009 and other national and local development visions, strategies and plans.

UNDP’s work in Indonesia is an integral part of the United Nations Development Assistance Framework for Indonesia (2006-2010) and governed by the UNDP Country Programme of the same period, signed with the Government of Indonesia in 2005.

In Indonesia, UNDP works in five priority areas:

a. Poverty Reduction and the Millennium Development Goals
b. Democratic Governance
c. Environment
d. Crisis Prevention and Recovery
e. Aceh and North Sumatra Recovery

UNDP is clearly distinguished as a Development Partner by the fact that it is purely a grant institution. UNDP implements its cooperation with the Indonesian Government not only through project funding (project grants) but is also carrying out other types of cooperation in Indonesia which include:
a. Technical Advisory Services/Development Services;
b. Policy advocacy;
c. Multi-stakeholder facilitation (UN - donor Coordination);
d. Funding for Catalytic Intervention;
e. Producing and Sharing of Knowledge.

At national level in Indonesia, UNDP’s cooperation focus takes into account the Government of Indonesia 2004-2009 National Medium Term Development Plan (RPJMN), and other documents reflecting a sectoral strategy and national conditions, such as the National Strategy for Prevention of Poverty (“SNPK”) and the MDGs Report for Indonesia. UNDP’s medium-term plan in Indonesia is embodied in the UNDP Country Programme Document (CPD) (reference Annex B54). The CPD contains the priority programme plans to be carried out during the medium term of 5 years. The CPD is in a more operational way embodied into the UNDP Country Programme Action Plan (CPAP) (reference Annex B28). The CPAP accommodates the UNDP programme, output and indicators and its funding plan in the medium term. The current CPD and CPAP are for the period 2006-2010. The development and finalization of both the CPD and CPAP was undertaken jointly by UNDP and the Government of Indonesia. More details on the work and focus of UNDP including current projects and initiatives can be found on http://www.undp.org and specifically on Indonesia at http://www.undp.or.id.

A Glossary of UNDP Terms used in this document and other related UNDP documents is included as Annex B24 and provides detailed information on harmonization terminologies in evaluation and result-based management.

1.2. Issues Being Addressed

The implementation of joint projects between UNDP and the Government of Indonesia continues to be affected by a set of issues including among others:

• Grants provided through projects carried out, but not formally recorded, as Government revenue in the “APBN” (State Revenue and Expenditure Budget); the financial system and flow of UNDP grants operate under a parallel system but are not fully in alignment with the Government’s financial management system and budgeting;
• Technical and administrative problems in the implementation of the cooperation.

Issues arise in the implementation of technical cooperation when the project’s national Implementing Partner (IP), national Responsible Parties (RP) or other related parties are not fully informed on the Government and UNDP’s cooperation policies, procedures, and modalities for planning, developing and implementing foreign aid projects, or the cash transfer, procurement, and monitoring & evaluating systems.

The above issues need to be addressed to enhance future efficiency and effectiveness in the implementation of development initiatives. The Government of Indonesia is in the process of improving the alignment, efficiency, and effectiveness of international grant-based aid. Since 2006, the Government has approved several laws and regulations related to technical management of international grant aid, including:

a. Government Regulation No. 02/Year 2006 pertaining to Loan Acquisition Procedures and/or Grant Receipts and Two-step Loan and/or Foreign Grants - ratified in January 2006; and

b. Decree of the Minister of State for National Development Planning/Head of National Development Planning Agency (Bappenas) No. PER.005/M.PPN/06/2006 pertaining to Procedure for Planning and Proposal and Assessment Submission of Activities.

In light of the above laws and regulations, it is necessary to follow up with as much harmonisation as possible, on a progressive basis, through an agreed “system” that can be applicable to UNDP in Indonesia. This will ensure project design and implementation are carried out to maximum effectiveness. It is in this spirit that Bappenas and UNDP have agreed to jointly prepare this Project Management Implementation Guidelines (PMIG) document.

1.3. Objectives of the PMIG

The objectives of this PMIG are to:

1. Increase the efficiency and effectiveness of the implementation of projects resourced by “foreign grant-based” funds entrusted to UNDP;

2. Become a Guideline for Government staff and civil servants in charge of managing UNDP “grant-based” ODA and the national Implementing
Partners and their national Responsible Parties in UNDP funded projects; and
3. Become a Guideline for UNDP managers, staff and contracted personnel on assignment in Indonesia to have an increased understanding of national policies and agreed applicable requirements concerning “foreign grant-based aid” managed in Indonesia.

1.4. Scope of PMIG

These guidelines have been developed based on the regulations of the Government relating to foreign grants and UNDP rules and regulations. These guidelines will only regulate activities funded by UNDP using the National Implementation Modality (NIM).

Programme/ projects implemented using the Direct Implementation Modality (DIM) will refer only to the UNDP Project and Operations Policies and Procedures (POPP).

These guidelines explain the following implementation of four key phases:

a. Planning, project preparation and signing of the Project Document; consists of the recommendation phase, assessing readiness criteria, and registering a Government Planning Document on the foreign loan/grant, and other project preparation prior to the signing of the project document;

b. Implementation; consists of channelling and disbursing the funds through designated mechanism, as well as grant administration, the main principles in the procurement process, processes for revision and changes to the project document, and others matters, including official field trips, living and visa permits for international staff, and customs and tax obligations;

c. Reporting, monitoring & evaluation, and audit; include the reporting mechanism, monitoring, evaluation, and audit requirements on projects funded by UNDP grants; and

d. Mechanisms for Project Closure; include the process for substantive closure and the relevant financial and administrative procedures, as well as arrangements for the transfer of assets.

Additional specific and technical aspects related to the implementation of projects that have not been regulated in this PMIG will be regulated separately...
in each Project Document and project Standard Operating Procedures agreed by both UNDP and Bappenas.

It is important to note that for UNDP, under special conditions such as crisis or disaster, the mechanisms for implementing projects will not necessarily follow the regular procedures as detailed in this PMIG, but will have an increased flexibility based on the conditions and needs of the emergency. UNDP will consult with BAPPENAS should such mechanisms be necessary.

1.5. Review Mechanism

These Guidelines form a living document that will be reviewed on a regular basis based on the current national situations and conditions. To implement the review process, a Review Group will be established by the Government of Indonesia and UNDP. The review will be undertaken once a year or more frequently if required. The PMIG Review Group minimum representation will consist of representation from Bappenas, MOF, and UNDP.

1.6. Overview of Supporting Documents

The Annexes in this PMIG are vital reference documents for project implementation. The Annexes are divided into two sections, Annex A (attached to this document) provides a higher level overview and key documentation for National Project Directors and Executive Board Members, as well as Project Managers and includes: the Jakarta Commitment, extracts of key Government regulations, the UNDP POPP checklist and a description of UNDP CO support services.

Annex B is attached in CD format and provides extensive documentation (refer to the Annex A5 in this document for the full list of current documents in

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1 Internally in UNDP, this policy on the special circumstances will be designated by time-frame and decision makers as follows:

**CO Self Designation:** This crisis mode designation may not be extended beyond 3 months at the UNDP Indonesia Country Office level.

**UNDP Regional Bureau for Asia & Pacific (RBAP) Designation:** This crisis mode designation may not be extended beyond 6 months at the RBAP level.

**UNDP Associate Administrator Designation:** This crisis mode designation requires semi-yearly reviews by the Associate Administrator, with decisions to extend or revoke the crisis mode designation based on a status update, recommendations, and justification report from the UNDP Indonesia Resident Representative.
Annex B). Annex B will be of great practical to Project Managers as it goes into detail regarding the processes and implementation procedures that Project Managers will need to be aware of and use, as well as including convenient templates. As the PMIG is a living document, the PMIG Review Group will update Annex B on an annual basis.
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2.1. Introduction

This chapter aims to detail and improve the effectiveness of the planning process of projects to be financed by UNDP-channelled grant aid. Activities financed through foreign grant aid constitute efforts to achieve the targets of the National Medium-Term Development Plan (RPJMN) 2004-2009. Grant aid disbursed through UNDP is aimed at achieving priority targets that have been determined in the RPJMN.

The planning phases for projects to be funded by UNDP-channelled grant aid involve:

1. Formulating the project concept note based on the UNDP Country Programme (CPD and CPAP) and identifying the activities;
2. Officially proposing the project to the Government;
3. Preparatory stage;
4. Project Document/AWP finalization stage and Project Appraisal Committe (PAC) Meeting; and
5. Signing of the Project Document.

These phases are illustrated in figure 2.1.
UNDP Indonesia has developed a detailed checklist for project management based on the UNDP Programme Operations, Policies and Procedures (POPP). The checklist covers the full project cycle, from justifying a project to planning, implementing, and closing a project. It is suggested that this checklist should be used by all projects, Implementing Partners and UNDP staff in the Country Office. The POPP check list is attached as Annex A3 of this document.

### 2.2. Formulating a Concept Note and Project Identification

To translate specific aims of the medium-term planning document into the form of UNDP project proposals, UNDP will cooperate with the Government to formulate the project based on the UNDP Country Strategy. The project proposal will be presented in the form of a Concept Note (equivalent to a “project brief”) to be discussed internally by UNDP to obtain the approval of its senior management. If the Concept Note is approved, it will be an input for the development of the project pipeline and will be further discussed with Bappenas, the appointed Implementing Partner, and other related parties in the context of preparing the project result framework, and draft Project Document as a whole.
If needed to support the formulation of the project document, UNDP may fund and implement a preliminary Project Initiation Plan (PIP) to facilitate the preparation of all matters relating to the development of the project. Both UNDP and the Government should then approve the PIP Document at a conceptual level.

2.3. **Project Proposal and Appraisal**

In accordance with UNDP National Implementation procedures and Government Regulation No. 2/2006 and PPN State Minister Regulation No.5/2006, Ministries/ Agencies/ Regional Governments /BUMN may submit a project proposal for foreign grant funding to the State Ministry for National Development Planning/ National Development Planning Board (Bappenas).

With regards to the above Government provisions, the project document concept prepared by the Implementing Partner and the UNDP CO must be officially proposed to Bappenas. The proposal will be submitted by the Minister/ Agency Head/ Regional Government Head, to the State Minister of PPN/Head of Bappenas c.q. Deputy for Development Funding. The proposed project must be in accordance with the Strategic Plan of the Ministry/Agency, the Regional Medium Term Development Plan (RPJMD), and a Ministry/ Agency budget allocation.

When submitting a project proposal, certain Government criteria and requirements must be observed. The general criteria in proposing foreign grant aid are as follows:

a. The project’s results must conform with the direction and target of the medium-term national development plan (RPJM);

b. The project’s results must be able to achieve programme targets in line with national development priorities;

c. The overall capacity of the Implementing Partner in conducting the project shall be considered. It is demonstrated that it is more efficient, both technically and financially, for the project to be financed by a foreign loan and/or grant aid rather than financed by the Government; and

d. The project’s outputs can be operated by domestic resources, can be extended to other projects, and are otherwise sustainable.
The general requirements in proposing a project to be financed by foreign grant funds include the following documents:

a. Project Summary Form (*Daftar Isian Pelaksanaan Kegiatan/DIPK*) and a Project Digest;
b. Feasibility Study Report (FS); and
c. Terms of Reference (ToR) for the Project.

The prerequisites of the project proposal developed by the related line ministry/ institution/ local government and UNDP are the Feasibility Study and the Terms of Reference (ToR). The DIPK and Project Digest formats are in Annex B1 of these guidelines. The DIPK and Project Digest will be submitted by the Implementing Partner as an attachment to the Project Proposal to Bappenas.

Bappenas will undertake an appraisal of the project proposed. If considered feasible, the relevant project proposal will be included in the Medium Term Foreign Loans and Grants Project List (DRPHLN-JM or ‘Bluebook’). DRPHLN-JM will be effective in the medium term according to the effective period of RPJMN and may be renewed and improved annually according to social and economic conditions.

The DRPHLN-JM will be communicated to all donor institutions/countries. Projects that have been identified and for which preparation has been made by UNDP may be incorporated into the UNDP Pipeline Projects: a list of projects that may obtain grant funding from UNDP in the medium term.

Projects that have obtained an indication of funding, such as the Pipeline Projects, will have undertaken the required preparations. If the preparations are considered to be adequate, the projects will be included in the Schedule of Priority Foreign Loans/ Grant aid (DRPPLHN or Green book). The DRPPLHN is a list of projects which are expected to be signed within the fiscal year concerned.

### 2.4. Project Preparation

Once a project is included in the DRPHLN-JM and included in the UNDP Pipeline Projects, efforts will be made to prepare the project for implementation through the development of a Project Initiation Plan (PIP).
The PIP will be implemented by coordinating with various related parties and be detailed in the Project Document.

Items to be clearly defined in the Project Document PIP exercise are as follows:

1. The background of problems faced and requiring solutions;
2. A situation analysis and justification of the importance of project implementation;
3. The project's objective and scope;
4. The strategy to be implemented (identifying key partners) through the project to achieve the expected objective;
5. The project organization structure and the respective duties, functions, and responsibilities;
6. A matrix of Project Results and Resource Framework (RRF);
7. The Annual Work Plan (AWP), the implementation plan of project components to be carried out in the current year;
8. The financial plan or cost table, from both grant funding and Rupiah participation, and withdrawal mechanism (UN harmonised “cash transfer” modality) to be applied;
9. The matrix of the planned procurement system to be used for the project components, which are the responsibility of the Executive of the Project Board (usually equivalent to NPD) and UNDP;
10. Terms of References (ToR) for the consultant component to be recruited and assist in project implementation;
11. The Memorandum of Understanding regarding the list of support services to be provided by UNDP through the concerned project (Letter of Agreement regarding UNDP Country Office Support Services). This Letter of Agreement (LoA) contains a matrix that lists project components to be implemented by UNDP;
12. The Cost Recovery and MOSS/MORSS (UN security) Compliance in the Project Setting;
13. An Asset Disposal Strategy; and
14. The Harmonised Cost Parameters.

In addition, the Project Document must be completed with a signature page and Project Summary at the front.
2.4.1. **Project Organisation**

UNDp projects are provided through grant aid and as such are considered government revenue. As government revenue, the Government (through the relevant Ministries/Agencies) should function as the coordinator of the revenue through a Minimum Organisational Structure, as is detailed below.

The Minimum Organisational Structure of each project to be funded by UNDP grant aid should be as follows:

**a. Project Board**

The Project Board (PB) is the highest decision-making body in project management and implementation. It should normally consist of, at a minimum, implementing partners, beneficiaries or institutions which benefit from the project implementation, and UNDP or other donors (if any) as the senior supplier. The composition of the PB will follow the needs and conditions of the project.

In regional projects, PB membership will also involve a regional head. The responsibilities of the PB include providing overall direction and review of the project implementation targeting at least one higher level Outcome, reviewing and approving the AWP proposal, and reporting on the project implementation. If needed, an additional Project Steering Committee (PSC) can be formed to strengthen management coordination and policy synchronization in the project implementation and function with broader stakeholder members.

**b. Implementing Partner**

The Implementing Partner (IP) is the party responsible for the management and delivery of programme activities to produce results specified in the Project Document, therefore it will be among the signatories of the Project Document in conjunction with UNDP. The IP signatory on the Project Document must be at the level of an Echelon I Official, who is the supervisor of the National Project Director (NPD). The IP appoints related parties to implement the project at the national and local level (where part of the project is implemented at the regional level).

**c. Project Executive or National Project Director (NPD)**

The Project Executive or National Project Director (NPD) is the official responsible for monitoring the business case of the project, and “managing by
exception” the overall project implementation. The NPD appointed by the IP becomes a member of Project’s Board and Steering Committees and is ultimately responsible for the implementation of the entire project. Therefore the NPD has the responsibility to sign the Combined Delivery Report (CDR), Annual Workplan (AWP) and FACE Form.

The NPD also has to control all activities under his/her responsibility. For a project that will be implemented at the regional level, the IP can appoint a regional project implementor after coordination with the relevant regional leaders. The institutional arrangement, as well as the tasks and functions of the NPD, will be explained in detail in the Project Standard Operating Procedures (SOP) referring directly to the Project Document.

The appointment of the NPD can be established legally through a Decree Letter from the Ministry Secretariat or Director General of the implementing partner related to the project. To synchronise with the national system, the NPD needs to coordinate with the Commitment Officer (PPK) regarding their respective roles and working relationship. The NPD can be the PPK, or appoint other parties to be PPK for part of the project organization. The PPK for a project funded by UNDP can be separated from the PPK for State Revenue and Expenditure Budget (APBN) activities based on the existing mechanism. This is to ensure sound administration process and project accountability.

The official appointed as the NPD needs not to be from the level of Echelon II, but may be an official from Echelon III or a functional official. Based on the need to assist in the implementation of project activity, the Executive may appoint a Deputy Project Director (DNPD). The Project Document will define and clarify in the TOR the respective roles and responsibilities of the NPD, Deputy NPD, and working relationship intended with the PPK.

d. Project Management Units (PMU)

A Project Management Unit (PMU) may be established to carry out the tasks that require additional capacity. A check list for assessing the capacity of an implementing partner (reference Section 2.5 HACT Assessment below) to determine the level of support needed in a PMU is included in Annex B15 and

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2Combined Delivery Report (CDR), Annual Workplan (AWP) and FACE Form can be found in Annex B38 for CDR, B10 for AWP and B13 for FACE Form.
A financial capacity diagnostic is included in Annex B12. Annex B14 outlines programme and project management roles. The PMU, if needed, should not be established as a parallel structure of the government institution, but is intended to strengthen the organizations related to the implementation of the project funded by UNDP.

A PMU may consist of project personnel who have duties and responsibilities in the areas of finance and administration. The PMU can also include consultants hired as component or output managers. To enable better performance of both the administrative tasks and managerial duties, the PMU should occupy a separate, defined space to facilitate coordination and administration and to not impede the development of government leadership and capacity. The space allocated should be provided by the Implementing Partner. Should space not be available within the premises of the Implementing Partner, the costs of providing space for the project secretariat should be discussed with UNDP.

The minimum requirement for PMU shall consist of a Project Manager. The Project Manager refers to the person, irrespective of contractual modality or nationality, who performs the duties of the day-to-day decision-making on project planning, management, implementation, quality monitoring and closure. The Project Manager will help the NPD in the development of reports submitted to the Project Board and to UNDP. The roles and responsibilities of the NPD and the Project Manager shall be clearly defined in the TOR and Project Standard Operating Procedures (SOP).

e. Project Assurance

Project Assurance is the function of the Project Board to ensure the project is able to perform its functions appropriately. UNDP (unless otherwise agreed by UNDP and the Implementing Partner) will perform the Project Assurance function. It will provide inputs to the Project Board members regarding the criteria of general project implementation as a source for Project Board members to then provide inputs and directions to the Project Executive (NPD) and the Project Manager.

The Project Assurance function will:

i. Ensure that project plans are being developed according to standards and that quality management procedures are properly followed;
ii. Ensure that project outputs’ and activity definitions, including
description and quality criteria, have been properly recorded in the
Atlas Project Management module to facilitate monitoring and
reporting; and

iii. Ensure that the Project Board’s recommendations are followed and
revisions are managed in line with the required procedures.

**Figure 2.2.** Organisational Structure of the Project

### 2.4.2. Financial Administration and Planning

The mechanism for disbursement, channelling and the administration of funds of foreign aid needs to be agreed upon by the implementing partner, UNDP, and the Ministry of Finance before the Project Document is signed. Several mechanisms that can be implemented:

a. Direct payment;
b. Direct cash transfer;
c. Reimbursement; and
d. Direct UN agency implementation.

A discussion on the mechanism, or combination of mechanisms, to be used should involve representatives from the Ministry of Finance, namely from the Directorate General of Budgeting, the Directorate General of Treasury Affairs, the Directorate General of Debt Management, the Implementing Partner and UNDP. The agreed mechanism(s) will be detailed in the Project Document/AWP section on Management Arrangements.
The UNDP Project Document/ AWP will specify the total amount of grant aid funds in US Dollars to be made available through the project. While the detailed annual disbursement plan is considered to be embodied in the Annual Work Plan (AWP) (reference Annex B43), the project financial plan used as a basis in preparing the budget document, is contained in the UNDP project AWP.

The project budget plan (including an accompanying/supporting funds plan) should have already been entered into the draft of the Ministry/ Agency Work Plan and Budget (RKA-KL), based on the existing Government regulations.

For project documents which have been signed, but for which the Government administrative process of the funds has not been completed (and therefore a project account has not yet been opened), the implementing partner can still implement the project through a UNDP direct payments modality and/ or Country Office Support Services. An example of a UN Country Office Support Services Agreement is included as Annex A4. A request from NPD to UNDP to receive UNDP Country Office Support Services is needed for all the activities until the budget is registered with DIPA and before it is eligible to open and operate a bank account to support the implementation of the project.

UNDP will use the Result Oriented Budgeting (ROB) system in which the withdrawal plan is made on a quarterly basis by the Project in accordance with the Funding Authorization and Certificate of Expenditure (FACE) form (reference Annex B13). The funds will only be transferred after the Project Implementation Report of the previous quarter shows implementation to be adequate.

UNDP grant aid funds shall not be used for honorarium payment of government staff who are working for the project, nor for government staff who are members of a project organ including the procurement committee. Grant aid funds shall not be used to fund activity results outside those planned in an approved AWP, and shall not be used to pay taxes which should be exempted for UNDP.

Payment for government officials will follow the UN harmonised DSA rate (reference Annex B27), a standard that has been agreed to by all UN Agencies for DSA, Honorariums and transportation. Honorariums for speakers and moderators can be provided following the UN harmonised rate to government
officials outside that of the project implementor (IP). The Government and UN will review the harmonized rate on an annual basis, or as required.

Government agencies acting as project/AWP Implementing Partners should provide supporting activities (and/or funds) related to the project funded by UNDP. This is historically known as Government Contributions to a UNDP Project.

2.5. Harmonized Approach to Cash Transfer (HACT) Assessment

A Harmonized Approach to Cash Transfers (HACT) assessment is meant to streamline and speed up transactions and to empower the Implementing Partners by giving them greater responsibility for resource management and programme implementation. The objectives of the HACT assessment are to:

- Simplify procedures;
- Reduce transaction costs;
- Promote reliance on national systems;
- Increase focus on capacity development; and
- Increase overall effectiveness of UN operations in the field.

Prior to, or early in the implementation of the project, a Harmonized Approach to Cash Transfers (HACT) (reference Annex B11) micro assessment shall be carried out on behalf of the UN HACT working group. UN agencies working with the potential national Implementing Partner or national Responsible Party will assess the management capacity of the Implementing Partner, review the needs of the project and jointly determine the appropriate modality of cash transfers to the project and assurance activities. The UN agencies concerned will have meetings with the Implementing Partner throughout the project cycle (e.g. field monitoring visits, spot checks and audits). The cash transfer modalities may include up to four methods e.g: direct cash transfer, direct payment, reimbursement, or direct agency implementation. These should comply with UN harmonisation requirements under the HACT policy framework, be conducted once for a certain period of time in one programme cycle, and be repeated in the next programme cycle. The cost of the HACT assessment will be covered by project.

2.5.1. Reporting for HACT Assurance Activities and Monitoring

The NPD, with the support of the Project Management Unit, shall prepare the Quarterly and Annual Work Plans and progress reports and submit them to
UNDP. To maintain the activities in line with the proposed plan, UNDP will implement a series of activities in the context of HACT, as follows:

- Review / Spot check periodically the financial reports related to funds transfer. (This needs to be implemented and documented regularly, or assessed from internal control); and
- Monitor Programme activities supported through fund transferring following UNDP standards and implementing field visits and field monitoring.

### 2.6. Safety and Security

The concept of UN Minimum Operating Security Standards (MOSS) was developed in response to risks which UN staff face in the field. It is designed to determine a minimum requirement for the field security management system, provide a mechanism to increase the security consciousness of personnel, reduce risk, and establish standard field based criteria to assume responsibility and accountability. MOSS is broadly divided into five sections: security planning & procedures, training, transportation, telecommunications, and security of staff and offices.

All UNDP funded projects with project offices, including UN personnel, must be MOSS compliant and a standard component of all project budgets will be a security component allocating resources to ensure MOSS compliance. Detailed information on the cost recovery requirement for MOSS compliance is included in Annex B53.

### 2.7. UNDP Country Office Cost Recovery

In accordance with the UNDP Executive Board Decision 98/2, a cost recovery policy and costing process is in place for each project for the recovery of costs incurred by the UNDP Country Office for its direct operational support and services to project/AWP implementation. The cost recovery guide is a costing guide that assists the project in making an annual budget provision in the project/AWP for expenses related to operational costs.

This project budget provision is essential or the project will not have sufficient funds to achieve its required activities. The UNDP Country Office’s core budget is earmarked for other indirect support, including costs for the rent of
main office space in Menara Thamrin Building in Jakarta, maintenance of ATLAS and international IT connections, in-house training of staff etc, and is not available for direct project costs.

The cost recovery provision is up to 5% of the overall cost of goods and services supplied to the Project by providers directly contracted by UNDP, for example: vehicles, individuals providing specialised services to projects, consultants, rent of project office space, ISP-internet connectivity, services of security guards, electricity usage, services of cleaners, PABX telephone bill, national or international consulting firms or NGOs, security equipment, and for other relevant services. This cost recovery provision of 5% must be included in the project AWP.
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This chapter on the procedures of project implementation funded by UNDP consists of the following sections: (a) start up workshop, (b) disbursement/withdrawal procedure for grant aid funds, (c) procurement of goods and services, (d) revision to project documents/AWPs, and (e) ‘other’ issues, consisting of general description of travel expenses, visa and stay permit processing mechanism for international personnel, and exemption from import duty for imported goods and taxes.

3.1. Project Start-up Workshop

A Start-up workshop related to the implementation of a Project must be held after the Project organisation is established so as to provide basic information to the Project implementers relating to the guidelines and regulations on the processes involved to project registration, open an account, register with DIPA, develop the Annual Workplan and Quarterly workplans, and clarify regulations involved in fund disbursement, fund channelling, procurement, audit and HACT. The resource persons that attend should be drawn from Bappenas, MOF, BPKP and UNDP.

3.2. Procedures For Implementation Of Projects Financed By UNDP

3.2.1. Scope of Work

As stated, these guidelines are for projects implemented by Implementing Partners, as most UNDP projects focus on the capacity development of central government. Therefore, the mechanisms for fund disbursement in this guideline should follow the central government mechanism. Implementation of projects at the local government level will follow the standard Government process and will be cleared at the central level by Bappenas, who will determine the level of decentralisation of project implementation.
3.2.2. General Principles

Based on the applicable provisions for foreign grant management, the general principles that should be satisfied are as follows:

- All state revenues and expenditure that are state obligations in the fiscal year concerned should be incorporated into the APBN;
- The total or portion of foreign loan/grant amount stipulated in the foreign loan/grant agreement document (NPPHLN) should be embodied in the DIPA document;
- In the case of a determined APBN, the amount or portion of the foreign loan/grant amount should be embodied in the APBN-Revision;
- In the case of direct cooperation between UNDP and a non-governmental organization, the grant aid should not be provided through the mechanism of the state budget, but rather directly between UNDP and said organisation. Thus, the channelling of grant aid funds to the non-governmental organisation will not be recorded as state revenue;
- In the case of direct cooperation between UNDP and another UN agency not to be further “sub contracted”, the grant aid shall be reported as grant aid, included in the state budget, but may or may not be channelled through state mechanisms, depending on the policies and procedures of the UN agency concerned as applicable in such cases.

The management of foreign loans/ grants to the Government should be recorded in the APBN mechanism and based on the above principles. The advantages of such recording include the following:

- Access to the Tax exemption facility for the implementation of government activities that are in part or whole funded by the foreign grant;
- UNDP’s grant can be recorded as government revenue in APBN.

3.2.3. Mechanism of Recording UNDP Grant Aid in DIPA

Activities which are implemented using UNDP grant funds must be recorded in the Government budgeting document (DIPA). Registering the UNDP grant to DIPA can take place in two Institutions/Ministries, depending on the need and characteristics of the project. The mechanism and steps for recording activities in the DIPA document are described in the diagram below.
The Ministry of Finance Regulation No. 06/PMK.02/2009, concerning the Mechanism for the amendments of APBN and amendments of DIPA 2009, provides that a revision can be implemented at any time and reported to the DPR later.

**Figure 3.1.** Mechanism for Recording UNDP Grant Aid Activities in the DIPA Document

*Other than UNDP in case of Emergency projects.*
3.2.4. **Project Bank Account Management**

Figure 3.2 summarises the process involved in the approval to open an account, the application to open an account and the reporting involved.

![Diagram of Project Bank Account Management](image)

**Figure 3.2.** Project Account Management
3.2.4.1. Opening a Project Bank Account

UNDP can allow the UN direct cash transfer modality to be used for an Implementing Partner-owned, project-specific bank account as stated in the particular project document. The national Implementing Partner will be able to open a bank account with approval from the State Treasurer (The State Treasury is Ministry of Finance). The approval can be made by the State Treasury Authority, which is the Director General of the Treasury and the Regional State Treasury at the Provincial level, as the head of Kantor Pelayanan Perbendaharaan Negara (KPPN).

The request for approval to open a bank account within the framework of the implementing budget income and expenditure, within state ministries/agencies is submitted by the Minister/Head of the Agency/Office/Work Unit as the Budget User/Representative Budget User to the State Treasurer/Representative State Treasurer, using the form as provided in Annex B5, the Regulation of the Minister of Finance Number 57/2007, and should include:

a. A Photocopy of the “budget document”; and
b. A Statement on Use of the Account.

In relation with the above, if the project has not been registered to DIPA, the line ministry can propose the opening of a project account by attaching the registration number and grant agreement, stating that the project will be registered under the DIPA of the relevant line ministry. The request to open a project bank account in the implementing partner’s name should be proposed by the related line ministry to the DG Treasury MOF, by attaching an official letter and related forms from the MOF Regulations.

The State Treasurer/Representative State Treasurer at the central level has the right to reject the request for approval to open an account if the said request does not meet the requirements as provided above. The letter of approval or rejection by the State Treasurer/Representative State Treasurer at central level shall be in the form in Annex III of the Minister of Finance Regulation.

The Minister/ Head of Agency/ Office/ Work Unit as the Budget User/Representative Budget User must attach the written approval from the State Treasurer/ Representative State Treasurer as a requirement for opening an account at a commercial bank/ post office.
3.2.4.2. Closing a Project Bank Account

Once the project is closed both in substantive and administrative matters, the bank account can be closed. The remaining balance, from the UNDP funds transferred to the account and the interest earned shall be returned to UNDP. The closing of the bank account needs to be reported to the State Treasury.

3.2.4.3. Account Reporting and Financial Report

The Minister/Head of Agency/Office/Work Unit as the Budget User/Representative Budget User (Pengguna Anggaran/Kuasa Pengguna Anggaran - PA/KPA) shall be obligated to report its income account and/or expenditure account, and other accounts, to the State Treasurer/Representative State Treasurer and at the latest five working days from the date of opening the account.

The income account and/or expenditure account and other accounts must be reported and presented in a list of Annexes in the Financial Report of the State Ministry/Agency/Office/Work Unit concerned, by using the form in Annex V of the Minister of Finance Regulations. A list of income accounts and/or expenditure accounts must be submitted to the State Treasurer/Representative State Treasurer at the end of each semester.

Based on this list of accounts, the KPPN will combine all lists of accounts from all the Offices/Work Units using the form provided from the Minister of Finance Regulations, and attach this to the Financial Report of the Central Government at the level of Representative State Treasurer KPPN at the end of each financial semester.

3.2.5. Mechanism for Withdrawal of UNDP Grant Aid

The withdrawal or cash transfer of UNDP grant aid funds are undertaken as described below:

a. Withdrawal through Direct Cash Transfer Modality
   i. Based on the approved Annual Work Plan, the NPD shall present the Quarterly Work Plan (QWP) of the project (reference Annex B36 and B43) and the estimated amount of funds required, using the FACE (Funding Authorization and Certificate of Expenditure) form. The Face Form must be signed by NPD.
   ii. The UNDP Country Office designated official shall make an assessment of the submitted QWP and FACE form, with the
attached approved AWP, and may make changes to the amounts of the Direct Cash Transfer for a particular activity result in the appropriate column. Based on the actual UNDP approved amount signed off by the designated UNDP official, UNDP will physically transfer the approved funds to the Implementing Partner’s designated Project Account. Assessment of the QWP will review activities and outputs against the approved Annual Work Plan.

- The NPD, and other Project Teams under his or her authority, shall implement the project activities as planned in the QWP approved by the Project Board or UNDP. At the end of implementing the QWP, the Project Manager, or other AWP designated official shall report the results of implementation and submit the next quarterly work plan (QWPn+1) with an estimation of the funds required to carry out the activities. The Project Manager can only request the next Direct Cash Transfer of funds when withdrawal from the preceding Direct Cash Transfer has already reached 80 percent (80%) or more.

- UNDP will then assess the FACE report, usually in parallel with the corresponding Quarterly or other period Progress Report containing narrative achievements and monitoring related information in accordance with the UNDP Running a Project Processes on QWP implementation and the next QWP and FACE form. If the Project Board or UNDP approves the QWP Report and approves the next QWP, UNDP will transfer the required funds to the Project Account. Assessment of the QWP will review activities and outputs against the agreed Annual Work Plan and the Project Document.

- Each FACE Form submitted by the NPD or other designated official must include a copy of bank statements showing the closing cash balance for the quarter-year concerned, and a reconciliation of expenditure against the cash balance in a format adjusted to the FACE Form.

- The NPD shall be obligated to prepare a bank reconciliation every month and to manage all documents related to the bank account.

- Any Bank interest is a part of grant aid, it should be entered into the FACE Form and it recorded against UNDP account code 74510 as a credit to the project.

- During the project closing process, the Implementing Partner shall be obligated to return any remaining grant aid funds...
reported in the last and final FACE Form to UNDP in a timely manner and in accordance with UNDP policies and procedures.

Figure 3.3. Direct Cash Transfer Modality

b. Withdrawal/Cash Transfer through Reimbursement Modality.

The NPD implements the project activities according to the approved Annual Work Plan (AWP) which agrees in advance that they may be pre-financed by the NPD’s own resources. The designated UNDP official will review the FACE form and certification of the receipt of goods or services concerned with the said charges submitted by the Project Manager. If approved, the UNDP official will sign the FACE form for the amount to be reimbursed by cash transfer to the Project Account.

Figure 3.4. Reimbursement Modality
c. Withdrawal through Direct Payment Modality.
In accordance with an approved Annual Work Plan and any related tolerances and if one is used for the Project the approved Quarterly Work Plan, the NPD or UNDP initiates a contracting and procurement process to select a third party (vendor) to implement activities through Implementing Partner’s contracting and procurement of goods/services. Selection of a third party is based on the use of pre-agreed Government or NPD rules and procedures, which the UNDP has assessed through capacity and risk assessment methods and tools, such as the HACT and Procurement Capacity Audits, and Review by multilateral and bilateral partners of Indonesia. If agreed, upon request by NPD, UNDP will transfer the funds to the third party.

The diagram below shows the process for this method of withdrawal/payment:

<table>
<thead>
<tr>
<th>Type of Withdrawal / Cash Transfer</th>
<th>UNDP</th>
<th>Indonesia</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Payment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Verification</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transfer Funds</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bidding</td>
<td>Bid Documents</td>
<td></td>
</tr>
<tr>
<td>Contract</td>
<td>Contract</td>
<td></td>
</tr>
<tr>
<td>Invoice remains on file at the Project Charges</td>
<td>Invoice</td>
<td>Vendor Account</td>
</tr>
<tr>
<td>Implementation of Activities/ Procurement</td>
<td>Invoices</td>
<td></td>
</tr>
</tbody>
</table>

**Figure 3.5. Mechanism for Direct Payment**

d. Withdrawal/Cash Transfer through Direct Agency Implementation modality.
When UNDP itself provides support services to a National Implementing partner for some outputs and activity results of a project, all funds expended in connection with implementing such activities shall be
submitted to the NPD in the form of a quarterly CDR and the NPD can then issue a Notice of Disbursement (NoD).

![Figure 3.6. Direct Agency Implementation Modality](image)

### 3.2.6. Project Expenditures That Can Not Be Financed By UNDP Grant Aid Funds

In implementing project activities, there are several components of expenditure that cannot be financed with the UNDP grant aid funds. These components include, among others:

- Expenses not related directly to the activities financed by UNDP grant funds;
- Honorarium for the government staff who implement (from the Implementing Partner) the project activities financed by the UNDP grant aid funds, including the funding of a procurement committee, and membership in a supervisory agency, steering committee and project implementing agency. (Reference UN Policy of Payment to Government Staff – April 1996). In Indonesia a UN Harmonised rate is applied for Government Officials (reference Annex B27).

### 3.2.7. Procedure for Endorsement of Realised Grant Aid Funds

With reference to the Regulation of the Director General for Treasury Affairs of the Ministry of Finance No. Per-67/PB/2006 on the Procedure for Bookkeeping and Endorsement of Realised Foreign Government Grant aid with Direct UN Agency Implementation, the procedure is as follows:

- **General**
  - Project activities performed directly by UNDP or another UN agency as indicated in an approved Project Document/ AWP and Letter of Agreement (LOA) shall be recorded as state revenue if the said activities are recorded in the DIPA of the Ministry/Agency concerned;
The Budget User/ Representative Budget User (PA/ Representative PA) incorporates the received grant funds into the DIPA of the Ministry/ Agency in accordance with the provisions in effect;
A grant that has been received but not yet entered into the DIPA/ budget implementation document can be processed to be included in the document by making a revision.

b. Endorsement Mechanism
- UNDP makes available, on a quarterly and annual basis, a copy of the Combined Delivery Report (CDR) report to the NPD;
- The Budget User/ Representative Budget User at the NPD institution submits a request for endorsement of the realised grant aid funds in accordance with Form 2 (Annex 2) to the Special KPPN (State Treasury Office);
- The request for endorsement should include, at a minimum: (i) proof of transferring the funds (Notice of Disbursement/ NoD) from UNDP (in the form of a quarterly or annual CDR), and (ii) the current account for grants at a Bank approved by the Budget User/ Representative Budget User. This would include all payments authorised by the project (including payments made by UNDP on behalf of the project);
- The State Treasury Office (KPPN) will examine the Letter of Request for Endorsement and match it against: (i) the grant funds recorded in DIPA, and (ii) the amount of balance in the current account plus realised (expended) funds must be equal to the amount of grant in the Notice of Disbursement. This mechanism is for Reporting only;
- Based on the Request for Endorsement, the Special Treasury Affairs Office shall issue a letter to replace the Withdrawal Application (WA) as the document for recording the realised DIPA;
- Based on this WA replacement letter, NoD, and current account, the Special Treasury Affairs Office will issue an Order for Bookkeeping Entry/Endorsement Letter (SP3) as the basis for State Budget expenditure and income of an amount equivalent to the value in Rupiah.
Figure 3.7. Government Endorsement Process of Realised Grant Aid Funds from UNDP as a Service to a National Implementing Partner or DIM Modality Except in Case of Emergency Projects

In implementing a foreign grant aid project, the Minister/Head of the Agency or Representative responsible for the management of the budget (Budget User/Representative BU) at the Ministry/Agency concerned shall be obliged to record the received grant funds to the List of Budget Implementation Activities (Daftar Isian Pelaksanaan Anggaran/DIPA) of the Ministry/Agency in accordance with the provisions in effect. For grants already received but not yet entered in the DIPA/budget implementation document, this should be done by making a revision.

The Special Office for State Treasury Office (KPPN) is the vertical agency of the Director General for Treasury Affairs, which is directly responsible to the Regional Office of the Director General for Treasury Affairs, whose main role is to process payments which use foreign loans and/or foreign grants, particularly in the form of foreign currency. The Special Treasury Affairs Office receives Letters of Request for Endorsement of realised (expended) grants received by the Budget User/Representative BU. The Letter of Request for Endorsement should include:

- Notice of Disbursement/ Debit Advice from the donor of the foreign grant;
- The grant account at a bank approved by the Budget User/Representative BU.
The State Treasury Office (KPPN) will examine and match the Request for Endorsement with the grant funds entered in DIPA and verify that the amount of the account balance plus the realised (expended) grant funds should be equal to the amount of grant written in the NoD.

Based on the Request for Endorsement, the Special Treasury Affairs Office will issue a replacement letter for the Withdrawal Application (WA) as the document for recording the realised DIPA. Based on this WA replacement letter, NoD, and current account, the Special Treasury Affairs Office will issue an Order for Bookkeeping Entry/Endorsement Letter (SP3) as the basis for State Budget expenditure and income of an amount equivalent to the Rupiah value. This process of administrative and accounting mechanism for grant will follow the government regulation PMK 40/2009 on the Grant Accounting System.

<table>
<thead>
<tr>
<th>UNDP</th>
<th>Implementing Partner</th>
<th>Special Treasury Affairs Office</th>
</tr>
</thead>
<tbody>
<tr>
<td>NoD/ DA</td>
<td>NoD/ DA Account Request for Endorsement</td>
<td>Grant aid funds in DIPA, Account balance + realized funds</td>
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<tr>
<td></td>
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<td>Evaluation and verification</td>
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<td>WA Replacement</td>
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<td></td>
<td>Order for Book Keeping Entry/Endorsement Letter</td>
</tr>
<tr>
<td>SP3</td>
<td>SP3</td>
<td>SP3</td>
</tr>
</tbody>
</table>

NOD : Notice of Disbursement  
DA   : Debt Advice  
WA   : Withdrawal Application  
SP   : Endorsement Letter  

**Figure 3.8.** Mechanisms for “Endorsement of Realised UNDP Grant Aid Project Funds”
3.2.8. **Request for UNDP Country Office Support Services**

The UNDP Country Office can provide the following services to the projects that would normally be undertaken by the project or Implementing Partner:

- Identification and recruitment of programme or project personnel;
- Identification of training activities and assistance in carrying them out;
- Procurement of goods and services;
- Issuing of grants to NGOs as part of the project endorsed by NPD;
- Enter Letters of Agreement with other UN agencies or government entities for activities as agreed in the project document.

These support services are provided under the Direct Agency Implementation modality, as stated in the project document. The Country Office provides support services (reference Annex A4) upon request from the NPD. These will be provided in accordance with the processes, regulations, rules and procedures of UNDP, not those of the Government or other parties.

The exact nature and scope of the services must be described in annexes to the LOA. The “Standard letter of Agreement between UNDP and the Government for the Provision of Country Office Support Services” is attached as Annex A4. UNDP is accountable for the provision of the services required, and their quality and timeliness, and for this purpose it draws as far as possible on the experience and expertise of other United Nations organizations when appropriate. The services are subject to the same monitoring and evaluation as other UNDP-supported activities. The UNDP Country Office should only recover the cost of providing support services where the support involves clearly identifiable and additional costs to the office. These costs will be charged to the project provided that the Government agrees. The costs and related payment schedules must be described in the annex to the Project Document/AWP that deals with the provision of UNDP support services. The administrative, financial and technical tasks involved in managing projects should normally be integrated into the work of the Implementing Partner.

### 3.3. Procurement of Goods and Services

#### 3.3.1. Basic Principles

The procurement of goods and services for projects financed by UNDP funds should comply with the common Government of Indonesia and UNDP
principles of efficiency, effectiveness, open and maximum competition, transparency, non-discrimination, and accountability.

3.3.2. Selection of Procurement Mechanism

1. The mechanism for the procurement of goods and services that can be used in the project implementation are:
   a. Following the national system and formal government structures as stated in the Keppres No 80/2003 (reference Annex B2), or
   b. Following UNDP procurement system and structures following UNDP POPP guidelines.

2. The mechanism for procurement of goods and services can use the Keppres No 80/2003, as long as the procurement process complies with Keppres 80/2003, Part 7: Scope, Section 7 paragraph 1b which stipulates that: procurement of goods/services that are partly and wholly funded by foreign loan and/or grant (PHLN) would conform to or are not contradictory to the goods/services procurement guidelines and provisions of the loan/grant provider concerned. Therefore the Provisions of Presidential Decree Number 80 of 2003 will apply to the extent that these conform to and do not contradict the UNDP provisions and/or other provisions agreed upon by the Government of Indonesia and the UNDP, as stipulated in the Project Document.

The selection of the procurement mechanism will be defined during the project preparation phase, with the following considerations:
   a. The capacity of the potential Implementing Partner (or prospective NPD) for both human resources (in terms of competence in the procurement field), and financial resources (from APBN funding), to support the implementation of procurement and the government procurement committee;
   b. The Project urgency and the required period for procurement of each project component.

Any agreement on the selected procurement mechanism will be embodied in the Project Document. If necessary, the agreed procurement mechanism will also be set out in the project SOP.

An official request can be made by the NPD to UNDP for activity components that are part of the NPD’s responsibility according to the Project Document
where, for a particular reason, procurement is to be executed by the UNDP (in conformity with UNDP provisions).

3.4. Process for Project Document/ AWP Revision (Project Grant Agreement)

Planning and implementation often need to be revised during the implementation of projects funded by UNDP. Project implementation frequently cannot proceed entirely as planned because of the need to consider current situations. Revisions frequently occur due to:

- Changes in policy, whether governmental or UNDP;
- Changes in social conditions around the project location;
- The occurrence of natural and social disasters;
- Economic upheavals resulting in a change to project cost/ budget; and
- Other unforeseen incidents.

Project revision proposals should normally derive from the National Project Director (NPD), the Project Board, or the Unit Head from UNDP in charge of the project. Revisions to components to be implemented in the same year without revising the overall grant amount and will not change the general project substance will not result in a revision to the Project Document. Such changes are sufficiently decided on at the Project Board level.

The mechanism for substantive, budget, and institution arrangement revisions of the project involves:

- The National Project Director submitting a request to UNDP which has been endorsed by a Project Appraisal Committee (PAC). UNDP will submit the request to the Deputy for Development Funding of Bappenas, with copies sent to the Director General for Loan Management of the Department of Finance, the Director for Multilateral Foreign Funding of Bappenas, the Director for Foreign Loans and Grants of the Department of Finance, and the Echelon I Project Board Executive Work Unit concerned.

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3. The PAC consist of representatives of Agencies and key stakeholders which are normally members of the Project Board.
b. The revision proposal letter shall be presented accompanied by a full justification for the revision, the Project Document that has undergone revision, and a revision summary sheet;

c. Based on the revision proposal, the Director for Foreign Multilateral Funding of Bappenas will present a memorandum to the Directorate of the relevant sector at Bappenas. This Memorandum is in the form of a request for response and clarification of the revision proposed. If considered necessary, the Directorate for Foreign Multilateral Funding will conduct a coordination meeting to discuss the proposed revision;

d. In the event that the proposed revision is agreed upon, the Deputy for Development Funding will send a letter of approval for the revision of the Project Document addressed to the Director General for Loan Management at the Department of Finance, with copies sent to the Country Director UNDP, the Head of the relevant UNDP Unit, the Director for Foreign Loans and Grants of the Department of Finance, the Executive, and the Echelon I Official as the supervisor of the Executive concerned, as well as the Head of SKPD as the coordinator of the project in the region.

3.5. Miscellaneous Issues

This sub section will describe briefly the procedures for official trips, processing/ request for visas and stay permits for international staff employed at the UNDP representative office as well as projects funded by UNDP grants, and exemption from customs duties for imported goods, and taxes.

3.5.1. Official Trips

a. Official trips as part of the project implementation stated in the project document can be funded by UNDP.

b. Official trips that can be charged to UNDP can include air tickets, daily substance allowance/DSA, travel to and from the airport, and airport tax. The amount of the DSA received for each region will be decided by UNDP, based on an assessment developed with other UN agencies, so the cost parameter will be based on the harmonised rate. The UN DSA harmonised rate for government officials is attached as Annex B27.
c. UNDP together with other UN agencies and the Government will periodically review the cost parameter of the DSA Harmonised rate.

d. In specific conditions, if the project implementer faces challenges and obstacles in the implementation of the DSA harmonised rate, the NPD can consult directly with UNDP to decide the operational procedure that can be taken to continue the implementation of the project based on the needs and conditions in the field without violating UNDP regulations.

3.5.2. Request for Visa and Stay Permits for International Personnel

Within the framework of NIM projects, international project-funded, staff should possess a proper and valid visa that consists of a stay permit and a multi exit and re-entry permit (MERP) before entering Indonesia.

The NPD should initiate a request for Government Administrative Formality (GAF) from the State Secretariat to obtain this from the Ministry of Foreign Affairs (MOFA). A copy of the staff member’s CV, TOR and Passport/UNLP should be attached to such a request.

UNDP will endorse this request for GAF that would then be the basis for the MOFA to issue the visa. While visa extension will go through the same process, additional endorsement from the Ministry of Manpower (IMTA letter) is also required.

3.5.3. Taxes

The treatment of tax for UNDP can be divided into two mechanisms:

a. Based on the Government of Indonesia, Ministry of Finance Regulation no. PMK -215/PMK-01/2008 about International Organizations and the Staff of International Organizations that are not subject to tax, the treatment will be:
   - The salary received from UNDP by the concerned individual will not become the object of the tax revenue;
   - As a tax exempt organisation, UNDP shall receive invoices from vendors with no Value Added Tax (VAT) included;
   - In the event that VAT is mistakenly charged by a vendor and paid by UNDP, UNDP will need to request restitution for the following tax to DG Tax c.q to Kantor Pelayanan Pajak Benda dan Orang Asing before submitting the request to the State Secretariat.
b. Based on the Government Regulation No. 42 / 1995 on Import Duty, Additional Import Duty, Value, Added Tax, and Sales Tax for Luxury Goods and Income Tax in the framework of Implementation of Government Projects Funded by Foreign Grant Aid or Loan Funds, as revised under the Government Regulation No. 25 / 2001, the treatment for tax for the project implementation by UNDP in the scheme as contractor/consultant/supplier for a government project that has been registered to DIPA, is as follows:

- For the implementation of a government project funded by foreign aid, a revenue tax funded by foreign grant that is received by the contractor, consultant, and supplier from the job to support the project will be imposed to the government;

- A tax will be imposed to the government on the revenue received by personnel including technical assistance for contractor/consultant/supplier of the government project funded by foreign aid registered to DIPA;

- If UNDP directly contracts an institution or a private company to implement their task funded from a foreign grant that is not registered to DIPA, then the tax for the revenue will not be imposed to the government.
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4.1 General Overview

The mechanism for reporting on a project grant funded by UNDP consists of: the Quarterly Progress Reports, the Annual Progress Report(s), and the Project Completion Report.

4.2 Monitoring

The purpose of Monitoring and Evaluation is to measure and assess performance in order to effectively manage the outcomes and outputs known as ‘development results’. Based on the Jakarta Commitment, the Government and UNDP will develop a mechanism to implement the joint monitoring and evaluation mechanism.

The achievement indicators of the Bappenas and UNDP Project on Joint Monitoring Activities are:

- Country Programme Review, implemented in the Mid-Term Review, and the Final Review. The scope of the review is programmatic and discusses the strategic matters in the implementation of the cooperation based on the scope of work and approves indicators;
- The CPAP review, implemented at least twice a year, synchronized with the Country Programme Review. This review discusses more technical aspects of the achievements and problems that arose during the implementation of the project.

In the implementation phase, the output indicators should reflect the Project Document details so the achievements can be properly monitored. The NPD
and UNDP must also determine the project monitoring mechanism before the project document is signed. The coordination of the monitoring process at the project level is the responsibility of the Project Manager. If needed and approved by the NPD and UNDP, a special consultant can be hired to handle the monitoring and evaluation. The implementation of monitoring and evaluation should be participative, and submitted on a regular basis, at least every quarter.

**Monitoring Tools and Mechanisms**

The Country Programme Action Plan (CPAP) Monitoring & Evaluation Calendar (reference Annex B30) is the base to start from, and monitoring tools and mechanisms, including field visits, progress reports, annual reports and annual reviews must also be used. Their format and approaches are adaptable to local needs, provided that minimum content standards also reflect the minimum standards of UNDP.

The NPD and UNDP must determine the baselines that will become the reference for the project/programme monitoring. To implement projects efficiently, manage the projects and monitor the results of the projects, project activities and indicators should all be SMART (Specific, Measurable, Achievable, Relevant and Time-bound).

**SMART RESULTS**

<table>
<thead>
<tr>
<th>S</th>
<th>Specific: Results must use change language – they must describe a specific future condition from the standpoint of right-holders and duty-bearers.</th>
</tr>
</thead>
<tbody>
<tr>
<td>M</td>
<td>Measurable: Results, whether quantitative or qualitative, must have measurable indicators, making it possible to assess whether they were achieved or not.</td>
</tr>
<tr>
<td>A</td>
<td>Achievable: Results must be within the capacity of the UNCT and partners to achieve.</td>
</tr>
<tr>
<td>R</td>
<td>Relevant: Results must make a contribution to selected priorities of the national development framework.</td>
</tr>
<tr>
<td>T</td>
<td>Time bound: Results are never open-ended - there is an expected date of accomplishment.</td>
</tr>
</tbody>
</table>
**Field/ Site visits**

If a project is implemented at a regional level, the NPD and UNDP should visit each project at least once a year. Field/site visits serve the purpose of validating the results developed by the Project Manager. Field visits should be documented through brief and action-oriented reports, submitted within the week of return to the office. If needed, Bappenas and UNDP can undertake joint field visits related to the implementation of CPAP and CPD Review, or based on the specific agreement.

### 4.2.1 Quarterly Monitoring

- **Activity Results Quality Assessment.** An activity results quality assessment shall record progress towards the completion of key activity results, using the Activity Result Definition page, in the Project Management Module of ATLAS (Computer Software) management system in UNDP, in which the quality criteria have already been defined. The assessment shall capture feedback from the beneficiary perspective, as well as information related to timeliness and resource usage. It should be first completed by the Project/Programme Manager and shall be validated and approved by the NPD.

- Information stated in the quarterly report becomes the basis for the Project Manager to implement the:
  - Update of the Issues Log. The Issues Log, activated in ATLAS in the previous quarter, shall be submitted by the NPD. The purpose being to facilitate tracking and resolution of potential problems or requests for change.

  - Update of the Risks Log. Based on the initial risk analysis submitted with the draft Project Document, the Risks Log previously activated in ATLAS shall be updated to re-assess the status of existing risks. New risks shall also be recorded in ATLAS, based on consensus by the Project Board and reported to UNDP because these new risks may affect project implementation.

  - Update Lessons-learned Log. The project Lessons-learned Log, activated earlier in ATLAS should be updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project.
Developing and Discussing the Report. Quarterly Project Progress Reports (PPR) shall be submitted by the Project Manager, under the supervision of the NPD, to the Project Board through Project Assurance (usually a designated UNDP Programme Officer or Monitoring & Evaluation Officer), using the standard report format (reference Annex B17). The report should be submitted within seven days of the end of quarter. The Project Board may decide to organize formal meetings to review the PPR. Combined with this quarterly report, a report following the Government Project Implementation shall use the format for the APBN report. These will be detailed in specific monitoring requirements in a format that is agreed to by the NPD, UNDP, and the Planning Bureaus in related institutions.

The quarterly report can be submitted to all related stakeholders during the implementation of the project. During the Planning phase, all related stakeholders must agree on the communication mechanism and technical aspects in the monitoring plan, including the form, timetable, scope of work, and related stakeholders involved in the reporting.

4.2.2. Annual Monitoring
An Annual Review Report (reference Annex B19) shall be prepared by the Project Manager under the supervision of the NPD and shared with the Project Board and the Outcome Board. As a minimum requirement, the Annual Review Report shall be consistent with the quarterly PPR format and cover the full year with updated information for each element of the PPR, and include a summary of results achieved against pre-defined annual targets at the output level.

Based on the Annual Review Report, an annual project review shall be conducted during the fourth quarter of the year to assess the performance of the project and appraise the Annual Work Plan (AWP) (reference Annex B43) for the following year. In the last year of the project, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

For the project financial report, all the expenditure during one fiscal year from the NPD and UNDP components must be stated in the Combined Delivery
Report (CDR) (reference Annex B38). The CDR is resourced from the ATLAS and signed by the NPD. The components which are the responsibility of the NDP need to be clearly distinguished from activities implemented by UNDP. As for the project implementation, expenditure implemented by other responsible parties needs to be clearly identified in the CDR. The purpose is to facilitate the audit process.

4.2.3. Final Completion Report

After the project ends, the Programme/Project Manager, under the supervision of the NPD, will develop the final report of all activities. This report will cover the substantive achievement of the project’s output, problems and lesson learned, as well as recommendations to sustain the implementation of the programme/project. This final report will be submitted to all related stakeholders, such as Bappenas, UNDP, related institutions, and the Ministry of Finance.

Donor-specific Reporting

Some donors may have specific progress reporting requirements. These should also be clearly defined in the cost sharing agreements or Trust Fund agreements and promptly reported on thereafter. This agreement should detail the specific reporting requirements, scope of reporting and any new contributions received from donors after the signing of the project document.

4.3. Evaluation

Project Evaluation is a selective exercise that attempts to systematically and objectively assess the progress of the project that has been implemented. The Evaluation involves assessments of differing scopes and depths carried out at periodically in response to evolving needs for knowledge and learning during the effort to achieve an outcome.

Project evaluations will assess project relevance, performance and substantive contributions to the achievement of the output, as well as to the achievement of national development priorities. The strategic positions and institutional partnerships developed during the project implementation should also be assessed. Evaluation is very important for sustainability and the development of future projects. Evaluations need to be undertaken before a project can be replicated and further developed.
Evaluation mechanisms for the project implementation funded by UNDP are categorized into two types: external and internal mechanisms. External evaluation shall only be conducted for projects with the duration of five years or more. External evaluation shall be conducted at least two times; in the middle and at the end of the project implementation. Internal evaluation shall be conducted by all projects. The external and internal evaluation mechanisms shall be in common agreement between the NPD and UNDP and described in the project document.

Evaluations of UNDP-funded projects are lead by the Executive Board-approved Evaluation Policy and by the following guiding principles:

- **Managing for results.** Evaluation supports results-based management by assessing the extent to which UNDP’s processes, products and services contribute effectively to development results affecting people’s lives. Evaluation highlights the need for quality in the design of programmes so that results are clear, measurable and can be monitored and evaluated. Through the generation of evidence, evaluation enables more informed management and decision-making for strategic planning and programming.

- **Human development and human rights.** Evaluation is guided by the people-centred approach of UNDP to development, which enhances capabilities, choices and rights for all men and women. Evaluation abides by universally shared values of equity, justice, gender equality and respect for diversity.

- **National ownership.** Evaluation should be guided by national priorities and concerns. It should be inclusive and take into account diverse national interests and values. Evaluation should strengthen partnerships with governments and key stakeholders. It should build the capacity of national institutions to implement, monitor and evaluate.

- **United Nations system coordination and global partnership.** UNDP advocates strengthened professional collaboration under the aegis of UN Development Group (UNDG), where the role of UNDP is expected to be improving and enhancing the global partnership.
Evaluations should include recommendations about steps that need to be taken based on the evaluation results. Such steps that may be implemented based on the evaluation include follow up, changes/ revisions to the project document because of the changing targets, and planning for the project's funding. In some circumstances, a proposal to reject or close part or all of an irrelevant project component can be necessary, based on the current conditions and needs.

4.4. Audit and Assessment

Audit is an integral part of the administrative and financial management of the project, and part of UNDP accountability. Projects/Programmes funded by UNDP will be audited regularly and the results will be reported to UNDP Executive Board. Generally UNDP-funded projects may be subject to four types of audit:

- UNDP Project Audit – depending on modality;
- UNDP Internal Audit;
- HACT Assessment; and
- UN/UNDP External Audit.

Audits of National Implementation (NIM) /NGO Implementation (NGOIM) or that are implemented by a government institution or non-government institution ensure that the implemented activities are based on the appropriate regulations.

These audit reports are expected to provide assurance related to the following broad areas during a one-year period from 1 January to 31 December. Components that will be audited are:

- Work plan;
- Project progress report and rate of delivery (PP);
- Financial Management (FM);
- Procurement of goods and/or services (PR);
- Fund disbursement and project expenditure;
- Management and use of equipment and inventory (EQ);
- Human resource selection and administration (HR);
- Other payments related to the project, such as project closure and asset transfer.
A specimen TOR for the NIM audit is provided in Annex B32. The Auditor will also comment on the implementation status of the prior year’s audit and recommendations based on the audit. The result of these audits will be submitted to the NPD and UNDP.

Since 2008 the UNDP CO is HACT compliant and as such, the financial audit of the Implementing Partner (IP) is conducted part of HACT Assurance Activities, for which the generic sample of the TOR is described in the Technical Note No.4 of the HACT guideline (reference Annex B11 and B12). The Technical Note deals with the audit of the IP’s internal controls over cash transfers and not the projects. Therefore, under HACT, the audit function is focused on the assessment of the IP’s internal controls for the receipt, recording, and disbursement of cash transfers and the fairness of a sample of expenditures as reported in the FACE forms. The HACT audits include a sample of expenditure from different projects that are part of the IP’s portfolio, which will be reviewed to determine the fairness and accuracy of expenditure reported in the FACE forms, but this does not constitute a project audit.

For projects implemented by UNDP (Direct implementation modality/DIM), the audit will be implemented by the UNDP Office of Audit and Investigation (OAI). The UNDP Resident Representative will submit the proposal to OAI regarding the projects that will be audited. The Audit will include:

- Statement of Expenditure (CDR);
- Project Accounting System;
- Control mechanism and responsibility for the implementation of the project;
- Payment procedure and monitoring the implementation of the procurement of goods and services;
- Statement of Assets and Equipment;
- Agreement and procedure of the Cash Position.

4.4.1 UNDP Internal Audit

UNDP Internal Auditors may select projects to be covered by the Audit review during a particular period. The review covers all aspects of compliance with UNDP and UN policies and procedures, including UNDAF and Joint Programming arrangements where UNDP is involved. The UNDP Internal Project Audit 2003 can be seen in the internal OAI website.
4.4.2 **UNDP External Audit**

The implementation of an external audit will be undertaken by the UN Board of Auditors (UNBOA) which was established in 1946 through UN General Assembly Resolution No. 74 (1). The members of the UNBOA are external auditors from selected countries chosen by the General Assembly and have a term of 6 years. Currently the membership of UNBOA consists of Philippines, France, and South Africa. For UNDP, South Africa is currently in charge of its external audits.

The purpose of external audits is to improve the efficiency and effectiveness of UNDP in policy and implementation as well as practical aspects.

The UNBOA focus areas include—but are not limited to—the following areas:

- Human Resource Recruitment;
- Procurement and contract management;
- Project management;
- Results based management and budgeting;
- Travel costs;
- Non expendable equipment or asset management;
- Financial management;
- ICT management;
- Inter-agency cooperation and coordination.

The UNBOA undertakes field visits to a certain number of programme countries on a regular basis where it may select any project to undertake an audit, the results of which are included in its report to the UN General Assembly. There is no fixed regularity per country but large-medium and large volume UNDP funding programme countries can expect at least one field visit within an 8-10 year period.

4.4.3 **HACT Assessment**

Policies and procedures for a HACT audit are contained in the HACT Framework policy document released by the UN Development Group (UNDG) in September 2005. The document is available on the public website of the UN DG http://www.undg.org and in Annexes B11 and B12 of this PMIG. The exact terms of reference for the HACT audit will be agreed and confirmed with UNDP New York.
As mentioned earlier in the PMIG, the purpose of the HACT is to decrease transaction costs and improve the harmonisation, effectiveness capacity of the financial management. The results of the assessment will be the basis on which to determine risk and frequency needed for the implementation of spot checks. The results of the HACT assessment and the audit will complement each other to enhance and improve the future effectiveness of project management.

In the implementation, and as part of the follow up of the HACT Assessment, UNDP can hold spot checks to monitor the project implementation in both substantive and administrative matters. The frequency of the spot check will follow the results of HACT Assessment for the related institutions.
5.1. Transfer of Assets

The mechanism for the transfer of assets should be discussed and approved by UNDP and the NPD during the project preparation phase before the project document is signed. The transfer of assets can be done either during the implementation of the project or at the closing stage. If the transfer of assets is made to the Government during the project implementation, the Government should provide maintenance funds for the assets until the project has ended. The asset registration process for the Government will involve the relevant new regulations.

5.2. Project Closure

The process of project closure begins when a project delivers its planned outputs, or when the decision is made to cancel or close a project. A project is financially closed when all financial transactions have been reported and all accounts are closed. A project must be financially closed as soon as possible, but no later than 12 months after it is operationally closed.

The Project Document will indicate the project duration and if there is a need to extend a project. This should be done in the form of a revision of the Project Document or approval of a revised work-plan for the new period if no other major changes to outputs occur in addition to the project extension.

This process includes a review of the final project cycle, as well as an end-of-project review, closure, hand-over and policy recommendations for sustainability, if they have not already been addressed. The process begins when a project delivers its planned outputs, or when the Project Board, UNDP, or a donor makes a decision to terminate a Project. The focus of this process is
on evidence of completion, lessons learned, benefits tracking, and necessary handovers.

During the closing stage, Project Assets such as knowledge products should initially be handed over to UNDP. For more details on the closing stage of the project, refer to the project closing check list in Annex A3. The Implementing Partner will approve the CDR and the audit and submit them to UNDP, which will automatically close the project finances.

The following are some recommended “good practices” based on lessons learned:

a) Ensure the appointed Project Manager and the Executive of the Project Board are in place through the Project Closure process.

b) Give adequate importance to maintaining Project Files, including all documentation and records referred to above, such as the “Follow up Actions” statement of the Project Manager, in order that final records are available for both audit and evaluation oversight compliance.

c) Keep all relevant documents for audit evaluation purposes.

d) Capture and keep a running list of Knowledge Products produced by the project and ensure their proper transfer to project beneficiaries and national counterparts.

e) As capacity development means ensuring maximum knowledge transfer between UNDP funded project personnel and national counterparts and project deliverable beneficiaries, incorporate a final report by each “expert” containing a section documenting the knowledge transfer by the “expert” to his/her counterpart, such as is mandatory in the case of UNV End of Assignment Reports.
ANNEX A-1

JAKARTA COMMITMENT:
AID FOR DEVELOPMENT EFFECTIVENESS
INDONESIA’S ROAD MAP TO 2014

Government of Indonesia
and its
Development Partners

Indonesia and the international aid architecture
As a middle-income country with a population of around 230 million, Indonesia faces a distinctive set of challenges relating to aid, and more broadly to development effectiveness. The Government of Indonesia’s relationship with international aid agencies is changing; the financing mechanisms at its disposal are taking new forms; and its development cooperation with other low and middle income countries is being further articulated. Given the country’s development successes and its position as a large Middle Income Country, Indonesia has a strong contribution to make efforts at improving the international aid architecture for all recipients including both Low Income Countries (LICs) and Middle Income Countries (MICs).

Indonesia is a signatory to the Paris Declaration on Aid Effectiveness, and has committed to the aid effectiveness principles and commitments contained in the Declaration. Indonesia has been an active participant in the regional preparations for the Third High Level Forum on Aid Effectiveness, including through engaging with global mechanisms and through dialogue with other countries in the Asia region. The Government is committed to take forward the Accra Agenda for Action as well as the Monterrey Consensus, and the 2008 Doha Declaration on Financing for Development.

Indonesia’s development challenge
Notwithstanding the progress made so far, Indonesia continues to face significant development challenges, especially in the areas of poverty reduction, service delivery and decentralisation. Poverty rates have fallen to 15.4% in 2008, yet large numbers of Indonesians remain poor (around 35 million). Regional disparities is a key feature of poverty in the country, given the vast size and varying conditions in different parts of the country, and pockets of endemic poverty still remain. Further effort is still needed for Indonesia to meet all the MDGs targets. The implementation of decentralisation remains complex and continues to pose challenges. Improving public financial management and strengthening the accountability of local governments will be essential in order to increase the impact of public spending.

The main constraint facing Indonesia in addressing the challenges and achieving its planned development outcomes is not merely the lack of financial resources but rather the utilization of the resources. Further by taking into account of the global financial crises, Indonesia and development partners have no choice but need to utilize all resources more effectively. Hence, there is a need as well as a challenge to translate the existing resources into better development outcomes. Indonesia’s overarching concern is to maximise the effectiveness of all its resources committed to development, including external assistance. It is in this context
that the aid effectiveness agenda becomes particularly relevant. External assistance is not simply a financial supplement to domestic resources, but complementary to these resources — playing a catalytic role in allowing Indonesia to access international knowledge and best practices, to enhance institutional capacity, and bring about strategic systems improvements.

The Indonesia Roadmap to strengthen aid for development effectiveness

We have therefore prepared a roadmap to strengthen our aid effectiveness agenda – moving towards improved development effectiveness. The roadmap will respond to the above challenges, and support Indonesia’s efforts to maximise the effectiveness of its aid in supporting development.

This roadmap defines the policy direction towards development effectiveness up to 2014 and beyond, which includes priority actions that will be taken in the short term, by 2010, to move forward on the implementation of the Paris Declaration based on the results of the Paris Declaration Monitoring Survey, 2008. The principle of ownership implies that the policy direction will be in line with the national development strategies. We also recognize the importance of addressing gender issues in our development activities and aid effectiveness process.

This roadmap sets out the strategic vision that we, along with our development partners, wish to commit, to based on the key pillars of our development effectiveness agenda. The agenda is based on the Paris Declaration principles and the Accra Agenda for Action commitments and develops a model for delivering development effectiveness in a Middle Income context.

I. Strengthening Country Ownership over Development

a) Strengthening capacities and using stronger government systems

The need to develop effective capacity is at the heart of Indonesia’s development challenges, whether it be at the institutional, organizational or at the individual levels. The Government and development partners are all deeply engaged with this agenda, but results have so far been uneven. Indonesia looks to its development partners for continued capacity development support. Development partners share the view that all their interventions have some elements of capacity development embedded within them. In order to enhance capacity, the Government will articulate, and development partners will support the achievement of, capacity development objectives and targets within sector plans and thematic strategies, including skills and human resources development, organisational level capacity development as well as the creation of an enabling environment. We also propose to make capacity development a results area within different sectors to ensure adequate attention and follow-up.

Development partners will align themselves more fully with the Government programmes and systems. Development partners will align their programming cycles with those of government, use the government format for reporting their assistance, and increasingly use the Government’s financial management and procurement systems. Where they do not make use of systems, development partners will transparently state their rationale for not using government systems and indicate how they will work with the Government (including through capacity development) to align in the future. In the spirit of partnership, we will also encourage development partners to fully, sincerely and transparently untie their aid.
The Government will establish a mechanism at country level to determine, and to review, how effectively the Government and development partners can and do contribute to capacity development. This mechanism will be transparent and evidence-based, involving country level stakeholders, and covering the range of capacity development partners. The Government and development partners will make use of this mechanism to monitor, measure and potentially correct the effectiveness of their support to capacity development.

b) Improving the international governance of aid and strengthening south-south cooperation

Using its experience and its active participation in the governance of international aid organizations, global foundations and funds, as well as its strong network of relationships with other countries in the region and globally, the Government commits to work to strengthen the international aid architecture in ways that enhance its responsiveness to Indonesia’s needs as well as to those of other developing countries. Development partners will support the Government in this endeavour.

As an emerging middle-income country with considerable development success, Indonesia has much to share with other countries in the region, and beyond, as well as opportunities to learn. Already involved in numerous elements of South-South cooperation for capacity development, the Government of Indonesia and development partners commit to further strengthening regional processes and institutions facilitating South-South cooperation. Efforts at South-South Cooperation will through time expand to include possibilities for financial assistance as well technical support from the Government of Indonesia.

II. Building More Effective and Inclusive Partnerships for Development

a) Developing a new partnership paradigm

Indonesia places a high value on the development resources that its partners contribute to the development of the country. Today, the importance of external assistance for Indonesia is not only a function of its volume, but rather of its quality and effectiveness – development partners will continue to seek to find creative solutions to Indonesia’s development challenges, making new knowledge and international best practices accessible. Development partners will align their strategies for providing development assistance to Indonesia within this new paradigm. Development partners commit to providing all their development assistance to Indonesia based on country demands. Development partners will review their implementation modalities and the mix of skills that they can make available at the country level in relation to these objectives of knowledge transfer as well as financial transfer.

b) Strengthening existing aid instruments and shaping new ones

Multi-donor trust funds have emerged as an important vehicle for development partners to support Indonesia's development—ranging from large multi-donor trust funds established to implement reconstruction programmes, capacity building activities and targeted development interventions such as the Multi-Donor Fund for Aceh and Nias, the Decentralization Support Facility and the Indonesian Partnership Fund for HIV/AIDS, to quite small and ad hoc trust funds to support very specific activities. These trust funds have enabled development partners to respond flexibly and rapidly to Indonesia's priority needs including providing assistance at the sub national level, supporting policy and institutional reforms, effectively responding to unanticipated needs such as post-disaster
reconstruction and recovery efforts, and research and analysis. They have in some respects supported a programme based approach to aid delivery.

While the Government supports the multi-donor support modality in principle, it recognizes that in some cases it may not necessarily contribute to convergence of ideas on critical development issues, nor even support the alignment and harmonisation agenda and the government's own interventions. This is especially so if the activities are executed by the development partners and the funding is not incorporated in the government's budget. In using the multi-donor support modality, the Government and development partners will put higher priority on programme based approach, supporting government programs and linking the priorities of Bappenas, Ministry of Finance, and concerned line ministries.

Within existing multi-donor support such MDTFs, the Government and development partners will work together to strengthen alignment with government systems, including as an immediate first step aligning with the Government reporting systems. The Government and development partners commit to reducing the number of ad hoc freestanding trust funds. The Government will also issue clear-cut guidelines for the mobilisation and management of multi-donor funds, and for the mainstreaming of multi-donor support program into government programming processes.

Given the scale of Indonesia's development challenge its requirements for external assistance, and particularly technical assistance, are likely to continue over the medium term. The government will also seek to supplement the resources available for development and Government will diversify its development resources to include alternative sources of financing for development—including public-private partnerships, corporate social responsibility, global and domestic foundations, and trade and foreign investment.

c) Expanding dialogue to include new actors

As Indonesia continues to progress and consolidate its position as a Middle Income Country it will be working closely with its development partners, including private sector and civil society, to support its development efforts and to sustain and further consolidate its position. Partners such as those involved in public private partnerships, corporate social responsibility programming and Global Funds and Foundations, as well as traditional development partners, are expected to participate in a regular dialogue led by the Government to discuss progress.

To this end, the Government will propose a regular dialogue mechanism to provide a platform for discussing the development agenda in line with the Jakarta Commitment. A spirit of genuine partnership, engagement and joint responsibility will guide the Government when inviting participants from civil society, private sector and traditional development partners to participate in this dialogue. The proposed dialogue mechanism will be an opportunity to meet and discuss progress towards the achievement of the Paris Declaration indicators by 2010 and further to discuss the full implementation of the Jakarta Commitments by 2014. It is expected that regular meetings will take place to take stock of the overall progress and challenges faced, but also that ad-hoc meetings can be organized as necessary if particular challenges are faced requiring joint high-level discussion.
Indonesia’s need for external assistance will continue to decline through sustained and inclusive growth, the development of robust institutions, and the achievement of the Millennium Development Goals and other indicators of social and economic progress. In this context Indonesia will continue to have a strong relationship with its development partners. The need for dialogue and partnership will continue in order to effectively and jointly address the challenges relating to global public goods, climate change, the environment, and strategic global security issues.

**III. Delivering and Accounting Development Results**

**a) Strengthening a focus on, and capacity to manage by, development results**

As Indonesia moves forward with the preparation of its new Medium Term Development Plan (RPJM), a focus on outcomes and results will be further strengthened. The **Government will further develop, and development partners will further support, strong frameworks for measuring and monitoring results within the RPJM and linked sector plans**, as well establishing social accountability mechanisms that solicit, monitor and ensure implementation of feedback on the government’s performance. Results will be linked to performance measurement and organizational effectiveness. Effective monitoring and evaluation are key elements of managing for results. We will strengthen our efforts to improve monitoring and evaluation (M and E), including basic data collection. The **Government will further clarify the institutional framework for M and E and development partners will reduce parallel efforts at monitoring national development targets**. A higher internal demand for M and E will be generated by involving national stakeholders in the review of implementation of the RPJM from a results perspective. Results-based M and E will be a powerful tool for ensuring the effectiveness of Indonesia’s development policies and the delivery of tangible results by the government.

**b) Working together to review progress across development partnerships**

The Government will seek supports from development partners based on their comparative advantages in providing needed support, in the specific areas where the Government sees a critical need for that support, and establishing a clear correlation of the inputs with the expected results. To this end, development partners will also integrate results frameworks into their cooperation strategies and programs, shifting their internal incentives to focus on sustainable results (going beyond the project level) and developing results based reporting systems.

The **Government and development partners will jointly carry out regular reviews on progress in implementing the commitments on aid for development effectiveness and improved development outcomes through an objective country level mechanism. To support the review of progress in the Jakarta Commitment and progress towards associated targets, the Government will establish an integrated Aid Information and Management System.**
The Jakarta Commitment

The Government invites development partners to join this commitment towards development effectiveness, to adopt the principles of aid effectiveness as articulated in the Paris Declaration as adapted to Indonesia's country context, and to adopt the Jakarta Commitment moving forward with the implementation of this roadmap. We will establish an Aid for Development Effectiveness Secretariat in BAPPENAS using our own resources and those of our development partners—particularly tapping their technical support to help us move forward together on this important agenda of enhancing development effectiveness in Indonesia.

The Jakarta Commitment is to be based on the spirit of mutual respect, support and accountability. It represents a shared recognition between the Government and development partners to enhance the effectiveness of external financing in Indonesia. It enjoins upon the Government and development partners to make available appropriate resources, knowledge and capacity to implement the Jakarta Commitment. Whilst not legally binding, by adopting the Jakarta Commitment, all below development partners aspire to achieve the strong aspirations herein.

Jakarta, 12 January 2009

for the Government of Indonesia

Mr. Askendra Sirgpar
Deputy Minister for International Economic and Financial Cooperation, Coordinating Ministry for Economic Affairs

Dr. Lukita Dinarevah Tentor
Deputy Minister/Chairman for Development Funding Bappenas

Dr. Rahmat Wuluyanto
Director General of Debt Management Ministry of Finance
<table>
<thead>
<tr>
<th></th>
<th>Development Partner</th>
<th>Adoption Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.</td>
<td>Government of Australia</td>
<td>12 January 2009</td>
</tr>
<tr>
<td>4.</td>
<td>The Netherlands Government</td>
<td>12 January 2009</td>
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<td>5.</td>
<td>Government of The Republic of Poland</td>
<td>12 January 2009</td>
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<td>6.</td>
<td>World Bank</td>
<td>12 January 2009</td>
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<td>7.</td>
<td>Austrian Embassy</td>
<td>12 January 2009</td>
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<td>8.</td>
<td>Agence FranÇaise de Développement</td>
<td>12 January 2009</td>
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<tr>
<td>10.</td>
<td>Department for International Development of the United Kingdom</td>
<td>12 January 2009</td>
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<td>12.</td>
<td>Embassy of Finland</td>
<td>12 January 2009</td>
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<td>13.</td>
<td>French Embassy</td>
<td>12 January 2009</td>
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<td>15.</td>
<td>Embassy of Italy</td>
<td>12 January 2009</td>
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<td>18.</td>
<td>Royal Norwegian Embassy</td>
<td>12 January 2009</td>
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<tr>
<td>20.</td>
<td>Embassy of Sweden</td>
<td>12 January 2009</td>
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</table>
# DAFTAR ISIAN PENGUSULAN KEGIATAN

## I. Umum

1. **Judul Kegiatan**

2. **Bentuk Kegiatan**
   - [ ] Bantuan Proyek
   - [ ] Bantuan Teknik

3. **Prioritas Bidang**

4. **Sasaran Prioritas Bidang**

5. **Instansi Penanggung Jawab**
   - [ ] Kementerian Negara / Lembaga
     - Eselon I
     - Usulan Kementerian Negara / Lembaga yang:
     - [ ] Seluruhnya digunakan untuk kegiatan dalam rangka pelaksanaan tugas pokok dan fungsi Kementerian Negara / Lembaga tersebut.
     - [ ] Seluruhnya / sebagian diterushibahkan kepada:
       - Instansi Penerima Penerushibahan
         - a.
         - b.
         - c.
   - [ ] Pemerintah Daerah:
     - [ ] Sebagai Pinjaman Daerah
     - [ ] Inisiatif Sendiri
     - [ ] Diinisiasi oleh Kementerian Negara / Lembaga
     - [ ] Sebagai Hibah (hanya untuk usulan sumber dana hibah luar negeri)
   - [ ] BUMN

6. **Instansi Pelaksana**
   - a.
   - b.
   - c.
   - d.

7. **Durasi Pelaksanaan** | bulan

8. **Latar Belakang dan Alasan Pelaksanaan Kegiatan** (justification)
   - Dalam Bahasa Indonesia:
   - Dalam Bahasa Inggris:

9. **Tujuan Kegiatan**
   - Dalam Bahasa Indonesia:
   - Dalam Bahasa Inggris:
10. Keterkaitan dengan Kegiatan Lain

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<th>Sumber Dana</th>
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II. Kegiatan

11. Lingkup Kegiatan

Dalam Bahasa Indonesia :

Dalam Bahasa Inggris :

12. Rencana Alokasi Dana untuk Komponen Kegiatan

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<th>Kategori Kegiatan*</th>
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<td>Lokal</td>
<td>Luar Negeri</td>
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*)Kategori Kegiatan :
A. Jasa Konsultan
B. Pekerjaan Konstruksi
C. Pengadaan Barang dan Peralatan
D. Pelatihan dan Pendidikan
E. Selain yang diatas (sebutkan)

Nilai Tukar : US$ 1 - Rp ______

13. Sebaran Kegiatan

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<td>Kota/Kab</td>
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*)Keterangan :
A. Dikelola oleh Kementerian Negara / Lembaga
B. Penerusibahan
C. Penerusan Pinjaman

III. Pembiayaan

14. Bentuk Pinjaman dan / atau Hibah Luar Negeri

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*)Sumber :
1. APBN
2. APBD
3. Anggaran BUMN
4. Lain-lain (sebutkan)
16. Rencana Pengeluaran Pembiayaan

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IV. Dokumen Persyaratan Pengusulan Kegiatan

17. Persyaratan Umum

- Kerangka Acuan Kerja
  - Ada
  - Tidak
  - Dilampirkan
  - Tidak
- Dokumen Studi Kelayakan Kegiatan
  - Ada
  - Tidak
  - Dilampirkan
  - Tidak

18. Studi Terkait yang Pernah Dilakukan

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19. Persyaratan Khusus

- Usulan dari Kementerian Negara / Lembaga untuk:
  - Penerubahan kepada Pemerintah Daerah
    - a. Daerah Penerima Penerubahan terdiri dari:
      - Prop
      - Kab / Kota
    - Lengkap
    - Tidak
    - Dilampirkan
    - Tidak
  - Penerubahan atau penyertaan modal negara kepada BUMN
    - a. Surat Persetujuan Direksi BUMN
      - Ada
      - Tidak
      - Dilampirkan
      - Tidak
    - b. Surat Persetujuan Menteri yang bertanggung jawab di bidang pembinaan BUMN
      - Ada
      - Tidak
      - Dilampirkan
      - Tidak

- Usulan dari Pemerintah Daerah yang diteruspinjamkan (baik atas inisiasi Kementerian Negara / Lembaga maupun inisiatif Pemda sendiri)
  - Surat Persetujuan DPRD
    - Ada
    - Tidak
    - Dilampirkan
    - Tidak
  - Usulan dari BUMN untuk penerusan pinjaman melalui Pemerintah
    - Surat Persetujuan Menteri yang bertanggung jawab di bidang pembinaan BUMN
      - Ada
      - Tidak
      - Dilampirkan
      - Tidak

20. Persiapan Kegiatan yang Telah Dilakukan

- Telah disusun rencana kegiatan rinci
- Telah disusun indikator kinerja pelaksanaan kegiatan bersama dokumen ini
- Telah ada pernyataan kesediaan dari Pemda / BUMN untuk menyiapkan dana pelaksanaan yang menjadi kewajiban Pemda / BUMN
- Telah dialokasikan dana pendamping untuk tahun pertama pelaksanaan kegiatan
- Telah ada rencana pengadaan tanah dan/atau pemukiman kembali, termasuk ketersediaan dana yang diperlukan
- Telah disusun rancangan pembentukan Unit Manajemen Proyek dan Unit pelaksana proyek
- Telah disusun rencana pengelolaan kegiatan

KEMENTERIAN NEGARA/LEMBAGA/ PEMERINTAH DAERAH/BUMN
Cap
(Tanda tangan)
Nama dan Jabatan

65
LAMPIRAN I
PERATURAN DIREKTUR JENDELAH PERBENDAHARAAN
NOMOR PER- /PB/2006 TENTANG TATA CARA
PEMBUKUAN DAN PENGESAHAN ATAS REALISASI
HIBAH LUAR NEGERI PEMERINTAH YANG
DILAKSANAKAN SECARA LANGSUNG

SURAT PERMINTAAN PENGESAHAN

Pemberi Hibah : .................................................................
Tanggal dan No. Financing Agreement : ..................................................,
No. Registrasi : .................................................................
Tanggal dan No. DIPA : .................................................................
Tahun Anggaran : .................................................................
Departemen / Lembaga : ......................... Kode : .................................
Satuan Kerja : ......................... Kode : .................................
Lokasi : ......................... Kode : .................................
Fungsi : ......................... Kode : .................................
Sub Fungsi : ......................... Kode : .................................
Program : ......................... Kode : .................................
Kegiatan : ......................... Kode : .................................
Sub Kegiatan : ......................... Kode : .................................
MAK : ....................................
Jumlah Pembayaran : ....................................
Uraian Pembayaran : ....................................

Terlampir bersama ini kami sampaikan dokumen-dokumen pendukung yang dibutuhkan.

Demikian permintaan kami, atas kerjasama Saudara kami ucapkan terima kasih.

Jakarta, ........................................
Pengguna Anggaran/ Kuasa PA

NIP ........................................
**LAMPIRAN I**

PERATURAN DIREKTUR JENDERAL PERBENDAHARAAN
NOMOR PER- /PB/2006 TENTANG TATA CARA
PEMBUKUAN DAN PENGESAHAN ATAS REALISASI
HIBAH LUAR NEGERI PEMERINTAH YANG
DILAKSANAKAN SECARA LANGSUNG

**SURAT PENGGANTI WITHDRAWAL APPLICATION (WA)**

(Sehubungan pemberi hibah membayar langsung kepada penyedia jasa/memberikan dalam bentuk tunai)

Nomor : ......................................./ Tanggal : ........................................

1. **Grant / Hibah** : ...............................................
2. **Nilai Aplikasi** : ...............................................
3. **Nomor dan Tanggal NoD** : ...............................................
4. **Nilai dalam SP3** : ...............................................
5. **Cara Pembayaran** : ...............................................
6. **Kontraktor / Penyedia Jasa** : ...............................................
7. **Nomor Kontrak & Tanggal** : ...............................................
8. **Nilai Kontrak** : ...............................................
9. **Satker dan Kode Satker** : ...............................................
10. **Nomor dan Tanggal DIPA** : ...............................................
11. **Fungsi, Sub Fungsi, Program** : ...............................................
12. **Kode Kegiatan / Sub Kegiatan / MAK** : ...............................................
13. **MAP** : ...............................................

Kepala KPPN Khusus

........................................
NIP ..................................
Nomor : S - ....................../ 2007 .........................., 2007
Sifat : .................................................. 1) ...........................
Lampiran : .................................................. 2) ...........................
Hal : Permohonan Persetujuan atas Rekening yang sudah dibuka

Yth. .............................................................

di .................................................. 3) ...........................
pada .................................................. 4) ...........................
nomor rekening .................................................. 5) ...........................
untuk keperluan .................................................. 6) ...........................

pada .................................................. 4) ...........................
nomor rekening .................................................. 5) ...........................
untuk keperluan .................................................. 6) ...........................

Sehubungan dengan hal tersebut, dimohon agar pembukaan rekening dimaksud dapat diterbitkan surat persetujuannya.

Demikian disampaikan untuk dapat ditindak lanjuti sebagaimana mestinya. Atas kerjasamanya yang baik diucapkan terima kasih.

Kepala Kantor,

.................................................. ...........................
NIP .................................................. ...........................
Sifat : ..............................................
Lampiran : ........................................
Hal : Pernyataan Penggunaan Rekening

Yth. ................................................ 1)

di ................................................ 2)

Menunjuk Peraturan Menteri Keuangan Nomor : ............... / PMK.05 / 2007 tentang Pengelolaan Rekening Milik Kementerian Negara / Lembaga / Kantor / Satuan Kerja, dengan ini kami menyatakan dengan sungguh-sungguh, sesuai dengan surat kami tanggal ......................... 3) Nomor ........................................ 4) hal permintaan persetujuan pembukaan rekening, untuk menggunakan rekening yang dibuka atas nama jabatan yaitu rekening ............................................. 5) pada ............................................ 6) hanya untuk keperluan .................................................. 7)

Demikian disampaikan untuk dapat dimaklumi.

Kepala Kantor,

............................... 8)
NIP .................................
Nomor : S - ................. / 2007
Sifat : ..................................
Lampiran : ..................................
Hal : .................................. 1) Pembukaan Rekening

Yth. .................................................. 2)
di
................................. 3)

Menunjuk Peraturan Menteri Keuangan Nomor : .............. / PMK.05 / 2007 tentang
Pengelolaan Rekening Milik Kementerian Negara / Lembaga / Kantor / Satuan Kerja dan surat
Saudara tanggal ............................... 4) Nomor .................................. 5) hal Permohonan Pembukaan Rekening,
dengan ini kami .................................... 6) pembukaan rekening : .................................. 7) pada
.......................................... 8) untuk keperluan ................................................................. 9) karena
......................................................... 10)

Demikian disampaikan untuk dapat dimaklumi.

................................. 11)

................................. 12)
NIP : .................................
Yth. ............................................................. 1)

di

........................................... 2)


Nomor .................................. 4), kami telah melakukan pembukaan rekening ........................................ 5) pada ............................................... 6) dengan nomor rekening ............................................ 7) untuk keperluan ......................................................... 8)

Demikian disampaikan untuk dapat dimaklumi.

Kepala Kantor,

........................................... 9)

NIP ...........................................
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</table>
CHECK LIST ON POPP PROJECT MANAGEMENT

Annotated version of March 2009

Project Name: ________________________________
Award ID: ________________________________
Project Time Frame (yyyy – yyyy): ________________________________
Current Project Status (select one): Justifying/Defining/Initiating/Running/Closing
Project Registered in DIPA: YES/NO, date if YES: ____/____/_____
Project Account approved by MoF: YES/NO, date if YES: ____/____/_____
Programme Staff: ________________________________
Unit: ________________________________

This checklist solicits information on UNDP Indonesia’s requirement to implement the Project Management Section as regulated in the Programme and Operations Policies and Procedures (POPP), previously known as the User Guide¹ and relevant Government regulations.

This checklist is a tool for (1) self-assessment by programme officer/manager; (2) monitoring and selective checks by Programme Unit Head across projects; and (3) quality assurance and strategic monitoring by the business leaders (HR, Procurement, Finance, Planning and M&E) for identifying further improvement. Ultimately, it is to help all people involved in the project management and assurance in understanding the requirements for good project implementation.

For all on-going projects and projects in hard pipeline (a draft project document is ready), responsible Programme Officers should fill the relevant parts of this checklist (Justifying, Defining, Initiating, Running, Closing Stages) and update it every 6 months.

A copy of filled checklist per project will be kept in project file (M&E section) and another copy will be sent to M&E focal point in each unit for unit level filing.

Operations Units (Resource Management, Procurement, Admin and HR) and PMEU will review the filled checklists for monitoring and planning for briefing/training necessary for further internalizing the POPP.

¹ http://content.undp.org/go/userguide/ for POPP.
http://content.undp.org/go/userguide/results/project/?lang=en#top for project cycle.
## CHECK LIST ON POPP PROJECT MANAGEMENT

### KEY PROCESSES

<table>
<thead>
<tr>
<th>Key Processes</th>
<th>Compliance</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. JUSTIFYING STAGE</strong></td>
<td></td>
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<tr>
<td>1.1. Develop a Project Proposal / Concept Paper</td>
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<tr>
<td>Is the proposed concept for a new project in line with UNDAF, Strategic Plan (2007 – 2011) CPD, and CPAP?</td>
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<tr>
<td>Is the proposed concept is in line with the government priority and addressing policy/regulatory as well as implementation gap in the current government policy and was there any request/expressed demand from government?</td>
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<tr>
<td>Has there been any assessment or research done to substantiate the proposed proposal or concept?</td>
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<tr>
<td>Has there been any consultation with relevant government agency and potential donors for the development of this proposal?</td>
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<tr>
<td>Any potential synergy with other programme unit within UNDP and any possibility of developing UN Joint Programme?</td>
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<tr>
<td>How the capacity development theme is incorporated in the proposal?</td>
<td></td>
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<tr>
<td>Any cross cutting issues that have significant implication to strengthen the proposal were addressed? (gender, aid effectiveness, south-south cooperation, disaster risk reduction, rights based approach, etc.– please specify in the remark how any of these issues were addressed)</td>
<td></td>
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<tr>
<td>1.2. Submit an ATLAS Proposal to receive a Proposal ID(^1)</td>
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<tr>
<td>1.3. Acquire approval from Country Director to proceed with the Project Proposal / Concept Paper</td>
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<tr>
<td>1.4. Secure capacity enough to develop (and implement project) at Unit level and identify resources that can be tapped from HQs, Regional Centers, CO and externally.</td>
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<tr>
<td>1.5. Project Status in the Atlas Project Management Module (PMM) updated from Justifying Stage to Defining Stage(^1)</td>
<td></td>
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<tr>
<td>KEY PROCESSES</td>
<td>COMPLIANCE</td>
<td>REMARKS</td>
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<td></td>
<td>YES</td>
<td>NO</td>
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<tr>
<td><strong>2. DEFINING STAGE</strong></td>
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<tr>
<td>2.1. Define the project Results and Resources Framework (RRF) including outputs, activity results/deliverables, and resources.</td>
<td></td>
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<tr>
<td>2.2. Undertake the “HACT Financial Management Capacity (Micro) Assessment” on potential Implementing Partner that will receive at least an annual amount of USD 100,000.</td>
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<tr>
<td>2.3. Undertake the “Capacity Assessment for Project Implementation”, using the latest template available in the POPP.</td>
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<tr>
<td>2.4. Determine implementation modality (NIM/DIM/NGO): Options of implementation modality are discussed with implementing partner and arrangement for internal capacity is devised accordingly (e.g. country office support service agreement requires more capacity at CO side)</td>
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<tr>
<td>2.5. Prepare Initiation Plan (optional / if budget required)</td>
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<tr>
<td>2.7. Entering project annual work plan into Atlas in line with RRF and generate award in Atlas by manager level 1 or above</td>
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<tr>
<td>2.8. Activate the Atlas PMM by entering output definition, risks, budget and product description for initiation to Atlas and linking to relevant outcome in the project tree</td>
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<tr>
<td>2.9. Review and approval of Initiation Plan by Country Director and budget sent to KK</td>
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<tr>
<td>2.10. Project Status in the Atlas updated from Defining Stage to Initiating Stage</td>
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<tr>
<td><strong>3. INITIATING STAGE</strong></td>
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<tr>
<td>3.1. Refine output indicators, baseline and targets in the draft Project Document.</td>
<td></td>
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<tr>
<td>3.2. Develop deliverable descriptions for each activities, as well as quality criteria, in the draft Project Document. Please refer to the Quality Management for Project Activity Results provided in the Project Document Template.</td>
<td></td>
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</tbody>
</table>

(Please provide explanation if the key processes are NOT implemented/compliance or N.A.)
<table>
<thead>
<tr>
<th>KEY PROCESSES</th>
<th>COMPLIANCE</th>
<th>REMARKS</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.3. Finalize implementation arrangements with Implementing Partner, i.e. cash transfer modality, based on the outcome of the HACT / capacity assessment.</td>
<td></td>
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<tr>
<td>3.4. Sign Letter of Agreement between UNDP and the Implementing Partner for the Provision of Country Office Support Services (including Description of Support Services), if required.</td>
<td></td>
<td></td>
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</tbody>
</table>
| 3.5. Finalize project management organization structures and project roles and responsibilities: ix  
- Composition of Project Board is confirmed and functional for the IPAC and PAC.  
- Each role has been clearly understood by all parties (implementing agency, potential NPD, other project board members). |            |         |
| 3.6. Negotiation on cost recovery with Donors:  
- GMS (minimum 7%)  
- ISS (following existing policy at CO) |            |         |
| 3.7. Finalize project funding (signed contribution agreements, fund allocations from regular resources, CS/TF, etc.) and create budget (considering GMS, ISS and other costs as well as project / activity cost) |            |         |
| 3.8. Prepare and monitoring the contribution schedule                        |            |         |
| 3.9. Prepare Recruitment Plan in line with SOP.                             |            |         |
| 3.10. Prepare Procurement Plan including  
- Identification of capitalized and non-capitalized assets to be procured, and security (MOSS) related equipment.  
- Specify assets disposal strategy including the timeline for the implementation of the strategy, as part of a Project Document. |            |         |
<p>| 3.11. Create Project Monitoring Plan in the draft Project Document (example: launching, project board meetings for regular review, publications and public events, reporting, HACT assurance activities including scheduled audit). |            |         |
| 3.14. Convene IPAC on the draft Project Document and AWP.                   |            |         |</p>
<table>
<thead>
<tr>
<th>KEY PROCESSES</th>
<th>COMPLIANCE</th>
<th>REMARKS</th>
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<tbody>
<tr>
<td><strong>3.15.</strong> Convene PAC on the revised draft Project Document and AWP and approve Project Document during the PAC meeting (in principle, conditional to some proposed revisions). PAC minutes should be signed by the chairperson</td>
<td>YES</td>
<td>(Please provide explanation if the key processes are NOT implemented/compliance or N.A.)</td>
</tr>
<tr>
<td><strong>3.16.</strong> Bappenas provides technical clearance on the approved Project Document and AWP and the Ministry of Finance is informed.</td>
<td>NO</td>
<td></td>
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<tr>
<td><strong>3.17.</strong> Project Document with AWP for first year approved and signed by UNDP and Implementing Partner.</td>
<td>N.A.</td>
<td></td>
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<tr>
<td><strong>3.18.</strong> (PP2/2006) Implementing Partner to register the project at Ministry of Finance</td>
<td>YES</td>
<td></td>
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<tr>
<td><strong>3.19.</strong> (PP2/2006) Implementing Partner to include the project to their DIPA.</td>
<td>NO</td>
<td></td>
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<tr>
<td><strong>3.20.</strong> (PP2/2006) Implementing Partner request and obtain the approval of Ministry of Finance for opening a project bank account</td>
<td>N.A.</td>
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</tbody>
</table>
| **3.21.** Atlas PMM is populated on:  
  - Output indicators, baseline and targets  
  - Deliverable description & quality description  
  - Plan Budget, as indicated in the AWP  
  - Project Communication and Monitoring Schedule Plan  
  - Project Issues Log and Lessons Learned Log  
  - Project Risk Log | YES | |
| **3.22.** Project Status in the Atlas updated from Initiating Stage to Running Stage | NO | |

**4. RUNNING STAGE**

<table>
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<th>KEY PROCESSES</th>
<th>COMPLIANCE</th>
<th>REMARKS</th>
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<tbody>
<tr>
<td><strong>4.1.</strong> Project Board meets on quarterly basis to discuss / approve workplan, progress against workplan and challenges/lessons learned and to provide guidance to the project manager. (Project Board can convene for important decision as necessary)</td>
<td>YES</td>
<td></td>
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<tr>
<td><strong>4.2.</strong> Funds made available by ensuring the Authorized Spending Limit (ASL) availability through monitoring on the contribution schedule upon the receipt of funds: resources made available through direct cash transfer, direct payment, and/or reimbursement.</td>
<td>NO</td>
<td></td>
</tr>
<tr>
<td><strong>4.3.</strong> Ensure cost recovery against cost sharing agreement (GMS) and services provided (ISS and other support service at cost such as IT) reflected in the project budget and implemented in timely manner</td>
<td>N.A.</td>
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<tr>
<td>KEY PROCESSES</td>
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<td>REMARKS</td>
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<tr>
<td>YES</td>
<td>NO</td>
<td>N.A.</td>
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<tr>
<td>4.4. Mobilise inputs to initiate activities, according to the TORs and</td>
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<tr>
<td>specifications of goods and services</td>
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**Monitoring and Evaluation**

4.5. Monitor progress of project deliverables as defined by the Deliverable    |
| Descriptions as scheduled in the Monitoring Plan.                           |            |         |

4.6. Monitoring the foreign exchange gain/loss on contribution receipt         |
| against project budget, perform project budget revision due to any differences. |            |         |

4.7. Update the Monitoring Plan in Atlas PMM.                                  |

4.8. Update Issues Log on a quarterly basis in Atlas PMM.                      |

4.9. Monitor Risks and update Risk Log on a quarterly basis in Atlas PMM.      |

4.10. Update Lessons Learned log in Atlas PMM.                                 |


4.12. Update output status                                                     |

4.13. Prepare Annual Review Report                                            |

4.14. Conducted regular Project Review (annually), when necessary              |

4.15. Plan and sign next year’s AWP                                          |

4.16. Commission project evaluation in accordance with evaluation plan        |

**Harmonized Approach to Cash Transfer (HACT)**

4.17. Prepare FACE Form and signed by UNDP & IP.                               |

4.18. All cash transfer comply with FACE form                                  |


4.20. Schedule and implement Programmatic Monitoring (Field Visit).            |


4.22. Schedule and implement Special Audit, if needed.                        |

**Human Resources**

4.23. Quarterly update Recruitment Plan                                        |

4.24. Create Request for Personnel Action/ RPA when submitting request for    |
<p>| recruitment/contract issuance / extension                                     |</p>
<table>
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<tr>
<th>KEY PROCESSES</th>
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<tr>
<td><em>YES</em></td>
<td><em>NO</em></td>
<td><em>N.A.</em></td>
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<tr>
<td>4.25. Provide clear TOR, updated organization chart and get confirmation on job specification from HR</td>
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<td>4.26. Ensure budget availability at least on medium range or step 5 for particular level based on job classification from HR</td>
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<tr>
<td>4.27. Conduct short listing process based on long listed candidate from HR</td>
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<td>4.28. Proper documentation on following documents:</td>
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<tr>
<td>- Advertisement</td>
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<td>- Interview report</td>
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<tr>
<td>- CAPC minutes for recruitment of NOC post under SC modality, approval of APP/Ad hoc for FT/ALD post</td>
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<tr>
<td>- CV, P11, birth certificate, last certificate of education for staff</td>
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<td>- Reference check process</td>
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<td>- Medical clearance</td>
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<td>- Medical insurance &amp; pension for SC</td>
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<td>- Copy of contract</td>
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<td>- Other documentation in line check list</td>
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<td>4.29. Ensure proper induction for new recruit (HR staff in respective duty station will have a schedule of induction programme) &amp; ensure entrance procedure implemented</td>
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<tr>
<td>4.30. Ensure proper implementation of service evaluation for SC holder and RCA for FT/ALD holder</td>
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<tr>
<td>- for SC holders, personal workplan for service evaluation form to be completed in consultation with supervisor within 30 days from contract starting date</td>
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<td>- for SC holders, service evaluation to be done 2 months before contract expires</td>
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<tr>
<td>- for FT/ALD holders to follow the RCA cycle</td>
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<tr>
<td>4.31. Ensure prior notification to HR for extension or any needs to bring to CAPC/ACP for SC holder with amount of contract up to USD 30,000/USD 100,000. Submission should follow procurement manual.</td>
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<tr>
<td><strong>NEX Finances &amp; NGO Execution Finances (POPP)</strong></td>
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<tr>
<td>4.32. Cash Transfer Modalities discussed or reviewed and agreed (for revision) between IP and UNDP, based on inputs and findings from the HACT Micro Assessment. (see item 3.3)</td>
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<tr>
<td>KEY PROCESSES</td>
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<td>REMARKS</td>
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<td></td>
<td>YES</td>
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<tr>
<td>4.33. Bank account opened by the Implementing Partner (not UNDP) under the name of the project, only for receiving UNDP funds and making payments related to the project.</td>
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<tr>
<td>4.34. NEX advance aging monitoring for advance management compliance</td>
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<td>4.35. Settlement of 90% previous advance for new advance request.</td>
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<tr>
<td>4.36. Bank account managed with double signature. UNDP contract holder is not in any case a signatory of these accounts.</td>
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<tr>
<td>4.37. Prepare and certify FACE Form, at least on a quarterly basis.</td>
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<tr>
<td>4.38. Any interest earned on the project bank account from the advances is included by the IP in the FR/FACE and credited to the project, recording it as miscellaneous income.</td>
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<tr>
<td>4.39. Prepare CDR quarterly basis for review and take necessary action to correct any irregularities.</td>
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<tr>
<td>4.40. Prepare CDR for NPD to certify at the end of the year.</td>
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<tr>
<td><strong>Internal Control Framework (POPP)</strong></td>
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<tr>
<td>4.41. Segregation of duties of the following post:</td>
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<tr>
<td>i) Authorization to execute transactions,</td>
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<tr>
<td>ii) Transactions recording,</td>
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<tr>
<td>iii) Asset Custody, and</td>
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<tr>
<td>iv) Reconciliation</td>
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<tr>
<td>The first-three duties performed by different persons.</td>
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<tr>
<td>4.42. Segregation of duties of the following post:</td>
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<tr>
<td>i) Ordering goods or services,</td>
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<tr>
<td>ii) Receiving goods or services,</td>
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<td></td>
</tr>
<tr>
<td>iii) Transaction recording, and</td>
<td></td>
<td></td>
</tr>
<tr>
<td>iv) Payment of goods and services</td>
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<td></td>
</tr>
<tr>
<td>The all four duties performed by different persons.</td>
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<tr>
<td><strong>Procurement</strong></td>
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<tr>
<td>4.43. Consistently implement and regularly update Procurement Plan (PP)</td>
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<tr>
<td>4.44. Create on time e-requisition in line with PP</td>
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<tr>
<td>4.45. Provide clear TOR/Spec/SOWs</td>
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<tr>
<td>KEY PROCESSES</td>
<td>COMPLIANCE</td>
<td>REMARKS</td>
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<td>------------------------------------------------------------------------------</td>
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</tr>
<tr>
<td>4.46. Contribute to the shortlisting/evaluation stage</td>
<td></td>
<td>(Please provide explanation if the key processes are NOT implemented/compliance or N.A.)</td>
</tr>
<tr>
<td>4.47. Submission of good quality CAP case</td>
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<tr>
<td>4.48. Submission of good quality SSA case</td>
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<tr>
<td>4.49. Follow up on CAP recommendation</td>
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<tr>
<td>4.50. Follow up on ACP recommendation</td>
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<tr>
<td>4.51. Contract management – monitoring deliverables and making payments against pre-set milestones</td>
<td></td>
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<tr>
<td>4.52. Submit on-time extension for Contracts amendments</td>
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<tr>
<td>4.53. If project ended, Project Status in the Atlas PMM updated from Running Stage to Closing Stage.</td>
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</tbody>
</table>

5. CLOSING STAGE

| 5.1. Prepare Final Project Review report by Project Manager, including Lesson Learned Report. |            |                                                                         |
| 5.2. Conduct Final Project Review by Project Board.                                           |            |                                                                         |
| 5.3. Commission Project Evaluation.                                                            |            |                                                                         |
| 5.4. Identify follow-on actions, as discussed in the final review meeting.                     |            |                                                                         |
| 5.5. NDP notifies operational completion of the project                                        |            |                                                                         |
| 5.6. Operationally close the project. (no further project activities initiated after operational closure) |            |                                                                         |
| 5.7. Process payments for outstanding obligations.                                               |            |                                                                         |

Human Resources

<p>| 5.8. Exit procedure implemented for staff resigning or whose contract ending       |            |                                                                         |
| 5.9. Exit questionnaire for each staff who completed assignment.                  |            |                                                                         |
| 5.10. Proper notification in line with requirement under each contract modality.     |            |                                                                         |
| 5.11. Submission of all HR related documentation with accompanied list to track the document. Record management policy should be followed. |            |                                                                         |</p>
<table>
<thead>
<tr>
<th>KEY PROCESSES</th>
<th>COMPLIANCE</th>
<th>REMARKS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td><strong>Procurement</strong></td>
<td></td>
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<tr>
<td>5.12. Follow up on contract/PO closure and payments, where applicable.</td>
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<tr>
<td>5.13. Submission of Performance Evaluation of a vendor (at the end of contract)</td>
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<tr>
<td>5.14. Transfer project assets and documents.</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>5.15. Arrange the final audit if required.</td>
<td></td>
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<tr>
<td><strong>NEX Finances &amp; NGO Execution Finances (POPP)</strong></td>
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<tr>
<td>5.16. Prepare and submit final FACE Form.</td>
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<td>5.17. Ensure that all financial transactions are in Atlas.</td>
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<tr>
<td>5.18. Remaining balance reimbursed to UNDP.</td>
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<tr>
<td>5.19. Ensure project accounts are closed by IP.</td>
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<tr>
<td>5.20. Review final CDR and sign by NPD.</td>
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</tr>
<tr>
<td>5.21. Change project status in Atlas as &quot;Closed&quot; once no more financial transaction required (meaning financially closed) and upon uploading signed final CDR, asset transfer document (CAPC minutes) and final project review report</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**END NOTES** (for more details and references, please refer to POPP)

1. In Atlas financial module: grants>proposals>grant proposal. Click on "add a new value" tap to create a new proposal
2. In Atlas financial module: grants>awards>award profile. Set the "Status" to "defining".
3. For HACT micro assessment, consult with the CO focal point – Pak Sirman Purba (PMEU) and Pak Handoko (Admin)
5. Also refer to the http://content.undp.org/go/userguide/results/ppm-overview/creating-partner/ for more information on implementing partner selection.
6. If immediate resources are required to help finalize the project design or begin certain activities of the project itself, an Initiation Plan should be prepared to supplement the draft Project Document, and should be submitted to the PAC. The Initiation Plan template can be found at http://content.undp.org/go/prescriptive/Project-Management---Prescriptive-Content-Documents/download/?d_id=13512127.
8. In Atlas financial module: grants>awards>award profile. Set the "Status" to "initiating".
10. For a standard project management organizational setup and explanation please see http://content.undp.org/go/userguide/results/ppm-overview/management-structure. A standard organizational structure is also given in the project document template.
11. Lessons learned log template can be found at http://content.undp.org/go/prescriptive/Project-Management---Prescriptive-Content-Documents/download/?d_id=1384630&.
12. For detailed role of the Project Board, please refer to http://content.undp.org/go/userguide/results/ppm-overview/management-structure.
14. For asset transfer policy, please refer to http://content.undp.org/go/userguide/cap/asset-mgmt/asset-transfer-policy
Dear Sir,

1. Reference is made to consultations between officials of the Government of Indonesia / Bappenas (Implementing Partner) (hereinafter referred to as “the Government”) and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government through its institution designated in the relevant programme support document, as described below.

2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.

3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme:
   a. Identification and/or recruitment of project and programme personnel and technical expertise;
   b. Procurement of goods and services to undertake agreed activities;
   c. Administration of the donor basket fund;
   d. Management of grant agreements and related disbursements for project-related activities.
      (to be specified by each project)

4. The procurement of goods and services and the recruitment of programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the programme support document or project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a programme, the annex to the programme support document is revised with the mutual agreement of the UNDP Country Director and the designated institution.

5. The relevant provisions of the Revised Basic Agreement for Technical Assistance signed 29 October 1954 between the United Nations, the International Labour Organisation, the Food and Agriculture Organisation of the United Nations, the United Nations Educational, Scientific and Cultural Organisation, the International Civil Aviation Organisation, and the World Health Organisation and the Government of the Republic of Indonesia, the Standard Agreement on Operational Assistance signed 12 June 1969 between the United Nations, the International Labour Organisation, the Food and Agriculture Organisation of the United Nations, the United
Nations Educational, Scientific and Cultural Organisation, the International Civil Aviation Organisation, the World Health Organisation, the International Telecommunication Union, the World Meteorological Organisation, the International Atomic Energy Agency, the Universal Postal Union, the Inter-Governmental Maritime Consultative Organisation and the United Nations Industrial Development Organisation and the Government of the Republic of Indonesia and the Agreement signed 7 October 1960 between the United Nations Special Fund and the Government of the Republic of Indonesia including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed programme through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the programme support document.

6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the above mentioned agreements.

7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the programme support document.

8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed projects.

Yours sincerely,

________________________
Signed on behalf of UNDP

_____________________
For the Government
DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

UNDP COUNTRY OFFICE SUPPORT SERVICES

1. Reference is made to consultations between BAPPENAS, the institution designated by the Government of Indonesia and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project PROJECT TITLE, “the Project”.

2. In accordance with the provisions of the letter of agreement signed on DATE and the project document, the UNDP country office shall provide support services for the Project as described below.

3. Support services to be provided:

<table>
<thead>
<tr>
<th>Support services</th>
<th>Schedule for the provision of the support services</th>
<th>Cost to UNDP of providing such support services (where appropriate)</th>
<th>Amount and method of reimbursement of UNDP (where appropriate)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Identification and recruitment of all project and programme personnel, including national and international consultants</td>
<td>June 2008 – April 2011</td>
<td>According to Universal Price List</td>
<td>Using ISS mechanism and Universal Price List</td>
</tr>
<tr>
<td>2. Procurement of goods and services</td>
<td>June 2008 – April 2011</td>
<td>According to Universal Price List</td>
<td>Using ISS mechanism and Universal Price List</td>
</tr>
<tr>
<td>3. Administration of the project basket fund</td>
<td>June 2008 – April 2011</td>
<td>According to Universal Price List</td>
<td>Using ISS mechanism and Universal Price List</td>
</tr>
<tr>
<td>4. Administration and management of the CSO grant scheme, including grant agreements with CSOs.</td>
<td>June 2008 – April 2011</td>
<td>According to Universal Price List</td>
<td>Using ISS mechanism and Universal Price List</td>
</tr>
</tbody>
</table>

4. Description of functions and responsibilities of the parties involved:
Functions and responsibilities of the parties involved shall be in accordance with the provisions of the project document of PROJECT TITLE and in particular section 5 Management Arrangements.
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<thead>
<tr>
<th></th>
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<tr>
<td>Annex B2</td>
<td>Presidential Decree (Keppres) No 80/2003</td>
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<td>Annex B3</td>
<td>Decree of the Minister of State for National Development Planning (Permenneg PPN) No.005/2006</td>
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<tr>
<td>Annex B4</td>
<td>Decree of the Minister of Finance (PMK) No.143/2006</td>
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<td>Annex B5</td>
<td>Decree of the Minister of Finance (PMK) No.57/2007</td>
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<tr>
<td>Annex B6</td>
<td>Decree of the Minister of Finance (PMK) No.06/2009</td>
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<tr>
<td>Annex B7</td>
<td>Decree of the Minister of Finance (PMK) No.40/2009</td>
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<tr>
<td>Annex B9</td>
<td>Paris Declaration on Aid Effectiveness 2005</td>
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<td>Annex B10</td>
<td>Enhanced Annual Work Plan</td>
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<td>Annex B11</td>
<td>HACT Assessment in Brief</td>
</tr>
<tr>
<td>Annex B12</td>
<td>Guidelines for Assessing the Financial Management Capacity of Implementing Partners Receiving Cash from an Agency (Micro Assessment) and Frame Work for Cash Transfer to Implementing Partner</td>
</tr>
<tr>
<td>Annex B13</td>
<td>FACE Form</td>
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<tr>
<td>Annex B14</td>
<td>Programme and Project Management Roles</td>
</tr>
<tr>
<td>Annex B15</td>
<td>Check List of Capacity Assessment of Implementing Partner</td>
</tr>
<tr>
<td>Annex B16</td>
<td>UNDAF Results Matrix</td>
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<td>Annex B17</td>
<td>Quarterly Progress Report Form</td>
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<td>Annex B18</td>
<td>Field Visit Form</td>
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<td>Annex B19</td>
<td>Annual Review Report</td>
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<td>Annex B20</td>
<td>LPAC Check List</td>
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<tr>
<td>Annex B21</td>
<td>Get to know PRINCE 2 in 5 minutes</td>
</tr>
<tr>
<td>Annex B22</td>
<td>Glossary of Key Terms in Evaluation and Results-Based Management Harmonized Terminology</td>
</tr>
<tr>
<td>Annex B23</td>
<td>Project Brief Compositions</td>
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<td>Annex B24</td>
<td>Glossary of Terms</td>
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<td>Annex B26</td>
<td>Accra Agenda Document</td>
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<tr>
<td>Annex B27</td>
<td>UN Indonesia Harmonised Rate Scale for per diem/ cost parameters for Government Officials</td>
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<tr>
<td>Annex B28</td>
<td>Country Programme Action Plan (CPAP)</td>
</tr>
</tbody>
</table>