

Project Administration Manual

Project Number: 54428-001
Loan Number: {LXXXX}
January 2024

Republic of Indonesia: Citywide Inclusive Sanitation Project

ABBREVIATIONS

ADB	–	Asian Development Bank
CEMP	–	construction environmental management plan
CPD	–	client portal for disbursement
DDR	–	due diligence report
DMF	–	design and monitoring framework
DED	–	detailed engineering design
DGHS	–	Directorate General of Human Settlements
EA	–	executing agency
EMP	–	environmental management plan
FMA	–	financial management assessment
FSM	–	fecal sludge management
GAP	–	gender action plan
GRM	–	grievance redress mechanism
IEE	–	initial environmental examination
IP	–	Indigenous peoples
MoF	–	Ministry of Finance
MPWH	–	Ministry of Public Works and Housing
NGO	–	nongovernment organization
NPMC	–	national project management consultant
OCB	–	open competitive bidding
O&M	–	operations and maintenance
PAM	–	project administration manual
PDAM	–	<i>Perusahaan Daerah Air Minum</i> (Regional Water Enterprise)
PISC	–	project implementation support consultant
PMU	–	project management unit
PPMS	–	project performance management system
QCBS	–	quality- and cost-based selection
RFQ	–	request for quotation
RP	–	resettlement plan
RRP	–	Report and Recommendation of the President to the Board of Directors
SPS	–	Safeguard Policy Statement
TA	–	technical assistance
TOR	–	terms of reference
UPTD	–	<i>Unit Pelaksana Teknis Daerah</i> (Regional Technical Unit)
WWTP	–	wastewater treatment plant

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Project Administration Manual Purpose and Process

The project administration manual (PAM) describes the essential administrative and management requirements to implement the project on time, within budget, and following the policies and procedures of the government and the Asian Development Bank (ADB). The PAM should reference all available templates and instructions either by linking to relevant URLs or by directly incorporating them in the PAM.

The purposes of the PAM are to (i) share the project status with ADB's and the government's project teams, (ii) identify the contact persons to facilitate communication and coordination between ADB and the government, and (iii) facilitate preparation of the project completion report. The PAM will be useful for new project members to understand the project status easily and communicate effectively with other members.

The executing and implementing agencies are wholly responsible for implementing ADB-financed projects, as agreed jointly between the borrower and ADB, and following the policies and procedures of the government and ADB. ADB staff is responsible for supporting implementation, including monitoring compliance by executing and implementing agencies of their obligations and responsibilities for project implementation following ADB policies and procedures and the loan agreement.

At loan negotiations, the borrower and ADB shall agree to the PAM and ensure consistency with the loan agreement. Such agreement shall be reflected in the minutes of the loan negotiations. In case of any discrepancy or contradiction between the PAM and the loan agreement, the provisions of the loan agreement shall prevail.

After ADB Board approval of the project's report and recommendation of the President (RRP), changes in implementation arrangements are subject to agreement and approval pursuant to relevant government and ADB administrative procedures (including the project administration instructions) and upon such approval, they will be subsequently incorporated in the PAM.

I. PROJECT DESCRIPTION

1. The Citywide Inclusive Sanitation Project (CISP or the project) will support the Government of Indonesia in increasing access to climate-resilient, adequate, and safely managed sanitation services for about 2.5 million people in the cities of Mataram, Pontianak, and Semarang. It will (i) improve and expand sanitation systems by constructing wastewater treatment plants (WWTPs), sewer networks, and household connections, and by enhancing existing fecal sludge management (FSM) facilities to build the project cities' resilience; (ii) strengthen the regulatory environment; and (iii) improve the institutional effectiveness of the sanitation service operators regarding governance, digitalization, resilience, and asset management.
2. **Impact.** Sanitation facilities improved and made inclusive to support the regional development policy of minimizing national disparities (National Medium-Term Plan 2020–2024).
3. **Outcome.** Access to inclusive, climate-resilient, adequate, and safely managed sanitation services in project cities improved.¹
4. **Outputs.** The project has three outputs as follows: (i) sanitation services improved, expanded, and made climate-resilient, (ii) regulatory environment strengthened, and (iii) institutional effectiveness improved.
5. The design and monitoring framework in Appendix A and the technical details of the project outputs are in Appendix B.

II. IMPLEMENTATION PLANS

A. Project Readiness Activities

Table 1: Project Readiness

Indicative Activities	2023								2024					Responsible Party
	5	6	7	8	9	10	11	12	1	2	3	4	5	
Green book issuance														Government
Completion of DED and tender documents														Government
Completion of safeguard documents														Government
Disclosure of safeguard documents														ADB
Establish central project implementation unit and preparation of advance procurement														Government
Loan negotiation														ADB and Government

¹ Government of Indonesia. 2020. National Medium-Term Development Plan 2020–2024. Jakarta. The Government of Indonesia makes a distinction between (i) “adequate sanitation” as having access to some form of septage treatment; and (ii) “safely managed sanitation” as safely disposing of excretion on-site and transporting and treating off-site.

Indicative Activities	2023								2024					Responsible Party
	5	6	7	8	9	10	11	12	1	2	3	4	5	
Advance procurement to start (consultant and few civil works packages)														ADB and Government
ADB Board approval														ADB
Loan signing														ADB and Government
Government legal opinion provided														Government
Loan effectiveness														ADB and Government

ADB = Asian Development Bank; DED = detailed engineering design

Source: Asian Development Bank.

B. Overall Project Implementation Plan

6. A project implementation plan recording outputs with key implementation activities on a quarterly basis is provided in Table 2. The project implementation plan will be updated annually and submitted to ADB with contract and disbursement projections for the following year.

Table 2: Project Implementation Plan

	2024				2025				2026				2027				2028				2029				2030			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
A. DMF																												
Output 1. Sanitation infrastructure expanded																												
1a. Construction of WWTP																												
CWIP-01: WWTP RPH and Martapura (MBBR) - Design & Build																												
CWIS-01: WWTP Banjarowo, 25 000 m3/day (ASP) - Design & Build																												
CWIM-01: WWTP Tanjung Karang, Sekarbela, 8,000 m3/day (ASP) Design & Build																												
1b. City level information and disaster management system strengthened																												
a. Assessment through intensive discussion with the relevant stakeholders and preparation of recommendation																												
b. Monitoring of follow up actions and recommendation updating (as necessary)																												
1c. Construction of Sewerage																												
PONTIANAK																												
CWIP-02: Sewerage Pipe Installation, RPH A																												
CWIP-03: Sewerage Pipe Installation, RPH B																												
CWIP-04: Sewerage Pipe Installation, Martapura A																												
CWIP-05: Sewerage Pipe Installation, Martapura B																												
SEMARANG																												
CWIS-02 Main Trunk sewer installation																												
CWIS-3 Commercial area sewerline (Central and South)																												
CWIS-4 Sewerage Pipe Installation, East Semarang																												
CWIS-5 Sewerage Pipe Installation, Genuk A																												
CWIS-6 Sewerage Pipe Installation, Genuk B																												
MATARAM																												
CWIM-02 Sewerage Pipe Installation																												
1d. Roadmap of fecal sludge management system upgrading																												
- Assessment in three project cities, including data collection, focus discussion with the city government, needs assessment, site survey, etc																												
- Roadmap development																												
- Monitoring of fecal sludge upgrading through various financing resources and roadmap updating (as necessary)																												
Output 2. Policy and regulatory environment strengthened																												
2a. Develop the sanitation operation and maintenance guidelines (included as WWTP contractor's task)																												
2b. Develop the wastewater tariff																												
- Data collections, assessment, field study and intensive discussion with relevant stakeholders in developing the wastewater tariff structure																												
- Tariff legalization by the local governments																												
2c. Develop guidelines for the integration of sewer and non-sewered systems																												
- Assessment in three project cities, including data collection, focus discussion with the city government, needs assessment, site survey, etc																												
- Development of guidelines																												
- Monitoring of sewer and non sewer integration and guidelines updating as necessary																												
Output 3. Institutional effectiveness for sanitation management improved																												
3a. Wastewater operators appointed (by Q3 2024) and will be fully staffed (by Q4 2028)																												
3b. Conduct WASH campaign																												
3c. Conduct training for the operator staff																												
B. Management Activities																												
Recruitment of NPMC																												
Recruitment of PISC																												
Project management and supervision																												
Project completion report																												

DMF = Design and Monitoring Framework, WWTP = Wastewater Treatment Plant, OPEX = Operational Expenditures, WASH = Water Sanitation and Hygiene, NPMC = National Project Management Consultant, PISC = Project Implementation Support Consultant
Source: Asian Development Bank.

III. PROJECT MANAGEMENT ARRANGEMENTS

A. Project Implementation Organizations: Roles and Responsibilities

Table 3: Project Implementation Organizations

Project Implementation Organizations	Management Roles and Responsibilities
<p>Steering committee</p> <p>Chair – National Planning Development Agency (Badan Perencanaan Pembangunan Nasional of BAPPENAS)</p> <p>Members – Ministry of Public Works and Housing, Ministry of Finance, Ministry of Home Affairs, Ministry of Health</p>	<ul style="list-style-type: none"> • Provide overall coordination and guidance during the implementation of the project. • Monitor compliance with the provision of the loan covenants. • Monitor and supervise the overall project implementation and progress.
<p>Executing Agency The Directorate General of Human Settlements, Ministry of Public Works and Housing</p>	<ul style="list-style-type: none"> • Manage overall project implementation, including procurement, civil works, financial management, environment safeguard, social safeguard (including ensuring that IEEs, EMPs, and RPs are included in the bidding documents of civil works contracts), gender, project reporting and administration. • Maintain regular coordination with ADB, as well as other stakeholders of the project. • Establish CPMU for the project and ensure the CPMU consists of staff with various expertise, i.e.: social and environmental safeguards, gender, financial management, etc. • Provide assistance and guidance to implementing agencies/project implementation units. • Accountable for compliance and adherence to loan agreement. • Administer the advance account (if any). • Oversee the preparation of audited project financial statements. • Administer loan disbursements.
<p>Central Project Management Unit Directorate of Sanitation, DGHS</p>	<ul style="list-style-type: none"> • Support the EA in day-to-day project management as well as supervision and administration, programming, budgeting, financial planning, and accounting. • In coordination with Construction Services Development Unit (BINKON) manage the procurement related activities which include advertisement, evaluation, negotiation, and contract award and implementation. • Responsible for project performance monitoring, including overseeing the quality of technical design and overall construction works progress in project locations. • Monitor and oversee the implementation and compliance of both social and environmental safeguards requirements in project locations, including the GRM. • Monitor and oversee the implementation and compliance of GAP. • Ensure timely progress report submission to ADB, which includes quarterly progress report, semi-annual social and environmental safeguard reports, GAP report, audited project financial statements, and other related reports. • Monitor and oversee the implementation and compliance of the FMAP. • Monitor loan utilization and ensure sufficient budget is allocated in IAs' annual budget allocation (DIPA). • Ensure timely disbursement is carried out by the implementing agencies. • Provide guidance and oversee the preparation of project's annual financial statements. • Facilitate the audit of the project financial statements.

Project Implementation Organizations	Management Roles and Responsibilities
	<ul style="list-style-type: none"> • Monitor the implementation progress of government's contributions. • With the support of NPMC and PISC, assist the city government to establish a full O&M cost recovery roadmap to anticipate potential O&M budget shortages. It will include a combination of tariff, tax, transfers. • Coordinate project activities with stakeholders, including local project management unit as well as implementing agencies. • Carry out timely asset handover after the completion of construction. • Create O&M strategy if there is delay in assets handover period to avoid idle period of O&M.
Working Unit under Directorate of Sanitation (<i>Satker Pusat</i>)	<ul style="list-style-type: none"> • Coordinate with procurement unit during the selection of selection of NPMC. • Contracting the consulting firm for NPMC contract, once selected. • Manage the NPMC contract, including to ensure timely disbursement and progress report preparation (overall work progress, safeguards, gender, etc.). • Prepare project financial reports and statements. • Provide regular progress report to CPMU.
Local Project Management Units Public Works Agency and Planning Agency (BAPPEDA), other agencies/Dinas, and wastewater operators (PDAM/UPTD)	<ul style="list-style-type: none"> • Provide coordination support to various offices (<i>dinas</i>) in the city and provincial levels to ensure smooth implementation of the project. • Establish coordination committee at the city level which includes representative from various agencies (public works, health, education, social, environmental, etc.). • Ensure the coordination committee will appoint safeguards focal responsible for coordinating both social and environmental safeguards during project implementation period. • Issue relevant permits and approvals required for project implementation.² • Carry out regular public campaign to increase willingness to connect and pay. • Assess and legalize draft wastewater tariff setting. • Establish a full O&M cost recovery roadmap to anticipate potential O&M budget shortages. It will include a combination of tariff, tax, transfers as applicable. • Implement and collect wastewater tariff and allocate O&M budget as subsidy if income from wastewater tariff is not sufficient. • Ensure the appointed operator in each city will carry out O&M after the completion of works and assets are handed over. • Finance the construction of additional connections as stipulated in the memorandum of understanding between the Mayor and DGHS.

² Mataram subproject: (i) two Amdal documents (one for the WWTP and one for the sewerage) have been completed and approval the environmental permit was issued in September 2022; and (ii) Pertek Air Limbah and Andalalin have also been completed in November 2022. Pontianak Subproject: (i) Amdal has been completed and approval for the environmental permit was issued on 28 January 2021; and (ii) Pertek Air Limbah was approved on 14 September 2022, and (iii) Andalalin was approved on 25 November 2022. Semarang subproject: (i) Amdal has been completed and approved on 27 June 2022; (ii) the Environmental Agency has also issued a permit for disposal of effluent to Kali Babon River on 25 November 2021; (iii) Pertek Air Limbah was approved on 25 November 2021; and (iv) Andalalin was approved on 24 November 2022.

Project Implementation Organizations	Management Roles and Responsibilities
<p>Implementing Agency (at the Provincial level) – acting as project implementation units in project cities</p> <p>Provincial Units of DGHS (working units under <i>Balai Prasarana Permukiman Wilayah/Balai PPW</i>) in:</p> <ul style="list-style-type: none"> - Central Java province (for Semarang City) - West Kalimantan province (for Pontianak City) - West Nusa Tenggara province (for Mataram City) 	<ul style="list-style-type: none"> • Responsible for day-to-day project implementation as the project implementation units, including project supervision, monitoring, accounting, and reporting in each project location. • Take full responsibility for the planning and implementation of all aspects and components under the project. • Coordinate with procurement unit during tender process. • Contracting the (i) contractors for the civil works packages, and (ii) consulting firm for the supervision consultant package. • Endorse CEMPs before the commencement of works. • Closely monitor (i) construction progress, (ii) implementation and reporting of CEMP, and (iii) implementation and reporting of entitlement matrix set forth in the RP. • Ensure public disclosure of relevant project information and ongoing public consultation as per the EMP requirements. • Monitor the implementation of safeguards GRM, ensure that necessary actions to resolve complaints are taken, documented, and reported. • Manage project disbursement, including to (i) timely submit the withdrawal application to ADB, (ii) maintain disbursement database, and (iii) timely submit annual budget request to CPMU. • Report overall project progress to CPMU on a regular basis. • Prepare project financial reports and submit to CPMU. • Coordinate with various provincial and local government agencies/offices to ensure smooth project implementation.
<p>ADB</p>	<ul style="list-style-type: none"> • Project administration, including procurement review and support, public financial management, safeguards, social and gender monitoring and supervision. • Provide input and advice in the discussion with the EA and other relevant stakeholders related to project financial statements during audit process, as appropriate.

ADB = Asian Development Bank, CPMU = central project management unit, DGHS = Directorate General of Human Settlements, EA = executing agency, EMP = environmental management plan, FMAP = financial management action plan, GAP = gender action plan, GRM = grievance redress mechanism, IA = implementing agency, IEE = initial environmental examination, NPMC = National Project Management Consultant, O&M = operation and maintenance, PDAM = Perusahaan Daerah Air Minum, PISC = Project Implementation Support Consultant, RP = resettlement plan, UPTD = Unit Pelaksana Teknis Daerah.

Source: Asian Development Bank.

Table 4: Consultant Roles and Responsibilities

Consultant	Primary Roles and Responsibilities
National Project Management Consultant (NPMC)	<ul style="list-style-type: none"> • Assist central project management unit (CPMU) to oversee overall implementation in project cities, which includes construction works, safeguards and gender. • Monitor project's overall disbursement and support CPMU to prepare project's annual financial statement. • Procurement and contract management support. • Develop master design and oversee the implementation of community awareness/public campaign to increase willingness to connect and pay. • Develop master design and oversee the implementation of capacity building and institutional strengthening (including full cost tariff setting calculation) to be delivered to the city governments, including the wastewater operators. • Oversee environmental and social safeguard progress and update in all project cities. • Oversee the implementation of gender action plan (GAP) in all project cities. • Ensure the design of wastewater treatment plant (WWTP) and sewer network in all project cities is climate resilient. • Carry out assessment on existing fecal sludge management (FSM) system and provide recommendation on FSM upgrading to the cities. • Provide recommendation to strengthen city level information and disaster management systems to be able to include early warning system and integrated to the newly constructed sanitation. • Oversee the preparation of operation and maintenance (O&M) manual as well as manual for the integration of sewerage and non-sewered systems. • Perform overall program management, coordination, reporting, and monitoring services. • Review and compile reports from PISC and elaborate these into progress reports (such as: quarterly progress report, semi-annual social and environmental safeguard reports, GAP report and other related reports) and submit these reports to CPMU.
Project Implementation Support Consultant (PISC) – in each city	<ul style="list-style-type: none"> • Assist the IA in the design phase, particularly for the WWTPs' design and build contract. • Assist the IA to supervise construction works progress on site, including providing recommendations to address issues identified in order to avoid any potential delays. • Assist IA to monitor safeguards implementation and progress: <ul style="list-style-type: none"> - Ensure timely preparation of construction environmental management plans (CEMPs) and ensure the CEMP progress reports are prepared regularly and in a timely manner by the contractors. - Ensure timely implementation of entitlement matrix set forth in the resettlement plans (RPs). - Identify potential impacts during construction and prepare the required corrective action plans. - Coordinate the implementation of safeguards grievance redress mechanism (GRM), recommend necessary actions to resolve complaints, prepare report and documentation. - Carry out data collection capturing progress, issues and actions taken in project sites.

Consultant	Primary Roles and Responsibilities
	<ul style="list-style-type: none"> • Report the above items to the NMPC to be compiled into project's reports. • Providing sustainability and institutional support, such as public campaigns, community engagement, tariff setting calculations, and capacity building for the sanitation services operator involved in wastewater management.

B. Key Persons Involved in Implementation

Executing Agency

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Mission Leaders

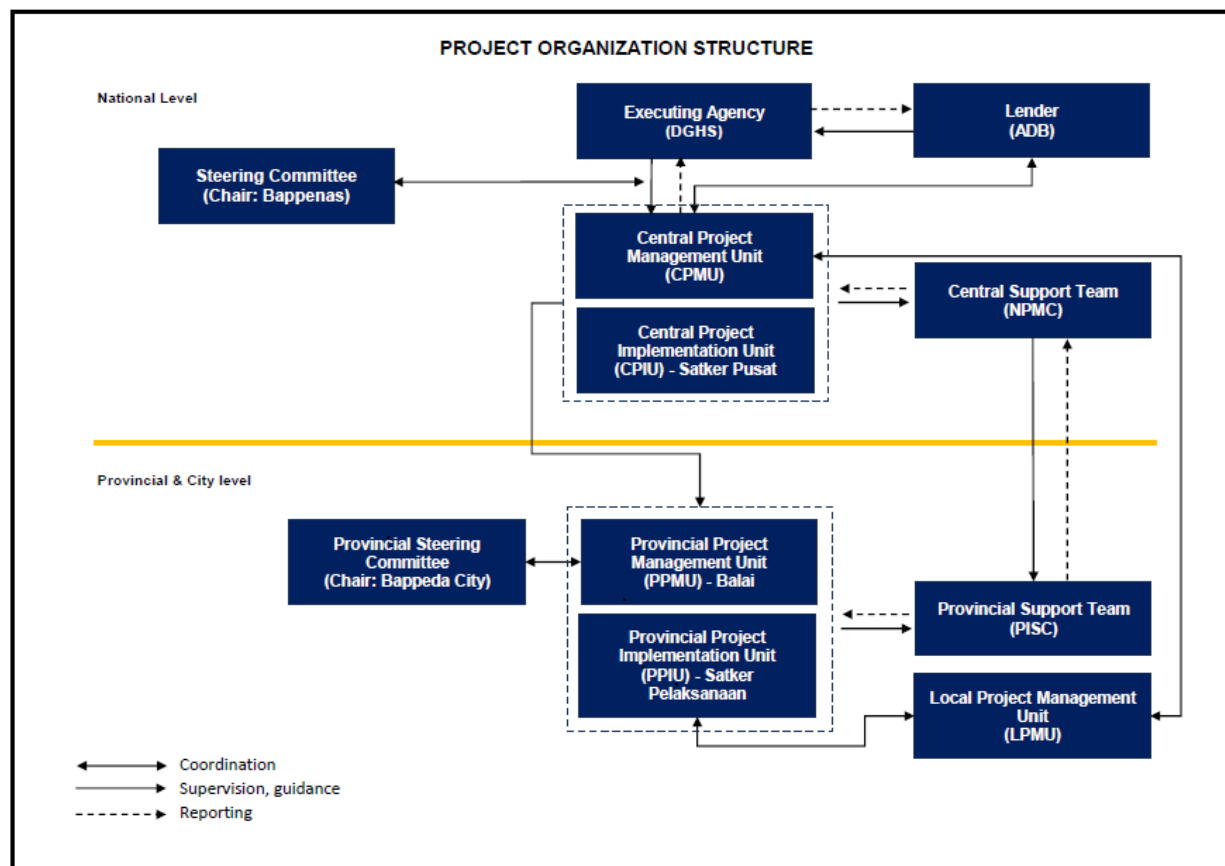
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C. Project Organization Structure

7. The project organization structure is as follows.

Figure 1: Project Organization Structure



IV. COSTS AND FINANCING

8. The project is estimated to cost ¥66,387.41 million. The summary cost estimates are in Table 5 below.

Table 5: Summary Cost Estimates

Item	Amount ^a (¥ Million)	Amount (\$ million)
A Base Cost ^b		
Output 1: Sanitation services improved, expanded, and made climate resilient	54,679.47	370.76
Output 2: Regulatory environment strengthened	1,061.86	7.20
Output 3: Institutional effectiveness improved	530.93	3.60
Subtotal (A)	56,272.26	381.56
B Contingencies ^c	8,149.78	55.26
C Financing Charges During Implementation ^d	1,965.38	13.33
Total (A+B+C)	66,387.41	450.15

Note: Numbers may not sum precisely because of rounding.

^a Excludes exempted taxes and duties of ¥5,910.61 million (\$40.08 million) and other in-kind contributions as the government follows the cash basis accounting.

^b In-mid 2023 prices as of 14 September 2023.

^c Includes physical and price contingencies and a provision for exchange rate fluctuation.

^d Includes interest commitment and other charges on all financing sources

Source: Asian Development Bank.

9. The government has requested a regular loan of ¥61,882.61 million (\$419.60 million equivalent) from ADB's ordinary capital resources to help finance the project.³ The loan will have an 18-year term, including a grace period of 7.5 years; an interest rate determined in accordance with ADB's Flexible Loan Product; a commitment charge of 0.15% per year; and such other terms and conditions set forth in the draft loan agreement. Based on the straight-line method, the average maturity is 13 years, and there is no maturity premium payable to ADB. The government will contribute ¥4,504.80 million to some land acquisition, and for running costs and financial charges during implementation. The government will also provide in-kind contributions in the form of taxes and duties (through tax exemptions), staff salaries, and office space.

10. The summary financing plan is in Table 6. ADB will finance the expenditure on works and goods—e.g., construction of WWTPs with co-treatment of fecal sludge, sewer networks and connections, consulting services, compensation costs,⁴ training—as well as contingencies.⁵ The government will contribute ¥4,504.08 million for land acquisition, and for running costs and financial charges during implementation. The government will also provide in-kind contributions in the form of taxes and duties (through tax exemptions), staff salaries, and office space.

Table 6: Summary Financing Plan

Source	Amount (¥ million)	Amount (\$ million)	Share of Total (%)
Asian Development Bank			
Ordinary capital resources (regular loan)	61,882.61	419.60	93.2
Government	4,504.80	30.55	6.8
Total	66,387.41	450.15	100.0

Source: Asian Development Bank.

11. Climate mitigation is estimated to cost ¥30,016.20 million and climate adaptation costs is estimated to cost ¥20,466.66 million.⁶ ADB will finance 100% of both mitigation and adaptation cost.

A. Cost Estimates Preparation and Revisions

12. Cost estimates were prepared based on the detailed engineering designs prepared through the support of Loan 3455-INO: Accelerating Infrastructure Delivery through Better Engineering Services and will be updated during project implementation.

³ ¥147.48 = \$1.00 as of 29 November 2023 (the currency exchange rate being used during the loan negotiation).

⁴ The city governments have already acquired land through negotiated settlement in most cases, all of which in compliance with ADB's Safeguard Policy Statement (2009). The ADB loan will finance compensation for the economic displacement of affected households that previously cultivated the land and therefore losing income. ADB. 2012.

⁵ Then utilization of contingencies will be prioritized to finance additional number of connections.

⁶ The detail calculation is presented in the Climate Change Assessment as a linked document to the Report and Recommendation of the President for this project.

B. Key Assumptions

13. The following key assumptions underpin the cost estimates and financing plan:

- (i) Exchange rate: ¥147.48 = \$1.00 (29 November 2023).
- (ii) Price contingencies based on expected cumulative inflation over the implementation period are as follows:

Table 7: Escalation Rates for Price Contingency Calculation

Item	2023	2024	2025	2026	2027	2028	2029	2030	Average
Foreign rate of price inflation	1.7%	1.8%	1.8%	1.8%	1.8%	1.8%	1.8%	2.0%	1.8%
Domestic rate of price inflation	3.6%	3.0%	3.1%	3.0%	3.0%	3.0%	3.0%	3.0%	3.1%

Source: Asian Development Bank.

- (iii) In-kind contributions were estimated based on current prevailing rates for taxes and duties. Staff salaries and office space cannot be reliably measured and hence were not estimated.

C. Allocation and Withdrawal of Loan Proceeds

Table 8: Allocation and Withdrawal of Loan Proceeds: OCR

ALLOCATION AND WITHDRAWAL OF LOAN PROCEEDS			
Number	Item	Total Amount Allocated for ADB Financing JPY (¥)	Basis for Withdrawal from the Loan Account
		Category	
1	Works	57,704,430,000	100% of total expenditure claimed*
2	Consulting Services	4,178,178,000	100% of total expenditure claimed*
	TOTAL	61,882,608,000	

* Exclusive of taxes and duties imposed within the territory of the Borrower.

Source: Asian Development Bank.

D. Contract and Disbursement S-Curve

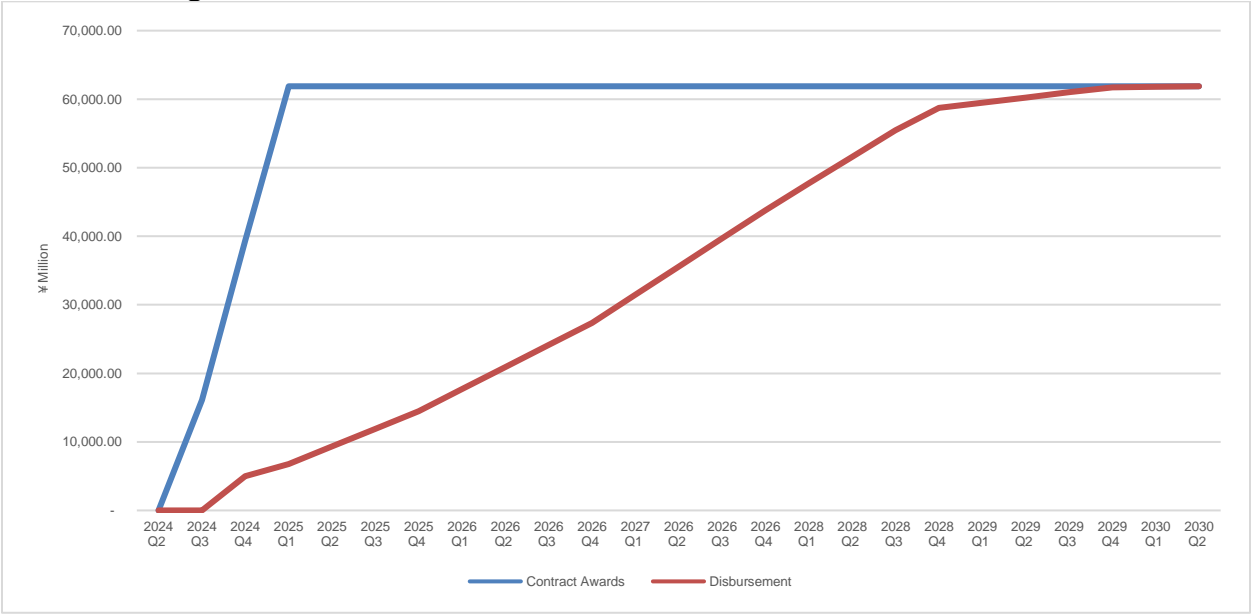
14. The following tables and graphs show the contract awards and disbursements over the life of the project.

Table 9: Contract Awards and Disbursements (ADB Loan)

Contract Awards (¥ million)						Disbursements (¥ million)					
	Q1	Q2	Q3	Q4	Total		Q1	Q2	Q3	Q4	Total
2024	-	-	16,090.07	23,278.23	39,368.30	-	-	-	-	4,995.15	4,995.15
2025	22,514.31	-	-	-	22,514.31	1,791.73	2,556.66	2,556.66	2,556.66	2,556.66	9,461.73
2026	-	-	-	-	-	3,227.60	3,227.60	3,227.60	3,227.60	3,227.60	12,910.40
2027	-	-	-	-	-	4,111.74	4,111.74	4,111.74	4,111.74	4,111.74	16,446.97
2028	-	-	-	-	-	3,886.61	3,886.61	3,886.61	3,273.08	3,273.08	14,932.93
2029	-	-	-	-	-	751.26	751.26	751.26	731.80	731.80	2,985.59
2030	-	-	-	-	-	74.92	74.92	-	-	-	149.85
					61,882.61						61,882.61

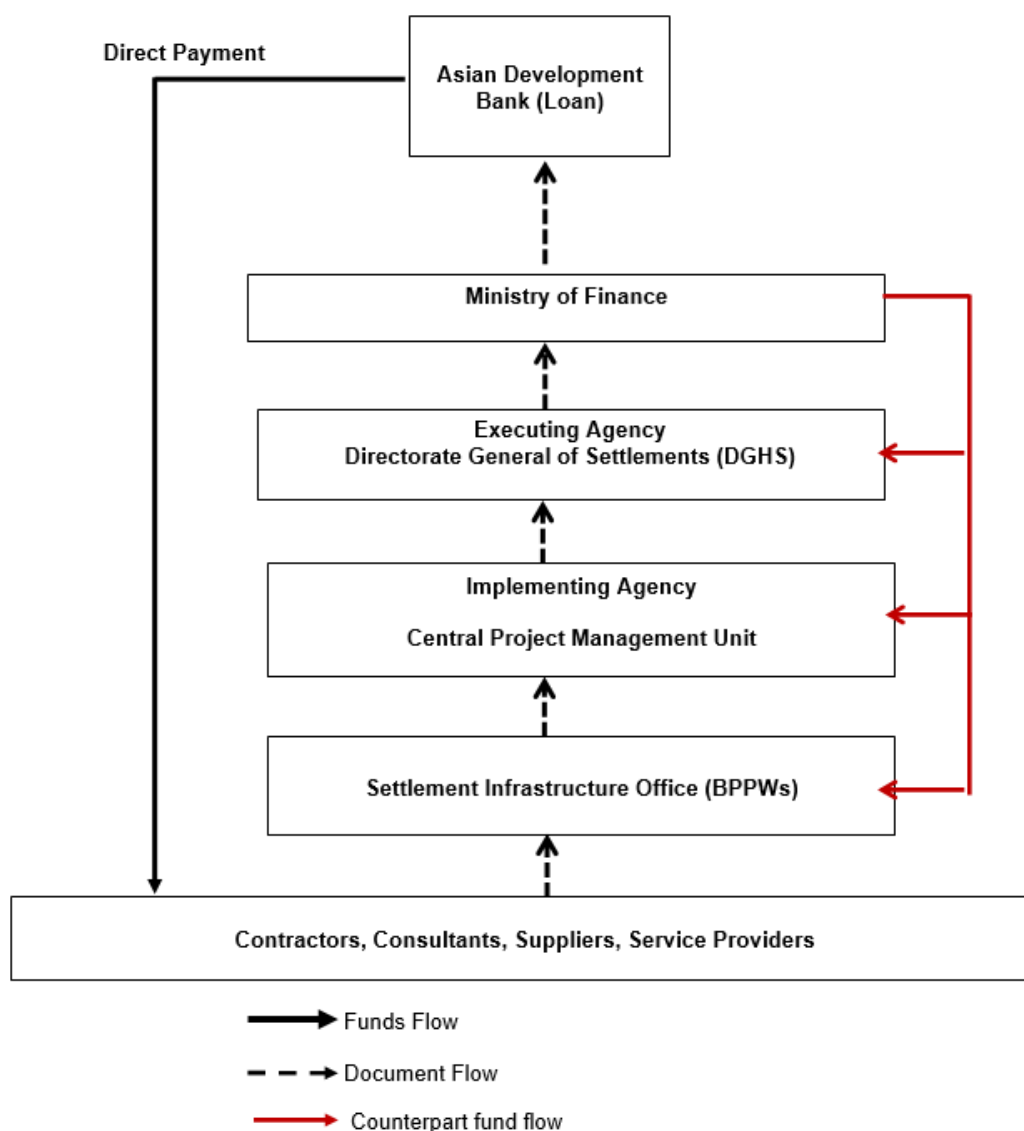
Note: Numbers may not sum precisely because of rounding.

Figure 2: Contract Award and Disbursement S-Curve for ADB Loan



E. Fund Flow Diagram

Figure 3: Fund Flow Diagram



V. FINANCIAL MANAGEMENT

A. Financial Management Assessment

15. The financial management assessment (FMA) was conducted in December 2022 – April 2023 in compliance with ADB's Financial Management Technical Guidance Note.⁷ The FMA assessed the financial management arrangements of the DGHS – MPWH and IAs including fund flow, staffing, accounting policies and procedures, financial reporting and monitoring, internal and

⁷ ADB. 2015. [Financial Management Technical Guidance Note](#). Manila.

external auditing arrangements and financial information systems, and the sufficiency of the financial management arrangements for implementing the project. Based on the assessment, the key financial management risks identified are (i) required support for DGHS' financial management staff due to workload; (ii) lack of a comprehensive project financial management manual; and (iii) limited experience of the IAs in implementing ADB projects. The overall pre-mitigation financial management risk of the project is *moderate*. The MOF and DGHS have adequate capacity to manage and administer the advance account and statement of expenditures procedures. DGHS and IAs have agreed to implement an action plan to mitigate the project financial management risk. The financial management action plan is provided in Table 10.

Table 10: Risk Assessment and Financial Management Action Plan

Risk Description	Risk Rating	Mitigation Measures or Risk Management Plan	Responsibility	Timing
Implementing Entity DGHS has experience with ADB projects, with 2 sanitation projects implemented in previous years by DGHS. However, the IAs have limited understanding of ADB's requirements in FM due to limited experience in implementing ADB projects. Potential coordination issues and slow information flow may arise between the EAs and IAs, which could cause delays.	M	Establishment of CPMU to ensure regular coordination, communication, close monitoring, and timely resolution of issues. CPMU to review and check all project financial transaction documents to ensure that these are compliant with ADB requirements. Consultants will be recruited for CPMU and IAs to support FM capacity. Development of clear project's tasks and responsibilities for key staffing positions in the CPMU/IAs and reporting protocols will be documented in the PAM.	DGHS, CPMUs, IAs	Upon loan signing Within 3 months of loan effectiveness Upon loan effectiveness
Funds Flow The fund flow will use the central government fund flow mechanism, which is already regulated and implemented regularly. However, delays in the provision of funds during the implementation of the project will become an obstacle in the implementation of the project.	L	Recruit FM consultants (can be hired through technical assistance or loan financing) to support the EA and IAs in coordinating to provide the budgets in DIPA. Develop a comprehensive FM manual to also provide guidance in preparing the loan budget in the National Budget Plan.	CPMU and IAs	Within 3 months of loan effectiveness
Staffing and Capacity Inadequate number of FM staff with full understanding of, or experience in, ADB requirements and procedures. • During the loan fact finding mission in July	S	Executing agency will provide adequate FM resources for the project and ensure IAs are staffed adequately as soon as the loan is signed. Trainings and capacity building activities, including trainings on ADB's FM and disbursement policies and procedures are to	DGHS, CPMU, IAs, ADB	Upon to loan effectiveness At least once a year throughout project implementation

Risk Description	Risk Rating	Mitigation Measures or Risk Management Plan	Responsibility	Timing
<p>2023, CPMU and IAs have yet to be formed and therefore qualifications and capacity of the finance staff was not assessed. However, DGHS has confirmed that there is already a potential candidate for the finance staff position.</p> <ul style="list-style-type: none"> • IAs' staff have limited experience in implementing ADB projects. 		<p>be delivered to staff involved in project implementation as soon as the loan becomes effective and regularly throughout implementation.</p> <p>Consultants will be recruited to support project financial management at the CPMU and IA level to support the project in budgeting, implementation, monitoring, and reporting. At least four FM consultants are needed to support CPMU and three IAs.</p>		<p>Within 3 months of loan effectiveness</p>
<p>Accounting Policies and Procedures</p> <p>MOF's recent regulation for donor-funded projects' financial reporting requires EAs and IAs to account for project financial transactions and prepare financial reports in accordance with PSAP-02 using cash basis of accounting. DGHS confirmed that they do not have challenges in preparing financial reports and that these accounting policies are documented adequately. However, the existing accounting manuals do not include ADB FM requirements.</p>	M	<p>Recruit FM consultants to support DGHS and CPMU staff consolidate reports from all IAs timely and accurately.</p> <p>Develop a comprehensive FM manual to provide guidance to project finance staff on the FM requirements for the project, in accordance with government regulations and ADB's FM policies. The FM manual will also include mapping of project cost categories to existing chart of account codes (from accrual basis to cash basis of accounting). This will ensure that the project will submit complete financial statements and comply with ADB FM requirements.</p>	DGHS, CPMU, IAs, FM consultants	<p>Within 3 months of loan effectiveness</p> <p>Within 6 months of loan effectiveness</p>
<p>Reporting and Monitoring</p> <p>Incomplete and late submission of financial progress reports and project financial statements (e.g., no statement of advance account, supplementary information on WA reconciliations, etc.)</p>	M	<p>Recruit FM consultants to help the project consolidate reports from all CPMU and IAs.</p> <p>Develop FM manuals to empower accounting systems and provide guidance on project FM requirements, especially on completeness of project financial statements and financial reports.</p> <p>IAs to submit financial reports to DGHS CPMU within two months after end of the fiscal year to allow timely consolidation.</p>	DGHS, CPMU, IAs, FM consultants	<p>Within 3 months of loan effectiveness</p> <p>Within 6 months of loan effectiveness</p> <p>Within 6 months of loan effectiveness and annually thereafter</p>

Risk Description	Risk Rating	Mitigation Measures or Risk Management Plan	Responsibility	Timing
		Training with EA and IA staff on the preparation of financial progress reports and project financial statements focusing on completeness, timeliness, and quality.		
Internal Audit The Inspectorate General of MPWH may not be familiar with ADB projects and requirements and thus cannot fully highlight project deficiencies relating to ADB requirements.	M	Include internal audit staff in training of ADB's policies and procedures for project implementation	MPWH	Within 6 months of effectiveness and as needed
External Audit Delayed submission of the annual audit reports to ADB following the loan agreement.	M	Develop FM manual to include timelines, processes, and procedures to compile and report financial information to ensure timely reporting from IAs and timely consolidation by CPMU with support from FM consultants. IAs will submit financial reports to DGHS CPMU within two months after the end of fiscal year to allow timely consolidation. DGHS CPMU will consolidate and submit project financial statements to BPK every March in each year.	DGHS, FM consultants	Within 6 months of loan effectiveness

ADB = Asian Development Bank, BPK = Badan Pemeriksaa Keuangan, CPMU = central project management unit, DGHS = Directorate General of Human Settlements, EA = executing agency, FM = financial management, IA = implementing agency, L = low, M = moderate, MPWH = Ministry of Public Works and Housing, S = substantial.
Source: Asian Development Bank.

B. Disbursement

1. Disbursement Arrangements for ADB

16. The loan proceeds will be disbursed in accordance with ADB's *Loan Disbursement Handbook* (2022, as amended from time to time),⁸ and detailed arrangements agreed upon between the government and ADB. Online training for project staff on disbursement policies and procedures is available.⁹ Project staff are encouraged to avail of this training to help ensure efficient disbursement and fiduciary control.

17. **Direct payment procedure.** The project, due to large contracts and payments in nature, will solely use the direct payment procedure of ADB, and not the advance account procedure. The payments to the contractors/consultant will be made directly by ADB, based on the payment request of the DGHS (in the form of withdrawal applications along with the necessary supporting

⁸ The handbook is available electronically from the ADB website (<https://www.adb.org/documents/loan-disbursement-handbook>).

⁹ Disbursement eLearning. http://wpqr4.adb.org/disbursement_elearning.

documents), submitted through the Ministry of Finance (MOF). The Government will cover the tax share of the contractors/consultant contract through payment to the contractors/consultant or through other allowed means in line with Indonesia's taxation framework.

18. Before the submission of the first withdrawal application request, the Borrower will submit to ADB sufficient evidence of the authority of the person(s) who will sign the withdrawal applications on behalf of the Borrower, together with the authenticated specimen signatures of each authorized person. The minimum value per withdrawal application is set in accordance with ADB's Loan Disbursement Handbook. The Borrower should ensure sufficient category and contract balances before requesting disbursement. Withdrawal application and supporting documents will demonstrate among other things that the goods, and/or services were produced in of from ADB members and are eligible for ADB financing. Sample forms for withdrawal applications of loan proceeds can be downloaded from ADB website.¹⁰ The use of ADB's Client Portal for Disbursement (CPD) system is encourage for submission of withdrawal application.¹¹

19. CPMU will be responsible for preparing the annual contract awards and disbursement projections, requesting budgetary allocations for counterpart funds, preparing withdrawal application, and sending the withdrawal application to ADB through MOF. The CPMU is responsible for collecting and maintaining supporting documents for the project expenditures it has incurred.

2. Disbursement Arrangements for Counterpart Fund

20. The DGHS will be responsible for the disbursement and liquidation procedures for government funds and will (i) prepare disbursement projections, and (ii) request budgetary allocations for counterpart funds. The government will finance all taxes and duties for all cost categories. Staff salaries and supplements will be covered by counterpart funds. Government counterpart funds will be disbursed following government disbursement regulations and procedures.

3. Accounting

21. The DGHS and implementing agencies will maintain, or cause to be maintained, separate books and records for all expenditures incurred on the project from all funding sources following cash basis of accounting in line with the government's financial regulations (PSAP-02). The DGHS will prepare project financial statements following the cash basis of accounting in line with the government's financial regulations (PSAP-02).

4. Auditing and Public Disclosure

22. The DGHS will cause the project's financial statements to be audited following the State Financial Audit Standards (SPKN) regulated by BPK RI Regulation Number 1 of 2017 which is aligned with International Standards of Supreme Audit Institutions (ISSAI) issued by International Organization of Supreme Audit Institutions (INTOSAI), by an independent auditor acceptable to ADB. The audited project financial statements (APFS), together with the auditor's opinions, will be presented in English to ADB within 6 months from the end of the fiscal year by the DGHS.

¹⁰ Available at: http://www.adb.org/documents/handbooks/loan_disbursement/default.asp.

¹¹ The CPD facilitates online submission of withdrawal application to ADB, resulting in faster disbursement. The forms to be completed by the Borrower are available online at <https://www.adb.org/documents/client-portal-disbursement-guide>.

23. The audit report for the project financial statements will include a management letter and auditor's opinions, which cover (i) whether the project financial statements present an accurate and fair view or are presented fairly, in all material respects, following the applicable financial reporting standards; (ii) whether the proceeds of the loan were used only for the purpose(s) of the project; and (iii) whether the borrower, executing agency, and/or implementing agency was in compliance with the financial covenants contained in the legal agreements (where applicable).

24. Compliance with financial reporting and auditing requirements will be monitored by review missions and during normal program supervision, and followed up regularly with all concerned, including the external auditor.

25. The government, DGHS – MPWH, and implementing agencies have been made aware of ADB's approach to delayed submission and the requirements for satisfactory and acceptable quality of the audited project financial statements.¹² ADB reserves the right to require a change in the auditor (in a manner consistent with the constitution of the borrower) or additional support to be provided to the auditor, if the audits are not conducted in a manner satisfactory to ADB or are substantially delayed. ADB reserves the right to verify the project's financial accounts.

26. Public disclosure of the APFS, including the auditor's opinion on the project financial statements, will be guided by ADB's Access to Information Policy.¹³ After the review, ADB will disclose the APFS and the opinion of the auditors on the project financial statements no later than 14 days of ADB's confirmation of their acceptability by posting them on ADB's website. The management letter, additional auditor's opinions, and AEFS will not be disclosed.¹⁴

27. ADB may join in the discussions with the EA and other relevant stakeholders related to project financial statements during audit process, as appropriate.

VI. PROCUREMENT AND CONSULTING SERVICES

A. Applicable Procurement Policy

28. Procurement under this project will be undertaken in accordance with ADB's Procurement Policy (2017, as amended from time to time) and the Procurement Regulations for ADB Borrower (Goods, Works, Nonconsulting and Consulting Services) (2017, as amended from time to time) and associated Staff Instructions.

¹² ADB's approach and procedures regarding delayed submission of audited project financial statements:

- (i) When the audited project financial statements are not received by the due date, ADB will write to the executing agency advising that (a) the audit documents are overdue; and (b) if they are not received within the next 6 months, requests for new contract awards and disbursement, such as new replenishment of advance accounts, processing of new reimbursement, and issuance of new commitment letters, will not be processed.
- (ii) When the audited project financial statements are not received within 6 months after the due date, ADB will (a) withhold processing requests for new contract awards and disbursement, such as new replenishment of advance accounts, processing of new reimbursement, and issuance of new commitment letters; (b) deny the extension of the loan closing date; and (c) delay the negotiation or Board presentation of new loan and/or grant proposals. ADB will inform the executing agency of ADB's actions and advise that the loan may be suspended if the audited project financial statements are not received within the next 6 months.
- (iii) When the audited project financial statements are not received within 12 months after the due date, ADB may suspend or cancel the loan.

¹³ ADB. 2018. [Access to Information Policy](#). Manila.

¹⁴ Such information falls under the Access to Information Policy's exceptions to disclosure. Footnote 10, para. 16.

B. Procurement Strategy Summary and Procurement Risk Classification

29. The procurement strategy has been guided by ADB's Strategic Procurement Planning: Guidance Note on Procurement (July 2022). Strategic procurement planning was carried out to identify procurement risk, mitigation measures and to determine the most appropriate procurement arrangements for the various elements of the project. MPWH is experienced in ADB-financed projects, however the project procurement risk classification has been determined as *high* due to the multiple large and more complex packages than MPWH is generally accustomed to bidding and implementing. Value for money will be achieved through procurement by (i) adopting appropriate evaluation criteria that will address sustainability, cost, quality, and risk; (ii) ensuring abnormality low bid provisions are included in both OCB-international advertised packages to mitigate quality risks from substandard subcontracting; (iii) adopting the use of contract management plans for civil works; and (iv) applying the most appropriate procurement method and contract type based on past lesson learn, to ensure bidding is open to all parties and attracts qualified bidders; and (iv) use of e-procurement systems where the appropriate to lower the transaction costs and to promote transparency.

C. Project Implementation Arrangements

30. **Procurement methods.** The procurement of works will use open competitive bidding with international and national advertising. The recruitment of consulting services will use open competitive bidding with national advertising using quality and cost-based selection (QCBS) method with quality-cost ratio of 90:10.

31. **eProcurement system.** The Government of Indonesia's e-procurement system, known as SPSE (*Sistem Pengadaan Secara Elektronik*) is proposed to be used for the procurement of civil works and recruitment of consulting services. ADB cannot accommodate local content requirement. Joint operation with local industry for the potential contractors and consulting services firms is allowed, but not mandated. In carrying out the procurement of civil works packages and recruitment of consulting services packages, the working unit for construction service selection or the *Balai P2JK (Balai Pelaksana Pemilihan Jasa Konstruksi)* will be the responsible unit.

32. All advance contracting and retroactive financing will be undertaken in conformity with ADB's Procurement Policy (2017, as amended from time to time), and ADB's Procurement Regulations for ADB Borrowers (Goods, Works, Nonconsulting and Consulting Services) (2017, as amended from time to time). The issuance of invitations to bid under advance contracting and retroactive financing will be subject to ADB approval. The borrower, EA and IAs have been advised that approval of advance contracting and retroactive financing does not commit ADB to finance the project.

33. **Advance contracting.** DGHS may carry out advance procurement which according to the government regulation can be done after loan negotiation, which is scheduled in January 2024. In addition, according to the Government of Indonesia, the pre-conditions for the loan negotiations are (i) issuance of updated readiness criteria and submission to Bappenas by DGHS, (ii) issuance of 'list activity' (*daftar kegiatan/DK*) by Bappenas as the legal basis for loan negotiation. Both activities were completed in November 2023.

34. **Retroactive Financing.** No retroactive financing has been requested.

35. DGHS may include in the advance procurement consulting services packages and civil works packages from both Pontianak and Semarang, which are considered ready. Advance procurement is considered crucial to ensure timely project implementation and to avoid any potential start up delay that may cause the project to have at risk rating. The Government's SPSE applicable for donor-financed project will be used. While ideally packages procured through SPSE should already have a budget line item in the current DIPA (national budgeting system), packages under the project will use annual workplan (AWP) in the absence of DIPA 2023. DGHS already established the CPMU in October 2023 to enable the issuance the AWP.

36. Several actions required to be taken by DGHS in January 2024 pertaining to the anticipation of advance procurement are (i) establishment of procurement committee (POKJA), (ii) finalizing TOR for consulting services packages and DED for civil works packages, and (iii) internal DGHS approval process prior to bidding. To ensure the POKJA has capacity to perform tender process for relatively big contract packages following ADB's procurement guidelines, ADB will deliver procurement training in January 2024.

37. **Contract management.** Effective contract management ensures that contractor, and/or consultant deliverables and obligations are met as agreed under the contract. The contract management plan (CMP) shall be developed and submitted to ADB before contract award. The EA shall update the CMP quarterly to monitor the performance of the contractor to take relevant corrective measures to keep the project on track.

A. Procurement Plan

38. An 18-month procurement plan indicating review procedures, goods, works and consulting service contract packages and competitive bidding guidelines is in Appendix I.

B. Consultant's Terms of Reference¹⁵

39. The following consultants are planned to be recruited under the project:

- (i) **National Project Management Consultant (NPMC).** NPMC will be a management consulting firm who will be engaged to support the project implementation at national level. Key scope of works of the NPMC will include (i) procurement (as applicable) and contracting management support; (ii) overall support to project management in three cities; (iii) develop master design and oversee the implementation of community awareness/public campaign to increase willingness to connect and pay, (iv) develop master design and oversee the implementation of capacity building being delivered to the city governments, including the wastewater operators; (v) oversee environmental and social safeguard progress and update in all project cities; (vi) oversee the implementation of GAP in all project cities, (vii) ensure the design of WWTP and sewer network in all project cities is climate resilient, (viii) carry out assessment on existing FSM system and provide recommendation on FSM upgrading to the cities, (ix) provide recommendation to strengthen city level information and disaster management systems to be able to include early warning system and integrated to the newly constructed sanitation, (x) oversee the preparation of O&M manual as well as manual for the integration of sewerage and non-sewered systems, (xi) perform overall program management, coordination, reporting, and monitoring services.

¹⁵ The terms of reference of the consultants are provided in Appendices J and K.

- (ii) **Project Implementation Support Consultant (PISC).** Three PISCs will be engineering consultancy firms who will be engaged to support the implementation of project, each at city level. The PISC will have five main areas of conduct: (i) assisting in the design phase, particularly for the WWTPs' design and build contract; (ii) supervising the construction process; (iii) managing procurement procedures, including tender processes (as applicable) and contract administration; (iv) monitoring compliance with environmental and social safeguards as required by ADB guidelines; and (v) providing sustainability and institutional support, such as public campaigns, community engagement, tariff setting calculations, and capacity building for the sanitation services operator involved in wastewater management.

VII. SAFEGUARDS

40. **ADB safeguard classifications.** All subprojects eligible for ADB finance shall be screened and categorized for environment, involuntary resettlement (IR), and indigenous peoples (IP) impacts in accordance with Safeguard Policy Statement (SPS), 2009. During the project preparation stage, all the required safeguard documents were prepared for each of the three cities, cleared by ADB and disclosed on the ADB website. The executing agency (The Directorate General of Human Settlements (DGHS), Ministry of Public Works and Housing), implementing agency, PMUs (CPMU, LPMU), and consultants (NPMC, PISCs) are committed to implementing the plans and adhering to ADB and the government's safeguard policies. Any project variations under implementation that would re-classify any of the subprojects to a Category A will not be permitted and are to be excluded from the overall project.

41. **Environmental safeguards.** The project is classified as *category B* for the environment in accordance with ADB SPS (2009). The Initial Environmental Examinations (IEEs) and corresponding Environmental Management Plans (EMPs) have been prepared for the project based on the engineering studies conducted for each of these three project cities and are disclosed on the ADB website on behalf of the borrower. Overall responsibility for implementation of the EMPs falls to the CPMU and its supporting NPMC.

42. For compliance with the National environmental and social safeguard requirements, as per the Ministry of Environment and Forestry Regulation No. P.38 of 2019, the project is classified as category B. Hence, BAPPEDA of each city has carried out Environmental Impact Assessment (Amdal) for their respective cities and received Environmental Permits on the following dates: Pontianak - 28 January 2021; Semarang - 27 June 2022; and Mataram - 09 September 2022.

43. For the Wastewater Treatment Plants (WWTPs) in the three project cities, the Basic Engineering Design (BED) has been prepared. The Detailed Engineering Design (DED) for the WWTPs will be prepared by selected contractors after bidding under Design-Build contracts. The IEEs and EMPs for the WWTPs cleared by ADB at project appraisal reflect BED only and will need to be updated during the DED by LPMU/NPMC and cleared by ADB, and final versions disclosed on ADB's website prior to commencement of works, as mandated in the loan agreement schedule 4, para. 4.

44. For the proposed sewer networks in the three project cities, the IEEs and EMPs cleared by ADB at project appraisal already reflect DED. These IEEs and EMPs are subject to updating

only in case of changes that may have adverse environmental impacts, e.g., change in project sites, construction method or similar. The updated IEEs and EMPs would be subject to clearance from ADB and disclosure on ADB's website prior to commencement of works, as mandated in the loan agreement schedule 4, para. 3.

45. Bidding documents are required to include the updated EMPs cleared by ADB, as well as the necessary environmental provisions within the respective bidding documents sections and budget. No civil works shall commence without domestic national environmental clearance and compliance having been awarded by the national competent authority. The EMPs, included in the bidding documents, will clearly indicate the requirements of the contractor(s) Environment, Health and Safety Officer(s) who will be responsible for the implementation of all the environmental safeguards at the sites as indicated in the final EMP and will be retained throughout the contracted operation and maintenance period.

46. The project implementation arrangements and corresponding TORs confirm that there is adequate environmental staffing to ensure environmental safeguards compliance, monitoring and reporting requirements if secured in this way for project implementation. It is important to note that variation orders may be required under implementation to increase the respective environmental safeguards staffing inputs if there are considerable changes to the project, if additional environmental due diligence work is required in case of several issues arising with civil works, contractors corrective action requirements and stakeholder grievances, variations to the project scope or infrastructure, that will require re-visiting the environmental due diligence and as necessary conducting additional impact assessments and necessary up-dating for re-disclosure to the ADB website and as part of the SEMRs.

47. **Meaningful consultation.** During the preparation of project IEEs and EMPs, project stakeholders and affected people were consulted and their views taken into consideration. Public consultations will be held again prior to starting construction activities. During construction, the project will ensure regular consultations with the project stakeholders and affected people, to identify and address any potential unanticipated environmental issues. The consultations will be conducted by the LPMU's Environmental Safeguard staff. The consultations will take place within 4-6 weeks of the start of the construction activities and then a minimum of every three months until the end of the construction activities with a focus on: (i) potential environmental issues which are not being anticipated by the EMP; (ii) the efficacy of the measures in the EMP; and (iii) suggestions and/or recommendations on improvement of environmental management under the project. Consultations will also be held at any time as necessary to effectively support project implementation and to resolve issues.

48. The subprojects are expected to experience short-term localized impacts during construction that are site-specific and reversible and can be mitigated or minimized to an acceptable level with good construction practices and mitigation measures as defined in the EMPs and the corresponding Site-Specific Environmental Management Plan (SSEMPs) and Site-Specific Health and Safety Management Plan (SSHSMPS). The SSEMPs and SSHSMPSs will be prepared by the contractor(s) and approved by the PMU (CPMU, LPMU) before commencing civil works at the site(s). The SSEMPs/SSHSMPSs will set out the contractor(s) approach to resources, staffing, oversight responsibilities, reporting, plans for training and inspection/monitoring arrangements such as regular site inspections, camp inspections, and PPE records. In addition, the SSEMPs/SSHSMPSs will prescribe sub-plans will are specified in the EMPs and will include:

- (i) Site-Specific Environmental Management Plan - Contents:
 - (a) Construction Materials Acquisition, Transport, and Storage Subplan;

- (b) Erosion and Sediment Control Subplan;
- (c) Site Specific Materials, Spoil and Borrow Site Management Subplan;
- (d) Solid and Liquid, Construction Waste Subplan;
- (e) Noise and Dust Management Subplan;
- (f) Utility and Power disruption Subplan;
- (g) Tree and Vegetation removal and replacement;
- (h) Site restoration Subplan;
- (i) Construction and Urban Traffic Subplan;
- (j) Construction Drainage Subplan; and
- (k) A Chance Find Procedure for archaeology/cultural artefacts; and

(ii) Site-Specific Health and Safety Management Plan - Contents:

- (a) Risk Assessments;
- (b) Occupational Health and Safety measures;
- (c) Community Health and Safety and Access;
- (d) Worker responsibilities for Health and Safety;
- (e) Emergency Preparedness and Response; and
- (f) COVID-19 Health and Safety Plan.

49. During project implementation, if unanticipated environmental impacts are encountered, PMU (CPMU, LPMU) will update the respective environmental assessment and EMP(s) or prepare a new environmental assessment and EMP to assess the potential impacts, evaluate the alternatives, and outline mitigation measures and resources to address those impacts, within time bound corrective action plans.

50. During the construction stage, contractors, Project Implementation Support Consultants (PISC) and Implementing Agency will play key roles in the coordination and implementation of environmental safeguards measures at the sites to ensure the risks and negative impacts that may arise due to the implementation of the sub-projects can be minimized as far as is reasonably possible. The environmental safeguard staff from the respective offices of PISC, NPMC and PMU (CPMU, LPMU) will be responsible for monitoring and implementing the environmental safeguards through the Environment, Health and Safety Officers of the contractors.

51. If the project undergoes any variations due to changes in the scope of works, then the PMU (CPMU, LPMU) will ensure that consultations with all relevant stakeholders will be carried out in the context of updating the environmental due diligence reports, which may include preparation of new Rapid Environmental Assessment checklists, Environmental Due Diligence Reports (EDDRs), revisions to the existing IEE(s) and EMP(s). All variations and corresponding required environmental due diligence shall be submitted to ADB for review and clearance. Furthermore, official clearances shall be obtained from the concerned government departments to ensure the variations are still covered under the awarded environmental permit(s) or if any further conditions (additional permits) and measures (surveys, modelling, etc.) need to be included and abided by. To ensure domestic environmental compliance, no new works under any variation are permitted to commence without domestic environmental verification and clearance, and subsequent ADB clearance. All received clearances shall be shared with ADB. Any existing SSEMPs/SSHSMs and corresponding plans, impacted by any variations and updated environmental requirements will need to undergo up-dates by the contractor(s) and be re-approved by the PMU (CPMU, LPMU) before any variation works can commence.

52. **Environmental compliance audit (ECA) of existing facilities.** Environmental Compliance Audits have been conducted for the management of sludge cake arising from

Pontianak and Mataram WWTPs. The respective ECA is disclosed as part of the corresponding sub-project IEE and includes a corrective action plan which defines the necessary remedial actions, budget, and the timeframe for the resolution of non-compliance.

53. The costs associated with the environmental management, which include staff and consultant time for IEE(s) and EMP(s) preparation, EMP(s) implementation, monitoring, stakeholder consultations, and field investigations, surveys and modelling are included in the budget for the project.

54. **Project implementation assistance.** The PMUs (CPMU, LPMU) have the overall responsibility for environment, resettlement, and indigenous people's activities, and will include safeguard staff: (i) CPMU: one joint environmental and social focal point; and (ii) LPMU three environmental safeguard staff (one in each city). In addition, the IA at Provincial Level will include three joint environmental and social focal points (one in each city). Consulting support will be provided by the National Project Management Consultant (NPMC) which will include one national and one senior international/or senior national (that can fulfill the international TOR criteria) environmental safeguard consultant, covering all three cities; and the Project Implementation Support Consultant (PISC) which will include three national environmental safeguards consultants (one in each city). The PISC consultants will support the PMU (CPMU and LPMU) to ensure the IEEs and EMPs (if needed), are updated based on the final detailed design and domestic environmental permits and will also prepare and update any further due diligence required for any contract, variations, and carry out supervision during the construction phase.

55. **Capacity building.** The PMUs (CPMU, LPMU) environmental and social safeguard staff will be further trained by PISC and NPMC environmental and social specialists in the skills required to meet the safeguard requirements of the project. This will include updating and implementing IEEs and EMPs to meet ADB's Safeguard Policy Statement (2009); project monitoring, supervision and reporting; health and safety; construction pollution control; Grievance Redress Mechanism (GRM); public consultation; and SSEMP/SSHSM implementation. The contractor(s) will be part of the capacity building program to ensure they understand and are equipped to fulfill their project roles and responsibilities.

56. **Involuntary resettlement safeguards.** The project is classified as *category B* for resettlement. Two draft resettlement plans (RPs) for Pontianak and Semarang, and a Due Diligence Report for Mataram have been prepared for the project. These have been prepared to guide information disclosure and consultation, assessment, planning, institutional arrangement, and processes to be followed during project implementation. The documents include a review of local laws and regulations, analysis of the gaps between ADB SPS and the local policies, and proposed gap-filling measures. The approach proposed by the project is consistent with the provisions of the ADB SPS (2009) and takes into consideration relevant provisions of local laws and regulations. Overall responsibility for implementation of the resettlement activities and monitoring falls to the CPMU and its supporting NPMC.

57. **Land acquisition.** The project will have an impact on a total of 19 HHs (71 affected people. Fifteen HHs are considered severely affected, three HH due to requiring relocation from their primary residence and 12 HHs will lose access to more than 10% of their productive land. 12 HHs are considered vulnerable¹⁶.

¹⁶ See the detail in the Resettlement Plan or Due Diligence Report documents.

58. All land required by the project was either already owned by local government or acquired via negotiated settlement at cost appraised by independent valuation at market rates and was found to be in line with ADB requirements.

- (i) **Mataram.** WWTP site (35,717m²) is located in Tanjung Karang Village, Sekarbela Subdistrict and owned by the local government¹⁷. The land for access to the WWTP site is also owned by the local government. The local government has acquired the land for the following: pipe crossing side at the Jangkok River (150 m²), pump station at Taman Jangkar (145m²) and the siphon in Kekalik Jaya Village, Ampenan Subdistrict (145m²).
- (ii) **Pontianak.** There are two WWTP sites, namely Nipah Kuning (16,000 m²) which is owned by the local government and Martapura (15,000 m²) which is in the process of being acquired by the local government during the RP preparation and has been compensated after RP's approval by ADB. While there are no resettlement issues in Nipah Kuning, in Martapura there are three affected HHs. The appraisal process for the land has been completed and the local government has allocated IDR 10 billion to complete the acquisition and compensate for loss of structures. An update of the resettlement plan will be required which will encompass any remaining loss such as for informal settlers' economic displacement. Compensation to tenants and informal settlers losing the structures will be provided prior to award of civil works contract.
- (iii) **Semarang.** 11.88 hectares of land for WWTP in Banjardowo owned by the local government. This was previously leased out to 4 (four) HHs as tenant farmers. 3 (three) out of 4 (four) tenant farmers sublet the land to 11 sharecroppers. These 15 tenant farmers and sharecroppers are considered affected HHs due to economic displacement. In addition, there is 1 affected HH that will be partially impacted by the plan to widen the access road to WWTP site. In total there are 16 affected HHs which have been appraised and compensated for the loss of income and termination of access to land after RP's approval by ADB.

59. Specifically for Pontianak, the project will offer replacement housing for the HHs affected by the development of the WWTP at Martapura. There will also be a package available for self-relocation, all of which shall occur prior to the award of civil work contracts. Guided self-relocation entails the CPMU and its NPMC/PISC to provide direct support to HHs to develop brief self-resettlement plans and follow each case closely and provide support where necessary, and particularly in obtaining documentation related to access to affordable housing.

60. The draft RPs and the DDR have been prepared in consultation with local communities. Project information has been disclosed to the affected households through the project preparation during consultations and surveys and a project information pamphlet, in the local language has been distributed to all households. The RP for Pontianak will require an update to detail the final details for the households at Martapura and will include:

- (i) Appraisal of value of loss of structure;
- (ii) Appraisal to also include any business losses, and crops or trees;
- (iii) Household level consultations to develop a plan for access to affordable housing;
- (iv) Gather preferences for those who are eligible for replacement housing in

¹⁷ The land was acquired by the government of Mataram in 2020 and certified in 2021. The Mayor has issued a letter regarding the intention to develop the area as WWTP site (ref no. 781/IX/2021 dated 23 September 2021).

- government schemes; and
- (v) Ensure any vulnerable households are identified and appropriate support given as stated in the entitlement matrix.

61. Due diligence conducted on representative locations indicates that pipelaying will occur within state-owned roads with minimal impact corridors. Other elements such as WWTPs and pumping stations were confirmed to be on state land or subject to negotiated settlement for acquisition. Unanticipated impacts which cause economic displacement due to loss of access to businesses will be appraised and will be compensated for in line with the entitlement matrix.

62. There are 4 (four) approaches to compensate the affected HHs as follows:

- (i) The local government provides access to new land (land for land) if affected HHs lose its access to the land;
- (ii) The local government provides cash compensation to the HHs;
- (iii) The loan proceeds to be used to provide cash compensation for the HHs; and
- (iv) The local government provides in-kind programs as compensation to the HHs.

63. Following schedule 4 para. 10 of the Loan Agreement, the cost of resettlement including compensation payment and livelihood restoration program will be borne by the city government. Compensation payment and allowances are assessed by the appraiser following government regulation, Indonesian valuation standards issued by Indonesian Professional Appraisers Society (MAPPI), and entitlement matrix set forth in the RP. Compensation at replacement cost in accordance with the ADB's SPS as a standard principle will be followed. Should loan proceeds be required for resettlement cost, the due diligence for the use of loan proceeds is required as per the RP. In the case of the city government is not able to pay the compensation for non-land assets, business income, and livelihood restoration program or corrective actions to mitigate the compensation gaps during RP implementation, the loan proceeds will be utilized to finance the said compensation and allowance related to physical or economic displacement in accordance with the relevant RP. If the loan proceeds will be used to compensate the AHH prior to the contract award of the civil works packages, the compensation cost can be included in the consulting services contract (as provisional sum), as appropriate. In the case the loan proceeds will be used to compensate the AHH during construction period, the compensation cost can be included in the contractor's contract, as appropriate.

64. Based on para. 62 above, where in-kind compensation is to be used it was agreed that the following conditions will be met:

- (i) The proposed programs are matched to the actual needs of the HHs based on their socio-economic conditions and through consultation with HHs to defray current expenses through the provision of in-kind programs.
- (ii) The total value of the programs being given to HHs should be at least equal to or greater than the loss stated in the RPs. The calculation must be justified with valid supporting documents. If there is a gap between the compensation value and the value of programs provided, the gap will be paid through the loan proceeds.
- (iii) The proposed programs are newly allocated for the HHs. Current as well as past programs cannot be considered as compensation.
- (iv) The implementation of these programs to be properly documented by the local government, supplemented with relevant supporting documents (for example: copy of DIPA, minutes of meeting, photos, etc.), and incorporated in the social monitoring reports to be submitted to ADB. Evidence of income restoration of the

- HHs will be required and if livelihoods are negatively impacted by the project, then a livelihood restoration plan will be required, funded through loan proceeds.
- (v) The programs should be fully implemented/delivered prior to contract signing and are a pre-condition to contract signing of the relevant package. A provision on this arrangement will be stipulated in the tender document.
 - (vi) In the event the in-kind programs are not in place during the bidding process and provided prior to contract signing, loan proceeds shall be utilized to provide compensation.
 - (vii) The conditions to utilize the loan proceeds to provide compensation as explained above will be stipulated in the RP documents and set out as loan covenants.

65. Compensation completion reports will serve the basis for ADB's "no objection" to commencement of the civil works for each subproject. No civil works will occur until compensation at full replacement cost and other entitlements due to affected persons (APs) are paid to them in accordance with the resettlement plan and security of tenure ensured for resettled households. No voluntary donation of land or assets will be permitted.

66. **Temporary disturbances during construction.** Temporary disturbances during construction may occur, e.g., interruption of access to property, which will be mitigated through the EMP. Access should be maintained throughout construction through temporary measures and restored to pre-project state or better once construction in that section is completed. Temporary disturbances that are prolonged and cause tangible income losses may be managed through the grievance redress mechanism which is fully set out in paragraph 105.

67. Adequate budget is to be made available to manage unanticipated livelihood or business impacts through the grievance process. Payments will be made either from the local government or loan proceeds in line with project finance procedures. If the payment is to be made through the loan proceeds, a contract addendum can be undertaken to hire an appraiser team and to pay for compensation. Contractors are required to restore physical assets to pre-project conditions and facilitate the payment to compensate the loss of business income at replacement cost, as appropriate.

68. The draft resettlement plans, and due diligence report include provision for compensation of all assets at replacement value, additional assistance and resettlement, and rehabilitation measures for affected persons. Vulnerable households will be provided with additional assistance in addition to compensation. The project provides the option of land for land and for guided self-relocation with payment of due compensation and assistance to affected persons.

69. The draft RPs and DDR were disclosed on ADB's website. Further due diligence is to be conducted within 3 months of loan effectivity to confirm scope and impact of the project, including full validation of payments of compensation and entitlements.

70. The IA has limited experience and institutional experience to manage involuntary resettlement impact adhering to ADB SPS (2009) and this will be addressed by training and other support. CPMU will be assisted by NPMC with both international and national social safeguard specialists will have who will work closely with the CPMU social safeguard officer and will provide on-the-job training for institutional strengthening when required.

71. The affected household's participation will be ensured during implementation. Particular attention will be given to vulnerable groups. CPMU will adhere to the consultation strategy as provided in the RPs and in accordance with the Stakeholder Analysis, Participation Plan and

Communication Strategy as prepared for the project. CPMU will ensure the transparent disclosure process and that the brochure/ leaflet containing the core elements of RPs is disclosed to the affected persons in local language.

72. Institutional arrangements and responsibilities. Overall responsibility for implementation of the RP falls to the CPMU and its supporting NPMC. The CPMU will have overall responsibility for:

- (i) tasking the dedicated Social Safeguards Officer, assigned by the implementing agency, to be engaged in planning and implementation activities of the RPs;
- (ii) ensuring implementation of Resettlement Plan and monitoring programs;
- (iii) Coordinate and establish relationships with all relevant key government agencies to obtain clearances, validation and approvals in sync with resettlement planning activities;
- (iv) ensuring all project activities are carried out in compliance with ADB SPS (2009) and national laws and regulations;
- (v) supervision and monitoring the implementation of the RPs;
- (vi) with support from its, the LPMU is responsible for timely updating, disclosure, implementing and monitoring of the RPs to ensure that all activities are in compliance with ADB SPS 2009;
- (vii) providing direct support to guided self-resettlement strategy of the project;
- (viii) establishment and operation of the combined social and environmental project grievance redress mechanism (GRM);
- (ix) recruiting qualified Social Safeguard consultants of the PISC; and
- (x) submitting the Social Semi-annual Monitoring Reports (SMR) to LPMU and to ADB.

73. The PISC, through its National Resettlement Specialists (one in each location) will be responsible for:

- (i) preparation and delivery of training programs related to involuntary resettlement and social safeguards;
- (ii) provide appropriate action/plan and support for the guided self-resettlement strategy of the project;
- (iii) provide appropriate action/plan to LPMU to correct any non-compliance issue;
- (iv) assist LPMU in preparing of the social safeguard monitoring reports; and
- (v) assist LPMU in organizing and conducting training and institutional strengthening.

74. Specific tasks for the PISC include, but are not limited to:

- (i) Plan data collection surveys for Involuntary Resettlement activities;
- (ii) Assist the LPMUs to prepare and update the RP for Pontianak and others if required;
- (iii) Provide guidance to the executing agency and local project management unit (LPMU) on social safeguards aspects of the project with emphasis on land acquisition, compensation, livelihoods restoration, compliance monitoring and reporting; and
- (iv) Provide trainings to project staff and implementing agency, LPMU on national safeguards policy and ADB safeguards policy and its applications. The training should include key concepts on Resettlement Management Process, demonstrating on how to implement the RPs in a timely manner.

75. Based on approved technical design and bidding documents, the consultant in the NPMC will support the review and update of the RP and carry out the following activities as needed:

- (i) Conduct detailed measurement survey (DMS) of affected assets and confirm the number of permanent and temporary loss of land and assets not already included in the RP.
- (ii) Conduct asset registration survey to confirm all impacted assets, impacted households, and number of severely affected households due to the loss of productive agricultural land and residential structures.
- (iii) Provide photos of each affected household (preferably with all persons present) to be taken in front of their abode, with their household ID (unique identifier). Consent should be sought prior to photo taking and should the household refuse, a signed letter declining the photo is to be provided.
- (iv) All documents (inventory of loss, detailed measurement survey, socio-economic survey of affected households, compensation forms, grievances, etc.) should include household IDs (unique identifier) both on the document and on e-files.
- (v) Assist in the conduct of the information campaigns and public consultation.
- (vi) Assist PMU to (a) supervise and monitor land acquisition and resettlement, in accordance with the endorsed RPs and ADB's Policy on Involuntary Resettlement, and; (b) implement the resettlement plans with a focus on community consultation, entitlement review, compensation assessment, and grievance procedures.
- (vii) Provide close guidance and support to the self-resettlement process, including but not limited to developing self-resettlement plans at a household level and engage in its implementation and follow up.
- (viii) Assist the LPMU in the establishment and operation of the combined social and environmental project grievance redress mechanism (GRM).
- (ix) Ensure that grievances redress mechanism is appropriate and provide advice and support to promote speedy resolutions.
- (x) Prepare RPs inventory of losses and public information booklets/pamphlets in the local language.
- (xi) Provide inputs to the DED and other documents as required by the Team Leader.
- (xii) Establish and implement procedures for ongoing internal monitoring.
- (xiii) Assist LPMU in preparing the internal monitoring reports.
- (xiv) Provide orientation and capacity development on LAR, project policies, grievance redress procedure, public consultation process and effective RP implementation to staff of LPMU and district agencies.
- (xv) Draft compensation completion reports for submission and disclosure.

76. ADB is responsible for: (i) conducting periodic site visits of subprojects; (ii) conducting supervision missions for detailed review of subprojects; (iii) reviewing the periodic social safeguard monitoring reports submitted; and (iv) disclosure on ADB website of semi-annual social monitoring reports.

Table 11: Indicative Staff Requirements for Resettlement Implementation

Staff	Position	Level of Effort (indicative)
LPMU	1 Social Safeguards Officer, assigned by the LPMU	Full time during the project implementation period

Staff	Position	Level of Effort (indicative)
Project Implementation Support Consultant (PISC)	1 Social Safeguards Specialist (International)	20 months (1)
	1 Safeguards Specialist (National)	42 months

77. Effective monitoring and public consultation with all stakeholders and affected people at all stages of project implementation will be ensured. In compliance with ADB's information disclosure and consultation requirements, the social safeguard documents will be posted on ADB's website. Stakeholder consultations will continue through formal and informal focus group discussions.

78. **Indigenous peoples' safeguards.** Due diligence has indicated that the project will not directly or indirectly affect the dignity, human rights, livelihood systems, or culture of indigenous peoples, nor does it impact on any territories or natural or cultural resources that indigenous peoples own, use, occupy, or claim as an ancestral domain or asset.

79. **Project implementation assistance.** The CPMU has the overall responsibility for the Project, including safeguards compliance. The CPMU will be assigned resources including safeguards officers who with the support of the NPMCC consultants, will work with the all stakeholders in completing the scope of activities, including: (i) conducting due diligence following detailed engineering design; (ii) consulting with all affected persons and communities to inform them about the Project and its salient features; (iii) assisting the work of resettlement committees; (iv) updating the IEEs and EMPs; (v) working with the relevant counterparts, to facilitate and resolve any emerging issues relating to the project's environment and/or social safeguard requirements; (vi) internal monitoring and regular reporting on environment, land acquisition, compensation and resettlement activities; and (vii) ensuring coordination of environment, land acquisition activities, and civil works.

80. The consultants will include qualified and experienced national and international environmental, resettlement, and social safeguard specialists, throughout project implementation to ensure compliance with the project's safeguard requirements, as outlined in the IEEs, EMPs, and RPs.

81. The CPMU will coordinate with NPMC to ensure compliance with involuntary resettlement safeguard requirements. The CPMU will designate a resettlement focal person/social safeguards coordinator to undertake specific resettlement responsibilities and the IAs on all matters concerning resettlement planning and implementation.

82. **Capacity building.** The CPMU, LPMU and IA's environment and social safeguards officers will be further trained by the consultants' environment and social safeguards specialists on ADB SPS safeguards requirements based on the issues related to the project impacts, meaningful consultation, documentation, and disclosure, monitoring and reporting, the project GRM, etc. The targeted participants of the briefings and awareness sessions (and refresher trainings as needed) would be (but not limited to) CPMU, LPMU and IA staff, project engineers, municipal authorities, contractors, etc. Typical modules include: (i) introduction and sensitization to ADB SPS policy principles and requirements on environment, involuntary resettlement; (ii) policies and requirements reflected in the IEEs, EMPs; (iii) improved coordination within key departments and stakeholders and developing coordination mechanism for environment, impact assessment, planning and implementation of plans; (iv) monitoring and reporting system; and (v) project grievance redress mechanism (GRM), roles at each level, recording and reporting on

complaints. Briefings will be conducted to the contractors upon their mobilization.

83. **Information disclosure.** Information sharing and disclosure are tools to engage with local communities and the project affected population during project planning, development, and implementation.

84. CPMU shall ensure that all safeguards documents, including monitoring reports are disclosed by: (i) uploading the draft and final safeguards documents on ADB website (once cleared by ADB) and to the affected persons promptly upon their submission; (ii) distributing Public Information Brochures (PIBs) containing summary of the project impacts as per final IEEs/EMPs, the GRM with procedures and forms, contacts of the grievance redress committee members in local language amongst the affected communities and persons; (iii) explaining the contents of the monitoring reports, PIBs, contracts or any other relevant project related information to illiterate persons.

85. **Meaningful consultations.** At the project preparation stage, consultations were conducted with affected persons and communities, including vulnerable groups. Meaningful consultations will be carried out in a culturally appropriate way throughout implementation in accordance with the relevant ADB requirements and national legal and regulatory frameworks as reflected in the safeguards planning documents. For continued information sharing, CPMU shall ensure that: (i) additional consultations during updating and implementation of the safeguards documents (including also for any site changes and contract variations requiring new due diligence to be prepared), including focus group discussions (FGDs) and individual consultations, are conducted; (ii) the affected communities including subproject households are informed about: (a) civil works duration and schedule, and any potential environmental related impacts and mitigation measures, (b) resettlement impacts, asset valuation and replacement cost, entitlements, and compensation payment modalities and timelines, (c) rehabilitation and income restoration measures suggested for the project APs (as relevant), and (d) GRM put in place with status of redress of grievances; and (iii) liaison is maintained with affected households and community, and consultation meetings are held regularly with surrounding communities and affected households, including women and other marginalized groups to share project-related information during project implementation.

86. **Project safeguard documents.** Safeguard documents for the project have been prepared in accordance with ADB's Safeguard Policy and Government's Laws and Regulations. Safeguard documents prepared include: (i) three IEEs with 14 separate EMPs; and (ii) RPs for Pontianak and Semarang and DDR for Mataram. All required documentation has been disclosed on the ADB website, and any subsequent updating to any of these documents will also warrant re-disclosure of the new versions on the ADB website.

87. **Prohibited investment activities.** Pursuant to ADB's Safeguard Policy Statement (2009), ADB funds may not be applied to the activities described on the ADB Prohibited Investment Activities List set forth at Appendix 5 of the Safeguard Policy Statement (2009).

VIII. GENDER EQUALITY AND SOCIAL DIMENSIONS

88. The project is classified as a *general intervention* for poverty targeting as it will provide improved urban services to the project cities. The project will benefit at least 2.5 million households (of which 10% are poor and vulnerable households, including female-headed

households). Households will be connected directly to the sewerage system and pro-poor tariff design and improved regulatory environment and tariff collection will support affordability. Free connections to the sewerage system will be promoted. The residents' direct benefits consist of increased community awareness and commitment to better sanitation, climate change resilience, and affordable access to urban services. The project has a direct impact on poverty through employment and business development opportunities.

89. **Gender.** The project is categorized *effective gender mainstreaming*. A gender analysis was conducted during project preparation and resulted in the identification of gender issues that the project will address, such as under-representation of women in development planning consultations and in WASH institutions, as well as low community awareness, including women, on sanitation and community hygiene practices. A key focus of the GAP would be to support women's access, active participation, and benefits through various activities including: (i) development of policy for poor and vulnerable households, including female-headed households, to be prioritized in accessing subsidized monthly tariffs through a transparent eligibility mechanism; (ii) participation of women (at least 30%) in sanitation planning at the community level; (iii) participation of women (at least 30%) in awareness campaign on safely managed sanitation and hygiene; (iv) employment opportunities for women in skilled and non-skilled positions; (v) capacity building for government on gender analysis, gender-responsive planning and gender budgeting; and (vi) local utilities' staff (of which at least 20% are women) increase their knowledge on using digital tools to manage wastewater.

90. **Implementation and monitoring of GAP.** The CPMU will be responsible for monitoring and ensuring the timely implementation of the GAP.¹⁸ Social and Gender specialists will be included in the project consultants (firms) as appropriate to support the PMU. Gender focal points in local operators and Gender Specialists will assist in monitoring the gender action plan.

IX. CLIMATE CHANGE ASSESSMENT

91. The project cities are all vulnerable to flooding. The latest incidences occurred in December 2023 in all three cities. Climate projections show increases in the intensity and frequency of heavy rainfall, which, along with rising sea levels, will increase flood risk. Given the poor condition of sanitation infrastructure, and septic tanks in particular, floods will pollute groundwater and trigger outbreaks of diarrhea, cholera, and vector-borne diseases, among other environmental and health risks.¹⁹ The increasing flood risk will exacerbate these impacts over time. Without an improved sanitation system, polluting events and their effect on public health, including the health of poor and vulnerable groups, will increase. The investments will result in considerable climate change mitigation through greenhouse gas reduction by applying choices of technology, which allow a more efficient wastewater treatment process that have been demonstrated to reduce emission.

92. Climate risk and vulnerability assessments were carried out for each city, and recommendations on how to increase their climate resilience have informed the project design and scope.

¹⁸ The Gender Action Plan is provided in Appendix L.

¹⁹ Government of Indonesia, Agency for Improving the Implementation of Drinking Water Supply Systems (Badan Peningkatan Penyelenggaraan Sistem Penyediaan Air Minum (BPPSPAM). 2021–2022. *2019 Performance of Water Supply Providers*. Jakarta. Only 33% of the population in Semarang, 51% in Mataram, and 82% in Pontianak are served by water utilities, implying high reliance on groundwater for water supply and a strong need for sanitation.

X. PERFORMANCE MONITORING, EVALUATION, REPORTING, AND COMMUNICATION

A. Project Design and Monitoring Framework

93. The design and monitoring framework (DMF) is in Appendix A.

B. Monitoring

94. **Project performance monitoring.** The DGHS will establish a project performance management system (PPMS) within 12 months of the Effective Date, to assist in monitoring and evaluating the project during implementation against the DMF. The DMF includes indicators and targets and assumes that safeguard documents will be approved and implemented, and project monitoring reports will be prepared.

95. At the commencement of the project, the CPMU, with assistance from the NPMC, will develop the PPMS procedures to generate data systematically on the inputs and outputs of the subprojects, as well as the agreed indicators used to measure the project impacts.²⁰ The CPMU will: (i) refine the PPMS, as required; (ii) confirm the baseline figures and targets through consultation with beneficiaries; (iii) determine appropriate monitoring and recording arrangements; (iv) confirm data sources; (v) check assumptions and risks; and (vi) establish systems and procedures. The CPMU will submit the final PPMS, with revisions and recommendations for improvement (if any) to ADB for approval, within 12 months of effectiveness.

96. The CPMU will be responsible for managing the PPMS, including establishing benchmarks, collection of baseline and progress data, monitoring of benefits and evaluation of social impact. Data will be presented in simple formats for analyzing and consolidating the resulting data through its management information system. The PPMS will be designed to permit adequate flexibility to adopt remedial action regarding project design, schedules, and activities. The CPMU will prepare and submit to ADB quarterly progress reports on both physical implementation and financial aspects of the project, including status of each output, procurement and contract awards, project expenditure and disbursements, key issues and mitigation/remedial measures, compliance with loan covenants and key activities to be carried out in the next quarter. The purpose of the progress reports is to ensure that impacts are monitored and implemented in line with ADB requirements. These quarterly reports will provide information necessary to update ADB's project performance reporting system.²¹

97. A midterm survey will be carried out prior to project midterm review to determine progress, and a survey at project completion will be conducted to evaluate progress against project outcome and achievement towards project impact. This will include a summary of gender results from the project, based on the implementation of the GAP.

98. **Compliance monitoring.** The government has agreed with ADB on standard covenants for the proposed project, which are set forth in the loan agreement (refer to project linked documents in Appendix M). The status of compliance with covenants – policy, legal, financial, economic, environmental, and social safeguards, and others, will be reviewed and assessed at

²⁰ ADB's project performance reporting system is available at <http://www.adb.org/Documents/Slideshows/PPMS/default.asp?p=evaltool>

²¹ Refer to PAI 5.01 Executing Agency's Progress Report for the progress report contents. Available at: <https://www.adb.org/sites/default/files/institutional-document/33431/pai-5-01.pdf>.

each ADB review mission – to be conducted at about 6-month intervals. The CPMU will monitor compliance against the covenants and report updates in quarterly progress reports and propose any remedial actions for consideration at ADB review missions. ADB will update the e-Operations system following each review mission.

99. **Environmental safeguards monitoring.** The LPMU will oversee the implementation and compliance monitoring of EMPs (and corresponding SSEMPs/SSHSMPS) for the subprojects. Compliance monitoring will include assessing compliance against the EMP/SSEMP/SSHSMPS mitigation measures, the availability of personnel, material, and financial resources, and identifying any remedial actions to correct any problems that arise. The PMU (CPMU, LPMU) will be supported by PISC consultants (national environmental safeguards specialist), and specialists from the National Project Management Consultant (NPMC, senior international/senior national environmental specialist and the national environmental specialist) who will provide technical advice and guidance on environmental safeguards.

100. Prior to commencement of the works, the contractor(s) will submit pre-works condition information and SSEMPs/SSHSMPS to the LPMU ensuring that all identified pre-construction environmental impact mitigation measures will be undertaken. The LPMU with the assistance of the PISC consultants will review the pre-works information and SSEMPs/SSHSMPS, conduct site verification, and thereafter, PMU (CPMU, LPMU) will allow commencement of works. During construction, results from internal monitoring of SSEMP/SSHSMPS implementation by the contractor(s) will be reflected in the contractor's monthly report to be submitted to the PMU (CPMU, LPMU) and PISC. The LPMU and PISC will review the contractor's monthly report, undertake site verifications, and advise contractors on corrective actions if necessary.

101. The CPMU will submit a semi-annual environmental safeguards monitoring report (SEMR), which will be disclosed on the ADB's website. The SEMR will be prepared by the LPMU environment safeguards officer, with input from the PISC and NPMC environmental safeguards staff. The NPMC and PISC will collate all progress monitoring related information and submit it to the CPMU and LPMU for preparation of quarterly progress reports and the SEMR. The status of safeguards implementation, issues, and corrective actions will be reported in the SEMR and submitted to ADB for clearance within one month after the reporting period²² and disclosed on the ADB and project websites. The SEMR template is in Appendix N.

102. The EMPs specify the environmental quality monitoring to be conducted during the construction and operation phases and include budget estimates. The monitoring is required to be conducted regularly, and the updated monitoring report forwarded to the ADB. Any deviation from the acceptable standards will be required to be addressed in a time-bound corrective action plan, ensuring that the all the parameters are within the standard acceptable limits and does not cause any significant negative impacts.

103. **Grievance redress mechanism.** A grievance redress mechanism (GRM) will be put in place to facilitate the resolution of social, environmental or any other project related grievances. It comprises a time-bound and transparent set of procedures to receive, record and address concerns of complaints raised about safeguard issues at the following three levels, accommodating both informally and formally lodged eligible grievances from project affected persons: contractor level, GRM committee level and CPMU level. The EA/IA will ensure: (i) efficient grievance redress mechanisms are in place, functional and relevant focal points are

²² The SEMR report for January-June is required to be submitted to ADB by latest 31 July, and for July–December by 31 January of the following year.

trained to assist the affected persons to resolve queries and complaints in a timely manner; (ii) all complaints are registered, investigated and resolved in a manner consistent with the provisions of the GRM, as reflected in the RPs and IEEs/EMPs, (iii) the complainants/aggrieved persons are kept informed about status of their grievances and remedies available to them; and (iv) adequate staff and resources are available for supervising, monitoring and reporting on the mechanism. This process will be further refined prior to project construction start to ensure that the GRM is culturally appropriate and accessible.

104. **Involuntary resettlement (IR) safeguards monitoring.** The NPMC will be responsible for carrying out the internal monitoring, which will include a review of the quarterly progress reports provided including fielding its own missions to verify the progress and the validity of the data and information, where necessary.

105. Compensation completion reports will be provided to verify the payment of all compensation and allowances as per the entitlement matrix.

106. The CPMU will submit quarterly progress reports starting from loan effectiveness, and semi-annual safeguards monitoring reports which will be submitted to ADB for review, clearance, and disclosure. Semi-annual safeguard monitoring for January–June will be submitted to ADB latest 15 July, and for July–December on 15 January of the following year. The indicative template for the social safeguards monitoring report is included in Appendix O.

107. **Gender equality and social dimensions monitoring.** Gender and social dimensions will be monitored internally through the PPMS and the gender monitoring table in Appendix P. The DMF contains specific indicators and targets, which are also part of the GAP. At the beginning of the project, the CPMU will develop the PPMS and associated forms to generate data systematically for each output. The CPMU will consolidate the data and include the status of gender and social dimensions and progress against the GAP activities in the quarterly progress reports, submitted to ADB. Safeguard monitoring against IPP elements integrated into the GAP and DMF will also be included in the quarterly progress reports and more in-depth monitoring will be included in the social safeguard monitoring reports.

108. **Financial management.** The CPMU will monitor the implementation progress of the financial management action plan and update ADB every project review mission. The updates of the financial management action plan should also be included in the quarterly project progress reports. The CPMU will also be responsible for the submission of the APFS on or before 30 June each year during project implementation.

C. Evaluation

109. ADB and the government will jointly review the project at least twice a year (at 6-month intervals). This will include: (i) achievement of contract awards and disbursements; (ii) physical progress of each project output; (iii) effectiveness of capacity development programs; (iv) compliance with social and environmental safeguards; (v) progress of gender and social dimensions; (vi) compliance with project covenants; and (vii) performance of government agencies, implementation units, consultants, and contractor performance. In addition to regular reviews, the ADB and the government may conduct special project administration reviews to address and resolve specific administration problems.

110. In addition to the regular review missions, the government and ADB will undertake a comprehensive mid-term review in the third year of project implementation to identify problems

and constraints encountered and suggest measures to address them. Specific items to be reviewed include: (i) appropriateness of scope, design, contract packaging, implementation arrangements and schedule of activities; (ii) review of institutional, administrative, organization, technical and financial aspects of the project, based on the assumptions and risks included in the DMF; (iii) assessment of the implementation progress against progress indicators; (iv) governance improvement and capacity development; (v) compliance with safeguard measures; (vi) implementation of the GAP; (vii) lessons learned, good practices and corrective actions; and (viii) changes recommended.

111. Within 6 months of physical completion of the project, the DGHS will submit a project completion report to ADB.²³

D. Reporting

112. The DGHS will provide ADB with (i) quarterly progress reports in a format consistent with ADB's standard (see footnote 16); (ii) semi-annual environment and social safeguards monitoring reports; (iii) consolidated annual reports including (a) progress achieved by output as measured through the indicator's performance targets, (b) key implementation issues and solutions, (c) updated procurement plan, and (d) updated implementation plan for the next 12 months; and (iv) a project completion report within 6 months of physical completion of the project. To ensure that projects will continue to be both viable and sustainable, project accounts and the executing agency audited financial statement together with the associated auditor's report, should be adequately reviewed.

E. Stakeholder Communication Strategy

113. A stakeholder communication strategy (SCS) has been prepared to ensure inclusiveness, transparency, timeliness, and the meaningful participation of stakeholders in the project. The SCS promotes select messages targeted at key stakeholders consistent with established communication objectives as to what perspectives, actions and changes should be promoted to ensure the project's success. The SCS ensures that vulnerable groups, such as the poor, elderly, indigenous and ethnic groups, and women, who risk being marginalized, are provided with opportunities. Implementation of the SCS will be supported by project consultants and activities are included in the project budget. SCS activities will be organized from the outset of the project and will continue throughout implementation. The SCS is included as part of the consultation and participation plan, which is available as a linked document in the RRP.

XI. ANTICORRUPTION POLICY

114. Implementation of the project shall adhere to ADB's Anticorruption Policy (1998, as amended to date) and Integrity Principles and Guidelines (2015, as amended from time to time).²⁴

115. ADB has the right to investigate, directly or through its agents, any violations of the Anticorruption Policy relating to the project. All contracts financed by ADB shall include provisions specifying that (i) the contracts are ADB financed; (ii) ADB's Anticorruption Policy and Integrity Principles and Guidelines apply; (iii) the executing and implementing agencies and all project

²³ Project completion report format is available at: <http://www.adb.org/Consulting/consultants-toolkits/PCR-Public-Sector-Landscape.rar>

²⁴ ADB's Office of Anticorruption and Integrity website: <https://www.adb.org/site/integrity/main>.

contractors, suppliers, consultants (including lead firms and sub-consultants), and other service providers shall permit ADB to review and inspect their accounts and records and other documents relating to the bid submission and contract performance and to have them audited by auditors appointed by ADB; and (iv) the project contractors, suppliers, consultants (including lead firms and sub-consultants), and other service providers undertake that no fees, gratuities, rebates, gifts, commissions, or other payments other than those shown in the bid have been offered, given, or received in connection with the procurement process or in the contract execution. Individuals and entities on ADB's Sanctions List²⁵ are ineligible to participate in ADB-financed, -administered, and -supported activity and cannot be awarded any contracts under the project.²⁶

116. Underpinned by ADB's zero tolerance for corruption, the Office of Anticorruption and Integrity aligns with ADB's commitment to strengthen governance across Asia and the Pacific. To report a complaint of integrity violations to ADB's Office of Anticorruption and Integrity, please visit <https://www.adb.org/integrity/report-violations#accordion-0-2>.

117. To support these efforts, relevant provisions are included in the loan agreement and the bidding documents for the project.

XII. ACCOUNTABILITY MECHANISM

118. People who are, or may in the future be, adversely affected by the project may submit complaints to ADB's Accountability Mechanism. The Accountability Mechanism provides an independent forum and process whereby people adversely affected by ADB-assisted projects can voice, and seek a resolution of their problems, as well as report alleged violations of ADB's operational policies and procedures. Before submitting a complaint to the Accountability Mechanism, affected people should make an effort in good faith to solve their problems by working with the ADB operations department concerned. Only after doing that, and if they are still dissatisfied, should they approach the Accountability Mechanism.²⁷

XIII. RECORD OF CHANGES TO THE PROJECT ADMINISTRATION MANUAL

119. The PAM is a living document and subject to change after ADB Board approval of the project. All revisions and/or updates during the course of implementation should be retained in this section to provide a chronological history of changes to implemented arrangements recorded in the PAM, including revision to contract awards and disbursement s-curves.

Table 12: Changes to the Project Administration Manual

PAM version	Date	Reasons for Change	Main Contents of Change

ADB = Asian Development Bank, PAM = project administration manual.

Source: Asian Development Bank.

²⁵ ADB. [Sanctions List](#); and ADB. [Frequently Asked Questions on ADB Sanctions](#).

²⁶ ADB. [Procurement Regulations for ADB Borrowers](#); and ADB. [Office of Anticorruption and Integrity](#).

²⁷ Accountability Mechanism. <http://www.adb.org/Accountability-Mechanism/default.asp>.

Appendix A: DESIGN AND MONITORING FRAMEWORK

Impact the Project is Aligned with			
Sanitation facilities improved and made inclusive to support the regional development policy of minimizing national disparities (National Medium-Term Development Plan 2020–2024) ^a			
Results Chain	Performance Indicators	Data Sources and Reporting Mechanisms	Risks and Critical Assumptions
Outcome Access to inclusive, climate-resilient, adequate, and safely managed sanitation services in project cities improved	By 2030: a. At least 2.5 million people have access to adequate, safely managed, and resilient sanitation services ^b (2023 baseline: NA) (OP 2.1.4)	a. Project performance monitoring reports (NPMC, quarterly); supporting database from project cities; Asian Development Bank loan mission reports; and project completion report	R: Delay in institutional setup because the proposed operators have limited experience in managing full sanitation facilities, including wastewater systems.
Outputs 1. Sanitation services improved, expanded, and made climate resilient	By 2029: 1a. Four WWTPs with co-treatment of fecal sludge and a combined capacity of about 57,000 cubic meters per day constructed and operational in accordance with applicable national standards and climate resilience criteria ^c (2023 baseline: 0) (OP 1.3.1, 3.2.5, OP 3.3.1, OP 4.1.2) 1b. City-level information and disaster management systems strengthened, able to include gender-responsive early warning system, integrated with the newly constructed sanitation facilities ^d (2023 baseline: NA) (OP 4.3.1, OP 3.2.4) 1c. At least 200 kilometers of climate-resilient sewer networks constructed ^e (2023 baseline: 0) (OP 1.3.1, OP 3.2.5) 1d. Road map for upgrades of fecal sludge management systems developed with gender-responsive, ^f climate, and	1a. Project construction records and project performance monitoring reports (NPMC, quarterly) 1b. Project progress reports (NPMC, quarterly) 1c. Project construction records and project performance monitoring reports (NPMC, quarterly) 1d. Project progress reports (NPMC, quarterly)	R: Failure to operate the WWTPs properly during initial years of operation and lack of O&M budget result in poor service delivery.

Results Chain	Performance Indicators	Data Sources and Reporting Mechanisms	Risks and Critical Assumptions
2. Regulatory environment strengthened	<p>disaster resilience measures (2023 baseline: NA) (OP 4.3.1)</p> <p>2a. Sanitation O&M guidelines with consideration of climate resilience and GESI-responsive measures adopted^g (2023 baseline: NA) (OP 2.3.2, OP 3.2.2, OP 4.2.1, OP 4.3.1, OP 6.2.1)</p> <p>2b. Wastewater tariffs and other measures (e.g., transfers or taxes) for 100% O&M cost recovery established for sanitation services in project cities^h (2023 baseline: NA) (OP 4.2.2)</p> <p>2c. Guidelines for integration of sewered and non-sewered systems, including mapping of stakeholders, developedⁱ (2023 baseline: NA) (OP 4.3.1)</p>	<p>2a. Sanitation O&M guidelines-(project cities)</p> <p>2b. Draft regulations on tariff setting (PISC, project cities)</p> <p>2c. Guidelines for integration of on-site and off-site systems (project cities)</p>	R: Insufficient revenue from the wastewater tariff results in funding shortfall to cover the O&M costs, leading to poor level of service.
3. Institutional effectiveness improved	<p>3a. Role of utility operators expanded in project cities to include wastewater management (2023 baseline: NA) (OP 4.1.1)</p> <p>3b. At least 50% of participants in sanitation awareness training are women and report increased awareness of safely managed sanitation, hygiene, and health (2023 baseline: NA) (OP 4.3.2)</p> <p>3c. At least 20% of wastewater operator staff who reported to have increased knowledge</p>	<p>3a. Updated mandate of the operators in project cities</p> <p>3b. Water supply, sanitation, and hygiene plans and public relation campaigns (NPMC and PISC, quarterly)</p> <p>3c. Project progress reports, training records, employment records</p>	R: Delay in institutional setup because the proposed operators have limited experience in managing full sanitation facilities, including wastewater systems.

Results Chain	Performance Indicators	Data Sources and Reporting Mechanisms	Risks and Critical Assumptions
	from training delivered by the project are women (2023 baseline: NA) (OP 2.1.1; OP 3.2.2)	(NPMC and PISC, quarterly)	
<p>Key Activities with Milestones</p> <p>1. Sanitation services improved, expanded and made climate resilient</p> <p>1.1 Award all contracts for sewer networks and WWTPs by Q1 2025</p> <p>1.2 Construct sewer network (including the pilot connection) by Q4 2028</p> <p>1.3 Construct WWTPs by Q4 2028</p> <p>1.4 Complete assessment of and recommendation on city-level information system to include climate and disaster management systems by Q4 2027, integrated with new facilities' management system, and implemented by the cities by Q4 2029.</p> <p>1.5 Complete assessment of and upgrade recommendation for the improvement of non-sewered sanitation system completed by Q4 2026 for implementation by the cities.</p> <p>2. Regulatory environment strengthened</p> <p>2.1 Prepare sanitation O&M by Q4 2028</p> <p>2.2 Prepare a draft wastewater tariff by Q4 2028</p> <p>2.3 Prepare guidelines for integration of sewerred and non-sewered systems by Q4 2026</p> <p>3. Institutional effectiveness improved</p> <p>3.1 Official assignment of the operators by Q3 2024</p> <p>3.2 Complete public campaign throughout the project implementation period (up to Q4 2029)</p> <p>3.3 Provide training to the operators by 2029</p> <p>Project Management Activities</p> <p>Launch bidding process for project management consultants by Q1 2024</p> <p>Award contract and mobilize project consultants by Q3 2024</p> <p>Establish project performance management system by Q4 2024</p> <p>Complete safeguards activities and resettlement compensation by Q2 2024</p> <p>Implement safeguards measures and gender action plan and submit semi-annual project progress reports, safeguards monitoring reports, and gender action plan reports throughout project implementation</p> <p>Inputs</p> <p>Asian Development Bank: ¥61,882.61 million (loan)</p> <p>Government of Indonesia: ¥4,504.80 million</p>			

GESI = gender equality and social inclusion, NA = not applicable, NPMC = national project management consultant, OP = operational priority, O&M = operation and maintenance, PISC = project implementation support consultant; Q = quarter, R = risk, WWTP = wastewater treatment plant.

^a Government of Indonesia. 2020. *National Medium-Term Development Plan 2020–2024*. Jakarta.

^b Government of Indonesia. 2020. *National Medium-Term Development Plan 2020–2024*. Jakarta. The Government of Indonesia makes a distinction between “adequate sanitation” (having access to sanitation facilities that meet the health standard, such as a toilet with goose neck pipe and septic tank) and “safely managed sanitation” (safe disposal of excretion on-site, and transport and treatment off-site). Inclusive sanitation means integration of the sewerred and non-sewered system. The efforts to make the sanitation facilities climate resilient are part of output 1. The project will enable 90% of the cities’ population (households connected to the sewer system and households with existing septic tanks served by desludging operators) to have access to inclusive, climate-resilient, adequate, and safely managed sanitation. The remaining 10% of the population will be covered by the government’s programs as part of the government’s contribution.

^c The applicable national standards and climate resilience criteria are those set out in section 6 of the bidding document (employer’s requirement).

^d Existing disaster-related early warning systems in the cities make use of various hydrometeorological data as input. The project consultants will make recommendations on how to determine and prepare sanitation-related actions in response to early warnings provided by the systems. For example, following an early warning of heavy rainfall and flood risk in a specific area, the operators will desludge the septic tanks in that area to minimize the risk of groundwater pollution caused by flooding. In addition, the existing early warning system related to health will be

integrated into wastewater quality monitoring. The monitoring will provide early warning signs of the presence of disease within a community. Wastewater sampling can help assess the risks of a disease becoming more prevalent and will allow prompt implementation of measures to prevent or control its spread. A gender-responsive early warning system will ensure that different roles and responsibilities of men and women within families and communities are accounted for in ensuring access to disaster warnings. Technical assistance from the Water Resilience Trust Fund under the Water Financing Partnership Facility will be sought to support the implementation of this output indicator.

- ^e Includes connections that can cover 70% of population in the sewer system service coverage area.
- ^f The road map will include population data disaggregated by sex, age, poverty, and disability to map vulnerability. It will set out effective strategies for fecal management, taking into account the different roles and approaches that men and women have in this regard.
- ^g GESI-responsive measures mean addressing the different situations, roles, needs, and interests of women in the O&M activities, such as institutional awareness and commitment to promoting women's representation in O&M activities, equal opportunities and compensation for women, capacity building to manage gender issues, and implementation and communication strategies to inform women to participate equitably in O&M activities.
- ^h Women and vulnerable households are prioritized to access subsidized monthly wastewater tariff.
- ⁱ Stakeholders mapping means capturing existing private sector roles and assessing possible expansion of their roles in sanitation landscape.

Contribution to Strategy 2030 Operational Priorities

Expected values and methodological details for all OP indicators to which this operation will contribute results are detailed in Contribution to Strategy 2030 Operational Priorities (accessible from the list of linked documents in Appendix 2). In addition to the OP indicators tagged in the design and monitoring framework, this operation will contribute results for

OP 2.4.1 Timesaving or gender responsive infrastructure assets and/or services established or improved (number)

OP 4.3.2 Government officials with increased capacity to design, implement, monitor, and evaluate relevant measures (number)

Source: Asian Development Bank.

Appendix B: TECHNICAL DETAILS OF PROJECT OUTPUTS

1. **Output 1. Sanitation services improved, expanded and made climate-resilient.** The output is aligned with the citywide inclusive sanitation principle to ensure that everyone has access to safely managed sanitation services by integrating sewer and non-sewered systems. The project will finance the construction of four new climate-resilient WWTPs²⁸ with co-treatment of fecal sludge, and around 200 kilometers of sewer networks. It will enable 90% of the population in project cities (households connected to the sewer network and those with septic tanks served by desludging operators) to have access to inclusive, climate-resilient, adequate, and safely managed sanitation. Climate risks, including heavy rainfall, surface water and coastal flooding, sea level rise, coastal erosion, and extreme temperatures, have been considered, and adaptation measures incorporated in project design. The project will strengthen the non-sewered systems and integrate city-based information and disaster management systems with the newly constructed sanitation facilities.²⁹

2. The city governments have signed a memorandum of understanding with DGHS affirming their commitment to finance the remaining connections as well as to allocate adequate sufficient budget for the O&M. The construction of connections to be conducted in advance or in parallel with the sewer installation. To ensure timely implementation of connection installation the following efforts will be undertaken: (i) carry out massive community engagement throughout the project implementation period to ensure community buy-in, (ii) the sewer contractors will assign separate working team to install the connection in parallel with the main sewer installation in the area, (iii) construct various sewer network packages in parallel. Multiple design measures were also incorporated to increase climate and disaster resilience of the sanitation assets as follows: (i) elevating structures for WWTP to address future flood levels, (ii) constructing drainage to address future stormwater volumes at the WWTP locations; and (iii) constructing breakwater wall to protect against high tides and flooding.

3. Wider community outreach, which will lead to high wastewater connectivity, is key crucial items for the sustainability of the project. The consulting services of the project are designed to include support for the local governments in carrying out public campaign and community engagement from the early stage of project implementation and throughout the project period. Local facilitators, either in a form of individual non-key experts or a team of nongovernment organization, will be hired to engage in community dialog, to disseminate the project, raise awareness on safely manage sanitation, raise willingness to connect and obtain consent from the households prior to the construction of connections. This activity will be undertaken through a collaborative approach involving broader stakeholders from various agencies in the city such as BAPPEDA, public works and settlement office, health office, education affairs office, social affairs office, subdistricts, and village officials, etc. Community outreach should also target wider group, i.e., not only the households but also, for instance, schools. The local governments need to explore the type of incentives that can be provided to the households who are willing to connect to the system to increase their willingness to connect.

4. **Output 2. Regulatory environment strengthened.** The project will help improve the regulatory environment by (i) preparing O&M guidelines for sanitation facilities that are climate-resilient, gender-responsive, and inclusive; (ii) introducing wastewater tariffs and other measures

²⁸ One in Mataram (8,000 m³/day), two in Pontianak (12,000 m³/day each or in total 24,000 m³/day), and one in Semarang (25,000 m³/day).

²⁹ The central government has budget allocation for septic tank construction or upgrading called sanitation special allocation fund (*dana alokasi khusus*) which will be transferred to the city governments.

(e.g., transfers or taxes) to ensure 100% O&M cost recovery and financial sustainability; and (iii) preparing guidelines for integrating the sewered and non-sewered systems, including stakeholder mapping to foster a public-private partnership (PPP) environment conducive to private investment.³⁰

5. **Output 3. Institutional effectiveness improved.** The project will improve the delivery of sanitation (wastewater) services by strengthening the institutional capacity of service operators—Perusahaan Daerah Air Minum (PDAM)³¹ in Pontianak and Semarang, Unit Pelaksana Teknis Daerah (UPTD)³² in Mataram—to manage new wastewater systems and integrate them with existing non-sewered systems. This includes strengthening governance, mitigating fiscal impacts, improving performance through digital tools, and increasing awareness of the impacts of climate change on community and environmental health. Community awareness will be raised through gender-sensitive water, sanitation, and hygiene (WASH) activities.

6. The government of the project cities already issued regional regulation concerning the management of domestic wastewater. Sanitation services (wastewater) operator should be officially appointed at the early stage of project implementation period. The operators will be actively involved in coordination meeting and observe the public campaigns, assessment of potential customer database, community engagement, tariff calculation, etc.

7. The operators will have the following roles:

- (i) Participate in coordination meetings during project implementation period.
- (ii) Participate/observe the public campaign/community engagement/community dialog during project implementation period.
- (iii) Participate in sanitation trainings (including trainings to be delivered by WWTP contractor regarding WWTP operation during WWTP performance proving period).
- (iv) Carry out operation and maintenance for the wastewater management once the construction of sanitation facilities is completed.

8. In parallel with the institutional set up and community engagement, DGHS needs to coordinate with the local governments to assign their technical staff to be embedded to Balai BPPW to build capacities, facilitate local-level coordination and community engagement, and facilitate transfer of knowledge during project implementation period. Strengthening the capacity of local government's staff is crucial for a smooth handover of the wastewater facilities/assets.

9. To ensure the project's financial sustainability, institutional set up activities are planned to be implemented from the beginning of the project, with the following key milestones:

- (i) By Q3 2024 operators are appointed through Mayor letter (or through other legal instruments) and will be involved in (i) coordination meetings regarding project implementation to follow project progress, (ii) discussion regarding wastewater tariff and cost recovery mechanisms, (iii) public campaign/community awareness raising/ community dialog to increase willingness to connect and project ownership.

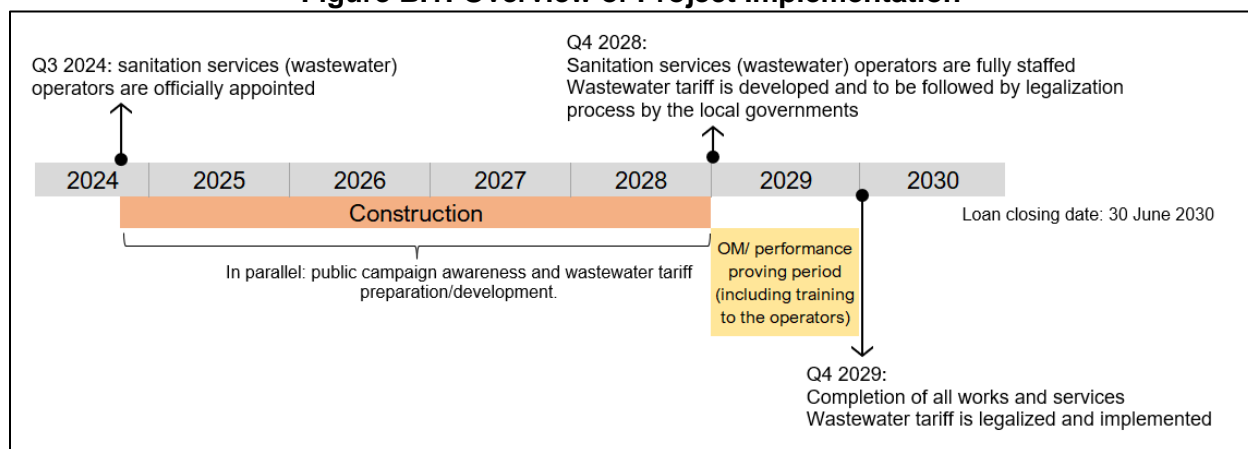
³⁰ By extending the O&M contracts for the wastewater treatment plants (e.g. 5 years or more, where possible) and establish fecal sludge collection and transport contracts.

³¹ A local government-owned company managing water supply services. At least 51% of the shares are owned by the local governments and the rest can be owned by the private sector.

³² Local governments' technical working unit.

- (ii) By Q4 2024, preparation of draft wastewater full cost recovery roadmap (tariff, taxes and transfers) will commence. Development of the roadmap will also involve the Ministry of Home Affairs, in charge of overseeing and supporting the local government, and Ministry of Finance (Director General of Fiscal Balance).
- (iii) By Q4 2028, the draft wastewater tariff is developed, and operators are fully staffed.
- (iv) By Q4 2029, operators' capacity is improved through knowledge transfer on WWTP operation from the contractors, wastewater tariffs are legalized,
- (v) Start from Q1 2030, operators will independently carry out O&M activities, the wastewater tariff is implemented and other measures (e.g., transfers or taxes) for O&M cost recovery established.

Figure B.1: Overview of Project Implementation



Source: Asian Development Bank

10. The MOU signed by city governments and DGHS confirm that the city governments will allocate sufficient budget to cover the O&M requirements which may include a combination of tariff, transfer, and tax. The MOU enables the preparation of city regulation (Peraturan Daerah [PERDA]) as the legal basis for the O&M budget support to the PDAMs. Several cities in Indonesia have used this mechanism. This city regulation also is a crucial legal binding agreement to ensure the operators, particularly the PDAMs which are entities outside local governments' structure, have access to the O&M budget provided by the local governments as subsidy in case they experience O&M budget shortage. Other mechanism can also be explored, for example the government to set up various institutional readiness of the project as readiness criteria for the local governments to have access to annual national budget support (*Dana Alokasi Khusus* or DAK).³³ DGHS, Bappenas, and MOF will need to discuss internally as these three ministries are the responsible entities for shortlisting and approving DAK proposals for sanitation services from the cities.

³³ Special allocation fund being transferred by the central government to the local government for the construction of facilities/procurement of goods/other activities within the list of the DAK. There are various type DAK such as sanitation, health, education, etc.

Appendix C: DETAILED COVERAGE AREA

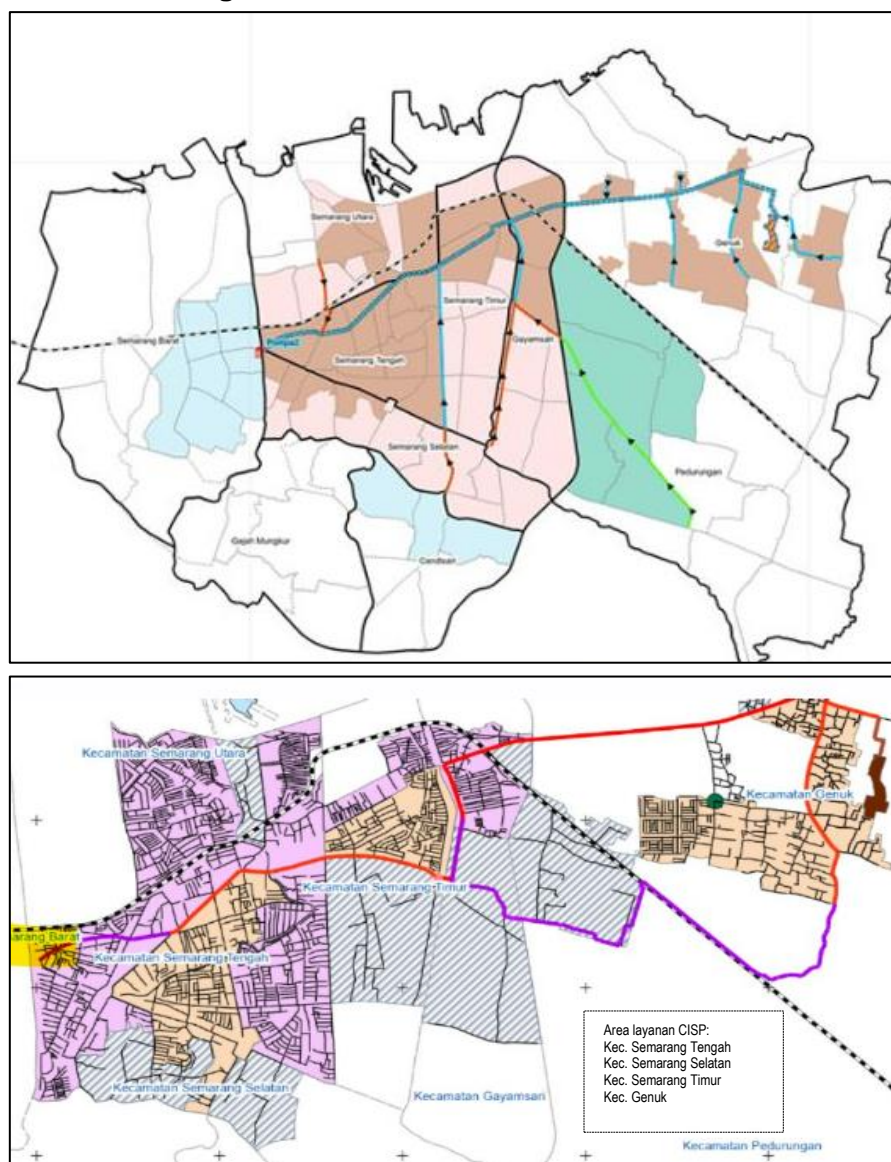
1. The coverage area of the project's sewer networks includes 28 villages in 9 subdistricts (*kecamatan*) across Pontianak, Mataram, and Semarang. Table C.1. presents the coverage area of project sewer network.

Table C.1: Project Service Coverage Area

Cities	SEWER NETWORK SERVICE COVERAGE AREA		
	Subdistricts (<i>Kecamatan</i>)	Villages (<i>Kelurahan</i>)	Number of people in the service coverage area
Semarang	Semarang Tengah	Kranggan	4,092
		Kauman	2,470
		Bangunharjo	2,381
		Kembang Sari	3,842
		Sekayu	3,352
		Miroto	4,899
		Pekunden	3,464
	Semarang Selatan	Mugasari	7,344
	Semarang Timur	Mlatibaru	6,660
		Mlatiharjo	5,079
	Genuk	Banjardowo	12,315
		Genuksari	18,833
		Gebangsari	5,428
		TOTAL	80,159
Pontianak	Pontianak Barat	Pal Lima	1,494
		Sungai Beliong	18,478
		Sungai Jawi Dalam	21,392
	Pontianak Selatan	Benua Melayu Darat	18,470
		Benua Melayu Laut	6,186
	Pontianak Kota	Darat Sekip	5,868
		Mariana	5,361
		Tengah	5,152
		TOTAL	82,401
Mataram	Kecamatan Ampean	Ampenan Tengah	13,218
		Ampenan Selatan	10,025
		Banjar	8,694
		Bintaro	10,503
		Dayan Peken	12,196
		Pejeruk	11,998
	Kecamatan Sekarbela	Tanjung Karang Permai	12,215
		TOTAL	78,849
		GRAND TOTAL	241,409

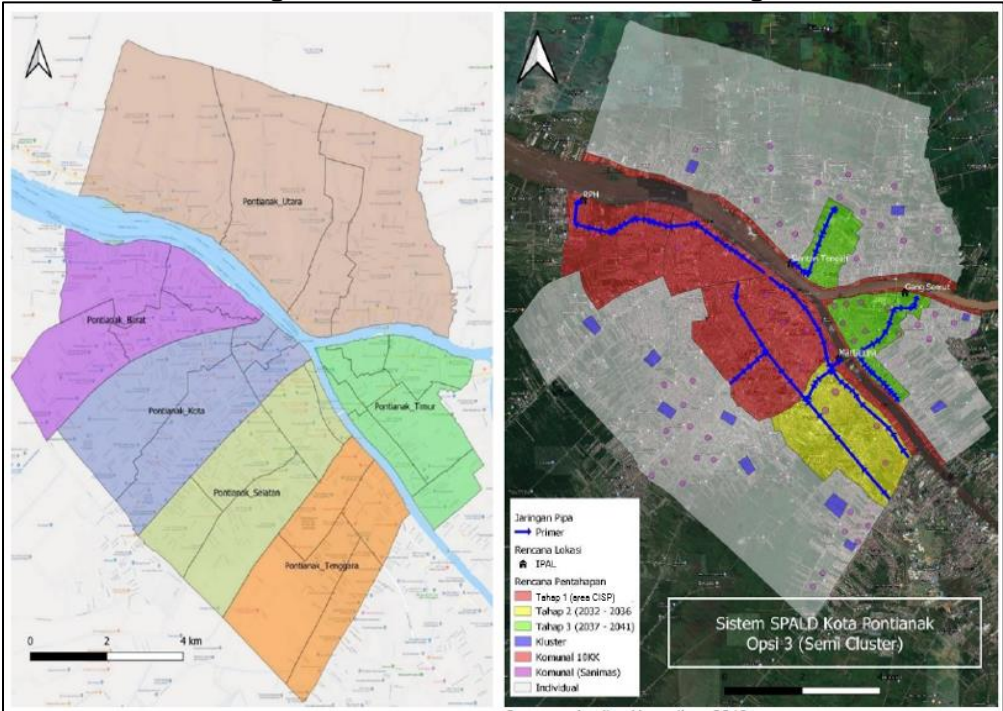
Source: Asian Development Bank.

Figure C.1: Service Area in Pontianak



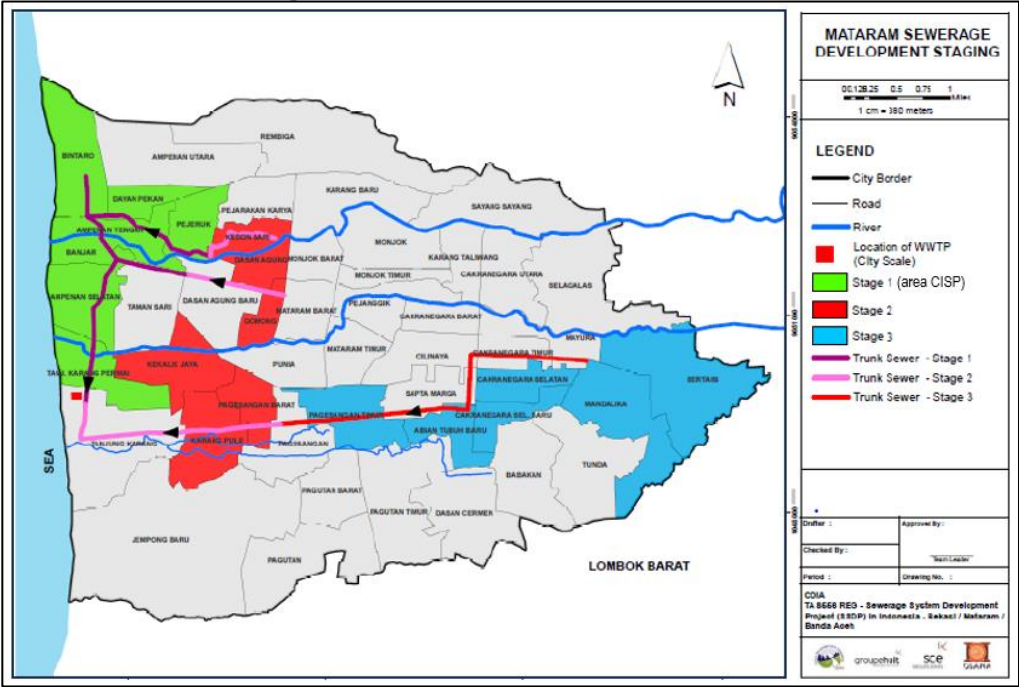
Source: Asian Development Bank.

Figure C.2: Service Area in Semarang



Source: Asian Development Bank.

Figure C.3: Service Area in Mataram



Source: Asian Development Bank.

Figure C.4: Site Plan of WWTP Mataram

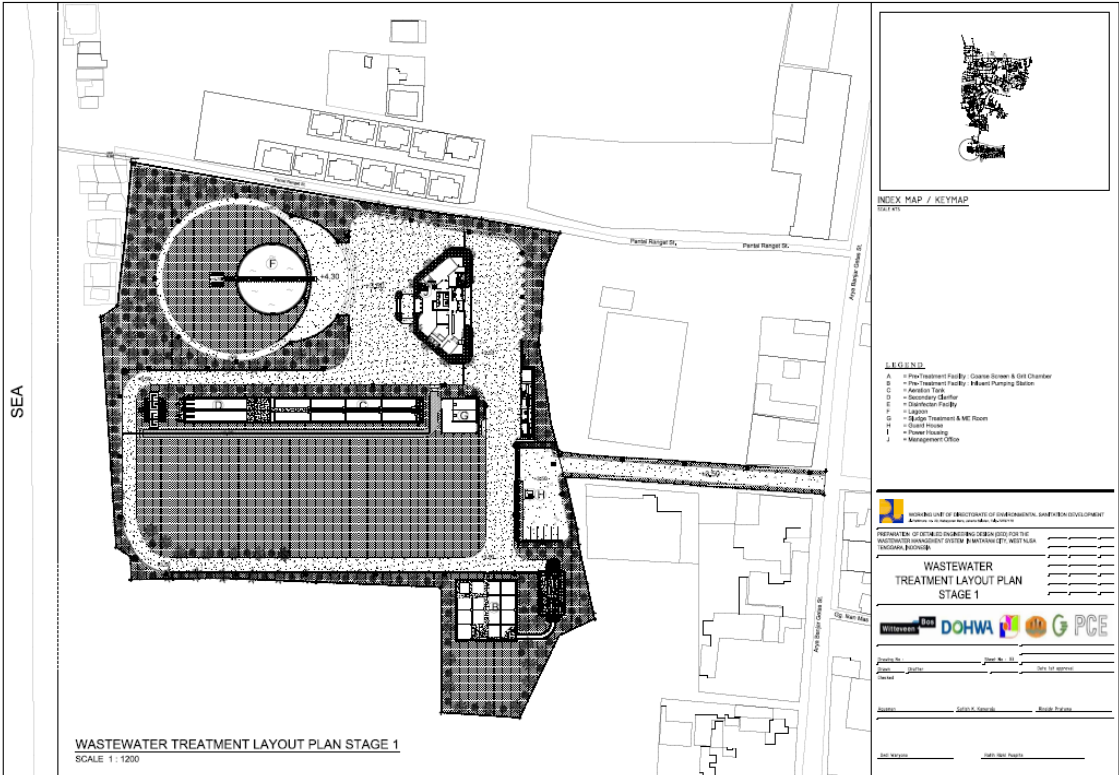


Figure C.5: Site Plan of WWTP Nipah Kuning, Pontianak

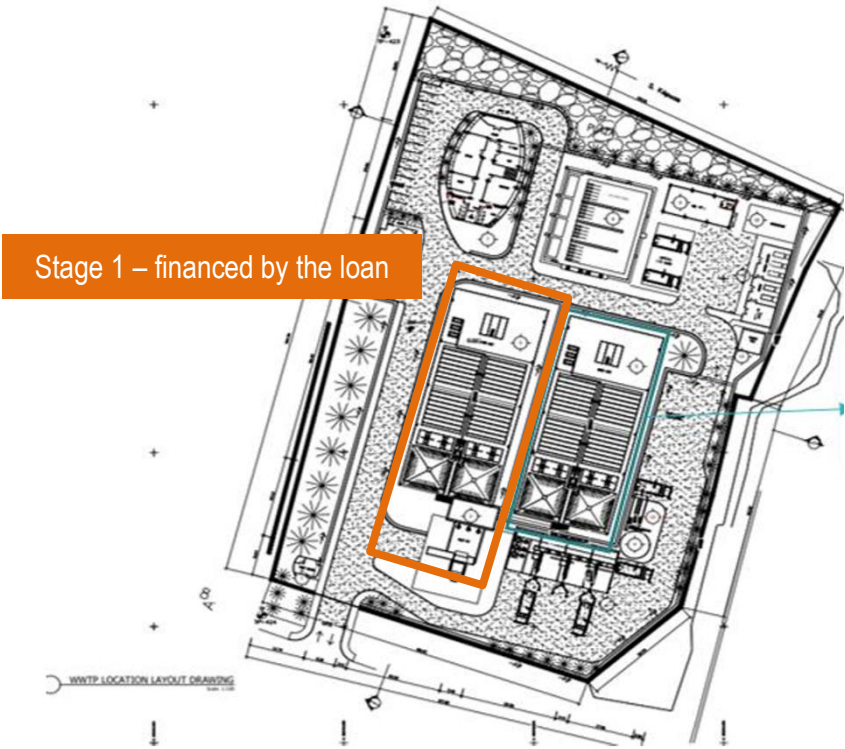


Figure C.6: Site Plan of WWTP Martapura, Pontianak

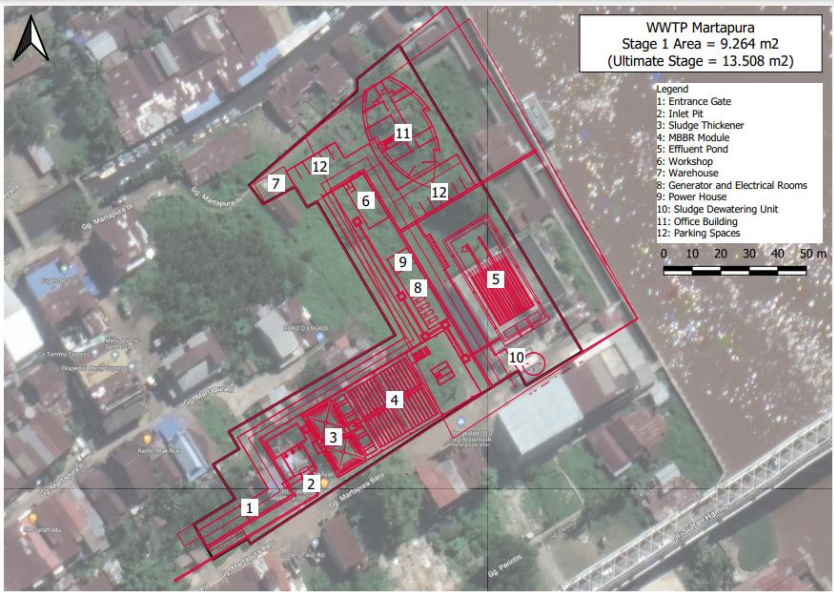
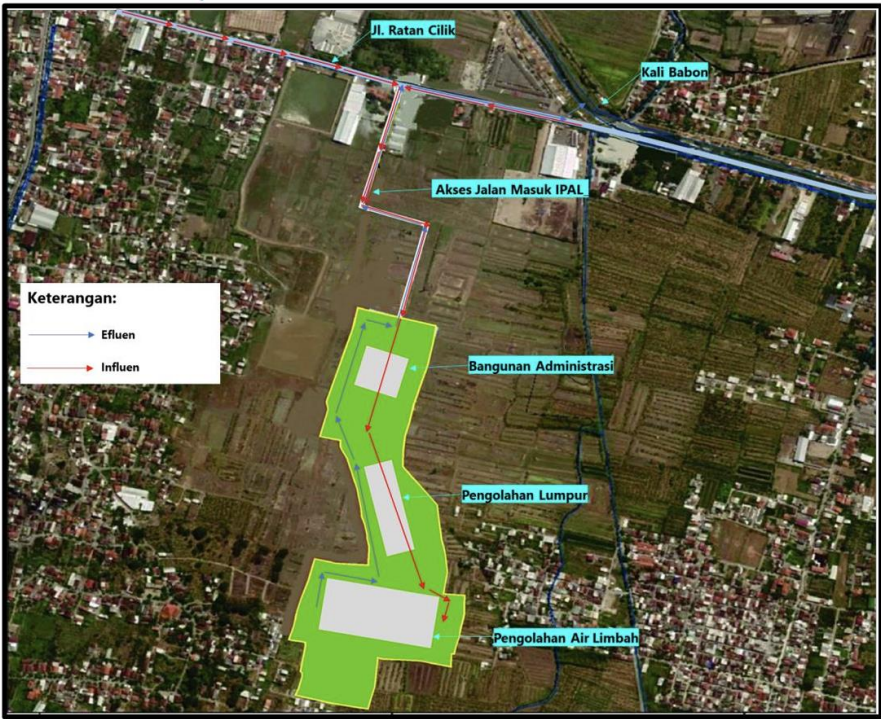


Figure C.7: Site Plan of WWTP Semarang



Appendix D: DETAILED COST ESTIMATE BY EXPENDITURE
(in Millions)

Item	Local Currency (IDR)			Foreign Currency (JPY)			% of Total Base Costs
	Foreign Costs (IDR)	Local Costs (IDR) ^c	Total (IDR)	Foreign Costs (¥)	Local Costs (¥)	Total (¥)	
A. Investment Costs ^{a,b}							
1 Civil works ^d	-	5,222,094.56	5,222,094.56	-	50,026.28	50,026.28	75.4%
2 Consulting services	203,352.56	183,061.95	386,414.50	1,948.06	1,753.68	3,701.75	5.6%
3 Land acquisition and compensation	-	265,584.54	265,584.54	-	2,544.23	2,544.23	3.8%
Subtotal (A)	203,352.56	5,670,741.04	5,874,093.59	1,948.06	54,324.19	56,272.26	84.8%
B. Contingencies							
1 Physical	5,952.68	283,304.41	289,257.08	57.03	2,713.98	2,771.01	4.2%
2 Price	17,625.98	543,847.96	561,473.93	168.85	5,209.92	5,378.77	8.1%
Subtotal (B)	23,578.66	827,152.36	850,731.02	225.88	7,923.90	8,149.78	12.3%
C. Financing Charges During Implementation							
1 Interest during construction	178,434.44	-	178,434.44	1,709.35	-	1,709.35	2.6%
2 Commitment fees	26,725.26	-	26,725.26	256.02	-	256.02	0.4%
Subtotal (C)	205,159.70	-	205,159.70	1,965.38	-	1,965.38	3.0%
Total Project Costs (A+B+C)	432,090.91	6,497,893.40	6,929,984.31	4,139.31	62,248.09	66,387.41	100.0%

Notes: Numbers may not sum precisely because of rounding.

^a Excludes taxes and duties of ¥5,910.61 million. The Government of Indonesia will finance taxes and duties through tax exemptions (in-kind contributions).

^b Base costs in 2nd quarter 2023 prices.

^c Exchange rate of \$1.00 = ¥147.48 (as of 29 November 2023).

^d Includes sediment trap infrastructure amounting to ¥2,710.68 million, which will be funded by the Government of Indonesia.

Source: Asian Development Bank.

Appendix E: DETAILED COST ESTIMATE BY FINANCIER
(¥ Million)

Item	ADB Loan		Government		Total Cost	
	Amount	% of cost category	Amount	% of cost category	Amount	% of Cost
A Investment Costs ^a						
1 Civil works	50,026.09	100.0%	-	0.0%	50,026.09	75.4%
2 Consulting services	3,701.75	100.0%	-	0.0%	3,701.75	5.6%
3 Land acquisition and compensation	4.87	0.2%	2,539.46	99.8%	2,544.32	3.8%
Subtotal (A)	53,732.71	95.5%	2,539.46	4.5%	56,272.16	84.8%
B Contingencies						
1 Physical	2,771.00	100.0%	-	0.0%	2,771.00	4.2%
2 Price	5,378.89	100.0%	-	0.0%	5,378.89	8.1%
Subtotal (B)	8,149.89	100.0%	-	0.0%	8,149.89	12.3%
C Financing Charges During Implementation						
1 Interest during construction	-	0.0%	1,709.32	100.0%	1,709.32	2.6%
2 Commitment charges	-	0.0%	256.02	100.0%	256.02	0.4%
Subtotal (C)	-	0.0%	1,965.35	100.0%	1,965.35	3.0%
Total Project Costs (A+B+C)	61,882.61	93.2%	4,504.80	6.8%	66,387.41	100.0%

Note: Numbers may not sum precisely because of rounding.

^a Excludes taxes and duties of ¥5,910.61 million. The Government of Indonesia will finance taxes and duties through tax exemptions (in-kind contributions).

Source: Asian Development Bank.

Appendix F: DETAILED COST ESTIMATE BY OUTPUT

(¥ million)

Item	Output 1. Sanitation Service Improved and Expanded		Output 2. Regulatory Environment Strengthened		Output 3. Institutional Effectiveness Improved		Total Cost
	Amount	% of cost category	Amount	% of cost category	Amount	% of cost category	Amount
A. Investment Costs ^{a,b}							
1 Civil works	50,026.28	100.0%	0.00	0.0%	0.00	0.0%	50,026.28
2 Consulting services	2,108.96	57.0%	1,061.86	28.7%	530.93	14.3%	3,701.75
3 Land acquisition and compensation	2,544.23	100.0%	0.00	0.0%	0.00	0.0%	2,544.23
Subtotal (A)	54,679.47	97.2%	1,061.86	1.9%	530.93	0.9%	56,272.26
B. Contingencies							
1 Physical	2,719.25	98.1%	34.50	1.2%	17.25	0.6%	2,771.01
2 Price	5,225.53	97.2%	102.16	1.9%	51.08	0.9%	5,378.77
Subtotal (B)	7,944.78	97.5%	136.67	1.7%	68.33	0.8%	8,149.78
C. Financing Charges During Implementation							
1 Interest during construction	1,660.97	97.2%	32.26	1.9%	16.13	0.9%	1,709.35
2 Commitment charges	248.77	97.2%	4.83	1.9%	2.42	0.9%	256.02
Subtotal (C)	1,909.75	97.2%	37.09	1.9%	18.54	0.9%	1,965.38
Total Project Costs (A+B+C)	64,533.99	97.2%	1,235.61	1.9%	617.80	0.9%	66,387.41

Note: Numbers may not sum precisely because of rounding.

^a Excludes taxes and duties of ¥5,910.61 million. The Government of Indonesia will finance taxes and duties through tax exemptions (in-kind contributions).^b Base costs in 2nd quarter 2023 prices.

Source: Asian Development Bank.

Appendix G: DETAILED COST ESTIMATE BY YEAR
(¥ million)

Item	2024	2025	2026	2027	2028	2029	2030	Total Costs
A Investment Costs ^a								
1 Civil works	3,406.63	13,103.20	12,170.32	12,170.32	8,605.30	570.51	-	50,026.28
2 Consulting services	729.46	696.80	696.80	696.80	696.80	185.09	-	3,701.75
3 Land acquisition and compensation	-	2,544.23	-	-	-	-	-	2,544.23
Subtotal (A)	4,136.09	16,344.23	12,867.12	12,867.12	9,302.10	755.59	-	56,272.26
B Contingencies								
1 Physical	206.88	722.16	668.21	664.41	473.69	35.67	-	2,771.01
2 Price	141.54	871.10	1,199.59	1,589.15	1,437.05	140.35	-	5,378.77
Subtotal (B)	348.42	1,593.26	1,867.79	2,253.56	1,910.74	176.01	-	8,149.78
C Financing Charges During Implementation								
Interest during construction	27.53	149.61	334.63	517.94	679.63	-	-	1,709.35
Commitment charges	89.46	74.55	51.95	29.56	9.81	0.70	-	256.02
Subtotal (C)	117.00	224.16	386.58	547.50	689.44	0.70	-	1,965.38
Total Project Costs (A+B+C)	4,601.50	18,161.65	15,121.50	15,668.18	11,902.27	932.31	-	66,387.41

Note: Numbers may not sum precisely because of rounding.

^a Excludes taxes and duties of ¥5,910.61 million. The Government of Indonesia will finance taxes and duties through tax exemptions (in-kind contributions).

Source: Asian Development Bank.

Appendix H: DETAILED COST ESTIMATE BY EXECUTING/IMPLEMENTING AGENCY
(¥ million)

Item	DGHS	Pontianak BPPW	Semarang BPPW	Mataram BPPW	GOI	Total Costs
A Investment Costs						
1 Civil works	-	15,219.94	27,963.27	6,843.07	-	50,026.28
2 Consulting services	1,592.78	604.67	1,224.08	280.21	-	3,701.75
3 Land acquisition and compensation	-	645.49	1,399.70	499.04	-	2,544.23
Subtotal (A)	1,592.78	16,470.09	30,587.06	7,622.32	-	56,272.26
B Contingencies						
1 Physical	51.75	827.69	1,519.72	371.85	-	2,771.01
2 Price	153.24	1,432.84	3,092.63	700.05	-	5,378.77
Subtotal (B)	205.00	2,260.53	4,612.35	1,071.90	-	8,149.78
C Financing Charges During Implementation						
Interest during construction	-	-	-	-	1,709.35	1,709.35
Commitment charges	-	-	-	-	256.02	256.02
Subtotal (C)	-	-	-	-	1,965.37	1,965.37
Total Project Costs (A+B+C)	1,797.78	18,730.62	35,199.41	8,694.22	1,965.37	66,387.41

Note: Numbers may not sum precisely because of rounding.

Source: Asian Development Bank.

Appendix I: PROCUREMENT PLAN

Basic Data

Project Name: Citywide Inclusive Sanitation Project	
Project Number: 54428-001	Approval Number:
Country: Indonesia	Executing Agency: Directorate General of Human Settlements of Public Works and Housing
Project Procurement Risk: High	Implementing Agency: Directorate General of Human Settlements
Project Financing Amount: ¥66,387,410,000 ADB Financing: ¥61,882,608,000 Cofinancing (ADB Administered): Non-ADB Financing: ¥4,504,800,000	Project Closing Date: 30 June 2030
Date of First Procurement Plan: 1 December 2023	Date of this Procurement Plan: 1 December 2023
Procurement Plan Duration: 18 months	Related to COVID-19 response efforts: No
Advance Contracting: Yes	Use of e-procurement (e-GP): Yes https://spseicb.lkpp.go.id/spseicb/

A. Methods, Review and Procurement Plan

Except as the Asian Development Bank (ADB) may otherwise agree, the following methods shall apply to procurement of goods, works, and consulting services.

Procurement of Goods and Works	
Method	Comments
Open Competitive Bidding (OCB) for Works	OCB with international advertising for all packages with or above \$20 million (approx. ¥2,950 million) and OCB with national advertising for all packages below \$20 million (approx. ¥2,950 million).

Consulting Services	
Method	Comments
Quality- and Cost-Based Selection for Consulting Firm	

B. Lists of Active Procurement Packages (Contracts)

The following table lists goods, works, non-consulting and consulting services contracts for which the procurement activity is either ongoing or expected to commence within the procurement plan duration.

Goods and Works							
Package Number	General Description	Estimated Value (in JPY million)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
CWIM-01	WWTP Tanjung Karang, Sekarbela, 8,000 m3/day (ASP) Design & Build	1,770.00	OCB	Prior	1S2E	Q3 / 2024	Non-Consulting Services: No Advertising: National

Goods and Works							
Package Number	General Description	Estimated Value (in JPY million)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: No Bidding Document: Design-Build High Risk Contract: Yes e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: ADB's SBD Design Build 1S2E
CWIM-02	Sewerage Pipe Installation	5,073.00	OCB	Prior	1S1E	Q2 / 2024	Non-Consulting Services: No Advertising: International No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: No Bidding Document: Large Works High Risk Contract: Yes e-GP: Yes

Goods and Works							
Package Number	General Description	Estimated Value (in JPY million)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							e-GP Type: e-Bidding Covid-19 Response? No Comments: ADB's SBD for Works 1S1E (Large works, October 2022 edition) incorporating FIDIC Red Book
CWIP-01	WWTP RPH and Martapura (MBBR) – Design & Build	2,832.00	OCB	Prior	1S2E	Q2 / 2024	Non-Consulting Services: No Advertising: International No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Design-Build High Risk Contract: Yes e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: ADB's SBD Design Build 1S2E
CWIP-02	Sewerage Pipe Installation, RPH A	2,596.00	OCB	Prior	1S1E	Q1 / 2024	Non-Consulting Services: No Advertising: National

Goods and Works							
Package Number	General Description	Estimated Value (in JPY million)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Large Works High Risk Contract: Yes e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: ADB's SBD for Works 1S1E (Large works, October 2022 edition) incorporating FIDIC Red Book
CWIP-03	Sewerage Pipe Installation, RPH B	3,377.00	OCB	Prior	1S1E	Q1 / 2024	Non-Consulting Services: No Advertising: International No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Large Works

Goods and Works							
Package Number	General Description	Estimated Value (in JPY million)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							High Risk Contract: Yes e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: ADB's SBD for Works 1S1E (Large works, October 2022 edition) incorporating FIDIC Red Book
CWIP-04	Sewerage Pipe Installation, Martapura A	3,215.00	OCB	Prior	1S1E	Q1 / 2024	Non-Consulting Services: No Advertising: International No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Large Works High Risk Contract: Yes e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: ADB's SBD for Works 1S1E (Large works, October 2022 edition)

Goods and Works							
Package Number	General Description	Estimated Value (in JPY million)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							incorporating FIDIC Red Book
CWIP-05	Sewerage Pipe Installation, Martapura B	3,200.00	OCB	Prior	1S1E	Q1 / 2024	Non-Consulting Services: No Advertising: International No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: Yes Bidding Document: Large Works High Risk Contract: Yes e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: ADB's SBD for Works 1S1E (Large works, October 2022 edition) incorporating FIDIC Red Book
CWIS-01	WWTP Banjardowo, 25,000 m3/day (ASP) – Design & Build	7,517.00	OCB	Prior	1S2E	Q3 / 2024	Non-Consulting Services: No Advertising: International No. Of Contracts: 1 Prequalification of Bidders: No Domestic

Goods and Works							
Package Number	General Description	Estimated Value (in JPY million)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							Preference Applicable: No Advance Contracting: No Bidding Document: Design-Build High Risk Contract: Yes e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: ADB's SBD Design Build 1S2E
CWIS-02	Main Trunk sewer installation	5,188.00	OCB	Prior	1S1E	Q2 / 2024	Non-Consulting Services: No Advertising: International No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: No Bidding Document: Large Works High Risk Contract: Yes e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments:

Goods and Works							
Package Number	General Description	Estimated Value (in JPY million)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							ADB's SBD for Works 1S1E (Large works, October 2022 edition) incorporating FIDIC Red Book
CWIS-03	Commercial area sewerline (Central and South)	6,283.00	OCB	Prior	1S1E	Q2 / 2024	Non-Consulting Services: No Advertising: International No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: No Bidding Document: Large Works High Risk Contract: Yes e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: ADB's SBD for Works 1S1E (Large works, October 2022 edition) incorporating FIDIC Red Book
CWIS-04	Sewerage Pipe Installation, East Semarang	2,703.00	OCB	Prior	1S1E	Q2 / 2024	Non-Consulting Services: No Advertising: National No. Of Contracts: 1

Goods and Works							
Package Number	General Description	Estimated Value (in JPY million)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: No Bidding Document: Large Works High Risk Contract: Yes e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: ADB's SBD for Works 1S1E (Large works, October 2022 edition) incorporating FIDIC Red Book
CWIS-05	Sewerage Pipe Installation, Genuk A	2,854.00	OCB	Prior	1S1E	Q2 / 2024	Non-Consulting Services: No Advertising: National No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: No Bidding Document: Large Works High Risk Contract: Yes

Goods and Works							
Package Number	General Description	Estimated Value (in JPY million)	Procurement Method	Review	Bidding Procedure	Advertisement Date (quarter/year)	Comments
							e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: ADB's SBD for Works 1S1E (Large works, October 2022 edition) incorporating FIDIC Red Book
CWIS-06	Sewerage Pipe Installation, Genuk B	3,419.00	OCB	Prior	1S1E	Q1 / 2024	Non-Consulting Services: No Advertising: International No. Of Contracts: 1 Prequalification of Bidders: No Domestic Preference Applicable: No Advance Contracting: No Bidding Document: Large Works High Risk Contract: Yes e-GP: Yes e-GP Type: e-Bidding Covid-19 Response? No Comments: ADB's SBD for Works 1S1E (Large works, October 2022 edition) incorporating FIDIC Red Book

Consulting Services							
Package Number	General Description	Estimated Value (in JPY)	Selection Method	Review	Type of Proposal	Advertisement Date (quarter/year)	Comments
CS-01	National Project Management Consultant	530.93	QCBS	Prior	FTP	Q4 / 2023	Non-Consulting Services: No Type: Firm Assignment: National Quality-Cost Ratio: 90:10 Advance Contracting: Yes e-GP: No Covid-19 Response? No
CS-02	Project Implementation and Supervision Consultant (Mataram)	280.21	QCBS	Prior	FTP	Q4 / 2023	Non-Consulting Services: No Type: Firm Assignment: National Quality-Cost Ratio: 90:10 Advance Contracting: Yes e-GP: No Covid-19 Response? No
CS-03	Project Implementation and Supervision Consultant (Pontianak)	605.00	QCBS	Prior	FTP	Q1 / 2024	Non-Consulting Services: No Type: Firm Assignment: National Quality-Cost Ratio: 90:10 Advance Contracting: No e-GP: No

Consulting Services							
Package Number	General Description	Estimated Value (in JPY)	Selection Method	Review	Type of Proposal	Advertisement Date (quarter/year)	Comments
							Covid-19 Response? No
CS-04	Project Implementation and Supervision Consultant (Semarang)	1,224.08	QCBS	Prior	FTP	Q1 / 2024	Non-Consulting Services: No Type: Firm Assignment: National Quality-Cost Ratio: 90:10 Advance Contracting: No e-GP: No Covid-19 Response? No

C. List of Indicative Packages (Contracts) Required Under the Project

The following table lists goods, works, non-consulting and consulting services contracts for which procurement activity is expected to commence beyond the procurement plan duration and over the life of the project (i.e., those expected beyond the current procurement plan duration).

Goods and Works						
Package Number	General Description	Estimated Value (in JPY)	Procurement Method	Review	Bidding Procedure	Comments
None						

Consulting Services						
Package Number	General Description	Estimated Value (in JPY)	Selection Method	Review	Type of Proposal	Comments
SIDC	Sustainability and Institutional Development Consultant	1,061.86				

Appendix J: TERMS OF REFERENCE
NATIONAL PROJECT MANAGEMENT CONSULTANT
(initial draft for further discussion)

A. Project Background

1. The Citywide Inclusive Sanitation Project (CISP, the project) will support the Government of Indonesia in increasing access to climate resilient, adequate, and safely managed sanitation services to about 2.5 million population in the cities of Pontianak, Semarang, and Mataram. It will finance (i) the improvement of resilient, inclusive, adequate, and sustainable sanitation systems, including construction of wastewater treatment plants, collection networks and connections, and improvement to the existing fecal sludge management (FSM) facilities; (ii) strengthening of regulatory environment; and (iii) improvement in institutional effectiveness of the sanitation services operators on governance, digitalization, and asset management.

2. The project is aligned with the following impact: inclusive sanitation facilities to support regional development policy in addressing national disparities improved (National Medium-Term Development Plan 2020–2024). The proposed solutions will result in the following outcome: access to inclusive, climate resilient, adequate, and safely managed sanitation services in project cities improved. The project will have three outputs: (i) sanitation services improved, expanded, and made climate resilient (Output 1); (ii) regulatory environment strengthened (Output 2); and (iii) institutional effectiveness improved (Output 3).

3. The project will be managed by the central project management unit (CPMU) under the Directorate of Sanitation, under the Directorate General of Human Settlements (DGHS), in the Ministry of Public Works and Housing (MPWH). Under the CPMU, there will be a local project management unit (LPMU), which will consist of the public works agency and the planning agency in each project city. The implementation of the project will be carried out by the EA with support from CPMU, IAs, LPMUs in each project city and relevant stakeholders.

4. As part of the project, the following packages will be delivered:

I. Civil Works

MATARAM

1. CWIM-01 WWTP Tanjung Karang, Sekarbela, 8,000 m³/day (ASP) Design & Build
2. CWIM-02 Sewerage Pipe Installation

PONTIANAK

3. CWIP-01 WWTP RPH and Martapura (MBBR) - Design & Build
4. CWIP-02 Sewerage Pipe Installation, RPH A
5. CWIP-03 Sewerage Pipe Installation, RPH B
6. CWIP-04 Sewerage Pipe Installation, Martapura A
7. CWIP-05 Sewerage Pipe Installation, Martapura B

SEMARANG

8. CWIS-01 WWTP Banjardowo, 25,000 m³/day (ASP) – Design-Build
9. CWIS-02 Main Trunk sewer installation
10. CWIS-03 Commercial area sewerline (Central and South)
11. CWIS-04 Sewerage Pipe Installation, East Semarang
12. CWIS-05 Sewerage Pipe Installation, Genuk A

13. CWIS-06 Sewerage Pipe Installation, Genuk B

II. Consulting Services

1. CS-01: National Project Management Consultant (NPMC)
2. CS-02: Project Implementation Support Consultant (PISC – Mataram)
3. CS-03: Project Implementation Support Consultant (PISC – Pontianak)
4. CS-04: Project Implementation Support Consultant (PISC – Semarang)

B. Purpose of the Assignment

5. A consulting firm will be recruited to act as the National Project Management Consultant (NPMC) for the proposed Citywide Inclusive Sanitation Project. The NPMC will be expected to work closely with the CPMU throughout project implementation by ensuring the effective implementation and timely completion of the Project.

6. The role of the NPMC is to support the project implementation at national level. Key scope of works of the NPMC will include: (i) procurement and contracting support, including the evaluation process and support of contract negotiations; (ii) overall support to project management in three cities; (iii) oversee capacity building and institutional development consultant; (iv) oversee environmental and social safeguard services; and (v) overall program management, coordination, reporting, and monitoring services. The NPMC will oversee, monitor, assist, and coordinate with three PISCs in project cities.

C. Duration and Location of the Services

7. The CISP's implementation period is six years. The NPMC is expected to provide support to the CPMU throughout the implementation period.

8. The assignment will be based in Jakarta, Indonesia, and the NPMC will oversee, coordinate and monitor overall implementation in the three project cities of Pontianak, Semarang, and Mataram. Travel to the project sites will be required.

D. Scope of Services

9. The scope of services of the NPMC is described below.

Output 1: Sanitation services improved, expanded, and made climate resilient.

10. The services to be provided by the NPMC to support output 1 include, but not limited to:
 - (i) facilitate, oversee, monitor, and provide technical inputs the design and construction of wastewater treatment plants and sewer networks to expand access to sanitation services;
 - (ii) ensure that the developed sanitation infrastructure incorporates climate resilient features to withstand potential climate-related challenges;

- (iii) assess and provide recommendation in strengthening city-level information and disaster management systems to be integrated with the sanitation facilities¹
- (iv) assess and develop the roadmap for fecal sludge management (FSM) upgrading in three cities. Where necessary, produce basic design for FSM upgrading for the city governments
- (v) manage, monitor, and provide advice (as needed) to the IAs and PISCs, which will supervise and manage the implementation of the civil works contracts to ensure adherence to design standards and quality;
- (vi) provide technical support and guidance to address any technical and operational issues related to the expanded sanitation infrastructure;
- (vii) monitor and assess the resilience of the developed sanitation infrastructure to climate change impacts, and propose adaptation measures, if necessary;
- (viii) coordinate with CPMU, IA, PISCs to ensure effective project management and timely completion of all works; and
- (ix) contribute to the overall project coordination, reporting, and monitoring efforts related to Output 1, in alignment with the project objectives and guidelines.

Output 2: Regulatory environment strengthened.

11. The services to be provided by the NPMC to support output 1 include, but not limited to::
- (i) Monitor and oversee the preparation of WWTP operation and maintenance guidelines with consideration of climate resilience, gender and social inclusion (GESI) responsive measures and provide technical advice as appropriate;
 - (ii) Monitor and oversee the develop wastewater tariffs and other measures (e.g., transfers or taxes) for 100% O&M cost established for sanitation services and provide technical advice as appropriate;
 - (iii) Monitor and oversee the wastewater tariff legalization process, billing system and/or tariff collection mechanism and provide technical advice as appropriate;
 - (iv) conduct a gender and socio-economic analysis to inform the tariff setting process, including conducting an affordability analysis, ensuring affordability for poor households, including poor female-headed households, in accessing wastewater services;
 - (v) assist in the formulation of policies and guidelines to promote financial sustainability of sanitation investments and ensure efficient revenue collection for wastewater services;
 - (vi) monitor and oversee the development of guidelines for integration of sewer and non-sewer systems which also includes stakeholders mapping such as private desludging operators. NPMC will provide technical advice and guidance as appropriate;
 - (vii) monitor the implementation of policy and regulatory measures to ensure compliance and effectiveness in enhancing the sanitation sector;

¹ Existing disaster early warning systems in the cities make use of various hydrometeorological data as input. Recommendation will be provided by the project consultant team to formulate necessary responsive actions related to sanitation services to address the early warning provided by the systems (for example: following an early warning on heavy rainfall and flood risk in a specific area, the operators will perform septic tank desludging in such area to minimize possible risk of groundwater pollution due to the flood, etc.). In addition, the existing early warning system related to health will also be integrated with wastewater quality monitoring. The monitoring will provide early warning signs of the presence of diseases within a community. Wastewater sampling can help timely assessment of the risks of a disease becoming more prevalent and implementation of public health interventions to prevent or control the spread of a disease. A gender-responsive early warning system will ensure that different roles and responsibilities of men and women within families and communities are accounted for in ensuring access to disaster warnings.

- (viii) conduct regular assessments and evaluations to measure the impact of the strengthened policy and regulatory environment on the expansion and improvement of on- and off-site sanitation services;
- (ix) provide support in mainstreaming gender and social inclusion considerations into future sanitation expansion plans and initiatives; and
- (x) contribute to the overall project coordination, reporting, and monitoring efforts related to Output 2, ensuring alignment with project objectives and guidelines.

Output 3: Institutional effectiveness improved.

12. The NPMC will support and provide services to support the improvement of institutional effectiveness for sanitation management in the project. The NPMC will:

- (i) support the integration of water supply and wastewater management functions within a single utility to improve operational efficiency and effectiveness where appropriate;
- (ii) Monitor and oversee capacity building undertaken by PISCs to strengthen the capacity of the wastewater operators in project cities. NPMC will provide technical advice and guidance as necessary to both PISCs and the wastewater operators;
- (iii) provide technical assistance and guidance to the wastewater operators in the project cities to enable the integration of water supply and wastewater management;
- (iv) assess and provide recommendations for PPP modality of private sector engagement in public sector, especially in (i) septic sludge collecting companies and (ii) investigate in depth the possibilities of the private sector involvement in O&M activities of WWTPs;
- (v) support the implementation of gender-sensitive Water, Sanitation, and Hygiene (WASH) activities to promote the importance of safely managed sanitation, hygiene, and health;
- (vi) provide technical assistance and guidance to the wastewater operators in the project cities to build their capacity to assess and manage climate risks.
- (vii) assess the feasibility of utilizing digital tools for improved service provision and identify suitable technologies for remote monitoring and operational management;
- (viii) conduct regular evaluations and assessments of institutional effectiveness in sanitation management, identifying areas for improvement and proposing recommendations;
- (ix) develop and implement a Project Performance Monitoring System (PPMS) for each city to effectively manage and optimize project benefits, including monitoring and evaluation of project outcomes. The PPMS shall be monitored on a monthly basis by the PISC in the three cities; and
- (x) contribute to the overall project coordination, reporting, and monitoring efforts related to Output 3, ensuring alignment with project objectives and guidelines.

13. In addition, the NPMC will be required to support:

Procurement and contracting support

- (i) Ensure adherence to ADB's Procurement Policy for all procurement activities, utilizing standard bidding documents.
- (ii) Notify ADB and CPMU for approval if contract form deviates from standard bidding documents.

- (iii) Apply value-for-money (VFM) principles throughout the project, controlling costs and enforcing robust O&M standards.
- (iv) Promote fair competition and select bidders capable of delivering VFM, evaluating costs, benefits, risks, and non-price attributes.
- (v) Support CPMU and IAs throughout the entire bidding process, from pre-qualification to contract award and signing.
- (vi) Conduct detailed examination of Design-Build bid proposals to select preferred contractors using Best Available Techniques Not Entailing Excessive Costs (BATNEEC) criteria.
- (vii) Provide recommendation for O&M outsourcing contract for private sector (PPP scheme).
- (viii) Ensure inclusion of social and environmental safeguard clauses in bidding documents, adhering to ADB's Safeguards Policy.
- (ix) Pay specific attention to design drawings in Design-Build contracts, defining buffer zones and reflecting resettlement corridors.
- (x) Establish and maintain an updated CISP website displaying contract packages, implementation plans, and utilization of loan proceeds.
- (xi) Provide details of each awarded contract within one week of the award.
- (xii) Provide capacity building training to the PMUs and IAs on procurement following ADB Procurement Policy, to include procurement planning, tendering and evaluation, and contract management according to FIDIC conditions of contract.

Environmental safeguards

- (i) Support the CPMU and work closely with IAs and contractors to monitor compliance with ADB's SPS (2009) related to environmental safeguards, as well as domestic environmental compliance and corresponding requirements.
- (ii) Assist the IAs to ensure that environmental conditions and requirements of the Loan Agreement, PAM, IEEs, corresponding EMPs and domestic environmental compliance process (AMDAL) are included in the bidding documents and civil works contracts.
- (iii) Conduct any further environmental due diligence assessments and environmental due diligence documents updates for disclosure to the ADB website on behalf of the borrower as required at the DED stage and for any project variations, minor and/or major scope changes, and in compliance with any national requirements and policies.
- (iv) Provide capacity development training to the contractor as per the IEE/EMP requirements for them to be able to prepare the CEMP(s) based on the final updated EMP(s).
- (v) Support the CPMU to review and approve the CEMP(s) and associated site-specific health and safety management plans and ensure these are in place before works commence and before any no objection can be granted for works to commence.
- (vi) Establish a system to monitor environmental safeguards, prepare indicators for monitoring important parameters, and monitor the implementation of the mitigation actions as laid forth in the cleared final IEE and EMP(s) and the CEMP(s) by the contractors of the Projects.²

² CEMP will be replaced by 'Site Specific EMP (SSEMP)' and 'Site Specific Health and Safety Management Plan (SSHSM)' in future ADB works contracts/bidding documents and therefore this may be changed at Detailed Engineering Design (DED) stage.

- (vii) Prepare and provide any environmental safeguards inputs to the CPMU as required for the project quarterly, six monthly and annual project progress reporting to ADB.
- (viii) Prepare and submit the semi-annual monitoring reports for environmental safeguards (following the template to be provided by ADB) to the IAs and CPMU which then be submitted further to ADB. A copy of the report will be provided to the local government.
- (ix) Training, capacity development and environmental quality monitoring are to be conducted as laid forth in the respective IEE and EMPs.
- (x) Monitor the project GRM and any grievances and prepare and monitor any required corrective actions and plans. Any identified issues need to be reported immediately to ADB as per the loan agreement for ADB to issue guidance on the appropriate actions moving forward.
- (xi) Coordinate meaningful public consultation with IAs in accordance with the schedule defined in the respective EMPs.
- (xii) Contribute to the environmental sections of the Project Completion Report.

Social safeguards

- (i) Assist the IAs to ensure that social safeguard conditions and requirements of the LA, Project Administration Manual (PAM) and the RPs and DDR are included in the civil works contracts.
- (ii) Support implementation of the resettlement plans, together with the relevant government focal points.
- (iii) Grievance monitoring, reporting and support for resolution.
- (iv) Development and implementation of corrective action plans (CAP), where required.
- (v) Ensure that social safeguards are monitored during implementation, especially regarding unanticipated construction impacts.
- (vi) Together with the local Governments conduct public consultation, disclosure of an updated RP and a summary in the local language, distribution of leaflets, and related information.
- (vii) Based on the detailed designs access the final impacts related to land and involuntary resettlement and update the resettlement plan / DDR if required.
- (viii) Lead the update of the RP for Pontianak, including meaningful consultation with affected HHs to ensure new location is equivalent in terms of livelihood opportunities.
- (ix) Establish a system to monitor social safeguards and prepare indicators for monitoring important parameters of safeguards of the Project.
- (x) Prepare and submit semi-annual social monitoring reports to the IAs and CPMU which then be submitted further to ADB. A copy of the report will be provided to the local governments of the project cities.
- (xi) Monitor the Grievance Redress Mechanism (GRM) and any grievances and prepare and monitor any required corrective actions and plans. Any identified issues need to be reported immediately to ADB as per the LA for ADB to issue guidance on the appropriate actions.
- (xii) Ensure capacity-building training and establish a focal point regarding the GRM.
- (xiii) Monitor construction to ensure that all works are conducted within the corridor of impact as depicted in the DED and RP.
- (xiv) Training on ADB social and environmental safeguard requirements (SPS 2009) to the IA and contractors.

Financial Sustainability

- (i) Facilitate regular reviews of the project cities water services performance and compliance against policies and procedures and identifying any corrective actions for implementation.
- (ii) Reviewing the performance of the O&M service provider against performance requirements in their contract for the financial component of the O&M services and training program.
- (iii) Reviewing financial systems, documentation and training modules prepared by the O&M service provider for the project cities including: (a) customer billing and collection, (b) financial planning and budgeting, (c) inventory accounting, (d) fixed assets accounting, (e) financial information reporting and monitoring, and (f) overall internal control.
- (iv) Providing support as necessary in the development and establishment of a benchmarking program.
- (v) Providing detailed and close support in the preparation of all progress and other reports, as well as support to ADB loan review missions.

Financial management and Accounting

- (i) Reviewing current accounting and administrative capacities within each of the three project cities water services, the internal control system employed, and internal and external auditing procedures, and produce an assessment report for consideration by the executing agency.
- (ii) Developing a project-specific financial management manual for the project's use
- (iii) Providing support in overall management of project accounts in accordance with ADB and government's requirements and regulations
- (iv) Developing of an accounting system to record and to report the transaction, including a Chart of Accounts, disbursement voucher, receipt vouchers, petty voucher that may be required from time to time for any changes in approved project activities;
- (v) Ensuring all fund receipts and expenditures are authorized in line with established financial procedures and loan agreement with proper supporting documents and are properly recorded in the accounting system;
- (vi) Supporting the preparation of required financial reports, project financial statements, budgets, disbursement plans, etc.
- (vii) Reviewing withdrawal applications together with the relevant supporting documents including Statement of Expenditures (SOE), Summary Sheet (SS), obtaining DGHS' approval on the application and forwarding the signed WAs to MOF, and updating payment tracking of WA registers;
- (viii) Liaising effectively with auditors to ensure effective annual audits in accordance with the ADB requirement;
- (ix) Maintaining close coordination with ADB to ensure timely submission of documents relating to audit and withdrawal applications and resolution on issues relating to withdrawal application documents submitted by EA.
- (x) Supporting the transfer knowledge on financial management to be delivered for project staff under the workshop arrangement or on the job-training;
- (xi) Monitoring progress and update status of the Project's financial management action plan (FMAP), and as may be required, follow up on completion of actions in the FMAP;
- (xii) Assisting the CPMU on preparations for, and during Project Reviews and ADB

- missions; and
- (xiii) Performing other relevant tasks as required by CPMU.

Gender awareness

- (i) Developing and implementing assistance in gender and social development to promote gender awareness and strengthen capacity for gender mainstreaming, community mobilization, partnership building as well as addressing social development and protection matters in project implementation.
- (ii) Prepare detailed plans, implement, monitor, and report on poverty reduction and social plans and GAP progress, and identify corrective measures, when necessary, to ensure GAP and SPRSS outcomes.
- (iii) Develop and facilitate training of staff on Gender, social development and community facilitation strategies while ensuring that technical and management training courses have 50% female participants.
- (iv) Assess and ensure that mechanisms, processes, and capacities are in place to expand orientation of sewerage service delivery as public service.
- (v) Support CISP PPMS through identification and monitoring of sex-disaggregated indicators.

Resettlement plan

- (i) Conduct detailed measurement survey (DMS) of affected assets and confirm the number of permanent and temporary loss of land and assets not already included in the resettlement plan (RP).
- (ii) Conduct asset registration survey to confirm all impacted assets, impacted households, and number of severely affected households due to the loss of productive agricultural land and residential structures.
- (iii) Provide photos of each affected household (preferably with all persons present) to be taken in front of their abode, with their household ID (unique identifier). Consent should be sought prior to photo taking and should the household refuse, a signed letter declining the photo is to be provided.
- (iv) All documents (inventory of loss, detailed measurement survey, socio-economic survey of affected households, compensation forms, grievances, etc) should include household IDs (unique identifier) both on the document and on e-files.
- (v) Assist in the conduct of the information campaigns and public consultation.
- (vi) Assist PMU to (a) supervise and monitor land acquisition and resettlement, in accordance with the endorsed RPs and ADB's Policy on Involuntary Resettlement, and (b) implement the resettlement plans with a focus on community consultation, entitlement review, compensation assessment, and grievance procedures.
- (vii) Provide close guidance and support to the self-resettlement process, including but not limited to developing self-resettlement plans at a household level and engage in its implementation and follow up.
- (viii) Assist the LPMU in the establishment and operation of the combined social and environmental project grievance redress mechanism (GRM).
- (ix) Ensure that grievances redress mechanism is appropriate and provide advice and support to promote speedy resolutions.
- (x) Prepare RPs inventory of losses and public information booklets/pamphlets in the local language.
- (xi) Provide inputs to the DED and other documents as required by the Team Leader.
- (xii) Establish and implement procedures for ongoing internal monitoring.

- (xiii) Assist LPMU in preparing the internal monitoring reports.
- (xiv) Provide orientation and capacity development on LAR, project policies, grievance redress procedure, public consultation process, and effective RP implementation to staff of LPMU and district agencies.
- (xv) Draft compensation completion reports for submission and disclosure.

Climate Change

- (i) Develop detailed work plan for conducting climate, disaster risk and adaptation assessment (CDRA). The work plan shall define (a) key study areas and study timeframe; (b) climatic and hydrological variables to be analyzed, inventory of data required for the study, and data acquisition plan; (c) methods and techniques for climate scenario analyses; (d) methods for risk assessment; (e) methods for identifying, discussing and agreeing upon resilience building measures; (f) a plan for interacting with the ADB team and the local project authorities; and (g) key outputs with milestones.
- (ii) Based on the impact and vulnerability assessment conducted by the national climate change specialist, identify all potential climate adaptation and disaster risk management (CADRM) solutions, including soft and hard measures and with an emphasis where possible on nature-based solutions.
- (iii) Conduct multi-stakeholder consultations to (a) identify and confirm all options, including their costs, benefits, and risks; and (b) consult findings with community and relevant experts in the field to verify and refine selected CADRM options including the ADB program team, PLN, and other relevant stakeholders as needed.
- (iv) Based on tasks 1 to 3, evaluate CADRM measures and options for the proposed program based on feedback from CPMU, with guidance from ADB, and support the economic analysis of adaptation options and in defining co-benefits of the identified measures.
- (v) Develop implementation plan and incorporate selected CADRM priorities into the program design, annual work program including institutional arrangements and budget, and provide necessary support to PLN in implementing the agreed measures.
- (vi) Identify any additional capacity-building needs required for the executing agency and conduct the training workshops to CPMU and other relevant government agencies.
- (vii) Develop monitoring and evaluation plan, identify indicators to monitor vulnerability reductions and sustainability of CADRM measures in the context of the program implementation.
- (viii) Estimate GHG emission reductions, assess reduced BOD loading, assess/analyze if methane produced by WWTP with anaerobic treatment will be utilized for energy production.
- (ix) **Specific for Mataram:** Carry out further assessment on ongoing coastal erosion in Mataram, facilitate consultation with relevant stakeholders responsible for coastal intervention, ensure monitoring mechanism on this matter is in place during project implementation period.
- (x) **Specific for vector-borne diseases (VBD):** various climate change factors, such as the increase in mean, minimum, and maximum temperature; extreme weather events (heavy rainfall and drought); and the change of precipitation and humidity levels have a direct impact on VBD. WASH interventions, such as proposed under CISP, have the potential to compensate for the negative impact of climate change on VBD.

- (xi) Therefore, explore whether there are links between climate change and VBD in Indonesia and whether the project activities present an opportunity to build resilience to VBD. The findings will help to inform the project's economic analysis and climate change assessment while presenting an opportunity to develop knowledge that may be relevant to investments to build resilience against VBD.
- (xii) Outcome: report with recommendations to add implementation of an early warning system, which would make use of hydro-meteorological information from the national weather service and provide a prediction of possible health-related impacts related to extreme rainfall, high temperatures, etc. and add to any existing operational warning system in the cities providing these types of real-time information.

Community engagement and outreach during project design and construction

- (i) Facilitate semi-annual project steering committee meeting and provide updates on project implementation matters/key issues.
- (ii) Conduct community consultation, dialog, or public campaign to obtain wide-ranging community support for wastewater connectivity, ensuring a collaborative and participative approach involving various city agencies and key stakeholders.
- (iii) Collaborate with agencies like BAPPEDA, public works and settlement office, health office, education affairs office, social affairs office, subdistricts, and village officials to ensure a broader stakeholder involvement in the community outreach activities.
- (iv) Extend community outreach efforts beyond households to include schools and other relevant groups, promoting widespread adoption of wastewater connectivity.
- (v) Explore potential incentives that can be provided to households willing to connect to the wastewater system, enhancing their motivation and willingness to connect.
- (vi) Obtain written agreements from the community to be connected during the project design phase, ensuring clear consent and commitment before project construction.
- (vii) Monitor overall project implementation and coordinate with CPMU as well as LPMU.
- (viii) Determine need and demand for sanitation services and input into project design; explain benefits of project, impacts during construction, gender awareness, etc.

E. Output and Reporting Requirements

E.1. Team Composition and Qualification Requirements for the Key Experts

14. The consulting services will be provided by a consulting firm, which will be engaged in accordance with ADB's Procurement Regulations for ADB's Borrowers (October 2017, as amended from time to time) using quality and cost-based selection criteria with a quality cost ratio of 90:10, using full technical proposal procedures.

15. The consulting firm will include an estimated 733 person-months. Proposing firms have some flexibility to determine the number and nature of the experts they will require to achieve the objectives of the contract, in accordance with their proposed approach and methodology and to ensure the output deliverables are prepared to an agreeable standard. However, the assignment requires minimum expertise in specific areas, with the minimum international and national person-months as listed in **Table 1**.

Table 1: List of Experts, Indicative Person-Months

Code	Position Title	Indicative Total Person-Months
A	International Key Experts	
K-A1	Team Leader – Project Manager	30
K-A2	Procurement Specialist	5
K-A3	Environmental Safeguard Specialist (Senior International/Senior National)	18
K-A4	Social Safeguards / Resettlement Specialist (Senior International/Senior National)	16
K-A5	Financial Management/Sustainability Specialist	12
K-A6	Gender and Social Development Specialist (Senior International/Senior National)	6
K-A7	Climate Change Specialist	12
K-A8	Monitoring and Evaluation Specialist	4
	Subtotal PM	103
B	National Key Experts	
K-B1	Deputy Team Leader – Civil/Sanitation Engineer	66
K-B2	Procurement and Contract Management Specialist	12
K-B3	Financial Management Specialist	48
K-B4	Economist/ Public-Private Partnership (PPP) Specialist	32
K-B5	Safeguards – Environment Specialist	20
K-B6	Gender and Social Development Specialist	24
K-B7	Climate Change Specialist	6
K-B8	Fecal Sludge Management Specialist	6
	Subtotal PM	214
C	National Non-Key Experts	
NK-C1	Office Manager	60
NK-C2	Bilingual Secretary	60
NK-C3	IT Support	36
NK-C4	Office Staff (4 positions – 1 office cleaner, 1 driver, 2 security guards)	240
NK-C5	Marketing specialist/public campaign/community engagement expert	20
	Subtotal PM	416
	TOTAL PM	733

16. The qualification requirements for the mandatory experts needed are in **Table 2**. The CVs of these mandatory experts must be submitted.

Table 2: Qualification and Experience Requirements

Code	Position Title	Minimum Qualification	Minimum Work Experience
A	International Key Experts		
K-A1	Team Leader – Project Manager	Master's degree in project management, civil/sewerage engineering, or equivalent.	<p>At least 20 years postgraduate experience in project management or civil engineering works, including sewerage installation and wastewater treatment plant construction. At least 15 years' experience as a Team Leader on similar projects, managing multi-disciplinary teams. Demonstrated ability to work with a wide range of stakeholders.</p> <p>Previous experience on infrastructure projects financed by ADB or other multilateral development agencies in Indonesia or Southeast Asia is an advantage.</p>
K-A2	Procurement Specialist	Bachelor's degree in civil engineering, law, contracts/procurement, or related discipline.	<p>At least 10 years' experience in the procurement and contract management for major civil works, of which 5 years' experience are on ADB or other multilateral development agencies funded projects.</p> <p>Experience with the <i>Federation International Des Ingenieurs Conseils</i> (FIDIC) based contract documents and contracting and implementation of design and build contracts preferably in water and/or wastewater treatment plants are required.</p> <p>Previous experience on infrastructure projects financed by ADB or other multilateral development agencies in Indonesia or Southeast Asia is an advantage.</p>
K-A3	Environmental Safeguard Specialist (Senior International/ Senior National)	Master's degree or equivalent required in environmental management, environmental engineering, biological sciences, or equivalent.	At least 15 years' experience in environmental management of urban infrastructure projects (water, wastewater/sanitation, solid waste), including leading environmental, health and safety compliance monitoring of construction works, preparation of

Code	Position Title	Minimum Qualification	Minimum Work Experience
			<p>environmental impact assessment and construction works supervision for environmental issues.</p> <p>Knowledge of relevant environmental and health and safety standards and legislation applicable to Indonesia is an advantage.</p> <p>EHS/OHS expertise and experience in projects with ADB Environmental Safeguards Policies and IFC and/or World Bank Performances Standards are required.</p> <p>Previous experience on infrastructure projects financed by ADB or other multilateral development agencies in Indonesia or Southeast Asia is an advantage.</p>
K-A4	Social Safeguards / Resettlement Specialist (Senior International/ Senior National)	Master's degree in social science or equivalent.	<p>At least 10 years of experience with international social and resettlement activities.</p> <p>Technical knowledge in the detailed processes of resettlement from a variety of Asian contexts as well as knowledge of Indonesian land laws, regulations and procedures and ADB's 2009 Safeguard Policy Statement (SPS) and their requirements.</p> <p>Knowledge of relevant standards and legislation applicable to Indonesia is highly desirable.</p> <p>Previous experience on infrastructure projects financed by ADB or other multilateral development agencies in Indonesia or Southeast Asia is an advantage.</p>
K-A5	Financial Management/Sustainability Specialist	Master's degree in finance, accounting, economics, business management,	At least 10 years' working experience in financing improvement and reform of urban sanitation (water & wastewater management) institutions or utilities.

Code	Position Title	Minimum Qualification	Minimum Work Experience
		administration, or a related discipline.	<p>Including experience in business modelling, tariff setting and designing cost recovery systems and billing mechanisms.</p> <p>Previous experience on infrastructure projects financed by ADB or other multilateral development agencies in Indonesia or Southeast Asia is an advantage.</p>
K-A6	Gender and Social Development Specialist (Senior International/ Senior National)	Master's degree in social science or a related discipline.	<p>At least 10 years of relevant experience and at least 8 years' experience in developing and implementing gender programs and social development to promote awareness and strengthen capacity for gender mainstreaming.</p> <p>Previous experience on infrastructure projects financed by ADB or other multilateral development agencies in Indonesia or Southeast Asia is an advantage.</p>
K-A7	Climate Change Specialist	Bachelor's degree in climate science or related field, preferably with relevant post-graduate qualifications.	<p>At least 10 years of relevant experience and 8 years specific experience in climate change analysis; climate change impacts and vulnerability assessments, risk management and/or adaptation planning and practices. Experience in climate change for water and/or sanitation and/or health sectors would be an advantage.</p> <p>Previous experience on infrastructure projects financed by ADB or other multilateral development agencies in Indonesia or Southeast Asia is an advantage.</p>
K-A8	Monitoring and Evaluation Specialist	Postgraduate degree in social sciences or a related field.	At least ten years' experience on international development projects or a related field and have at least 5 years' experience as a project monitoring expert or related area.

Code	Position Title	Minimum Qualification	Minimum Work Experience
			Previous experience on infrastructure projects financed by ADB or other multilateral development agencies in Indonesia or Southeast Asia is an advantage.
B	National Key Experts		
K-B1	Deputy Team Leader – Civil/Sanitation Engineer	Bachelor's degree in civil/sanitary engineering or equivalent.	<p>At least 15 years of relevant working experience in urban sanitation projects (onsite and offsite systems). Experience in implementing works under FIDIC contracts is required. Working experience in the following areas in preferable: (i) sanitation, and (ii) soft components of sanitation sector (institutional aspect, policy and regulation, and community outreach, etc.). Strong managerial skills are also required.</p> <p>Experience in (i) projects financed by ADB or other international development organization, (ii) PPP for water supply and sanitation, and (iii) working with DGHS, MPWH and the local governments in sanitation sector would be an advantage.</p> <p>Experience as a Team Leader or deputy Team Leader or Project Manager for at least 8 projects. He/she shall replace the Team Leader in all tasks during his absence.</p> <p>Fluency in English is required.</p>
K-B2	Procurement and Contract Management Specialist	Bachelor's degree in contract management or relevant field.	<p>At least 10 years of experience in dealing with procurement issues.</p> <p>Familiarity and strong knowledge regarding ADB, and other donors' procurement guidelines and regulations (including social and environmental safeguards) is required.</p>

Code	Position Title	Minimum Qualification	Minimum Work Experience
			<p>Strong knowledge regarding relevant multilateral donor agency guidelines (preferably ADB's guidelines) and relevant GOI's regulations is required.</p> <p>Experience in outsourcing contracts to private sector (PPP contracting of sludge collecting and O&M services)</p> <p>Fluency in English is required.</p>
K-B3	Financial Management Specialist	Bachelor's degree in accounting or finance.	<p>At least 8 years of relevant work experience, and preferably experience in working for a project loan-funded by multilateral agency projects for 6 years.</p> <p>Professionally qualified as accountants with at least 5 years of professional experience in current accounting standards and procedures and design and development of accounting and budgeting systems for public enterprises.</p> <p>Fluency in English is required.</p>
K-B4	Economist / Public-Private Partnership (PPP) Specialist	Bachelor's degree in economics.	<p>At least 8 years of relevant work experience, including conducting and analysis of socioeconomic surveys, affordability analysis. To provide guidance on economic documents of the project, and, preferably with experience in working for a project loan-funded by multilateral agency projects for 6 years.</p> <p>Must have experience in private sector engagement in public sector, preferably in sludge collecting companies and O&M private sector involvement.</p> <p>Fluency in English is required.</p>

Code	Position Title	Minimum Qualification	Minimum Work Experience
K-B5	Safeguards – Environment Specialist	Bachelor's degree in a relevant discipline such as environmental management, engineering, or the biological sciences.	<p>Working knowledge of relevant environmental and health and safety standards and legislation applicable to Indonesia is required.</p> <p>Accredited environmental health and safety (EHS) training and expertise is preferred.</p> <p>A minimum of at least 5 years of experience of environmental impact assessment and EHS work in infrastructure projects required.</p> <p>Experience in working with ADB Environmental Safeguards Policies and IFC and/or World Bank Performance Standards is an advantage.</p> <p>Fluency in English is required.</p>
K-B6	Gender and Social Development Specialist	Bachelor's degree in social science.	<p>At least 8 years of relevant experience and at least 6 years' experience in developing and implementing gender programs and social development to promote awareness and strengthen capacity for gender mainstreaming.</p> <p>Previous experience on infrastructure projects financed by ADB or other multilateral development agencies in Indonesia or Southeast Asia is an advantage.</p> <p>Fluency in English is required.</p>
K-B7	Climate Change Specialist	Bachelor's degree in climate science or related field, preferably with relevant post-graduate qualifications.	<p>At least 10 years of relevant experience and 5 years specific experience in climate change analysis; climate change impacts and vulnerability assessments, risk management and/or adaptation planning and practices. Experience in climate change for water and/or sanitation sectors would be an advantage.</p>

Code	Position Title	Minimum Qualification	Minimum Work Experience
			<p>Previous experience on infrastructure projects financed by ADB or other multilateral development agencies in Indonesia or Southeast Asia is an advantage.</p> <p>Fluency in English is required.</p>
K-B8	Fecal Sludge Management Specialist	Bachelor's degree in civil or environmental engineering, hydraulic networks or a combination of a first degree, post-graduate/professional training.	<p>At least 10 years of general experience; At least 7 years of experience in FSM; Experience and knowledge in Citywide Inclusive Sanitation (CWIS) principles and projects is an advantage, and robust understanding of the practices of water supply, sanitation, and hygiene (WASH) is desirable; Preference will be given to candidates able to demonstrate experience of working in projects where partnerships were fostered with the private sector, government agencies, and community groups and/or nongovernmental organizations;</p> <p>Fluent in written and spoken English with excellent technical report writing skills is required.</p>
C	National Non-key Experts		
NK-C1	Office Manager	Bachelor's degree in business administration, human resources management, information management, or related field.	Experience and capacity in organizing office operation and procedures; preparing payroll; controlling correspondence; designing and maintaining a filing system; reviewing and approving supply requisitions; and assigning and monitoring clerical functions.
NK-C2	Bilingual Secretary	Bachelor's degree in business, English or bilingual education. Must be proficient in both oral and written English and Bahasa Indonesia.	Experience and capacity in preparing appointment schedules; developing minutes of meetings; compiling and distributing minutes of meetings; performing translation duties; maintaining project records; managing report document and files; and performing administrative duties.

Code	Position Title	Minimum Qualification	Minimum Work Experience
NK-C3	IT Support	Bachelor's degree in computer science or a related field of study.	Fluency in English is required. At least 4 years of relevant work experience.
NK-C4	Office Staff (4 positions – 1 office cleaner, 1 driver, 2 security guards)		Office cleaner: experience and capacity in maintaining cleanliness of office, equipment and furniture. Driver: driver's license, extensive local roads knowledge, and have completed a safe driving course. Security guards: experience and capacity in receiving and guiding the office visitors; patrolling the property building; and inspecting building safety procedures, including the building equipment and access points.
NK-C5	Marketing specialist/public campaign/community engagement expert	Bachelor's degree in marketing, communications, business, commerce, or another related field	At least 10 years of relevant professional experience. S/he should be a good communicator able to communicate with government officials, stakeholder representatives and NGOs. She/He should have at least 8 years of experience in some of the following works: social marketing, public relations, human resources management, design and delivery of information campaigns and facilitating participatory planning. She/he shall ensure that processes are in place to support a sewerage connection campaign and ensure that communication materials and skills are developed within DHGS to promote sustained behavior change in hygiene and sanitation practices.

Note: CVs of mandatory/key experts will be evaluated against the weights established in the technical evaluation criteria for this assignment, whereas CVs of mandatory/non-key experts will be evaluated on a pass/fail basis against the TOR requirements.

E.2. Reporting Requirements and Time Schedule for Deliverables

17. The NPMC will report to the CPMU and will be led by a single Team Leader who will manage all activities and input of team members. During the Team Leader's absence from the Project, the Deputy Team Leader will assume the role of Team Leader (designate).

18. The Consultant's contract deliverables will be output-based, while a portion of the payments, comprising construction-related activities and project management and monitoring, will be time-based. The person-months indicated in Table 1 cover both the time-based and the output-based deliverables. Payments related to construction and project management and monitoring will be based on the submission of timesheets, while all other payments will be based on the submission of accepted and approved outputs. The portion of the total contract allocated to the time-based and output-based deliverables will be finalized as part of the contract negotiations.

19. The NPMC will be responsible for monitoring and reporting on safeguards compliance. The NPMC shall monitor and report on the Resettlement Plan (RP), the Initial Environmental Examinations (IEEs) and Environmental Management Plans (EMPs).

20. As a minimum, the following are the deliverables under the contract. All reports and deliverables shall be carried out in full consultation with the CPMU, LPMU, implementing agencies, and other relevant parties and stakeholders. All reports will be prepared in Bahasa Indonesia and English, unless specified.

21. The schedule of deliverables shall be aligned and finalized with the key activities and target milestones under the agreed project schedule. **For each project city separate reports are required.**

Table 3: Estimated Timeline of Deliverables

Deliverable	Expected Submission Date
Inception Report	Within eight weeks of mobilization
Monthly Progress Reports <i>(it will include reports on procurement process, such as status of tender, inputs provided during evaluation, etc, as appropriate)</i>	Within one week after the end of each month
Quarterly Progress Reports <i>(it will include reports on procurement process, such as status of tender, inputs provided during evaluation, etc, as appropriate)</i>	Within four weeks after the end of each quarter for onward submission to ADB by the CPMU.
Semi-Annual Environmental Safeguards Monitoring Reports	As per the loan agreement Within one month of the end of the reporting period for onward submission to ADB by the CPMU.
Semi-Annual Social Safeguards Monitoring Reports	As per the loan agreement Within one month of the end of the reporting period for onward submission to ADB by the CPMU.
Draft Consultants' Project Completion Report (PCR)	Within one month prior to the end of the consultancy contract period for onward submission to ADB by the CPMU.

Deliverable	Expected Submission Date
Final Consultants' PCR	At the end of the consultancy contract period for onward submission to ADB by the CPMU.
Other special reports necessary for the execution of the services	TBD

22. All reports must be submitted electronically on the specified dates indicated in the table below. Electronic copies should be compiled into a single file in PDF format, or an alternative applicable file format as agreed with the Client. The submission of electronic copies must be done via email, using dedicated high-security software programs. The CPMU and IA will review and provide comments on the (draft) reports within 15 working days after the NPMC's submission via email reporting.

23. In addition to the electronically submitted reports mentioned in the previous paragraph, the following hard copies are required for submission for each project city:

- (i) Inception Report, Quarterly Progress Reports, semi-annual social and environmental safeguard monitoring reports, and gender monitoring reports should be submitted to CPMU in 1 hard copy in English and 1 hard copy in Bahasa Indonesia for each city.
- (ii) Final Project Completion Reports (PCR) should be submitted to CPMU in a format consistent with ADB's standard PCR, in 2 hard copies in English and 2 hard copies in Bahasa Indonesia.
- (iii) All other special Reports - if requested as hard copies -, shall be submitted to CPMU for review in 2 hard copies in English and 2 hard copies in Bahasa Indonesia.

F. Client's Input and Counterpart Personnel

24. The Client will provide the NPMC with the following without cost.

- (i) All available documents, drawings, maps, statistical data, and information related to the project and regional development plans in the project area and the result of any topographic surveys, geological surveys, soil mechanic surveys, and laboratory tests prepared by the project;
- (ii) Necessary professional and technical counterparts.

25. The Client will provide professional and support counterpart personnel to be assigned by the Client to the Consultant's team.

- (i) Central Project Management Unit (CPMU) will be established to manage overall project implementation, including to manage the NPMC support for the project.
- (ii) CPMU will assist with facilitating access of the NPMC to other government agencies for communications, collecting relevant information, data, documents, etc. and other activities related to the services.

26. The Client will provide the following services, facilities, and property to be made available to the Consultant's Team.

- (i) Arrangements with other governmental, provincial, and local agencies/authorities and offices for receiving their cooperation as necessary for the execution of the services.
- (ii) Assistance in arranging permits and authorizations from governmental agencies for clearance through customs, obtaining entry and exit visas, residence permits, etc. as necessary for the execution of the services.
- (iii) Documents, drawings, maps and updated data and information as necessary for the execution of the services.
- (iv) Project data and report to facilitate the preparation of the proposal.

27. In accordance with the established government procedures and regulations, the NPMC and any of its personnel (other than personnel who are citizens or permanent residents of the territory of Indonesia) are given the following privileges.

- (i) The consultant and its expatriate personnel shall be exempted from Corporation Income Tax and Value added Tax (PPN) on services for the foreign currency portion of payment, as well as the local currency portion of payments originating from the proceeds of a loan.
- (ii) Customs, duties, and taxes, if any, imposed on any equipment and materials which the consultant will transfer to the Ministry of Public Works on completion of the services, shall be paid by the Ministry.
- (iii) The NPMC shall be responsible for the payment of the following tax liabilities:
 - a. Value added tax on goods and services purchased domestically, at the prevailing rates.
 - b. Personal income tax for all personnel concerning the work performed by them in Indonesia in connection with the contract following the current government regulations.
 - c. Corporation tax at the rate of one and a half per cent (1.5%) of all contract prices shall be provided by the Government from the local budget. This tax shall be added to the respective local payments:
 - d. Local taxes such as road taxes, registration fees on personal automobiles, etc. according to the prevailing regulations.
- (iv) Should any governmental law, order, regulation and/or by law having the force of law in existence as of the date of the contract and/or those which may be enacted or promulgated thereafter, result in the imposition of other corporation and income tax, import duties, value added tax on imports and sales tax on the services of the consultant and its expatriate personnel, the Ministry shall notify the Consultant and the contract shall be amended accordingly so that the said tax and duties shall be reimbursed to the consultant.
- (v) The Ministry shall issue all necessary permits and authorizations for carrying out the services.

The Ministry shall make appropriate arrangements for the PISC's international personnel to be provided with the necessary visa, entry and exit permits, working permits and travel documents required for their stay in Indonesia. The consultant's personnel must obtain visas from an Indonesian consulate abroad before travelling to Indonesia.

Appendix K: TERMS OF REFERENCE
PROJECT IMPLEMENTATION SUPPORT CONSULTANT
– PONTIANAK CITY¹
(initial draft for further discussion)

A. Project Background

1. The Citywide Inclusive Sanitation Project (CISP, the project) will support the Government of Indonesia in increasing access to climate resilient, adequate, and safely managed sanitation services to about 2.5 million population in the cities of Pontianak, Semarang and Mataram. It will finance (i) the improvement of resilient, inclusive, adequate, and sustainable sanitation systems, including construction of wastewater treatment plants, collection networks and connections, and improvement to the existing fecal sludge management (FSM) facilities; (ii) strengthening of regulatory environment; and (iii) improvement in institutional effectiveness of the sanitation services operators on governance, digitalization, and asset management.

2. The project is aligned with the following impact: inclusive sanitation facilities to support regional development policy in addressing national disparities improved (National Medium-Term Development Plan 2020–2024). The proposed solutions will result in the following outcome: access to inclusive, climate resilient, adequate, and safely managed sanitation services in project cities improved. The project will have three outputs: (i) sanitation services improved, expanded, and made climate resilient (Output 1); (ii) regulatory environment strengthened (Output 2); and (iii) institutional effectiveness improved (Output 3).

3. The executing agency (EA) of the project is the Directorate General of Human Settlements (DGHS), Ministry of Public Works and Housing (MPWH). The project will be managed by the central project management unit (CPMU) under the Directorate of Sanitation, DGHS, MPWH. At the city level, local project management unit (LPMU) will be established, which will consist of the public works agency and the planning agency in each project city. DGHS' provincial unit, namely Balai Prasarana Permukiman Wilayah in Kalimantan Barat, is the implementing agency (IA) which will take the role of project implementation unit. At the national level, there will be a National Project Management Consultant (NPMC) supporting CPMU in managing overall activities under the project.

4. As part of the project, the following five civil works packages will be delivered in Pontianak:

- 14. CWIP-01 WWTP RPH and Martapura (MBBR) - Design-Build
- 15. CWIP-02 Sewerage Pipe Installation, RPH A
- 16. CWIP-03 Sewerage Pipe Installation, RPH B
- 17. CWIP-04 Sewerage Pipe Installation, Martapura A
- 18. CWIP-05 Sewerage Pipe Installation, Martapura B

B. Purpose of the Assignment

5. A consulting firm will be recruited to act as the Project Implementation Support Consultant (PISC) – Pontianak City for the Citywide Inclusive Sanitation Project. The PISC will be managed by the IA.

¹ Same terms of reference will be used for the other two project cities – Semarang and Mataram. The name of the project city, packages, and consultancy inputs covered in this TOR shall be adjusted accordingly.

6. The role of the PISC – Pontianak City is to support the overall project implementation in Pontianak City. The PISC will have five main areas of conduct: (i) assisting in the design phase, particularly for the WWTP's design and build contract; (ii) supervising the construction processes of all civil works packages; (iii) managing procurement procedures, including tender processes (where necessary) and contract administration; (iv) monitoring compliance with environmental and social safeguards as required by ADB guidelines; and (v) providing sustainability and institutional support, such as public campaigns, community engagement, tariff setting calculations, and capacity building for the sanitation services operator involved in wastewater management.

C. Duration and Location of the Services

7. The PISC is expected to provide direct support to the IA throughout the implementation period (six years).

8. The assignment will be based in Pontianak, Kalimantan Barat, where the WWTP and the sewer network will be constructed, unless specified.

D. Scope of Services

9. The scope of services of the PISC is described below. The PISC will closely coordinate with NPMC, CPMU and LPMU in carrying out its scope of services. The PISC is also required to submit regular reports to NPMC (including financial report, as the basis to prepare project's annual financial statement and other reports).

Output 1: Sanitation services improved, expanded, and made climate resilient.

10. The services to be provided by the PISC to support Output 1 include, but not limited to:

- (i) assist, oversee, and monitor the implementation of civil works packages (WWTP and sewer networks);
- (ii) undertake, on behalf of IAs, the supervision and management of all civil works contracts mentioned in item (i) and (ii) during the period of assignment. PISC will conduct regular assessments to monitor the progress, quality, and effectiveness of each civil works contract. PISC will also identify and provide recommendations to address emerging issues in order to keep the works on track and avoid any potential delays;
- (iii) support NPMC in assessing existing city-level information and disaster management systems (including set of data being used and early warning features embedded in the system) and provide recommendations to strengthen the system and ensure integration with sanitation facilities²;

² Existing disaster early warning systems in the cities make use of various hydrometeorological data as input. Recommendation will be provided by the project consultant team to formulate necessary responsive actions related to sanitation services to address the early warning provided by the systems (for example: following an early warning on heavy rainfall and flood risk in a specific area, the operators will perform septic tank desludging in such area to minimize possible risk of groundwater pollution due to the flood, etc.). In addition, the existing early warning system related to health will also be integrated with wastewater quality monitoring. The monitoring will provide early warning signs of the presence of diseases within a community. Wastewater sampling can help timely assessment of the risks of a disease becoming more prevalent and implementation of public health interventions to prevent or control the spread of a disease. A gender-responsive early warning system will ensure that different roles and responsibilities of men and women within families and communities are accounted for in ensuring access to disaster warnings.

- (iv) support NPMC in assessing and developing the roadmap for fecal sludge management (FSM) upgrading;
- (v) ensure that all civil works contracts adhere to ADB's Procurement Policy and the Procurement Regulations (2017, as amended from time to time) and utilize ADB's standard bidding documents. In case it is not applicable, the PISC will notify ADB and the CPMU for review and approval;
- (vi) ensure compliance with environmental and social safeguards as required by ADB guidelines during the construction phase;
- (vii) identify potential impacts during construction and prepare the required corrective action plans;
- (viii) provide sustainability and institutional support through public campaigns, community outreach, education and other engagement activities, and capacity building for the sanitation services operator involved in wastewater management, and
- (ix) coordinate with IA, LPMU, CPMU, and NPMC to ensure effective project management and timely completion of all works.

Output 2: Regulatory environment strengthened.

11. The services to be provided by the PISC to support Output 2 include, but not limited to:

- (i) assist and provide technical advice for the WWTP contractor in developing WWTP operation and maintenance guidelines with consideration of climate resilience, gender and social inclusion (GESI) responsive measures;
- (ii) develop other sanitation facilities operation and maintenance guidelines as necessary;
- (iii) develop wastewater tariffs and other measures (e.g., transfers or taxes) for 100% O&M cost recovery for sanitation services;
- (iv) assist the city in wastewater tariff legalization process and in introducing wastewater tariffs with a unified billing system. Where needed, PISC will develop tariff collection mechanism for the sanitation services;
- (v) conduct gender and socio-economic analysis to inform tariff setting including affordability assessments, aiming to minimize the financial burden on vulnerable households, including female-headed households, while maintaining equitable access to wastewater services;
- (vi) identify mechanisms to ensure financial sustainability of wastewater operations and increase revenues from wastewater services;
- (vii) develop guidelines for integration of sewer and non-sewer systems which also includes stakeholders mapping such as private desludging operators;
- (viii) strengthen the enforcement and monitoring mechanisms for compliance with wastewater regulations;
- (ix) provide support for capacity development and training initiatives to enhance institutional capacities and governance frameworks related to wastewater management;
- (x) conduct public awareness campaigns on wastewater management systems, increasing community awareness and promoting behavioral change for sustainable sanitation practices; and
- (xi) enhance the capacity of city governments and sanitation services operators in managing wastewater facilities, including climate-resilient operational practices, asset management, and long-term planning, to ensure optimal performance and sustainability.

Output 3: Institutional effectiveness improved.

12. The services to be provided by the PISC to support output 3 include, but not limited to:

- (i) strengthen the corporate governance structures and practices of the proposed wastewater operator in Pontianak;
- (ii) provide capacity development support to mitigate fiscal impacts and implement sound financial management practices, corresponding with the provided agreed tariffs;
- (iii) support the development and implementation of asset management, operation, and maintenance guidelines, improving the operational performance of sanitation services operators;
- (iv) conduct gender-sensitive Water, Sanitation, and Hygiene (WASH) activities to enhance community awareness, participation, and gender equality in sanitation management;
- (v) ensure the timely implementation of safeguards, including the preparation and submission of Construction Environmental Management Plans (CEMPs) and compliance with the entitlement matrix in the Resettlement Plans (RPs); and
- (vi) ensure the implementation of safeguards Grievance Redress Mechanisms (GRMs), including proper documentation and reporting of the process of resolving complaints.

13. Specifically for Pontianak, the PISC will support the provision of replacement housing for the households affected by the development of WWTP in Martapura. There will also be a package available for self-relocation, all of which shall be developed and implemented prior to the award of civil work contracts. The PISC, with the LPIU, will provide direct support to the affected households to develop brief self-resettlement plans and follow each case closely and provide support where necessary and particularly for obtaining administrative documents related to access to affordable housing.

14. In addition, the PISC will be required, but not limited, to:

Design management of the design-build contracts

- (i) Closely coordinate with WWTP contractor throughout the design process;
- (ii) Review and analyze all aspects of the WWTP design to ensure compliance with the provision in the employer's requirement;
- (iii) Monitor the design progress, make necessary design improvements, address climate resilience measures, establish well-thought-of process control units and SCADA applications for operational simplicity, ensure the durability of proposed equipment and materials, and consider safeguards requirement such as resettlement, relocation, land acquisition, and environmental and economic impacts that could arise from the project implementation;
- (iv) Ensure all communications with WWTP contractors during WWTP design process (including comments provided and actions taken by the WWTP contractor) are properly recorded, reported to IA and NPMC; and
- (v) Submit an assessment report of the final detailed design of the WWTP, accompanied by a recommendation for the approval of the final design prior to commencing construction.

Construction supervision

- (i) Prepare and submit a comprehensive Quality Assurance and Quality Control (QA & QC) manual during the project set-up to ensure effective coordination and monitoring of contractors' performance, including compliance with social and environmental safeguards.
- (ii) Ensure that contractors develop a Safety Manual to enforce safety measures for all staff, both in offices and on construction sites, in accordance with the provisions of Environmental Management Plans (EMPs), Indonesia's Occupational Safety and Health Law, and the approved CEMP. The manual shall adhere to all laws, regulations, and best practices associated with the management of COVID-19, taking into account country-specific requirements and regulations.
- (iii) Address and be responsive towards emerging needs and new medical and scientific guidance regarding the evolving impact of COVID-19.
- (iv) Ensure the contractors obtain all necessary permits to access the site and start the construction work including all necessary domestic environmental permits and health and safety requirements.
- (v) Ensure the contractors have prepared the CEMPs based on the final EMPs and that the CEMPs have been approved by the CPMU before works commence.
- (vi) Ensure capacity building and training requirements are fulfilled as per the respective EMPs.
- (vii) Ensure that no construction commences until all compensation and allowances have been paid to Affected Households (AHs) in accordance with the RP.
- (viii) Ensure contractors have copies of the RP and have received basic training regarding avoiding impact during construction. Any unforeseen impacts during construction shall be compensated in accordance with the entitlement matrix found in the RP at the cost of the contractor.
- (ix) Monitor the Grievance Redress Mechanism (GRM) and any grievances and prepare and monitor any required corrective actions and plans. Any identified issues need to be reported immediately to ADB as per the Loan Agreement for ADB to issue guidance on the appropriate actions.
- (x) Ensure capacity-building training and establish a focal point regarding the GRM.
- (xi) Monitor construction to ensure that all works are conducted within the corridor of impact (COI) as depicted in the DED and RP.
- (xii) Review contractors' shop drawings ³, including the alignment of the line, level, and layout to ensure conformity with the contracts.
- (xiii) Supervise and monitor the construction of all project components.
- (xiv) Assess and ensure the planning of the contractor for implementation of the works is adequate to finish all works on time. Especially emphasis should be given to the planning of the construction of house connections in parallel with sewer lines construction.
- (xv) Review physical and financial progress reports prepared by the contractors' measurements for works completed and in progress and verify bills for payment requests and their supporting documents submitted by the contractors /suppliers.
- (xvi) Regularly monitoring physical and financial progress against the milestones as per the Contracts to ensure completion on time.

³ Shop drawings are drawings or sets of drawings produced by the contractor, supplier, manufacturer, subcontractor, or fabricator. Shop drawings are typically required for prefabricated components, e.g., structural steel, trusses, pre-cast concrete, appliances, air handling units, etc.

- (xvii) Assess and ensure the adequacy of contractors' inputs in terms of site preparation, materials, equipment, construction machinery, workers⁴, and as well as construction approach, technologies and methodologies.
- (xviii) Carry out third-party inspections (including factory witness testing) as necessary and provide certification on the quality of the materials/plant/supplies based on such inspections.
- (xix) Test and validate hydraulic performance of the pipe/pipelines/conduits etc.
- (xx) Monitoring and enforcing the implementation of Contractor's Safety Manual, the measures established to ensure the safety of the workers other project personnel, the general public and other parties related to the works.⁵
- (xxi) Review and certify the Contractors' O&M manual on both sewerage and WWTP packages as satisfactory for acceptance on completion of the works.
- (xxii) Ensure the O&M manual for WWTP includes the processes monitoring using SCADA and other relevant equipment and gauges.
- (xxiii) After physical completion supervise the commissioning of the works, provide advice to the IAs on the identified defect list and necessary actions should be taken by the contractors.
- (xxiv) Review the "As-Built" drawings and diagrams prepared by the contractors.
- (xxv) Monitor the performance of contractors and provide support to the IAs during the Defects Notification Period (DNP).
- (xxvi) Monitoring the preparation and delivery by the Contractors of the structured training program to the (future) Sanitation Department Operators on all O&M requirements (including all aspects of day-to-day operational management, and protocols for a range of operational emergencies, e.g., wastewater overflow). The training program will commence 15 months before Handover of the works.

Contract administration

- (i) Provide support and assistance for contract administration of civil works contracts (for example during contract addendum processes), to ensure timely implementation and completion. In the event support for bidding process is needed, it includes assistance during pre-qualification, pre-bid meetings and site visits, clarification, technical and financial bid evaluation processes. In terms of design and build contract for the WWTP, PISC will conduct thorough evaluation of the Design-Build tender proposals, including consideration of the Best Available Techniques Not Entailing Excessive Cost (BATNEEC) criteria, to select the most suitable contractors for the project;
- (ii) Act as the 'Engineer' and Employer's representative in accordance with FIDIC (International Federation of Engineers) conditions of contract;
- (iii) Facilitate periodic coordination meetings to discuss progress, issues and recommendations;
- (iv) Prepare periodic progress reports using agreed formats which include updates on physical and financial progress, variations, assessment on timeliness, any encountered problems or issues, and recommendations.

⁴ The Project's civil works contract will give local people in the project area an opportunity to work as part of the labour force, particularly in the numerous unskilled labour roles – PISC will monitor progress and engage with the Contractor to facilitate compliance.

⁵ As per the EMPs, the Safety Manual shall be part of the Contractor ESHS Management Plan (ESHSMMP) and shall include, but necessarily be limited to, an emergency preparedness and response plan; a worker camps management plan (particularly for the management of COVID-19); a public health management plan; and an occupational health and safety plan. Details shall be provided in the respective EMPs.

- (v) Monitor and enforce QAQC processes outlined in the Contractors' manuals to ensure the highest quality of construction work that adheres to specifications and drawings.
- (vi) Evaluate contractors' claims for time extensions, variations, additional compensation, etc., and provide recommendations for appropriate decisions.
- (vii) Offer recommendations to the IA on addressing contractual issues and overall contract management.
- (viii) Monitor compliance with safeguards, GRM, and take corrective actions as necessary.

Social safeguard requirements

- (i) Assist the IA to ensure that social safeguard conditions and requirements of the LA, Project Administration Manual (PAM), and the RP are included in the civil works contracts.
- (ii) Implementation of the resettlement plan, together with the government once DED based RP is finalized.
- (iii) Implement grievance monitoring.
- (iv) Implement corrective action plans (CAPs), as required.
- (v) Ensure that social safeguards are included and monitored during implementation, especially regarding temporary impacts and the contractor being responsible for its management.
- (vi) Together with the local Governments conduct public consultation, disclosure of an updated RP (and preparation of a summary in the local language), and distribution of leaflets and related information.
- (vii) Based on the detailed designs access the final impacts related to land and involuntary resettlement and update the resettlement plan accordingly, including all actions required to update the resettlement plan.
- (viii) Monitor the implementation of the mitigation actions by the contractors and ensure alignment with the temporary impact report.
- (ix) Establish a system to monitor social safeguards and prepare indicators for monitoring important parameters of safeguards of the Project.
- (x) Prepare and submit semi-annual social monitoring reports to the IA and CPMU, which then be submitted to ADB. A copy of the report will be provided to the local governments of Pontianak City.
- (xi) Monitor the Grievance Redress Mechanism (GRM) and any grievances and prepare and monitor any required corrective actions and plans. Any identified issues need to be reported immediately to ADB, as per the LA, for ADB to issue guidance on appropriate actions.
- (xii) Ensure capacity-building training and establish a focal point regarding the GRM.
- (xiii) Monitor construction to ensure that all works are conducted within the corridor of impact as depicted in the DED and RP.
- (xiv) Training on ADB social and environmental safeguard requirements (SPS 2009) to the IA and contractors.

- (xv) Where necessary, hire independent appraiser in accordance with ADB procurement procedures to carry out required appraisal process in accordance with the relevant RP;⁶
- (xvi) Where necessary, facilitate payment of compensation and other entitlements related to physical or economic displacement in accordance with the relevant RP.⁷

Environmental safeguard requirements

- (i) Assist the IA to ensure that environmental conditions and requirements of the Loan Agreement, PAM, IEE, corresponding EMPs, and domestic environmental compliance process (AMDAL) are included in the Contractor's Bid Proposals.
- (ii) Conduct any further environmental due diligence assessments and environmental due diligence documents updates for disclosure to the ADB website on behalf of the borrower as required at the DED stage (D&B) and for any project variations, minor and/or major scope changes, and in compliance with any national requirements and policies.
- (iii) Provide capacity development training to the contractors as per the IEE/EMP requirements for them to be able to prepare the CEMP based on the final updated EMP(s).
- (iv) Support the CPMU to review and approve the CEMP and ensure this is in place before works commence and before any no objection can be granted for works to commence.
- (v) Establish a system to monitor environmental safeguards, prepare indicators for monitoring important parameters, and monitor the implementation of the mitigation actions as laid forth in the cleared final IEE and EMP(s) and the CEMP(s) by the contractors of the Projects.⁸
- (vi) Provide any environmental safeguards inputs to the CPMU as required for the project quarterly, six monthly, and annual project progress reporting to ADB.
- (vii) Prepare and submit the semi-annual monitoring reports for environmental safeguards (following the template to be provided by ADB) to the IA and CPMU which then be submitted further to ADB. A copy of the report will be provided to the local government.
- (viii) Training, capacity development, and environmental quality monitoring are to be conducted as laid forth in the respective IEE and EMPs.
- (ix) Ensure translation of a summary that has sufficient detail to meaningfully inform stakeholders of the environmental due diligence documents, EMPs, and updates to due diligence documents in case of project scope changes or variation orders, semi-annual safeguards monitoring reports, and any corrective actions plans into national language, and to ensure disclosure thereof to stakeholders.
- (x) Monitor the project GRM and any grievances and prepare and monitor any required corrective actions and plans. Any identified issues need to be reported

⁶ The following conditions must be met: (i) the firm will undertake a proper and transparent recruitment process of the independent appraiser using mechanism and standard of Request for Quotation (RFQ) acceptable to ADB; (ii) RFQ is subject to ADB's prior review and no objection; and (iii) reports produced by the independent appraiser to be reviewed by DGHS and ADB, and present reasonable calculation following standard principle of appraisal process.

⁷ The budget to be allocated under the provisional sum of the contract. Payment process to the affected households to be properly documented and monitored closely by DGHS and ADB.

⁸ CEMP will be replaced by 'Site Specific EMP (SSEMP)' and 'Site Specific Health and Safety Management Plan (SSHSMPP)' in future ADB works contracts/bidding documents and therefore this may be changed at Detailed Design (DED) stage.

- immediately to ADB, as per the loan agreement, for ADB to issue guidance on the appropriate actions moving forward.
- (xi) Coordinate meaningful public consultations with IAs in accordance with the schedule defined in the respective EMPs.
 - (xii) Conduct regular site visits to all construction and project affected sites including worker camps, in collaboration with the IAs, to monitor EMP/CEMP compliance and identify corrective actions where necessary and develop and monitor corrective action plans.
 - (xiii) Contribute to the environmental sections of the Project Completion Report.

Health and safety measures

- (i) Review the Site-Specific Health and Safety Management Plan (SSHSMP) for the Project that should be prepared and submitted by the contractors as part of their CEMP.
- (ii) Make recommendations to the Employer in relation to the approval of the SSHSMP as part of the CEMP.
- (iii) Communicate the approved CEMP and SSHSMP to all contractors, throughout all project stages, and support the CPMU to inform ADB of this for assurance before works commence.
- (iv) Should any unforeseen events occur, review the updated SSHSMP and make recommendations to the Employer in relation to the approval of the SSHSMP and put in place corrective actions as part of a time-bound corrective action plan (CAP). ADB is to be notified by the CPMU immediately in such circumstances. The CAP is to be shared with ADB for review and clearance and to be reported on as per the timeline in the CAP. The CAP is also to be placed in an annex to the corresponding SEMR for disclosure to stakeholders.
- (v) In addition to the obligation to maintain safety on site, the PISC will be required to undertake formal monthly on-site health and safety audits throughout all stages of the Project, confirming SSHSMP compliance and to also reflect these in the corresponding SEMR.
- (vi) Prepare the Project Execution Plan, which inter alia, includes how the management of SSHSMP is to be addressed throughout all stages of the Project.

Gender awareness

- (i) Implementing assistance in gender and social development to promote gender awareness and strengthen capacity for gender mainstreaming, community mobilization, partnership building as well as addressing social development and protection matters in project implementation.
- (ii) Implement, monitor, and report on poverty reduction and social plans and GAP progress, and identify corrective measures, when necessary, to ensure GAP and SPRSS outcomes.
- (iii) Develop and facilitate training of staff on Gender, social development and community facilitation strategies.
- (iv) Assess and ensure that mechanisms, processes, and capacities are in place to expand orientation of sewerage service delivery as public service.
- (v) Support CISP PPMS through identification and monitoring of sex-disaggregated indicators.

Financial management and accounting

- (i) Support the development and update, as necessary, the project-specific Financial Management (FM) Manual.
- (ii) Support the overall management of the project accounts in accordance with relevant government and ADB requirements.
- (iii) Support the development of accounting systems to report the transaction, including a Chart of Accounts, disbursement voucher, receipt vouchers, petty voucher that may be required from time to time for any changes in approved project activities.
- (iv) Ensuring all fund receipts and expenditures are authorized in line with established financial procedures and loan agreement with proper supporting documents and are properly recorded in the accounting system.
- (v) Support the review of financial documents and recording of financial transactions.
- (vi) Support the executing and implementing agencies in the preparation of budgets (DIPA), withdrawal applications, financial reports, and financial statements.
- (vii) Support the liaison with auditors to ensure effective annual audits in accordance with the project requirements.
- (viii) Support necessary trainings in financial management to be delivered for project staff.
- (ix) Assist the implementing agencies during preparations for the project review missions.
- (x) Perform other relevant tasks as required by the implementing agencies.

Community engagement and outreach during project design and construction

- (ix) Conduct community consultation, dialogue, or public campaign to obtain wide-ranging community support for wastewater connectivity, ensuring a collaborative and participative approach involving various city agencies and key stakeholders.
- (x) Engage local facilitators, either individual experts or a team from non-governmental organizations (NGOs), to actively participate in community dialogues and disseminate project information, raising awareness about safely managed sanitation and increasing willingness to connect.
- (xi) Collaborate with agencies like BAPPEDA, public works and settlement office, health office, education affairs office, social affairs office, subdistricts, and village officials to ensure a broader stakeholder involvement in the community outreach activities.
- (xii) Extend community outreach efforts beyond households to include schools and other relevant groups, promoting widespread adoption of wastewater connectivity.
- (xiii) Explore potential incentives that can be provided to households willing to connect to the wastewater system, enhancing their motivation and willingness to connect.
- (xiv) Obtain written agreements from the community, to be connected during the project phases, ensuring clear consent and commitment before project construction.
- (xv) Monitor overall project implementation and coordinate with CPMU as well as LPMU.
- (xvi) Facilitate continuous communication with the community to reduce potential risk of complaints. If there are complaints raised by the community, facilitate meaningful dialog/consultation and propose solutions.
- (xvii) Facilitate joint planning and implementation of social marketing of sanitation and education on hygiene and sanitation involving various city agencies.

- (xviii) In coordination with NPMC, determine need and demand for sanitation services and input into project design; explain benefits of project, impacts during construction, gender awareness, etc.

Overall project management and coordination

- (i) Establish a schedule of coordination and progress meetings, approved by the CPMU, to ensure stakeholders are informed about the Project's status and activities.
- (ii) Monthly follow-up and bring up to date the Project Performance Monitoring System (PPMS) as developed by NPMC, to effectively manage and optimize project benefits, including monitoring and evaluation of project outcomes.
- (iii) Conduct a baseline study and set up institutional requirements for monitoring and evaluating project benefits after completion.
- (iv) Include relevant parameters in the PPMS, such as the number of beneficiaries, sewer connections over time, and other indicators specific to the PISC's scope.
- (v) Develop suitable monitoring mechanisms to ensure timely completion of contracts with high quality and adherence to construction management practices and safety requirements.
- (vi) Update data on the completion of works, maintaining accurate records.
- (vii) Establish a computerized Management Information System (MIS) for monitoring, regularly analyze progress against work plans, identify ways to accelerate implementation and reasons for delays, and propose improvement measures.
- (viii) Supervise contract activities, providing concrete suggestions for enhancing quality and execution pace on project sites.
- (ix) Develop a Geographic Information System (GIS)-based asset management system.
- (x) Conduct monitoring for social and environmental safeguards compliance.
- (xi) Ensure compliance with loan covenants throughout the project implementation.

E. Output and Reporting Requirements

E.1. Team Composition and Qualification Requirements for the Key Experts

15. The consulting services will be provided by a consulting firm, which will be engaged in accordance with ADB's Procurement Regulations for ADB's Borrowers (October 2017, as amended from time to time) using quality and cost-based selection criteria with a quality cost ratio of 90:10, using full technical proposal procedures.

16. The consulting firm will include an estimated 1,437 person-months. Proposing firms have some flexibility to determine the number and nature of the experts they will require to achieve the objectives of the contract, in accordance with their proposed approach and methodology and to ensure the output deliverables are prepared to an agreeable standard. However, the assignment requires minimum expertise in specific areas, with the minimum international and national person-months as listed in **Table 1**.

Table 1: List of Experts, Indicative Person-Months

Code	Position Title	Indicative Total Person- Months
A	International Key Experts	
K-A01	Team Leader – Wastewater Specialist	36
K-A02	ICT/SCADA Specialist	3
K-A03	WWTP Construction Expert	8
K-A04	Sewerage Construction Expert	10
K-A05	Process Engineer	4
	Subtotal PM	61
B	National Key Experts	
K-B01	Deputy Team Leader – Sanitation Engineer	55
K-B02	Procurement / Contract Manager Specialist	10
K-B03	Senior Supervision Manager WWTP	46
K-B04	Senior Supervision Manager Sewer Contracts	55
K-B05	Field Supervision Engineer WWTP	46
K-B06	Field Supervision Engineers Sewer Contracts (4 positions)	220
K-B07	Senior Structural Engineer (Intermittent – Spec. Pipe jacking)	18
K-B08	Mechanical Engineer (Intermittent, for pumping station and WWTPs)	14
K-B09	Electrical Engineer (Intermittent, for pumping station and WWTPs)	22
K-B10	SCADA Specialist (Intermittent, for WWTP)	10
K-B11	Monitoring and Evaluation Specialist	4
K-B12	Social Safeguards / Resettlement Specialist	36
K-B13	Environment Health and Safety Specialist (EHS)	36
K-B14	Financial Management and Accounting Specialist	54
K-B15	Facilitator Team (10 Positions or NGO Team)	100
K-B16	Institutional Development Expert	12
K-B17	Marketing specialist/public campaign/community engagement expert	20
	Subtotal PM	758
C	National Non-key Experts	
NK-C01	Quantity Surveyors Sewer Contracts (4 positions)	216
NK-C02	Cartography IT/GIS support	4
NK-C03	Database MIS support	8
NK-C04	City Office Manager	60
NK-C05	Bilingual Secretary	60
NK-C06	IT Support	30
NK-C07	Office Staff (4 positions, 1 office cleaner, 1 driver, 2 security guards)	240
	Subtotal PM	618
	TOTAL PM	1,437

17. The qualification and experience requirements for the above experts are in **Table 2**. Only one curriculum vitae must be submitted for each key and non-key expert included in the proposal. Only the curriculum vitae of the key expert will be scored as part of the evaluation of technical proposals. The curricula vitae of non-key experts will not be scored but will be reviewed, and individually approved or rejected for every non-key expert position in the proposal.

18. All positions proposed for both key and non-key experts must be included and budgeted in the **financial proposal**, in accordance with the person-month allocation required for each as defined by the firm.

Table 2: Qualification and Experience Requirements

Code	Position Title	Minimum Qualification	Minimum Work Experience
A	International Key Experts		
K-A01	Team Leader – Wastewater Specialist	Master's degree in project management, civil engineering, or equivalent.	<p>At least 20 years of experience in project management or civil engineering, including sewerage installation and wastewater treatment plant construction. Experience as a Team Leader or deputy Team Leader or Project Manager for at least 10 projects.</p> <p>Ample experience in implementing works under FIDIC contracts is required. Experience in (i) projects financed by ADB or other international development organization, (ii) PPP for water supply and sanitation, and (iii) working with DGHS, MPWH and the local governments in sanitation sector would be an advantage.</p> <p>Fluency in written and spoken English, preferably with knowledge of Bahasa Indonesia.</p>
K-A02	ICT/SCADA Specialist	Bachelor's degree in electrical or electronics engineer or Information Technology (IT) specialist	Preferably with 10 years of post-graduate experience of which 5 years should be in the development and implementation of SCADA systems in the wastewater (or water supply) sector.
K-A03	WWTP Construction Expert	Master's degree in mechanical engineering and/ or Process /Chemical engineering or other related discipline	<p>At least 10 years of professional experience in wastewater treatment construction supervision, specifically equipment, piping and process control and pumping.</p> <p>Experience with Design and Build (DB) of Wastewater Treatment Plants and in supervising minimum 5 wastewater treatment plants with minimum similar or greater capacity than this project.</p>
K-A04	Sewerage Construction Expert	Master's degree in civil or Environmental Engineering or equivalent	At least 15 years of relevant professional experience since graduation and have at least 12 years of experience in civil engineering works, specifically sewerage installation including pipe-jacking systems.

Code	Position Title	Minimum Qualification	Minimum Work Experience
			Experience in supervising minimum 3 sewer networks having a similar extent as this project.
			Fluency in written and spoken English and preferably having knowledge of Bahasa Indonesia.
K-A05	Process Engineer	Bachelor's degree in chemical or mechanical engineering with a postgraduate degree in automation and control systems.	Should have a minimum of 15 years of relevant professional experience. She/he should have at least 10 years of experience in biological process and control of wastewater treatment plants. At least 8 years of experience commissioning electromechanical equipment, pumping stations and process control instrumentation used in treatment plants.
B	National Key Experts		
K-B01	Deputy Team Leader – Sanitation Engineer	Bachelor's degree in civil engineering, environment engineering, or related fields, preferably at post graduate level or its equivalent.	<p>At least 15 years of relevant working experience in urban sanitation projects (onsite and offsite systems). Experience in implementing works under FIDIC contracts is required. Working experience in the following areas is preferable: (i) developing concept, planning, design for citywide inclusive sanitation, and (ii) soft components of sanitation sector (institutional aspect, policy and regulation, and community outreach etc.).</p> <p>Experience in (i) projects financed by ADB or other international development organization, (ii) PPP for water supply and sanitation, and (iii) working with DGHS, MPWH and the local governments in sanitation sector would be an advantage.</p> <p>Experience as a Team Leader or deputy Team Leader or Project Manager for at least 8 projects. He/she shall replace the Team Leader in all tasks during his absence.</p>

Code	Position Title	Minimum Qualification	Minimum Work Experience
			Fluency in English is required.
K-B02	Procurement / Contract Manager Specialist	Bachelor's degree in contract management or relevant field.	<p>At least 10 years of experience in dealing with procurement issues and familiarity with ADB and other donors' procurement guidelines and regulations (including social and environmental safeguards).</p> <p>Strong knowledge of relevant multilateral donor agency guidelines (preferably ADB's guidelines) and relevant GOI's regulations is required.</p> <p>Experience in Project and Contract Administration, Evaluation of Extension of Time & Cost Claims, and familiarity and experience with the <i>Federation International Des Ingenieurs Conseils</i> (FIDIC) based contract documents.</p>
			Fluency in English is required.
K-B03	Senior Supervision Manager WWTP	Bachelor's degree in civil/sanitary /environmental engineering	<p>At least 15 years of relevant professional work experience since graduation and preferably have at least 7 years of experience in the supervision and reported auditing of civil engineering works, specifically wastewater projects, sewer pipe installation and wastewater treatment.</p> <p>Familiarity with FIDIC Contracts</p> <p>Working as Engineer's Representative on minimum 3 similar projects with similar extent are required.</p>
			Good English skills required (oral and written).
K-B04	Senior Supervision Manager Sewer Contracts	Bachelor's degree in civil/sanitary /environmental engineering	At least 15 years of relevant professional work experience since graduation and preferably have at least 7 years of experience in the supervision and reported auditing of civil engineering works, specifically

Code	Position Title	Minimum Qualification	Minimum Work Experience
			<p>wastewater projects, sewer pipe installation and wastewater treatment.</p> <p>Familiarity with FIDIC Contracts</p> <p>Working as Engineer's Representative on minimum 3 similar projects with similar extent are required.</p> <p>Good English skills required (oral and written).</p>
K-B05	Field Supervision Engineer WWTP	Bachelor's degree in civil / sanitary /environmental engineering	<p>At least 5 years of relevant professional experience and should have at least 3 years of experience in supervision of civil engineering works using FIDIC contracts.</p>
K-B06	Field Supervision Engineers Sewer Contracts (4 positions)	Bachelor's degree in civil / sanitary /environmental engineering	<p>Good English skills required (oral and written).</p> <p>At least 5 years of relevant professional experience and should have at least 3 years of experience in supervision of civil engineering works using FIDIC contracts.</p>
K-B07	Senior Structural Engineer (Intermittent – spec. Pipe jacking)	Bachelor's degree in civil or structural engineering	<p>Good English skills required (oral and written).</p> <p>At least 10 years of post-graduate experience, of which 5 years should be in wastewater structures including new build works and structural analysis on similar projects.</p>
K-B08	Mechanical Engineer (Intermittent PS and WWTPs)	Bachelor's degree in mechanical engineering	<p>At least 10 years of relevant professional experience since graduation and experience for at least 8 years in pump stations, sewage / water treatment equipment or similar. She/he should have strong knowledge in mechanics related to pump stations, wastewater/ water treatment equipment (or similar) and automation/ control;</p>
K-B09	Electrical Engineer (Intermittent PSs and WWTPs)	Bachelor's degree in electrical engineering	<p>At least 10 years of relevant professional experience since graduation and 8 years' experience with high voltage and three-phase power, pumping stations,</p>

Code	Position Title	Minimum Qualification	Minimum Work Experience
			process control instrumentation and equipment used in treatment plants.
K-B10	SCADA Specialist (Intermittent WWTP)	Professional qualification in Electrical or electronics engineering and/or Information Technology (IT) specialist with minimum a bachelor's degree	Preferably at least 10 years of post-graduate experience of which 5 years should be in the development and implementation of SCADA systems in the water or wastewater sector. Good English skills required (oral and written).
K-B11	Monitoring and Evaluation Specialist	Postgraduate degree in social sciences or a related field.	At least ten years' experience on international development projects or a related field and have at least 5 years' experience as a project monitoring expert or related area.
K-B12	Social Safeguards / Resettlement Specialist	Bachelor's degree in social science or other relevant major	At least 8 years of relevant professional experience since graduation with experience of at minimum 6 years in social impact assessments, detailed measurement surveys, implementing and monitoring resettlement and in conduct of public consultations with preference for experience with ADB projects. Experience and familiarity with Indonesian land laws and regulations and procedures and ADB's 2009 Safeguard Policy Statement (SPS) or other multilateral agencies' standards and their requirements. Experience of at minimum 6 years in social impact assessments, detailed measurement surveys, implementing and monitoring resettlement and in conduct of public consultations with preference for experience with ADB projects.
			Fluency in English is required.
K-B13	Environment Health and Safety Specialist (EHS)	Bachelors' degree in environmental management, environmental engineering, or biological sciences	At least 10 years of experience working on infrastructure projects with a focus on conducting environmental impact assessments (preference on wastewater treatment projects in Indonesia) and

Code	Position Title	Minimum Qualification	Minimum Work Experience
			<p>monitoring environmental management plan compliance during construction.</p> <p>Experience in domestic environmental compliance requirements and permits for sanitation projects; leading and conducting stakeholder consultations; on-site monitoring of construction works and environmental quality parameters and assessing environmental corrective actions where needed; implementing environmental safeguards training and capacity development in particular for contractors for development and implementation of the CEMPs and corresponding site-specific health and safety management plans; and implementing environmental and health operational measures and working closely with the project Safety Specialists and up-taking information for environmental safeguards compliance monitoring and reporting.</p>
K-B14	Financial Management and Accounting Specialist	Bachelor's degree in finance, accounting, or related field	<p>Good English skills required (oral and written).</p> <p>Professionally qualified as accountants with at least 5 years of professional experience in current accounting standards and procedures and design and development of accounting and budgeting systems for public enterprises.</p> <p>At least 8 years of relevant work experience, and preferably experience in working for a project loan-funded by multilateral agency projects for 6 years. Experience in budgeting, accounting, and financial reporting is required.</p> <p>Fluency in English is required. A professional accountancy qualification (CA/CPA/ACCA) will be required.</p>

Code	Position Title	Minimum Qualification	Minimum Work Experience
K-B15	<p>Facilitator Team (10 Positions or NGO Team)</p> <p>This position is open to individuals or organizations.</p>	<p><i>Individual local facilitators:</i> Bachelor's degree in fields such as social sciences, community development, environmental management, or a related discipline.</p> <p><i>Local NGOs:</i> Organizations specializing in community development, environmental conservation, or sanitation services can also serve as effective local facilitators.</p>	<p><i>Individual local facilitators:</i> They should have a minimum of 5 years of experience working in community engagement, public campaigns, or behavior change initiatives related to wastewater management. Possess a strong understanding of the local context, including cultural norms, social dynamics, and regulatory frameworks.</p> <p><i>Local NGOs:</i> Demonstrated track record in implementing similar projects within the region, preferably with a minimum of 10 years of experience. The team members should hold relevant bachelor's or master's degrees and possess expertise in community engagement, public awareness campaigns, capacity building, and institutional support related to wastewater management.</p>
K-B16	Institutional Development Expert	Master's degree in sustainability, environmental management, or a related field	<p>At least 10 years of experience in implementing sustainability strategies in infrastructure projects, preferably with a focus on wastewater management. Strong knowledge and experience in institutional development, including capacity building, stakeholder engagement, and policy advocacy.</p> <p>Excellent communication and interpersonal skills to effectively engage with various stakeholders and facilitate the implementation of sustainability initiatives.</p>
K-B17	Marketing specialist/public campaign/community engagement expert	Bachelor's degree in marketing, communications, business, commerce or another related field	At least 10 years of relevant professional experience. She/he should be a good communicator able to communicate with government officials, stakeholder representatives and NGOs. She/He should have at least 8 years of experience in some of the following works: social marketing, public relations, human resources management, design and delivery of

Code	Position Title	Minimum Qualification	Minimum Work Experience
			information campaigns and facilitating participatory planning. She/he shall ensure that processes are in place to support a sewerage connection campaign and ensure that communication materials and skills are developed within DHGS to promote sustained behavior change in hygiene and sanitation practices.
C	National Non-Key Experts		
NK-C01	Quantity Surveyors (QS) Sewer Contracts (4 positions)	Professional qualification degree or Certification in Quantity Surveying (preferably from Jurusan Teknik Ekonomi Konstruksi or similar) or bachelor's degree with equivalent Quantity Surveyor's qualifications	<ul style="list-style-type: none"> • At least 8 years of overall experience in the preparation of bills of quantities and surveyor's activities, out of which 3 years should be in water or wastewater projects • To be able to independently carry out QS services on site including experience in bills of quantities (BOQ), Variation Order (VO) work, cost control, interim payment valuation, pricing of estimates, reviewing contractors' quotations and prolongation of claims, etc. • Proficient in MS Excel, Word, Outlook, Cost & Measurement software (when applicable) • Reasonable proficiency in English
NK-C02	Cartography IT/GIS support	Will have a qualification in IT or a related field	The Cartography/GIS Support will be familiar with commonly used GIS software such as ArcInfo and MapInfo. S/he will have at least 2 years of experience in developing GIS applications. Experience in mapping for pipe routes, sewerage and road infrastructure. She/he will be skilled at using GIS software as a strategic decision-making tool for the development of optimum alignments. Skills to provide general local office IT support would be highly appreciated.
NK-C03	Database MIS Support	Master's degree in information technology	At least 8 years of experience in establishing and running Management Information Systems. She/he should have experience of implementing MIS with multiple stakeholders, in-house training database, information system operators and have experience

Code	Position Title	Minimum Qualification	Minimum Work Experience
			with design and maintenance of web sites for at least 6 years. She/he must be familiar with GIS software.
NK-C04	City Office Manager	Bachelor's degree in business administration, human resources management or information management or related field.	Experience and capacity in organizing office operation and procedures; preparing payroll; controlling correspondence; designing and maintaining a filing system; reviewing and approving supply requisitions; and assigning and monitoring clerical functions.
NK-C05	Bilingual Secretary	Bachelor's degree in business, English or bilingual education. Must be proficient in both oral and written English and Bahasa Indonesia.	Experience and capacity in preparing appointment schedules; developing minutes of meetings; compiling and distributing minutes of meetings; performing translation duties; maintaining project records; managing report document and files; and performing administrative duties.
			Fluency in English is required.
NK-C06	IT Support	Bachelor's degree in computer science or a related field of study.	At least 4 years of relevant work experience.
NK-C07	Office Staff (4 positions, 1 office cleaner, 1 driver, 2 security guards)		Office cleaner: experience and capacity in maintaining cleanliness of office, equipment and furniture. Driver: driver's license, extensive local roads knowledge, and have completed a safe driving course. Security guards: experience and capacity in receiving and guiding the office visitors; patrolling the property building; and inspecting building safety procedure, including the building equipment and access points.
<i>Note: CVs of mandatory/key experts will be evaluated against the weights established in the technical evaluation criteria for this assignment, whereas CVs of mandatory/non-key experts will be evaluated on a pass/fail basis against the TOR requirements.</i>			

19. In addition, as a guideline, each expert will be involved in different areas of support as follows:

Table 3. Areas of Support

Areas of Support	Expert
General Support	Team Leader – Wastewater Specialist Deputy Team Leader – Sanitation Engineer
Area 1: Design Supervision and Assistance	Process Engineer ICT/SCADA Specialist SCADA Specialist (Intermittent WWTP)
Area 2: Construction Supervision	WWTP Construction Expert Sewerage Construction Expert Senior Supervision Manager – WWTP Senior Supervision Manager – Sewer Contracts Field Supervision Engineer – WWTP Field Supervision Engineers – Sewer Contracts Quantity Surveyors – Sewer Contracts Senior Structural Engineer (Intermittent – Spec. Pipe Jacking) Mechanical Engineer (Intermittent PS and WWTPs) Electrical Engineer (Intermittent PS and WWTPs) Monitoring and Evaluation Specialist
Area 3: Safeguard Monitoring	Social Safeguards/Resettlement Specialist Environment Health and Safety Specialist (EHS)
Area 4: Procurement	Procurement / Contract Manager Specialist
Area 5: Sustainability and Institutional Support	Institutional Development Expert Facilitator Team Marketing specialist/public campaign/ community engagement expert
Administrative Support	Cartography IT/GIS support Database MIS support City Office Manager Bilingual Secretary Financial Management and Accounting Specialist IT Support Office Staff

E.2. Reporting Requirements and Time Schedule for Deliverables

20. The PISC – Pontianak City will work under the supervision of the EA throughout the project implementation and is expected to be filled with specialists with the necessary qualifications and experience in project management of civil engineering works, including sewerage installation and wastewater treatment plant construction, environmental and social safeguards (involuntary resettlement and indigenous peoples), financial management, and procurement.

21. The PISC will be led by a Team Leader who will manage all activities of team members. During the Team Leader's absence from the Project, the Deputy Team Leader will assume the role of Team Leader (designate). The PISC will report directly to the IA and will also be in close coordination with the NPMC, the CPMU, and ADB. Under the supervision of the IA the PISC will coordinate and assist the city government in the areas set forth in this TOR.

22. The PISC shall execute all tasks in a single assignment based in Pontianak City to be on-site during construction works and other local supporting activities.

23. The Consultant's contract deliverables will be output-based (see Table 4 below), while a portion of the payments, comprising construction supervision and project management and monitoring, will be time-based. The person-months indicated in Table 1 cover both the time-based and the output-based deliverables. Payments related to construction supervision and project management and monitoring will be based on the submission of timesheets, while all other payments will be based on the submission of acceptable and approved outputs. The portion of the total contract allocated to the time-based and output-based deliverables will be finalized as part of the contract negotiations.

24. The PISC will be responsible for monitoring and reporting on safeguards compliance. The PISC shall monitor and report on the Resettlement Plan (RP), the Initial Environmental Examinations (IEEs) and Environmental Management Plans (EMPs).

25. As a minimum, the following are the deliverables under the contract. All reports and deliverables shall be carried out in full consultation with the CPMU, LPMU, IA, and other relevant parties and stakeholders. All reports will be prepared in Bahasa Indonesia and English, unless specified otherwise.

26. The schedule of deliverables shall be aligned and finalized with the key activities and target milestones under the agreed project schedule.

Table 4: Estimated Timeline of Deliverables

Deliverable	Expected Submission Date
Inception Report	Within eight weeks of mobilization
Monthly Progress Reports <i>(it will include reports on procurement process, such as status of tender, inputs provided during evaluation, etc., as appropriate)</i>	Within one week after the end of each month
Quarterly Progress Reports <i>(it will include reports on procurement process, such as status of tender, inputs provided during evaluation, etc., as appropriate)</i>	Within four weeks after the end of each quarter for onward submission to ADB by the CPMU.

Deliverable	Expected Submission Date
Semi-Annual Environmental Safeguards Monitoring Reports	As per the loan agreement Within one month of the end of the reporting period for onward submission to ADB by the CPMU.
Semi-Annual Social Safeguards Monitoring Reports	As per the loan agreement Within one month of the end of the reporting period for onward submission to ADB by the CPMU.
Design Review Reports on DB- WWTP design	Prior to commencement of civil works activities for the WWTP
Civil Works Contract Completion Reports	Within three months after the physical completion of each contract package
Draft Consultants' Project Completion Report (PCR)	Within one month prior to the end of the consultancy contract period for onward submission to ADB by the CPMU.
Final Consultants' PCR	At the end of the consultancy contract period for onward submission to ADB by the CPMU.
Other special reports necessary for the execution of the services	TBD

27. All reports must be submitted electronically on the specified dates indicated in the table above. Electronic copies should be compiled into a single file in PDF format, or an alternative applicable file format approved with the CPMU/IA. The submission of electronic copies must be done via email, using dedicated high-security software programs. The CPMU and IA will review and provide comments on the (draft) reports within 15 working days after the PISC's submission via email reporting.

28. In addition to the electronically submitted reports mentioned in the previous paragraph, the following hard copies are required for submission for each project city:

- (i) Inception Report, Monthly Progress Reports, Quarterly Progress Reports, semi-annual social and environmental safeguard monitoring reports and gender monitoring reports shall be submitted to CPMU in 1 hard copy in English and 1 in Bahasa Indonesia for each city.
- (ii) Final Civil Works Contracts Completion Reports (Sewer Networks Completion and Wastewater Treatment Plant Completion) shall be submitted to CPMU in 3 hard copies in Bahasa Indonesia and 3 in English for each Works Contract.
- (iii) Final Project Completion Reports (PCR) in a format consistent with ADB's standard PCR shall be submitted to CPMU in 2 hard copies in English and 2 hard copies in Bahasa Indonesia.
- (iv) All other special Reports - if requested as hard copies -, shall be submitted to CPMU for review in 2 hard copies in English and 2 hard copies in Bahasa Indonesia.

I. Client's Input and Counterpart Personnel

29. The Client will provide the PISC with the following without cost:

- (i) All available documents, drawings, maps, statistical data and information related to the project and regional development plans in the project area and the result of any topographic surveys, geological surveys, soil mechanic surveys and laboratory tests prepared by the project;
- (ii) Necessary professional and technical counterparts.

30. The Client will provide the following professional and support counterpart personnel, to be assigned by the Client to the PISC:

- (i) Central Project Management Unit (CPMU) will be established at the national level to manage overall project implementation, including to coordinate with IA and the PISC.
- (ii) CPMU and IA will assist with facilitating access of the PISC to other government agencies for communications, collecting relevant information, data, documents, etc. and other activities related to the services.

31. The Client will provide the following services, facilities and property to be made available to the PISC:

- (i) Arrangements with other governmental, provincial, and local agencies/authorities and offices for receiving their cooperation as necessary for the execution of the services.
- (ii) Assistance in arranging permits and authorizations from governmental agencies for clearance through customs, obtaining entry and exit visas, residence permits, etc. as necessary for the execution of the services.
- (iii) Documents, drawings, maps and updated data and information as necessary for the execution of the services.
- (iv) Project data and report to facilitate the preparation of the proposal.

32. In accordance with the established government procedures and regulations, the PISC and any of its personnel (other than personnel who are citizens or permanent residents of the territory of Indonesia) are given the following privileges:

- (i) The consultant and its expatriate personnel shall be exempted from Corporation Income Tax and Value added Tax (PPN) on services for the foreign currency portion of payment, as well as the local currency portion of payments originating from the proceeds of a loan.
- (ii) Customs, duties and taxes, if any, imposed on any equipment and materials which the consultant will transfer to the Ministry of Public Works on completion of the services, shall be paid by the Ministry.
- (iii) The PISC shall be responsible for the payment of the following tax liabilities:
 - a. Value added tax on goods and services purchased domestically, at the prevailing rates.
 - b. Personal income tax for all personnel concerning the work performed by them in Indonesia in connection with the contract following the current government regulations.
 - c. Corporation tax at the rate of one and a half per cent (1.5%) of all contract prices shall be provided by the Government from the local budget. This tax shall be added to the respective local payments.
 - d. Local taxes such as road taxes, registration fees on personal automobiles, etc. according to the prevailing regulations.

- (iv) Should any governmental law, order, regulation and/or by law having the force of law in existence as of the date of the contract and/or those which may be enacted or promulgated thereafter, result in the imposition of other corporation and income tax, import duties, value added tax on imports and sales tax on the services of the consultant and its expatriate personnel, the Ministry shall notify the Consultant and the contract shall be amended accordingly so that the said tax and duties shall be reimbursed to the consultant.
- (v) The Ministry shall issue all necessary permits and authorizations for carrying out the services.

33. The Ministry shall make appropriate arrangements for the PISC's international personnel to be provided with the necessary visa, entry and exit permits, working permits and travel documents required for their stay in Indonesia. The consultant's personnel must obtain visas from an Indonesian consulate abroad before travelling to Indonesia.

Appendix L: GENDER ACTION PLAN

Gender Objectives	Activities / Indicators / Targets	Responsibilities	Year
Output 1: Sanitation services improved, expanded, and made climate resilient			
1.1 Infrastructure and services developed respond to the needs of targeted population.	1.1.1 Consultations are organized in each city on the project, including gender-responsive measures, hygiene and sanitation education, promotion, planning, and participatory monitoring. ^a	CPMU/ NPMC/PISC	2024–2029
	1.1.2 Women make up at least 30% of participants in project consultations. ^b	CPMU /NPMC/PISC	2024–2029
1.2 Contractors and consultants employ local people, including women, in project activities.	1.2.1. Contractors hired at least 25% local people, including local women, in skilled and non-skilled work. ^c	CPMU/ NPMC/PISC	2024–2029
	1.2.2 At least 20% of the skilled and non-skilled workers under the project are women. ^d	CPMU/ NPMC/PISC	2024–2029
1.3 Ensure gender-responsive social protection for the labor force during project implementation and maintenance.	1.3.1 Awareness and prevention of HIV/AIDS and GBV-SEAH are incorporated in workers' induction sessions. ^e	CPMU/ NPMC/PISC	2024–2029
	1.3.2 Information on risks of HIV/AIDS and GBV-SEAH relayed through posters, leaflets, and messaging applications (such as WhatsApp).	CPMU/ NPMC/PISC	2024–2029
Output 2: Regulatory environment strengthened			
2.1 Sector regulatory environment is gender-responsive and inclusive.	2.1.1 Gender and socio-economic analysis are included in financial planning, tariff setting and reporting.	CPMU/ NPMC/PISC	2028
	2.1.2 Poor and vulnerable households, including female-headed households, are to be prioritized in accessing subsidized monthly tariffs through a transparent eligibility mechanism. ^f	CPMU/ NPMC/PISC	2028
	2.1.3 Sanitation operation and maintenance guidelines with consideration of climate-resilient and gender-responsive measures developed and adopted (2023 baseline: not applicable) (DMF 2a)	CPMU/ NPMC/PISC	2028
Output 3: Institutional effectiveness improved			
3.1 Gender-inclusive community-centered awareness on sanitation, hygiene, and health improved	3.1.1 At least 50% participants of sanitation awareness trainings are women and report increased awareness of safely managed sanitation, hygiene, and health (2023 baseline: not applicable) (DMF 3b)	CPMU/ LPMU/PISC	2029

Gender Objectives	Activities / Indicators / Targets	Responsibilities	Year
3.2 Local wastewater operator is a gender-responsive and inclusive institution.	3.2.1 At least 80% of project managers and staff at the local wastewater operator organization have increased awareness on sanitation and gender and social inclusion issues.	CPMU/ NPMC/PISC	2029
	3.2.2. At least 20% of wastewater operator staff who reported to have increased knowledge from trainings delivered by the project are women (2023 baseline: not applicable) (DMF 3c) ^g	CPMU/ NPMC/PISC	2029
Project Management Activities:			
4.1 A Gender and Social Development Specialist is engaged in the consulting team and involved in the implementation and management of the project. 4.2 Gender Focal Point appointed at the responsible entities at the national and sub-national levels for implementation and monitoring of GAP. 4.3 Training on GAP implementation and monitoring will be delivered to CPMU, NPMC, and other key implementing partners. 4.4 Sex-disaggregated data will be regularly collected and integrated into the quarterly progress report (QPR) and project performance monitoring system for the fulfillment of DMF and GAP reporting requirements.			

CPMU = central project management unit, DMF = design monitoring framework, GAP = gender action plan, GBV/SEAH = gender-based violence/sexual exploitation, abuse and harassment, LPMU = local project management unit, NPMC = national project management consultant, OP = operational priority, PISC = project implementation support consultant.

^a Include representatives from people with disabilities. Separate consultations for female participants with considerations to gender-sensitive measures, such as time, venue, safe and enabling environment, and other affirmative actions, may be conducted if necessary.

^b Reference point in Musrenbang (Development Planning), women's participation is below 20%. In reference to Metropolitan Sanitation Management Investment Project (MSMIP), the target is 30%. Based on prior consultations, women's participation can be supported through civil society organizations and neighborhood associations engagements.

^c Based on consultations with residents and local communities. To ensure public engagement, co-ownership, and awareness.

^d Include skilled and non-skilled, reported separately.

^e Human immunodeficiency virus infection and acquired immunodeficiency syndrome (HIV/AIDS). Gender-Based Violence (GBV) and Sexual Exploitation, Abuse and Sexual Harassment (SEAH).

^f Transparent and eligible mechanism means that the identification and verification of poor households including female-headed households will refer to government regulations at national and local level. Classification of water utilities customer groups is publicly available.

^g Reference points on the number of local utility staff (per 31 December 2021): PDAM Tirta Moedal Semarang = male (71,9%); female (28,1%); male staff in technical positions (83%); female staff in technical positions (17%). PDAM Tirta Khatulistiwa Pontianak = male (80,3%); female (19,7%); male staff in technical positions (91,5%); female staff in technical positions (8,8%). Mataram = not available.

Source: Asian Development Bank.

Appendix M: LIST OF LINKED DOCUMENTS

1. Loan Agreement (OCR)
2. Sector Assessment (Summary): Water and Other Urban Infrastructure and Services (Urban Sanitation)
3. Project Administration Manual
4. Financial Analysis
5. Economic Analysis
6. Summary Poverty Reduction and Social Strategy
7. Risk Assessment and Risk Management Plan
8. Contribution to Strategy 2030 Operational Priorities
9. Climate Change Assessment
10. Gender Action Plan
11. Initial Environmental Examination: Mataram City Subproject
12. Initial Environmental Examination: Pontianak City Subproject
13. Initial Environmental Examination: Semarang City Subproject
14. Due Diligence Report: Mataram Subproject
15. Resettlement Plan: Pontianak Subproject
16. Resettlement Plan: Semarang Subproject
17. Consultation and Participation Plan
18. Climate Risk Assessment: Mataram City
19. Climate Risk Assessment: Pontianak City
20. Climate Risk Assessment: Semarang City
21. Strategic Procurement Plan
22. Financial Management Assessment
23. Detailed Financial Analysis
24. Environmental Management Plan: Mataram Sewer Line
25. Environmental Management Plan: Mataram WWTP
26. Environmental Management Plan: Pontianak CWIS 01 RPH
27. Environmental Management Plan: Pontianak CWIS 02 RPH
28. Environmental Management Plan: Pontianak CWIS 03 Martapura
29. Environmental Management Plan: Pontianak CWIS 04 Martapura
30. Environmental Management Plan: Pontianak CWIS 05 WWTP Nipah Kuning
31. Environmental Management Plan: Pontianak CWIS 06 WWTP Martapura
32. Environmental Management Plan: Semarang CWIS 01 WWTP
33. Environmental Management Plan: Semarang CWIS 02 Trunk Main
34. Environmental Management Plan: Semarang CWIS 03 Sewers
35. Environmental Management Plan: Semarang CWIS 04 Sewers Semarang Tengah and Semarang Selatan
36. Environmental Management Plan: Semarang CWIS 05 Sewers East Semarang
37. Environmental Management Plan: Semarang CWIS 06 Sewers Genuksari
38. Paris Agreement Alignment Assessment for Direct Financing Operations

Appendix N: SEMI-ANNUAL ENVIRONMENTAL SAFEGUARDS MONITORING REPORT
TEMPLATE

Semi-Annual Environmental Safeguards Monitoring Report

INDONESIA

Ministry of Public Work and Housing

**Indonesia: Citywide Inclusive
Sanitation Project (CISP)**

Sub Project

Reporting Period: *[date covered by this report]*

Date: *[date of issue of this report]*

SEMR Report Number: *[1, 2 or 3 ... – depending on how many SEMRs
issued before]*

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Notes on this template:

[Advice: text in red] - this gives the PMU help on what information to add into the sections of the report. **Delete** the red text when the report is complete.

[text in yellow] - delete this text and add the relevant answer. **Delete** the text in yellow when the answers are completed.

ABBREVIATIONS/GLOSSARY

ADB	–	Asian Development Bank
AMDAL	–	<i>Analisis Manajemen Dampak Lingkungan</i> (EIA Management report)
ANDAL	–	<i>Analisis Dampak Lingkungan</i> (EIA report)
EIA	–	<i>Environmental Impact Assessment</i>
EMP	–	<i>Environmental Management Plan</i>
GOI	–	<i>Government of Indonesia</i>
GRM	–	<i>Grievance Redress Mechanism</i>
IA	–	<i>Implementing Agency</i>
IEE	–	<i>Initial Environmental Examination</i>
MoEF	–	<i>Ministry of Environmental and Forestry</i>
Permen LHK	–	<i>Peraturan Menteri Lingkungan Hidup dan Kehutanan (Ministry of Environmental and Forestry Regulation)</i>
PMU	–	Project Management Unit
RKL	–	Rencana Pengelolaan Lingkungan (Environmental Management Plan)
RPL	–	Rencana Pemantauan Lingkungan (Environmental Monitoring Plan)

1 ENVIRONMENTAL SAFEGUARDS SUMMARY

1. The [SEMR Report Number] Semi-Annual Environment Safeguards Monitoring Report (SEMR) covers the period of [start month-end month and year] for Citywide Inclusive Sanitation Project (CISP). The SEMR has been prepared to fulfil the safeguard policy requirements of ADB and should cross reference with the national Indonesian environmental monitoring requirements (RKL-RPL). The national monitoring requirement RKL-RPL (Environmental Management and Monitoring Plan) is detailed in the national Environmental Impact Assessment documents (Amdal) prepared for the project. Indonesian law requires periodical environmental monitoring reporting to be conducted at a minimum every six months (article 49 of Government Regulation No. 22/2021). The RKL-RPL is reported to the local Environmental Office and other related agencies as stated in the RKL-RPL matrices. The RKL-RPL will be prepared by the project operators. It is recommended that the project team preparing the SEMR coordinate closely with the RKL-RPL monitoring and reporting team (if different), and ensure that sampling, analysis, and monitoring activities are coordinated to ensure synergy and add value to both reports.
2. The RKL-RPL periodic sampling and analysis covers key parameters such as: ambient air quality, surface water quality, domestic water quality and noise.
3. RKL-RPLs prepared during the same monitoring period as the SEMR should be attached to the SEMR as Appendix III.
4. Monitoring results given in the RKL-RPL should be cross referenced with the monitoring activities and results conducted in the SEMR.
5. The SEMR is prepared by the National Project Management Consultant [NPMC] and checked by the Central Project Management Unit [CPMU].

1.1. Introduction

- Provide an overall project description and objectives
- Provide Environmental category as per ADB Safeguard Policy Statement, 2009
- Provide Environmental category as per Indonesian laws and regulations (with reference to AMDAL / RKL-RPL documents).

Project Safeguards Team

Name	Designation/Office	Email Address	Contact Number	Roles
1. PMU (CPMU/LPMU)				
2. Implementing Agency				
3. Consultants				

1.2 Summary of Project Progress

6. The following table gives a brief summary of the project progress for contract award/Civil Works (CW) packages, construction and key activities in this reporting period:

Table N.1: 11Project Progress Summary

Safeguards Category	Environment	B	
Reporting Period:	[Month/Year]	Date Last Report Issued:	[Month/Year]
Contracts Awarded to Date:	<p>[Advice: For each Civil Works Contract to be awarded, give progress to date]</p> <p>CW1 [contractor name, award date, subproject]</p> <p>CW2 [contractor name, award date, subproject]</p>		
Construction Progress to Date:	<p>[Advice: For each Civil Works Contract to be awarded, at END of Reporting Period]</p> <p>As of [Month/Year of this reporting period] the physical construction progress is as follows:</p> <p>CW1 [x %] construction completed</p> <p>CW2 [x %] construction completed</p>		
Key Sub-project Activities in this Reporting Period:	<p>[Advice: For each Civil Works (CW) Contract, write the key activities that have taken place on construction sites during the 6 months covered in this report]</p> <p>Construction Activities</p> <p>CW1</p> <p>[e.g. ground clearance and preparation, excavation of site]</p> <p>CW2</p> <p>[e.g. ground clearance and preparation, excavation of site]</p> <p>[Advice: Include any consents or permissions in this section such as UXO clearance, EIA Approval, Waste disposal permission – include any issued during the 6 months covered in this report]</p> <p>Permits or Consents Issued:</p> <p>Permit / Consent for [activity] issued by [Authority] on [date]</p>		

1.3. Summary of EMP Implementation

[Advice: This section gives a high level summary of how the progress on implementing the EMP and the mitigation measures is progressing, in this reporting period. Consider any main issues – the detail will be in the EMP Implementation section of the main report]

7. Environmental Management Plan (EMP) implementation is summarised in the following points, for this reporting period:

- [mitigation measures in use]
- [overall progress and performance of contractors]
- [other issues affecting project environmental performance?]

1.4. Summary of EMP Monitoring

[Advice: This section gives a high level summary of how the EMP has been monitored in this reporting period. This includes site visits by CPMU, PISC, Independent Monitoring Organization. The EMP will say who should be monitoring and when. Detail will be in the EMP Monitoring section of the main report]

8. EMP monitoring is summarised in the following points, for this reporting period:

- Number of monitoring visits to construction site and wider area:
 - [Number of] visits by CPMU
 - [Number of] visits by [others e.g. Independent Monitoring Organization, MoE, CSC]
- Number of Environmental Samples Tested:
 - [Number of] surface water quality samples tested
 - [Number of] air quality samples tested
 - [Number of] wastewater quality samples tested
 - Number of noise measurements

Please cross-reference sampling with RKL-RPL matrices

1.5. Summary of Complaints, Issues and Corrective Action

[Advice: This section informs the Project and ADB of any potential problems that have been addressed or need to be addressed. It can include formal complaints through project Grievance Redress Mechanism. This is main issues only – the detail will be in the Corrective Actions/GRM part of the main report]

9. Any complaints, issues and corrective action identified or implemented are summarized in the following points, for this reporting period:

- Issues Raised: [issues raised on construction sites e.g. dust, noise, traffic]
- Grievances Raised with GRM: [number of] grievances.
- Corrective Action issued by project to Contractor:
 - [problem that needed corrective action]
 - [problem that needed corrective action]

2. SAFEGUARDS STAFF, TRAINING AND DOCUMENTATION

14.1. Implementation Arrangements

[Advice: This section confirms if all roles have staff allocated, or if there are more people to recruit. It confirms if there are resources available for the project for Environmental Safeguards. If resources are not available e.g. cannot find the skills, or people have no time, say so here]

10. The EMP defines the Environmental Safeguards roles and responsibilities. The roles are required to be filled in order to meet the EMP requirements. The following table gives the status of the key roles for EMP implementation:

Table 12: Status of Environmental Safeguard Roles

Safeguards Role	Status & Comment			
[see EMP for list of roles required e.g. Project Management Supervision Consultant - Environmental Specialist]	Date Started:	[date]	Full Time/ Part Time	[FT/PT]
	Comment	[Person Identified? Problems identifying person? No time available?]		
[e.g. CPMU- Environmental And Social Safeguards Staff (EO)]	Date Started:	[date]	Full Time/ Part Time	[FT/PT]
	Comment	[Person Identified? Problems identifying person? No time available?]		
[e.g. LPMU Environmental Safeguards Staff]	Date Started:	[date]	Full Time/ Part Time	[FT/PT]
	Comment	[Person Identified? Problems identifying person? No time available?]		
[e.g. IA GRM Focal Point]	Date Started:	[date]	Full Time/ Part Time	[FT/PT]
	Comment	[Person Identified? Problems identifying person? No time available?]		
[e.g. National Project Management Consultant (NPMC)]	Date Started:	[date]	Full Time/ Part Time	[FT/PT]
	Comment	[Person Identified? Problems identifying person? No time available?]		

[e.g. Contractor Environment Health & Safety Staff]	Date Started:	[date]	Full Time/ Part Time	[FT/PT]
	Comment	[Person Identified? Problems identifying person? No time available?]		
[others? e.g Contractor GRM Person]	Date Started:	[date]	Full Time/ Part Time	[FT/PT]
	Comment			

14.2. Training & Capacity Building

11. The project concludes that the environmental safeguards roles are [conclusion – enough people? Enough budget for staff? Other conclusion or comment?]

Table 13: Environmental Safeguards Training Provided and Planned

Training Course Title	Training Date	Participants	Training Provider
[e.g SSEMP/SSHSMP preparation]	[date – completed or future]	[e.g. No. of CPMU, IA, PISC, Contractors]	[e.g. Support consultants, MoE, Independent trainer]

14.3. ADB Clearances and Safeguard Document Status

[Advice: This section updates ADB with the current progress on the EMP and IEE for the project. Ensure the up to date documents are available and it is clear which is the latest version of each document]

12. The following table gives information on the status of the safeguards documents.

Table 14: Status of Environmental Safeguard Documents

Safeguards Documents	Update Issued (Latest Version)	Submitted to [MoE]	Submitted to ADB
[e.g. IEE]	[date]	[date or Not Applicable]	[date]
[e.g. EMP subproject 1]	[date]	[date or Not Applicable]	[date]
[e.g. EMP subproject 2]	[date]	[date or Not Applicable]	[date]
[e.g. EMP subproject 3]	[date]	[date or Not Applicable]	[date]

14.4. National Approvals

[Advice: This section updates ADB with the current progress on any national approvals and/or certifications needed such as final Environmental Impact Assessment (EIA), IEIA, ECC, Environmental Protections Contract, etc. (varies from country to country) or EMP approvals from the relevant Ministry. If there is no change between this reporting period and the last, the table in the previous report can be used here]

13. The following table gives an update on the necessary national approvals required for the project to proceed.

Table 15: Status of National Approvals for Environmental Documents

Documents	Submitted to KLHK	Approved By KLHK:	Status – if not approved	Comment
[e.g. EIA]	[date or Not Applicable]	[date]	[e.g on going, expected July 2022]	[add any further comment/suggestion here]
[e.g. EMP subproject 1]	[date or Not Applicable]	[date]	[e.g on going, expected July 2022]	
[e.g. EMP Subproject 2]	[date or Not Applicable]	[date]	[e.g on going, expected July 2022]	
[e.g. EMP Subproject 3]	[date or Not Applicable]	[date]	[e.g on going, expected July 2022]	

14.5. Construction Environmental Management Plan Approvals

[Advice: This section updates ADB on whether the contractor's have submitted the SSEMP/SSHSMP for each civil works package, and if the quality of the SSEMP/SSHSMP is suitable. ADB would also need assurance that the SSHSMPs have updated health and safety plans in line with national legislation and any WHO best practices to ensure the necessary COVID-19 mitigation and safety measures are in place to ensure workers health and safety.]

14. The following table confirms the status of the Site-Specific Environmental Management Plan (SSEMP) and Site-Specific Health and Safety Management Plan (SSHSMP) for each Civil Works package:

Table 16: Status of SSEMP/SSHSMP Approvals

Civil Works Package/ Subproject	SSEMP/SSHSMP Given to IA	Approved By IA:	Comment:
[e.g. CW01 Wastewater Treatment Plant]	[date]	[Yes & Date or No]	[E.g. quality of SSEMP/SSHSMP? Good quality? Easy to monitor, generally complies with ADB?]
[e.g. CW02 Sewerage Line Package 1]	[date]	[Yes & Date or No]	
[e.g. CW03 Sewerage Line Package 2]	[date]	[Yes & Date or No]	

3. EMP IMPLEMENTATION

3.1. Environmental Performance

[Advice: This is the most important table showing if the Safeguard requirements are being followed. This section is summarized for Section 1: Summary. The summary will be included in the main 6 monthly report for the entire project. Use all the monthly reports from PISC, GRM, Contractor, etc. to complete this table.]

15. The following tables give the environmental impact mitigation measures in the Borrower (Project) EMP and the corresponding SSEMP/SSHSMP and how the project is progressing with implementing the mitigation measures, for each subproject. Please cross reference with the RKL-RPL Matrices.

16. The evidence for the compliance is through a combination of:

- Site visits to observe site practices.
- Consultation with affected people.
- Regular environmental monitoring/reporting from [PISC, Contractor, others, according to EMP requirements]
- Reference to Indonesian Standard Bi-Annual Monitoring Reports (RKL-RPL)

Table 17: Status of EMP Compliance – [Subproject] – (Refer also to EMP Tables in Approved IEEs)

No	EMP Requirement (Mitigation Measure)	Compliance & Description (Yes, No, Partial)	Comment or Further Explanation if Needed	Reasons for Not Full Compliance
1	Example 1. Worker Camp Sanitation	Yes	Camp includes septic tank which is installed	-
2	Example 2. Noise and Dust Management	Partial	Contractor given corrective action issued 21-07-22: -Spray 3x daily -Start work 7am	-Water is not sprayed 2x daily; -Working outside allowed hours starting at 6:30am
1	[mitigation measure]	[Yes/No/Partial]	[comment on evidence of compliance if needed – any additional information]	[give reason/evidence for noncompliance]
2				
3				
4				
5				
6	[continue]			

17. For all 'Partial' or 'No' compliance issues in the table above, the actions needed to solve the compliance issues are in the table below.

[Advice: For any Partial or Not Compliance issues in the table above, the table below shows ADB what actions will be taken to ensure compliance]

Table 18: EMP– Actions Needed for Compliance - [Subproject]

No.	EMP Requirement	Further Action to Take	Date for Action	Who will Implement Action
02	Noise and dust management	Contractor should not start work before 7am Contractor should spray water minimum 3x daily	End of Sep. 2022	Contractor
	requirement from table above for non-compliant issues]	[action needed to make issue compliant]	[deadline for action]	[who implements action]

18. The following table gives information on environmental performance issues from previous Environmental Monitoring Reports. This table confirms that the action was completed or that the action is outstanding.

[Advice: This table shows the result/outcome of Actions needed to be taken in the previous report (this means follow up Table 8, above, of previous EMR)]

Table 19: EMP Compliance and Outstanding Issues from SEMR Previous Reports

No.	EMP Requirement	Further Action to Take	Responsibility and Timing	Resolution	Required Action
-	Example 1. Water pollution from sediment	Change construction drainage	Contractor – by 2 April 2022	Completed – Action was taken and confirmed by IA visit 4th April 2022	None
-	[complete for each issue]				

3.2. Health and Safety Performance

[Advice: This reports on any health and safety requirements for the project that the contractor needs to fulfil. This can be combined for all subprojects with similar H&S requirements. Due to the COVID-19 reporting on specific measures that are in place in line with national legislation and requirements for the pandemic need to be included. ADB would also need assurance that the SSEMP/SSHSMPS have updated health and safety plans in line with national legislation and any WHO best practices to ensure the necessary COVID-19 mitigation and safety measures are in place.]

19. The following table gives the Health and Safety impact mitigation measures in the Borrower EMP and how the project is progressing with implementing the mitigation measures, for all subprojects:

Table 20: Status of Community and Occupational Health and Safety Compliance - ALL subprojects

No	Health and Safety Requirement	Compliance & Description (Yes, No, Partial)	Comment or Further Explanation if Needed	Reasons for Not Full Compliance
1	Example 1. Workers Need to wear protective clothing	Partial	Subproject: Landfill Workers are not all wearing hard hats and high visibility. Workers seen without safety boots	-Re-issue safety clothing to those without -Training on staff to remind them to wear it 18th August 2022
2	Example 2. First Aid kit needed on site	Yes	Subproject: All First Aid Kit available in site offices	None
	[complete for each issue]			

20. For all 'Partial' or 'No' compliance issues in the table above, the actions needed to solve the compliance issues are in the table below:

Table 21: Status of Health and Safety Actions Needed for Compliance - ALL subprojects

No	Health and Safety Requirement	Further Action to Take	Date for Action	Who will Implement Action
1	Example 1. Workers Need to wear protective clothing	All workers to be given and wear safety clothing	25th August 2022	Contractor
	[complete for each issue]			

21. The following table follows up on Health and Safety performance issues from previous Environmental Monitoring Reports for this subproject. This table confirms that the action was completed or that the action is outstanding.

Table 22: EMP Compliance Outstanding Issues from Previous Report(s) – ALL subprojects

Issue	Required Action	Responsibility and Timing	Resolution	Required Action
Example 1. Water pollution from sediment	Change construction drainage	Contractor – by 2 September 2022	Completed – Action was taken and confirmed by IA visit 4 th April 2022	None
[complete for each issue]				

4. EMP MONITORING

[Advice: This section should show the progress made against the monitoring that is required in the EMP for each subproject. This is a combination of environmental quality monitoring (e.g. taking samples or water, noise measurements) and monitoring the EMP performance by consulting affected people.]

9.1. Environmental Quality Monitoring

22. Environmental quality monitoring requirements are defined in the Monitoring Plan section of the EMP. Please cross-reference with the domestic Indonesian Environmental Impact Assessment (Amdal/UKL-UPL) along with the accompanying Indonesian compliance six monthly environmental monitoring report (RKL-RPL).

23. Discuss the general condition of surroundings at the project site, with consideration of the following, whichever are applicable:

- Confirm if any dust was noted to escape the site boundaries and identify dust suppression techniques followed for site/s.
- Identify if muddy water is escaping site boundaries or if muddy tracks are seen on adjacent roads.
- Identify type of erosion and sediment control measures installed on site/s, condition of erosion and sediment control measures including if these are intact following heavy rain;
- Identify designated areas for concrete works, chemical storage, construction materials, and refueling. Attach photographs of each area in the Appendix.
- Confirm spill kits on site and site procedure for handling emergencies.
- Identify any chemical stored on site and provide information on storage condition. Attach photograph.
- Describe management of stockpiles (construction materials, excavated soils, spoils, etc.). Provide photographs.
- Describe management of solid and liquid wastes on-site (quantity generated, transport, storage and disposal). Provide photographs.
- Provide information on barricades, signages, and on-site boards. Provide photographs in the Appendix.
- Indicate if there are any activities being under taken out of working hours and how that is being managed.

24. Briefly discuss the basis for environmental parameters monitoring. Indicate type of environmental parameters to be monitored and identify the location. Indicate the method of monitoring and equipment used. Provide monitoring results and an analysis of results in relation to baseline data and statutory requirements.

25. The following table gives a summary of the environmental quality monitoring requirements for each subproject.

Table 23: EMP Environmental Quality Monitoring Requirements - ALL subprojects

Subproject	Environmental Issue Monitored	Location	Parameters	Responsible Organization	Frequency
[use EMP to complete this table e.g Subproject 1]	[noise]	[primary school]	[DbA]	[Contractor]	[every 3 months]
[Subproject 1]	[water]	[stream]	[chemicals/temp]	[Contractor]	[every 3 months]
[Subproject 2]	[noise]	[hospital]	[DbA]	[Contractor]	[every 3 months]

26. The following table gives information on the environmental quality monitoring implemented, during this reporting period. Detailed results to be compared to relevant national / international standards

Table 24: EMP Environmental Quality Monitoring implemented - ALL subprojects

Subproject	Environmental Issue Monitored	Location	Monitoring Date
[Subproject 1]	[Noise]		
[Subproject 1]	[Surface Water Quality]		
[Subproject 1]	[Groundwater Quality]		
[Subproject 2]	[Noise]		
[Subproject 2]	[Surface Water Quality]		
[Subproject 2]	[Noise]		

27. **Summary of Results – Noise.** [one paragraph summary on the results – e.g. do they meet national standards (Decree of State Minister of Environment No. 48 of 1996), international standards? Does it show a good quality or poor quality environment?].

28. **Summary of Results – Surface Water quality.** [one paragraph summary on the results – e.g. do they meet national standards (Regulation of The Government of The Republic Of Indonesia Number 22 Of 2021 concerning Implementation of Protection and Management of The Environment Appendix VI National Water Quality Standard), international standards? Does it show a good quality or poor quality environment?].

29. **Summary of Results – Groundwater quality.** [one paragraph summary on the results – e.g. do they meet national standards, international standards? Does it show a good quality or poor quality environment?].

30. **Summary of Results – Air quality.** [one paragraph summary on the results – e.g. do they meet national standards (Regulation of The Government of The Republic of Indonesia Number 22 of 2021 concerning Implementation of Protection and Management of The Environment Appendix VII National Ambient Air Quality Standard), international standards? Does it show a good quality or poor quality environment?].

9.2. Construction Phase Affected People Consultation

[Advice: Complete the table below with the consultations undertaken during construction site monitoring. This is usually undertaken by project staff e.g. CPMU]

31. During the construction phase, the following table gives information on the environmental impact related consultations that were undertaken in order to understand the impact of the project on Affected People and how effective the EMP Mitigation measures are for residents, businesses and other affected people around the construction sites.

Table 25: Construction Phase Affected People Consultation

Subproject	Consultation Date	Person Consulted / Location	Outcome / Issues	Corrective Action Needed	Action Implemented by (person/date)
[Subproject 1]	[date]	[e.g. group of 5 residents, outside commune office]	[Issues raised or General comment from person on project]	[Describe how this issue will be solved]	[e.g Contractor, by June 14 2022]

5. COMPLAINTS, ISSUES, CORRECTIVE ACTION

5.1. Information Disclosure

[Advice: In this section, provide information on any public meetings, dissemination of information that has taken place to give information to the public. Some of this will take place in the 'before construction' phase, when the project is being prepared. For the FIRST SEMR, include information on pre-construction disclosure activities such as GRM dissemination.]

32. The following table gives information on any information disclosure activities undertaken during this reporting period.

Table 26: Information Disclosure

Topic / Reason for Information	Disclosure Date	Method of Disclosure	Outcome / Results
[e.g. new project schedule, update on GRM, change to construction plans]	[date]	[e.g. information board, meeting, leaflet]	[Issues raised or outcome of meeting]

5.2. Grievance Redress Mechanism

[Advice: In this section include any complaints made through the GRM INCLUDING those made during any consultation with Affected People – such as issued raised in **Error! Reference source not found.** Include any complaints made that have already been resolved e.g. resolved during time of consultation]

33. Provide information on establishment of grievance redress mechanism and capacity of grievance redress committee to address project-related issues/complaints.

34. The following table gives information on complaints about the project the Project Team is aware of, during this reporting period. The table includes:

- Complaints made thorough GRM entry points.
- Issues raised in consultation.
- Issues raised any other way that the project team is aware of.

Table 27: Project Complaints or Issues

Details of Complaint / Issue Raised	Detail of Person (Date, Name, Contact Details)	Action Needed & Date	Comment / Resolved?
[e.g. noise/dust, poor access to house, affected water supply]	[date , Name of Person, Phone number/village location]	[e.g. contractor to reinstate water supply by 19 th June 2022]	[Issue solved. Action has been taken and Affected Person is satisfied. IA followed up.]

35. The following table gives information on all issues raised in previous SEMRs which are not yet resolved:

Table 28: Project Complaints or Issues – Not resolved from previous reports

Details of Complaint	Detail of Person (Date, Name, Contact Details)	Action Needed & Date	Reason this is still not resolved
[e.g noise/dust, poor access to house, affected water supply]	[date , Name of Person, Phone number/village location]	[e.g. contractor to reinstate water supply by 19 th June 2022]	[explain why the problem continues.]

5.3. Corrective Action

[Advice: In this section, provide information on any formal corrective action that had to be issued to change practices on the construction site]

36. The following table gives information on any formal corrective action that has been issued to the contractor in order to improve environmental performance.

Table 29: Corrective Action Plans Issued [ALL Subproject]

No	Reason for Corrective Action	Date Corrective Action Plan Issued	Outcome	Comment / Follow Up
	[e.g water supply damaged to village]	[date]	[e.g. Contractor formally requested to repair water supply and compensate people. This was undertaken.]	[PMU will monitor the water supply monthly]

6. CONCLUSION & RECOMMENDATION

[Advice: Summarize if the EMP is being followed and if the Environmental Safeguards are adequate. Make recommendations on what will happen to improve the project environmental performance in the next reporting period]

Conclusion:

[on general environmental progress]

Recommended Actions:

[on next steps and actions to take to make improvements in environmental performance of the project]

XV. ANNEX 1 ENVIRONMENTAL QUALITY MONITORING RESULTS

[Insert Table of results and relevant national/international standard]

XVI. ANNEX 2 PHOTO RECORD – VISITS, MONITORING, CONSULTATION

Photographs of Site Visits

Photographs of Environmental Quality Monitoring

Photographs of Consultation

**XVII. ANNEX 3 COPY OF NATIONAL COMPLIANCE SIX-MONTHLY ENVIRONMENTAL
MONITORING REPORT (RKL-RPL)**

Appendix O: SEMI-ANNUAL SOCIAL SAFEGUARDS MONITORING REPORT TEMPLATE

Social Safeguards Monitoring Report

Monthly/Quarterly/Semiannual/Annual Report
xxx {month} 20xx

COUNTRY: xxx {Project name}, xxx {sub-project
name, if report covers only one sub-project}

Prepared by the Project Management Unit of {complete name of Implementing Agency}
for the {complete name of the borrower} and the Asian Development Bank.

NOTE

- (i) In this report, "\$" refers to US dollars.

This safeguard monitoring report is a document of the borrower. The views expressed herein do not necessarily represent those of ADB's Board of Directors, Management, or staff, and may be preliminary in nature.

In preparing any country program or strategy, financing any project, or by making any designation of or reference to a particular territory or geographic area in this document, the Asian Development Bank does not intend to make any judgments as to the legal or other status of any territory or area.

Appendix: Executive Summary

I. EXECUTIVE SUMMARY

{Read and delete: Provide short summary of the following items:

- **Summary of RP Implementation**
- **Description of monitoring activities** carried out (e.g. field visits, environment effect monitoring, survey questionnaire, public consultation meetings, focus group discussions, etc.)
- **Key issues**, any **corrective actions** already taken, and any **grievances**
- Key activities planned in the next reporting period
- Recommendations

Please use the paragraph numbering format provided below throughout the report}

120. xxx

121. xxx

II. PROJECT OVERVIEW, GENERAL SAFEGUARD MATTERS

1. Project Overview

{Read and delete: Briefly describe project objectives, scope and components – can be taken from PAM or other relevant document. }

2. Project Progress

{Read and delete: Using most recent project progress report, describe status of project implementation, including full list of contracts, status of contract awarding and implementation.}

122. xxx

123. xxx

Table 1: Project Overview, Snapshot of Project Progress

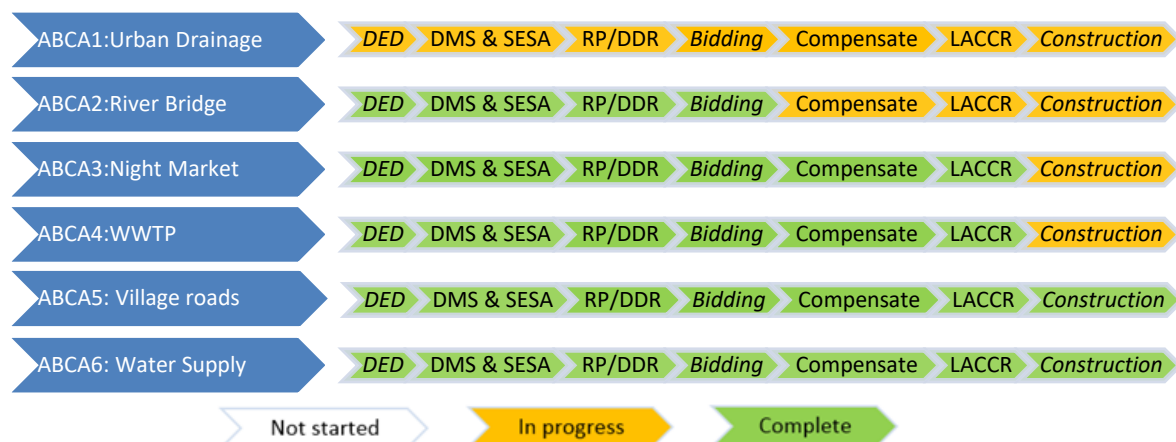
Project Number and Title:		
Safeguards Category	Environment	
	Indigenous Peoples	
	Involuntary Resettlement	

Reporting period:	
Last report date:	
Key sub-project activities since last report:	<i>{Read and delete: This section should include, among others, the following:}</i> <ul style="list-style-type: none"> • Contract awarding • Progress of Work (% physical completion) • Ensure activities are form reporting period of report
Report prepared by:	

(Read and Delete Tables can be useful here - Example only)

	Contract package 1	Contract package 2	etc		
Detailed measurement survey	Date	Date			
Decision on unit rates					
Public disclosure of impacts, entitlements, and mitigation options					
Submission of RP					
ADB concurrence to the RP					
Payment of compensation and allowances					
Compensation Completion Report finalized					

3. Here is another example where there are numerous activities under same project



4. xxx

5. Safeguard Plans Implementation Arrangements

{Read and delete: Describe institutional arrangements and staffing status for responsibilities for RP implementation (Table format as needed)}

124. xxx

125. xxx

6. Capacity Building Activities

Date	Subject	Attendance M /F	Topics Covered	Location

{Read and delete: Provide narrative of status of capacity building and include photos where appropriate}.

XVIII. INVOLUNTARY RESETTLEMENT PERFORMANCE MONITORING

{Read and delete: Provide narrative of status of implementation of the RP(s), including but not limited to: status of RP or Resettlement Framework updating; number of households relocated during the reporting period; outstanding resettlement activities; etc Ensure clear separation of activities by location or contract package}.

126. xxx

127. xxx

Table 6: Summary of Compliance with RP Requirements

RP Requirements	Compliance status Yes/No/Partial	Comment or Reasons for Compliance, Partial Compliance/Non-Compliance	Issues for Further Action ⁴⁴
Establishment of personnel in PMU/IA		<i>{Read and delete: This section should include, among others, the following:}</i>	

⁴⁴ To be elaborated further in table 3.b (Issues for Further Action)

RP Requirements	Compliance status Yes/No/Partial	Comment or Reasons for Compliance, Partial Compliance/Non- Compliance	Issues for Further Action ⁴⁴
		Identify position and name of Safeguards/Resettlement staff of the PMU/IA	
Public consultation and socialization process		<p><i>{Read and delete: This section should include, among others, the following:}</i></p> <p><i>Provide information on:</i></p> <ul style="list-style-type: none"> • <i>Public consultation, participation activities carried out</i> • <i>Inclusive dates of these activities</i> <p><i>To be elaborated on in Item 5</i></p>	
Land area to be acquired is identified and finalized		<p><i>{Read and delete: This section should include, among others, the following:}</i></p> <p><i>Provide information on:</i></p> <ul style="list-style-type: none"> • <i>Land area (of each parcel to be acquired)</i> • <i>Current land use (residential, agri, etc)</i> • <i>Current ownership status (private, state)</i> <p><i>Provide attachments on land titles/user rights certificates,</i></p>	
Resettlement plan(s) updated after detailed design			
Land acquisition completed			
Establishment of Resettlement Site(s)		<p><i>Please state:</i></p> <ul style="list-style-type: none"> • <i>Number of AHs to be relocated as per agreed RP</i> • <i>Number of AHs already relocated</i> • <i>Number of houses built</i> 	

RP Requirements	Compliance status Yes/No/Partial	Comment or Reasons for Compliance, Partial Compliance/Non- Compliance	Issues for Further Action ⁴⁴
		<ul style="list-style-type: none"> • <i>Status of installation of community facilities to be provided as per agreed RP</i> 	
Compensation payments for affected assets is completed		<i>Please state:</i> <ul style="list-style-type: none"> • <i>Total Number of Eligible AHs and APs (as per agreed RP)</i> • <i>Number of AHs and APs compensated as of this monitoring period</i> • <i>Total Budget allocation as per agreed RP</i> • <i>Total budget disbursed to AHs as of this monitoring period</i> 	
Transport assistance for relocating affected households		<i>As above</i>	
Additional assistance to vulnerable affected household		<i>Please state:</i> <ul style="list-style-type: none"> • <i>Total Number of vulnerable AHs and APs (as per agreed RP)</i> • <i>Agreed forms of assistance as per RP</i> • <i>Number of AHs and APs assisted as of this monitoring period</i> 	
Income Restoration Program		<i>Please state progress per income restoration feature/activity and actual period of implementation</i>	
Temporary impacts have been addressed (affected properties restored to at least pre-project conditions)		<i>Please state:</i> <ul style="list-style-type: none"> • <i>Total Number of AHs affected by temporary impacts as per agreed RP</i> • <i>Actual Number of AHs and total area affected by temporary impacts (if this differs from the projected number, such as in cases of unforeseen project impacts)</i> 	

RP Requirements	Compliance status Yes/No/Partial	Comment or Reasons for Compliance, Partial Compliance/Non- Compliance	Issues for Further Action ⁴⁴
		<ul style="list-style-type: none"> Status of restoring affected property 	
Capacity building activities			

XIX. EXTERNAL MONITOR RECOMMENDATIONS

{Read and delete: Provide main points of external monitors recommendations for action and status }.

Table 30 – Recommendations by External Monitor

Issue	Recommendation	Status
Sub Project name (Where Appropriate)		

Table 7: Issues for Further Action / Future plan for next reporting period

Issue	Required Action	Responsibility and Timing	Resolution
Old Issues from Previous Reports			
List of RP activities not completed (last column of previous table)			
New Issues from This Report			

XX. INDIGENOUS PEOPLE PERFORMANCE MONITORING

{Read and delete: Provide narrative of status of implementation of the REGDP(s)/IPP(s), including but not limited to: status of REGDP or IP Framework updating; implementation updates on the IP component during the reporting period; outstanding activities; etc}.

129. xxx

Table 6: Summary of Compliance with IP Requirements

IP Requirements	Compliance status Yes/No/Partial	Comment or Reasons for Compliance, Partial Compliance/Non- Compliance	Issues for Further Action ⁴⁵
Establishment of personnel in PMU/IA		<i>{Read and delete: This section should include, among others, the following:}</i> Identify position and name of Safeguards/IP staff of the PMU/IA	
Public consultation and socialization process		<i>{Read and delete: This section should include, among others, the following:}</i> Provide information on: <ul style="list-style-type: none"> Public consultation, participation activities carried out Inclusive dates of these activities To be elaborated on in Item 5	
IP plan(s) updated after detailed design			
IP plan implementation specifics			
Capacity building activities			

Table 7: Issues for Further Action

{Read and delete: Include any recommendations from ADB missions / External or Internal Monitoring visits that list actions required. (Table format is appropriate, with concluding statement on compliance, partial compliance or non-compliance, and corrective actions as needed)}

Issue	Required Action	Responsibility and Timing	Resolution
Old Issues from Previous Reports			
List of IP activities not completed (last column of previous table)			

⁴⁵ To be elaborated further in table 3.b (Issues for Further Action)

New Issues from This Report			

XXI. COMPLIANCE WITH SAFEGUARDS RELATED PROJECT COVENANTS

{Read and delete: List all resettlement related loan covenants, and assess project's compliance with the covenants (Table format is appropriate, with concluding statement on compliance, partial compliance or non-compliance, and corrective actions as needed)}

Schedule	Para No.	Covenant	Remarks/Issues (Status of Compliance)
Schedule 5	xxx		Complied with / Partially complied with / Not complied with. <i>{Identify reason for partial or non-compliance}</i>

XXII. PUBLIC CONSULTATION, INFORMATION DISCLOSURE, CAPABILITY BUILDING

{Read and delete: Describe public consultation activities during the reporting period. Confirm compliance with consultation plan defined in the IEE/EMP and the RP(s), or justify deviation from these plans. Present planned consultation activities in next reporting period. Use Tables as appropriate.}

- Field Visits (sites visited, dates, persons met)
- Public Consultations and meetings (Date; time; location; agenda; number of participants disaggregated by sex and ethnic group, not including project staff; Issues raised by participants and how these were addressed by the project team)
- Training (Nature of training, number of participants disaggregated by gender and ethnicity, date, location, etc.)
- Press/Media Releases
- Material development/production (e.g., brochure, leaflet, posters)
- Information disclosure

XXIII. GRIEVANCE REDRESS MECHANISM

{Read and delete: Describe mechanisms established to address and redress public complaints and grievances related to social and environment safeguards. Summarize grievances received, if any, and measures implemented to redress them.}

- Number of new grievances, if any, since last monitoring period: _____
- Number of grievances resolved: _____
- Number of outstanding grievances: _____

Type of Grievance	Details (Date, person, address, contact details, etc.)	Required Action, Responsibility and Timing	Resolution
Old Issues from Previous Reports			
New Issues from This Report			

XXIV. CONCLUSION

{Read and delete: Highlight important results from the implementation of RP monitoring; recommendations to improve RP management, implementation, and monitoring; key activities planned in next reporting period}.

XXV. ATTACHMENTS

- Photographs
- Others

{Semiannual/Quarterly} Report
{Month Year}

Prepared by {complete and accurate name of implementing agency or external monitoring agency} for the
{complete name of the borrower} and the Asian Development Bank.

CURRENCY EQUIVALENTS

(as of {Day Month Year})

{The date of the currency equivalents must be within 2 months from the date on the cover.}

Currency unit – {currency name in lowercase (Symbol)}

{Symbol}1.00 = \${ }

\$1.00 = {Symbol_____}

ABBREVIATIONS

{AAA} – {spell out (capitalize only proper names)}

{BBB} – {spell out}

{CCC} – {spell out}

{WEIGHTS AND MEASURES}

{symbol 1 (full name 1)} – {Definition 1}

{symbol 2 (full name 2)} – {Definition 2}

{symbol 3 (full name 3)} – {Definition 3}

{GLOSSARY}

{Term 1} – {Definition 1}

{Term 2} – {Definition 2}

{Term 3} – {Definition 3}

NOTE(S)

- (i) The fiscal year (FY) of the Government of {name of borrower} {and its agencies} ends on {day month}. FY before a calendar year denotes the year in which the fiscal year ends, e.g., FY2011 ends on {day month} 2011. {Note: If FYs are not referred to within the text, delete the entire note and change NOTES to NOTE.}
- (ii) In this report, "\$" refers to US dollars. {Note: If a second \$ currency is referred to in the text, e.g., NZ\$ or S\$, add: unless otherwise stated. In the text, use "\$" for US dollars and the appropriate modifier, e.g., NZ\$ or S\$, for other currencies that use the "\$" symbol.}

This social monitoring report is a document of the borrower. The views expressed herein do not necessarily represent those of ADB's Board of Directors, Management, or staff, and may be preliminary in nature.

In preparing any country program or strategy, financing any project, or by making any designation of or reference to a particular territory or geographic area in this document, the Asian Development Bank does not intend to make any judgments as to the legal or other status of any territory or area.

Introduction and Project Overview^{35F} [\[1\]](#)

Project Number and Title:		
Social Safeguards Category	Indigenous Peoples	
	Involuntary Resettlement	
Reporting period:		
Last report date:		
Key subproject activities since last report:		

A. Executive Summary

This section provides a concise statement of project scope and impacts, key findings, and recommended actions.

B. Background of the Report and Project Description

This section provides a general description of the project, including:

- Background/context of the monitoring report which includes the information on the project, project components, safeguards categorizations and general scope of the social safeguards impacts.
- Information on the implementation progress of the project activities, scope of monitoring report and requirements, reporting period, including frequency of submission and changes in project scope and adjusted safeguard measures, if applicable
- Summary table of identified impacts and the mitigation actions.

C. Scope of Impacts

This section outlines the detail of

- Scale and scope of the project's safeguards impacts,
- Vulnerability status of the affected people/communities,
- Entitlements matrix and other rehabilitation measures, as applicable, as described in the approved final RP(s) /IPP(s).

D. Compensation and Rehabilitation^{36F}[\[2\]](#)

This section describes the process and progress of the implementation of the safeguards plan and other required activities as determined in the plan. This includes:

- Payment of the affected assets compensation, allowances, loss of incomes, etc. to the entitled persons;
- Provisions of other types of entitlement as described in the matrix and implementation of livelihood rehabilitation activities as determined in the plan.
- Provision of specific development activities as indicated in the approved RP.

Quantitative as well as qualitative results of the monitoring parameters, as agreed in the plan, should be provided.

1. **General Progress in Resettlement Implementation**^[3]**Table O.1: General Progress in Land Clearance and Handing Over of Land for Civil Works**

Table C-1: General Progress in Land Clearance and Handing Over of Land for Civil Works								
Affected Household ID	Total Affected Land Area (m2)	Land handed Over (m2)			Land that still has to be acquired/handed over (m2)		Remaining encumbrances [yes/no]	Remarks
		Land Handed over this reporting period	Cumulative amount of land handed over					
			Amount in m2	% of total affected land	Amount in m2	% of total affected land		
HH ID 01								
HH ID 02								
TOTAL								

Table O.2: General Progress in Compensation

Affected Households ID	AHs (APs) eligible for compensation ^a and/or assistance/allowances ^b		
	Total Number of Affected People (AP) in the household	Compensation Value	Payment status (paid, pending payment)
HH ID 01			
HH ID 02			

AH = affected household AP = affected person HH= household

a. All forms of compensation, including affected assets (land/ non-land, crops, etc.) or loss of income

b. Includes all types of allowances and assistance except income restoration, which is presented separately in Section III below

Table O.3: Progress in Compensation of Vulnerable AHs

Affected Households ID	Vulnerability factor(s) ^a	Compensation value	Payment status (paid, pending payment)
HH ID 01			
HH ID 02			

^aPHH=Poor HH, SHH= Single Headed Household, E HoH= Elderly Head of Household,

Table O.4: General Progress in Relocation

Affected Households ID	AHs (APs) required to relocate		
	Total Number of APs	Relocation status	% Progress
HH ID 01			
HH ID 02			

AH = affected household AP = affected person

Table O.5: Disbursement and Use of Funds

Component/ Location	LAR Budget Requirement	Source of Funding ^{37F} ^[4]	Funds Disbursed this Reporting Period	Specific Resettlement activities funded this Reporting Period ^{38F} ^[5]	Timeliness of Fund Disbursement		Cumulative Funds Disbursement
					Delay in targets for fund disbursement ? (Y/N)	Reasons for delay	

LAR = land acquisition and resettlement

2. Other Remarks on Resettlement

- Describe any issues with land titles, Land Use Right Certificate (LURC), adjustment (for the non-relocating households) and allocation (for relocating households). For example, how many relocating households got LURC allocated, how many partially affected households got LURC adjusted.
- [Describe issues identified along with planned and completed remedial actions. Also provide additional information regarding delays in completing resettlement sites, if any, including actions to be taken.]

I. Updated Resettlement Impacts

- [Provides the number of AHs in varying detail, with emphasis on modifications and changes during the planning and implementation period. Any modification in number of AHs are to be documented and justification provided.]

Table O.6: Updated Number of Affected Households

Location	Total No. of Affected Households	Change in Number of affected households Compared to Updated RP

Table O.7: Updated Number of Severely Affected Households

Location	No. of Severely Affected Households due to loss of productive assets	Change in Number of severely affected households Compared to Updated RP

Table O.8: Updated Number of Vulnerable Affected Households

Location	No. of Vulnerable Affected Households due to loss of productive assets	Change in Number of vulnerable affected households Compared to Updated RP

Table O.9: Updated Physically Displaced Households

Location	AHs with Affected Houses	AHs with Fully Affected Houses			Partially Affected AHs	Change in Number of AHs with Fully Affected Houses Compared to Updated RP
		Total	House Built on Land Eligible for Compensation	Of which Vulnerable ^{39F-61}		

II. Relocation

- [This section pertains to households that require relocation. Tables to be modified based on actual options available.]

Table O.10: Confirmed Resettlement Preferences for Households with Fully Affected Houses

Location	# of AHs with Fully Affected Houses	# of AHs Required to Relocate	# of AHs Opting for Replacement Land	# of AHs Opting for Self Relocation (HHs)	# of AHs that Can Rebuild on Remaining Land	# of AHs that opt for relocation apartment in relocation building

Table O.11: Resettlement Solutions Implemented for Vulnerable Households

	Landless (HHs)	Poor (HHs)	Single-Headed Households	Other [add as needed]
Rebuilt on remaining land				
Rebuilt on another plot of land already owned				
Rebuilt (e.g. moved back) out of COI but on public land				
Rebuilt on other person's land (e.g. relative)				
Purchased replacement land elsewhere themselves				
Provided with plot at resettlement site				
Provided with replacement residential plot (non-resettlement site)				
Solution Pending				

COI = corridor of impact

Table 10.2: Status of Resettlement Sites

Resettlement Site*/ Location	Actual completion date	Scheduled completion date	Current status (briefly describe status of completion of infrastructure, etc.)	No. of plots allocated for project	No. of AHs to be allocated plots	No. of plots handed over to AHs	# AHs issued title	# AHs rebuilt houses	# AHs living in relocation site as of reporting period

* Include also separate residential plots to be provided to AHs even if these are not included in resettlement sites.

Other Remarks on RP implementation

- [Describe issues identified along with planned and completed development actions. Also provide additional information regarding delays/ obstacles in completing the agreed actions, if any, including remedial actions to be taken.]

III. Income Restoration Program^{40F}^[7]

{Income/livelihood Restoration Program approaches may vary significantly from each project, and the types of questions asked and data requirements may vary considerably depending on the RP. As such, below is intended as a very general guide.}

1. Status of Income/livelihood Restoration Program

[Provide updated details of income restoration activities to be provided, institutional/implementation arrangements, resource requirements and schedule.]

2. Consultation and Disclosure

[What consultation activities were undertaken during the reporting period to assess needs and preferences of eligible APs? Describe how women and other vulnerable APs have been included in the consultation process.]

Table O.14: Program Participation (Cumulative)

Location	No. of eligible APs	Participation in Livelihood Restoration Activities Disaggregated by Gender and of AP [examples provided below, revise as appropriate for specific Income Restoration Program]					Total # of APs	Of which vulnerable ^{42F} ^[8]
		No. of APs in Agricultural Extension	No. of APs in Mechanic Course	No. of APs in Sewing Course	No. of APs in Small Business Training	[other]		
Suco 1								
Suco 2								
Suco 3								

Table O.15: Effectiveness of Income/ Livelihood Restoration Program Activities

Location	No. of eligible APs	No. of APs employed in project-related jobs as of this monitoring period			# of APs employed in other jobs as of this monitoring period (post-resettlement)		Total # of employed APs ^{43F} ^[9]	Of which vulnerable ^{44F} ^[10]
		(Specify type of Project-related job)	(Specify type of Project-related job)	(Specify type of Project-related job)	(Specify type of job)	(Specify type of job)		
Suco 1								
Suco 2								
Suco 3								

3. Other Remarks on Livelihood Restoration

[Please describe any issues encountered and approaches taken to resolve these.]

D. Disclosure, Consultation & Participation

This section describes public participation and consultations activities during the project implementation as agreed in the plan. This includes final consultations with APs during RP finalization after the completion of detail design; the numbers of activities conducted; issues raised during consultations and responses provided by the project team, implementing NGOs, project management consultant, contractors, etc. The idea here is for the PMU to demonstrate how the URP has been disclosed to APs. The column headings would represent what is indicated in the updated RP.

Table O.16: Means of Disclosure of URP by Location

Location [Village]	Translated approved URP disseminated to village office? (yes/no)	PIB disseminated to AHs (date/ method*)	PIB posted in public place? (yes/no)	Public meeting to present approved URP (date)	Target date to complete disclosure (date)	Community board support required (Yes/No)
Suco 1						
Suco 2						

* Dissemination method such as handed out in public meeting, distributed house-to-house, etc.

1. Consultations

Table O.17: Consultation/Information Dissemination Meetings Conducted During Reporting Period

Date	Venue	Participants [Disaggregated by gender]	Consultation content	Meeting Minutes with PMU

2. Other Remarks on Public consultation and participation

[Please describe any issues encountered and approaches taken to resolve these.]

E. Operation of Grievance Redress Mechanism (GRM)^[11]

This section described the implementation of project GRM as design in the approved RP/IEE. This includes evaluations of its effectiveness, procedures, complaints receive, timeliness to resolve issues/ complaints and resources provided to solve the complaints. Special attention should be given if there are complaints received from the affected people or communities.

Table O.18: Summary of Grievance Cases by Level of GRM
 {Subject to EA's confirmation that they would like to use such a table}

Location	No. of pending grievance from previous reporting period	No. of new grievance cases for reporting period	Total no. of cases received	No. of cases resolved	No. of cases progressed to next level
Level 1					
Level 2					
Level 3					

1. Narrative Summary of Grievances

[Provide a narrative summary of grievance cases by type of issue and location, for example...]

[Where resolution of grievance resulted in any cases of land/assets compulsorily acquired, provide details along with information regarding relevant court or administrative decision and confirmation whether funds due from compensation and assistance have been placed in escrow account or provided to AP.]

F. Other Issues

2. Resolution of Issues

[Provide information on status and/or resolution of issues raised in previous internal monitoring report; ADB monitoring; external monitoring report, etc. Information to be provided at the HH level]

3. New Issues

[Provide information on other newly identified issues impacting the implementation of RP at a HH level. These may include resource constraints, changes in scope of impacts, etc.]

4. Institutional Matters and Capacity Training

[Report on the following as applicable]

- (i) Deployment of safeguards-related staff within PMU. Key activities conducted by PMU safeguards staff during reporting period.
- (ii) Institutional strengthening training provided: type and number of trainings, number of staff/officers trained (disaggregated by gender).
- (iii) Activities of community-based organizations (CBOs)/mass organizations (as applicable)
- (iv) Adequacy of resources for PMU staff and consultants
- (v) Issues in undertaking roles/responsibilities of different agencies

5. Temporary Impacts during Civil Works

[Describe temporary impacts during implementation, including quantities of impacts, #AHs, location, types, etc. and status of restoring temporarily affected assets as appropriate and the responsible agency.]

G. Institutional Arrangement

This section describes the actual implementation or any adjustment made to the institutional arrangement for managing the social safeguards issues in the projects. This includes the establishment of safeguards unit/ team and appointment of staff in the EA/IA; implementation of the GRM and its committee; supervision and coordination between institutions involved in the management and monitoring of safeguards issues, the roles of nongovernment organizations and women's groups in the monitoring and implementation of the plan, if any.

H. Monitoring Results – Findings

This section describes the summary and key findings of the monitoring activities. The results are compared against previously established benchmarks and compliance status (e.g., adequacy of IR compensation rates and timeliness of payments, adequacy and timeliness of IR rehabilitation measures including serviced housing sites, house reconstruction, livelihood support measures, and training; budget for implementing RP, timeliness and adequacy of institutional strengthening, etc.). It also compared against the objectives of safeguards or desired outcomes documented (e.g. IR impacts avoided or minimized; livelihood restored or enhanced; IP's identity, human right, livelihood systems and cultural uniqueness fully respected; IP not suffer adverse impacts, environmental impacts avoided or minimized, etc.). If noncompliance or any major gaps identified, include the recommendation of corrective action plan.

J. Compliance Status

This section will summarize the compliance status of the project activities with the loan covenants, ADB SPS (2009) on SR 2 and SR 3 and the approved final RP(s) and provided in tabular format.

K. Follow up Actions, Recommendation and Disclosure

This section describes recommendations and further actions or items to focus on for the remaining monitoring period. It also includes lesson learned for improvement for future safeguards monitoring activities. Disclosure dates of the monitoring report to the affected communities should also be included. A time-bound summary table for required actions should be included.

Appendix 1

i. List of Affected Persons and Entitlements

ii. Summary of RP/IPP with entitlement matrix

Appendix 2

- i. Copies of AP's certification of payment (signed by the APs)
- ii. Summary of minutes of meetings during public consultations
- iii. Summary of complaints received and solution status

- [1] For projects categorized as A or B in Involuntary Resettlement and/or Indigenous People, the Borrowers/clients are required to submit semiannual/quarterly monitoring reports for ADB review and disclosure. This template can be used for periodic monitoring report (semiannual) and RP completion report to start the civil works in the impacted areas. The level of detail and comprehensiveness of a monitoring report is commensurate with the complexity and significance of social safeguards impacts (IR and IP) and with the recent status of project implementation phase. The project team can adjust the contents of the report as relevant with the project activity.
- [2] Depending on the status of the final detail design during the submission of the report this activity might not yet started. Provide the information on the expected date the activity to be conducted instead. If activities have not started yet, the report should be provided stating that no impact nor resettlement activities have been conducted to date.
- [3] Tables to be adjusted based on actual conditions but should include details of each household and the related information as indicated in the table name/title.
- [4] E.g. Central Government, Municipality, Loan Funds, etc.
- [5] E.g. Number of resettlement sites developed, number and type of community facilities constructed, number of Ahs fully compensated, livelihood restoration activities implemented.
- [6] E.g. Number of female-headed with dependents; number of poor; number of IPs, etc.
- [7] Depending on the status of the final detail design during the submission of the report this activity might not yet started. Provide the information on the expected date the activity to be conducted instead.
- [8] E.g. No. of female-headed with dependents, no. of poor.
- [9] From those who participated in income restoration program.
- [10] E.g. No. of female-headed households with dependents; no. of poor.
- [11] Grievance Redress Mechanism is a joint initiative with Environment and close collaboration is required. Please refer to GRM section in PAM.

Appendix P: GAP Monitoring Table**GENDER ACTION PLAN**

Date of Update:

Project Title:

Country:

Project No.:

Type of Project (Loan/Grant/TA):

Approval and Timeline:

Gender Category:

PMU Project Director:

ADB Project Officer:

Project Impact:

Project Outcome:

Project Outputs:

Gender Action Plan (GAP Activities, Indicators and Targets, Timeframe and Responsibility) based on RRP	Progress to Date (This should include information on period of actual implementation, sex-disaggregated qualitative and quantitative updates (e.g. number of participating women, women beneficiaries of services, etc.). However, some would be in process - so explain what has happened towards meeting this target.	Issues and Challenges (Please include reasons why an activity was not fully implemented, or if targets fall short, or reasons for delay, etc.)
Output 1:		
Action: Responsibility: Time:		
Action: Responsibility: Time:		
Output 2:		
Action: Responsibility: Time:		
Action: Responsibility: Time:		
Output 3:		
Action: Responsibility: Time:		
Action: Responsibility: Time:		
Comments / Remarks:		
Accomplished by:		
Date Accomplished:		