

United Nations Development Programme



REQUEST FOR PROPOSAL

Long Term Agreement - Independent Assessor for conducting independent assessment of the GCF REDD+ Results-Based Payments project in Indonesia – Phase 2

RFP No.: RFP/UNDP/REDD+/ 185858/011/2022

Project: REDD +

Country: INDONESIA

Issued on: 16 June 2022

Contents

Section 1. Letter of Invitation.....	6
Section 2. Instruction to Bidders.....	7
A. GENERAL PROVISIONS 7	
1. Introduction	7
2. Fraud & Corruption, Gifts and Hospitality.....	7
3. Eligibility	7
4. Conflict of Interests	8
B. PREPARATION OF PROPOSALS 8	
5. General Considerations	8
6. Cost of Preparation of Proposal	8
7. Language	8
8. Documents Comprising the Proposal.....	8
9. Documents Establishing the Eligibility and Qualifications of the Bidder	9
10. Technical Proposal Format and Content.....	9
11. Financial Proposals	9
12. Proposal Security	9
13. Currencies	10
14. Joint Venture, Consortium or Association.....	10
15. Only One Proposal.....	11
16. Proposal Validity Period.....	11
17. Extension of Proposal Validity Period	11
18. Clarification of Proposal	11
19. Amendment of Proposals.....	11
20. Alternative Proposals.....	12
21. Pre-Bid Conference.....	12
C. SUBMISSION AND OPENING OF PROPOSALS 12	
22. Submission.....	12
23. Deadline for Submission of Proposals and Late Proposals	13
24. Withdrawal, Substitution, and Modification of Proposals.....	13
25. Proposal Opening.....	14
D. EVALUATION OF PROPOSALS 14	
26. Confidentiality	14
27. Evaluation of Proposals	14
28. Preliminary Examination	14
29. Evaluation of Eligibility and Qualification.....	14
30. Evaluation of Technical and Financial Proposals.....	15
31. Due Diligence	16

32. Clarification of Proposals	16
33. Responsiveness of Proposal.....	16
34. Nonconformities, Reparable Errors and Omissions	16
E. AWARD OF CONTRACT 17	
35. Right to Accept, Reject, Any or All Proposals	17
36. Award Criteria	17
37. Debriefing	17
38. Right to Vary Requirements at the Time of Award.....	17
39. Contract Signature	17
40. Contract Type and General Terms and Conditions	17
41. Performance Security.....	17
42. Bank Guarantee for Advanced Payment.....	18
43. Liquidated Damages	18
44. Payment Provisions.....	18
45. Vendor Protest	18
46. Other Provisions	18
Section 3. Bid Data Sheet.....	19
Section 4. Evaluation Criteria.....	22
Section 5. Terms of Reference	27
Section 6: Returnable Bidding Forms / Checklist.....	97
form a: technical proposal submission form	97
form b: bidder information form.....	97
form c: joint venture/consortium/association information form	97
form d: qualification form	97
form e: format of technical proposal.....	97
form f: financial proposal submission form	97
form g: financial proposal form	97

Dear Sir/Madam,

The United Nations Development Programme (UNDP) hereby invites you to submit a Proposal to this Request for Proposal (RFP) for the above-referenced subject.

Detailed Terms of Reference (TOR) as well as other requirements are listed in the RFP available on UNDP ATLAS e-Tendering system (<https://etendering.partneragencies.org>) **Event ID: 0000012833**

Your offer, comprising of a Technical and Financial Proposal, should be submitted in accordance with the RFP requirements, through the UNDP ATLAS e-Tendering system and by the deadline indicated in <https://etendering.partneragencies.org>.

NOTE: The Technical Proposal and Financial Proposal files MUST BE COMPLETELY SEPARATE and uploaded separately in the system and clearly named as either "TECHNICAL PROPOSAL" or "FINANCIAL PROPOSAL", as appropriate. Each document shall include the Proposer's name and address. The file with the "FINANCIAL PROPOSAL" must be encrypted with a password so that it cannot be opened nor viewed until the Technical Proposal has been found to be pass the technical evaluation stage. Once a Technical Proposal has been found to be responsive by passing the technical evaluation stage, UNDP shall request the Proposer to submit the password to open the Financial Proposal. The Proposer shall assume the responsibility for not encrypting the Financial Proposal. **NOTE: DO NOT ENTER BID AMOUNT IN THE SYSTEM, INSTEAD ENTER THE NUMBER 1. Failed to meet this requirement, proposal will be rejected**

In the course of preparing and submitting your Proposal, it shall remain your responsibility to ensure that it is submitted into the system by the deadline. The system will automatically block and not accept any bid after the deadline. In case of any discrepancies, the deadline indicated in the system shall prevail.

Kindly ensure that supporting documents required are signed and stamped and in the .pdf format, and free from any virus or corrupted files and the **FINANCIAL PROPOSAL IS PASSWORD PROTECTED. Failed to meet this requirement, proposal will be rejected**

NOTE: The file name should contain only Latin characters (No Cyrillic or other alphabets.).

You are kindly requested to indicate whether your company intends to submit a Proposal by clicking "**Accept Invitation**" but not later than **21 JUNE 2022**. If this is not the case, UNDP would appreciate indicating your reason, for our records.

If you have not registered in the system before, you can register by logging in using:

Username: event.guest

Password: why2change

The step by step instructions for registration of bidders and quotation submission through the UNDP ATLAS e-Tendering system is available in the attached "Instructions Manual for the Bidders". Should you require any training on the UNDP ATLAS e-Tendering system or face any difficulties when registering your company or submitting your quotation, please send an email to sestyo.wicaksono@undp.org and cc yusef.millah@undp.org .

Please note that ATLAS has following minimum requirements for password:

1. Minimum length of 8 characters;

2. At least one capital letter; and
3. At least one number.

New proposer registering for the first time, the system will not accept any password that does not meet the above requirement, and thus registration cannot be completed.

For existing vendor whose current password does not meet the abovementioned password requirements, the system will prompt you to change your password upon signing in. Please change your password in accordance with the abovementioned password requirements to be able to login to the system.

The user guide and video are available to you in the UNDP public website in this link: <https://www.undp.org/content/undp/en/home/procurement/business/resources-for-bidders.html>

You are advised to use Internet Explorer (Version 10 or above) to avoid any incompatibility issues with the re-tendering system.

No hard copy or email submissions will be accepted by UNDP.

UNDP looks forward to receiving your Proposal and appreciate your interest to participate in UNDP procurement opportunities.

SECTION 1. LETTER OF INVITATION

The United Nations Development Programme (UNDP) hereby invites you to submit a Proposal to this Request for Proposal (RFP) for the above-referenced subject.

This RFP includes the following documents and the General Terms and Conditions of Contract which is inserted in the Bid Data Sheet (BDS):

- Section 1: This Letter of Invitation
- Section 2: Instruction to Bidders
- Section 3: Bid Data Sheet (BDS)
- Section 4: Evaluation Criteria
- Section 5: Terms of Reference
- Section 6: Returnable Bidding Forms
 - o Form A: Technical Proposal Submission Form
 - o Form B: Bidder Information Form
 - o Form C: Joint Venture/Consortium/Association Information Form
 - o Form D: Qualification Form
 - o Form E: Format of Technical Proposal
 - o Form F: Financial Proposal Submission Form

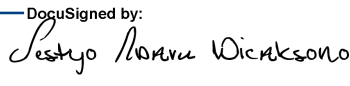
If you are interested in submitting a Proposal in response to this RFP, please prepare your Proposal in accordance with the requirements and procedure as set out in this RFP and submit it by the Deadline for Submission of Proposals set out in Bid Data Sheet.

Please acknowledge receipt of this RFP by sending an email to Sestyo.wicaksono@undp.org and cc yusef.millah@undp.org, indicating whether you intend to submit a Proposal or otherwise. You may also utilize the "Accept Invitation" function in eTendering system, where applicable. This will enable you to receive amendments or updates to the RFP. Should you require further clarifications, kindly communicate with the contact person/s identified in the attached Bid Data Sheet as the focal point for queries on this RFP.


UNDP looks forward to receiving your Proposal and thank you in advance for your interest in UNDP procurement opportunities.

Issued by:

Approved by:

DocuSigned by:

5F3519A617E14DC...

Name: Sestyo Ndaru W
Title: Procurement Assistant
Date: **June 16, 2022**

DocuSigned by:

21B257514E5748B...

Name: Martin Stephanus Kurnia
Title: Head of Procurement Unit
Date: **June 16, 2022**

SECTION 2. INSTRUCTION TO BIDDERS

A. GENERAL PROVISIONS

<p><i>1. Introduction</i></p>	<p>1.1 Bidders shall adhere to all the requirements of this RFP, including any amendments in writing by UNDP. This RFP is conducted in accordance with the UNDP Programme and Operations Policies and Procedures (POPP) on Contracts and Procurement which can be accessed at https://poppp.undp.org/SitePages/POPPBSUnit.aspx?TermID=254a9f96-b883-476a-8ef8-e81f93a2b38d</p> <p>1.2 Any Proposal submitted will be regarded as an offer by the Bidder and does not constitute or imply the acceptance of the Proposal by UNDP. UNDP is under no obligation to award a contract to any Bidder as a result of this RFP.</p> <p>1.3 As part of the bid, it is desired that the Bidder registers at the United Nations Global Marketplace (UNGM) website (www.ungm.org). The Bidder may still submit a bid even if not registered with the UNGM. However, if the Bidder is selected for contract award, the Bidder must register on the UNGM prior to contract signature.</p>
<p><i>2. Fraud & Corruption, Gifts and Hospitality</i></p>	<p>2.1 UNDP strictly enforces a policy of zero tolerance on proscribed practices, including fraud, corruption, collusion, unethical or unprofessional practices, and obstruction of UNDP vendors and requires all bidders/vendors observe the highest standard of ethics during the procurement process and contract implementation. UNDP's Anti-Fraud Policy can be found at http://www.undp.org/content/undp/en/home/operations/accountability/audit/office_of_audit_andinvestigation.html#anti</p> <p>2.2 Bidders/vendors shall not offer gifts or hospitality of any kind to UNDP staff members including recreational trips to sporting or cultural events, theme parks or offers of holidays, transportation, or invitations to extravagant lunches or dinners.</p> <p>2.3 In pursuance of this policy, UNDP (a) Shall reject a proposal if it determines that the selected bidder has engaged in any corrupt or fraudulent practices in competing for the contract in question; (b) Shall declare a vendor ineligible, either indefinitely or for a stated period of time, to be awarded a contract if at any time it determines that the vendor has engaged in any corrupt or fraudulent practices in competing for, or in executing a UNDP contract.</p> <p>2.4 All Bidders must adhere to the UN Supplier Code of Conduct, which may be found at http://www.un.org/depts/ptd/pdf/conduct_english.pdf</p>
<p><i>3. Eligibility</i></p>	<p>3.1 A vendor should not be suspended, debarred, or otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization. Vendors are therefore required to disclose to UNDP whether they are subject to any sanction or temporary suspension imposed by these organizations.</p> <p>3.2 It is the Bidder's responsibility to ensure that its employees, joint venture members, sub-contractors, service providers, suppliers and/or their employees meet the eligibility requirements as established by UNDP.</p>

<p>4. <i>Conflict of Interests</i></p>	<p>4.1 Bidders must strictly avoid conflicts with other assignments or their own interests, and act without consideration for future work. Bidders found to have a conflict of interest shall be disqualified. Without limitation on the generality of the above, Bidders, and any of their affiliates, shall be considered to have a conflict of interest with one or more parties in this solicitation process, if they:</p> <ul style="list-style-type: none"> a) Are or have been associated in the past, with a firm or any of its affiliates which have been engaged by UNDP to provide services for the preparation of the design, specifications, Terms of Reference, cost analysis/estimation, and other documents to be used for the procurement of the goods and services in this selection process; b) Were involved in the preparation and/or design of the programme/project related to the services requested under this RFP; or c) Are found to be in conflict for any other reason, as may be established by, or at the discretion of UNDP. <p>4.2 In the event of any uncertainty in the interpretation of a potential conflict of interest, Bidders must disclose to UNDP, and seek UNDP's confirmation on whether or not such a conflict exists.</p> <p>4.3 Similarly, the Bidders must disclose in their proposal their knowledge of the following:</p> <ul style="list-style-type: none"> a) If the owners, part-owners, officers, directors, controlling shareholders, of the bidding entity or key personnel are family members of UNDP staff involved in the procurement functions and/or the Government of the country or any Implementing Partner receiving services under this RFP; and b) All other circumstances that could potentially lead to actual or perceived conflict of interest, collusion or unfair competition practices. <p>Failure to disclose such an information may result in the rejection of the proposal or proposals affected by the non-disclosure.</p> <p>4.4 The eligibility of Bidders that are wholly or partly owned by the Government shall be subject to UNDP's further evaluation and review of various factors such as being registered, operated and managed as an independent business entity, the extent of Government ownership/share, receipt of subsidies, mandate and access to information in relation to this RFP, among others. Conditions that may lead to undue advantage against other Bidders may result in the eventual rejection of the Proposal.</p>
<p>B. PREPARATION OF PROPOSALS</p>	
<p>5. <i>General Considerations</i></p>	<p>5.1 In preparing the Proposal, the Bidder is expected to examine the RFP in detail. Material deficiencies in providing the information requested in the RFP may result in rejection of the Proposal.</p> <p>5.2 The Bidder will not be permitted to take advantage of any errors or omissions in the RFP. Should such errors or omissions be discovered, the Bidder must notify the UNDP</p>
<p>6. <i>Cost of Preparation of Proposal</i></p>	<p>6.1 The Bidder shall bear any and all costs related to the preparation and/or submission of the Proposal, regardless of whether its Proposal was selected or not. UNDP shall not be responsible or liable for those costs, regardless of the conduct or outcome of the procurement process.</p>
<p>7. <i>Language</i></p>	<p>7.1 The Proposal, as well as any and all related correspondence exchanged by the Bidder and UNDP, shall be written in the language (s) specified in the BDS.</p>
<p>8. <i>Documents</i></p>	<p>8.1 The Proposal shall comprise of the following documents:</p>

<i>Comprising the Proposal</i>	<ul style="list-style-type: none"> a) Documents Establishing the Eligibility and Qualifications of the Bidder; b) Technical Proposal; c) Financial Proposal; d) Proposal Security, if required by BDS; e) Any attachments and/or appendices to the Proposal.
<i>9. Documents Establishing the Eligibility and Qualifications of the Bidder</i>	<p>9.1 The Bidder shall furnish documentary evidence of its status as an eligible and qualified vendor, using the Forms provided under Section 6 and providing documents required in those forms. In order to award a contract to a Bidder, its qualifications must be documented to UNDP's satisfaction.</p>
<i>10. Technical Proposal Format and Content</i>	<p>10.1 The Bidder is required to submit a Technical Proposal using the Standard Forms and templates provided in Section 6 of the RFP.</p> <p>10.2 The Technical Proposal shall not include any price or financial information. A Technical Proposal containing material financial information may be declared non-responsive.</p> <p>10.3 Samples of items, when required as per Section 5, shall be provided within the time specified and unless otherwise specified by UNDP, and at no expense to UNDP</p> <p>10.4 When applicable and required as per Section 5, the Bidder shall describe the necessary training programme available for the maintenance and operation of the services and/or equipment offered as well as the cost to the UNDP. Unless otherwise specified, such training as well as training materials shall be provided in the language of the Bid as specified in the BDS.</p>
<i>11. Financial Proposals</i>	<p>11.1 The Financial Proposal shall be prepared using the Standard Form provided in Section 6 of the RFP. It shall list all major cost components associated with the services, and the detailed breakdown of such costs.</p> <p>11.2 Any output and activities described in the Technical Proposal but not priced in the Financial Proposal, shall be assumed to be included in the prices of other activities or items, as well as in the final total price.</p> <p>11.3 Prices and other financial information must not be disclosed in any other place except in the financial proposal.</p>
<i>12. Proposal Security</i>	<p>12.1 A Proposal Security, if required by BDS, shall be provided in the amount and form indicated in the BDS. The Proposal Security shall be valid up to thirty (30) days after the final date of validity of the Proposal.</p> <p>12.2 The Proposal Security shall be included along with the Technical Proposal. If Proposal Security is required by the RFP but is not found along with the Technical Proposal, the Proposal shall be rejected.</p> <p>12.3 If the Proposal Security amount or its validity period is found to be less than what is required by UNDP, UNDP shall reject the Proposal.</p> <p>12.4 In the event an electronic submission is allowed in the BDS, Bidders shall include a copy of the Bid Security in their proposal and the original of the Proposal Security must be sent via courier or hand delivery as per the instructions in BDS.</p> <p>12.5 The Proposal Security may be forfeited by UNDP, and the Proposal rejected, in the event of any one or combination, of the following conditions:</p> <ul style="list-style-type: none"> a) If the Bidder withdraws its offer during the period of the Proposal Validity specified in the BDS, or; b) In the event that the successful Bidder fails:

	<p>i. to sign the Contract after UNDP has issued an award; or</p> <p>12.6 to furnish the Performance Security, insurances, or other documents that UNDP may require as a condition precedent to the effectivity of the contract that may be awarded to the Bidder.</p>
<p>13. Currencies</p>	<p>13.1 All prices shall be quoted in the currency or currencies indicated in the BDS. Where Proposals are quoted in different currencies, for the purposes of comparison of all Proposals:</p> <p>a) UNDP will convert the currency quoted in the Proposal into the UNDP preferred currency, in accordance with the prevailing UN operational rate of exchange on the last day of submission of Proposals; and</p> <p>b) In the event that UNDP selects a proposal for award that is quoted in a currency different from the preferred currency in the BDS, UNDP shall reserve the right to award the contract in the currency of UNDP's preference, using the conversion method specified above.</p>
<p>14. Joint Venture, Consortium or Association</p>	<p>14.1 If the Bidder is a group of legal entities that will form or have formed a Joint Venture (JV), Consortium or Association for the Proposal, they shall confirm in their Proposal that : (i) they have designated one party to act as a lead entity, duly vested with authority to legally bind the members of the JV, Consortium or Association jointly and severally, which shall be evidenced by a duly notarized Agreement among the legal entities, and submitted with the Proposal; and (ii) if they are awarded the contract, the contract shall be entered into, by and between UNDP and the designated lead entity, who shall be acting for and on behalf of all the member entities comprising the joint venture.</p> <p>14.2 After the Deadline for Submission of Proposal, the lead entity identified to represent the JV, Consortium or Association shall not be altered without the prior written consent of UNDP.</p> <p>14.3 The lead entity and the member entities of the JV, Consortium or Association shall abide by the provisions of Clause 9 herein in respect of submitting only one proposal.</p> <p>14.4 The description of the organization of the JV, Consortium or Association must clearly define the expected role of each of the entity in the joint venture in delivering the requirements of the RFP, both in the Proposal and the JV, Consortium or Association Agreement. All entities that comprise the JV, Consortium or Association shall be subject to the eligibility and qualification assessment by UNDP.</p> <p>14.5 A JV, Consortium or Association in presenting its track record and experience should clearly differentiate between:</p> <p>a) Those that were undertaken together by the JV, Consortium or Association; and</p> <p>b) Those that were undertaken by the individual entities of the JV, Consortium or Association.</p> <p>14.6 Previous contracts completed by individual experts working privately but who are permanently or were temporarily associated with any of the member firms cannot be claimed as the experience of the JV, Consortium or Association or those of its members, but should only be claimed by the individual experts themselves in their presentation of their individual credentials.</p> <p>14.7 JV, Consortium or Associations are encouraged for high value, multi-sectoral requirements when the spectrum of expertise and resources required may not be available within one firm.</p>

<p>15. Only One Proposal</p>	<p>15.1 The Bidder (including the individual members of any Joint Venture) shall submit only one Proposal, either in its own name or as part of a Joint Venture.</p> <p>15.2 Proposals submitted by two (2) or more Bidders shall all be rejected if they are found to have any of the following:</p> <ul style="list-style-type: none"> a) they have at least one controlling partner, director or shareholder in common; or b) any one of them receive or have received any direct or indirect subsidy from the other/s; or c) they have the same legal representative for purposes of this RFP; or d) they have a relationship with each other, directly or through common third parties, that puts them in a position to have access to information about, or influence on the Proposal of, another Bidder regarding this RFP process; e) they are subcontractors to each other's Proposal, or a subcontractor to one Proposal also submits another Proposal under its name as lead Bidder; or f) some key personnel proposed to be in the team of one Bidder participates in more than one Proposal received for this RFP process. This condition relating to the personnel, does not apply to subcontractors being included in more than one Proposal.
<p>16. Proposal Validity Period</p>	<p>16.1 Proposals shall remain valid for the period specified in the BDS, commencing on the Deadline for Submission of Proposals. A Proposal valid for a shorter period may be rejected by UNDP and rendered non-responsive.</p> <p>16.2 During the Proposal validity period, the Bidder shall maintain its original Proposal without any change, including the availability of the Key Personnel, the proposed rates and the total price.</p>
<p>17. Extension of Proposal Validity Period</p>	<p>17.1 In exceptional circumstances, prior to the expiration of the proposal validity period, UNDP may request Bidders to extend the period of validity of their Proposals. The request and the responses shall be made in writing, and shall be considered integral to the Proposal.</p> <p>17.2 If the Bidder agrees to extend the validity of its Proposal, it shall be done without any change in the original Proposal.</p> <p>17.3 The Bidder has the right to refuse to extend the validity of its Proposal, and in which case, such Proposal will not be further evaluated.</p>
<p>18. Clarification of Proposal</p>	<p>18.1 Bidders may request clarifications on any of the RFP documents no later than the date indicated in the BDS. Any request for clarification must be sent in writing in the manner indicated in the BDS. If inquiries are sent other than specified channel, even if they are sent to a UNDP staff member, UNDP shall have no obligation to respond or confirm that the query was officially received.</p> <p>18.2 UNDP will provide the responses to clarifications through the method specified in the BDS.</p> <p>18.3 UNDP shall endeavor to provide responses to clarifications in an expeditious manner, but any delay in such response shall not cause an obligation on the part of UNDP to extend the submission date of the Proposals, unless UNDP deems that such an extension is justified and necessary.</p>
<p>19. Amendment of Proposals</p>	<p>19.1 At any time prior to the deadline of Proposal submission, UNDP may for any reason, such as in response to a clarification requested by a Bidder, modify the RFP in the form of an amendment to the RFP. Amendments will be made available to all prospective bidders.</p>

	19.2 If the amendment is substantial, UNDP may extend the Deadline for submission of proposal to give the Bidders reasonable time to incorporate the amendment into their Proposals.
20. <i>Alternative Proposals</i>	<p>20.1 Unless otherwise specified in the BDS, alternative proposals shall not be considered. If submission of alternative proposal is allowed by BDS, a Bidder may submit an alternative proposal, but only if it also submits a proposal conforming to the RFP requirements. UNDP shall only consider the alternative proposal offered by the Bidder whose conforming proposal ranked the highest as per the specified evaluation method. Where the conditions for its acceptance are met, or justifications are clearly established, UNDP reserves the right to award a contract based on an alternative proposal.</p> <p>20.2 If multiple/alternative proposals are being submitted, they must be clearly marked as "Main Proposal" and "Alternative Proposal"</p>
21. <i>Pre-Bid Conference</i>	21.1 When appropriate, a Bidder's conference will be conducted at the date, time and location specified in the BDS. All Bidders are encouraged to attend. Non-attendance, however, shall not result in disqualification of an interested Bidder. Minutes of the Bidder's conference will be disseminated on the procurement website and shared by email or on the e-Tendering platform as specified in the BDS. No verbal statement made during the conference shall modify the terms and conditions of the RFP, unless specifically incorporated in the Minutes of the Bidder's Conference or issued/posted as an amendment to RFP.
C. SUBMISSION AND OPENING OF PROPOSALS	
22. <i>Submission</i>	<p>22.1 The Bidder shall submit a duly signed and complete Proposal comprising the documents and forms in accordance with the requirements in the BDS. The submission shall be in the manner specified in the BDS.</p> <p>22.2 The Proposal shall be signed by the Bidder or person(s) duly authorized to commit the Bidder. The authorization shall be communicated through a document evidencing such authorization issued by the legal representative of the bidding entity, or a Power of Attorney, accompanying the Proposal.</p> <p>22.3 Bidders must be aware that the mere act of submission of a Proposal, in and of itself, implies that the Bidder fully accepts the UNDP General Contract Terms and Conditions.</p>
Hard copy (manual) submission	<p>22.4 Hard copy (manual) submission by courier or hand delivery allowed or specified in the BDS shall be governed as follows:</p> <ul style="list-style-type: none"> a) The signed Proposal shall be marked "Original", and its copies marked "Copy" as appropriate. The number of copies is indicated in the BDS. All copies shall be made from the signed original only. If there are discrepancies between the original and the copies, the original shall prevail. b) The Technical Proposal and the Financial Proposal envelopes MUST BE COMPLETELY SEPARATE and each of them must be submitted sealed individually and clearly marked on the outside as either "TECHNICAL PROPOSAL" or "FINANCIAL PROPOSAL", as appropriate. Each envelope SHALL clearly indicate the name of the Bidder. The outer envelopes shall: <ul style="list-style-type: none"> i. Bear the name and address of the bidder; ii. Be addressed to UNDP as specified in the BDS

<i>Proposals</i>	<p>Proposal by sending a written notice to UNDP, duly signed by an authorized representative, and shall include a copy of the authorization (or a Power of Attorney). The corresponding substitution or modification of the Proposal, if any, must accompany the respective written notice. All notices must be submitted in the same manner as specified for submission of proposals, by clearly marking them as "WITHDRAWAL," "SUBSTITUTION," or "MODIFICATION"</p> <p>24.3 eTendering: A Bidder may withdraw, substitute or modify its Proposal by Canceling, Editing, and re-submitting the proposal directly in the system. It is the responsibility of the Bidder to properly follow the system instructions, duly edit and submit a substitution or modification of the Proposal as needed. Detailed instructions on how to cancel or modify a Proposal directly in the system are provided in Bidder User Guide and Instructional videos.</p> <p>24.4 Proposals requested to be withdrawn shall be returned unopened to the Bidders (only for manual submissions), except if the bid is withdrawn after the bid has been opened</p>
25. <i>Proposal Opening</i>	<p>25.1 There is no public bid opening for RFPs. UNDP shall open the Proposals in the presence of an ad-hoc committee formed by UNDP, consisting of at least two (2) members. In the case of e-Tendering submission, bidders will receive an automatic notification once their proposal is opened.</p>
D. EVALUATION OF PROPOSALS	
26. <i>Confidentiality</i>	<p>26.1 Information relating to the examination, evaluation, and comparison of Proposals, and the recommendation of contract award, shall not be disclosed to Bidders or any other persons not officially concerned with such process, even after publication of the contract award.</p> <p>26.2 Any effort by a Bidder or anyone on behalf of the Bidder to influence UNDP in the examination, evaluation and comparison of the Proposals or contract award decisions may, at UNDP's decision, result in the rejection of its Proposal and may be subject to the application of prevailing UNDP's vendor sanctions procedures.</p>
27. <i>Evaluation of Proposals</i>	<p>27.1 The Bidder is not permitted to alter or modify its Proposal in any way after the proposal submission deadline except as permitted under Clause 24 of this RFP. UNDP will conduct the evaluation solely on the basis of the submitted Technical and Financial Proposals.</p> <p>27.2 Evaluation of proposals is made of the following steps:</p> <ol style="list-style-type: none"> Preliminary Examination Minimum Eligibility and Qualification (if pre-qualification is not done) Evaluation of Technical Proposals Evaluation of Financial Proposals
28. <i>Preliminary Examination</i>	<p>28.1 UNDP shall examine the Proposals to determine whether they are complete with respect to minimum documentary requirements, whether the documents have been properly signed, and whether the Proposals are generally in order, among other indicators that may be used at this stage. UNDP reserves the right to reject any Proposal at this stage.</p>
29. <i>Evaluation of Eligibility and Qualification</i>	<p>29.1 Eligibility and Qualification of the Bidder will be evaluated against the Minimum Eligibility/Qualification requirements specified in the Section 4 (Evaluation Criteria).</p> <p>29.2 In general terms, vendors that meet the following criteria may be considered qualified:</p> <ol style="list-style-type: none"> They are not included in the UN Security Council 1267/1989 Committee's

	<p>list of terrorists and terrorist financiers, and in UNDP's ineligible vendors' list;</p> <ul style="list-style-type: none"> b) They have a good financial standing and have access to adequate financial resources to perform the contract and all existing commercial commitments, c) They have the necessary similar experience, technical expertise, production capacity where applicable, quality certifications, quality assurance procedures and other resources applicable to the provision of the services required; d) They are able to comply fully with UNDP General Terms and Conditions of Contract; e) They do not have a consistent history of court/arbitral award decisions against the Bidder; and f) They have a record of timely and satisfactory performance with their clients.
<p>30. Evaluation of Technical and Financial Proposals</p>	<p>30.1 The evaluation team shall review and evaluate the Technical Proposals on the basis of their responsiveness to the Terms of Reference and other RFP documents, applying the evaluation criteria, sub-criteria, and point system specified in the Section 4 (Evaluation Criteria). A Proposal shall be rendered non-responsive at the technical evaluation stage if it fails to achieve the minimum technical score indicated in the BDS. When necessary and if stated in the BDS, UNDP may invite technically responsive bidders for a presentation related to their technical proposals. The conditions for the presentation shall be provided in the bid document where required.</p> <p>30.2 In the second stage, only the Financial Proposals of those Bidders who achieve the minimum technical score will be opened for evaluation. The Financial Proposals corresponding to Technical Proposals that were rendered non-responsive shall remain unopened, and, in the case of manual submission, be returned to the Bidder unopened. For emailed Proposals and e-tendering submissions, UNDP will not request for the password of the Financial Proposals of bidders whose Technical Proposal were found not responsive.</p> <p>30.3 The evaluation method that applies for this RFP shall be as indicated in the BDS, which may be either of two (2) possible methods, as follows: (a) the lowest priced method which selects the lowest evaluated financial proposal of the technically responsive Bidders; or (b) the combined scoring method which will be based on a combination of the technical and financial score.</p> <p>30.4 When the BDS specifies a combined scoring method, the formula for the rating of the Proposals will be as follows:</p> <div style="border: 1px solid black; padding: 10px; margin-top: 10px;"> <p><u>Rating the Technical Proposal (TP):</u></p> <p>TP Rating = (Total Score Obtained by the Offer / Max. Obtainable Score for TP) x 100</p> <p><u>Rating the Financial Proposal (FP):</u></p> <p>FP Rating = (Lowest Priced Offer / Price of the Offer Being Reviewed) x 100</p> <p><u>Total Combined Score:</u></p> <p>Combined Score = (TP Rating) x (Weight of TP, e.g. 70%) + (FP Rating) x (Weight of FP, e.g., 30%)</p> </div>

<p>31. <i>Due Diligence</i></p>	<p>31.1 UNDP reserves the right to undertake a due diligence exercise, also called post qualification, aimed at determining to its satisfaction, the validity of the information provided by the Bidder. Such exercise shall be fully documented and may include, but need not be limited to, all or any combination of the following:</p> <ul style="list-style-type: none"> a) Verification of accuracy, correctness and authenticity of information provided by the Bidder; b) Validation of extent of compliance to the RFP requirements and evaluation criteria based on what has so far been found by the evaluation team; c) Inquiry and reference checking with Government entities with jurisdiction on the Bidder, or with previous clients, or any other entity that may have done business with the Bidder; d) Inquiry and reference checking with previous clients on the performance on on-going or contracts completed, including physical inspections of previous works, as necessary; e) Physical inspection of the Bidder's offices, branches or other places where business transpires, with or without notice to the Bidder; f) Other means that UNDP may deem appropriate, at any stage within the selection process, prior to awarding the contract.
<p>32. <i>Clarification of Proposals</i></p>	<p>32.1 To assist in the examination, evaluation and comparison of Proposals, UNDP may, at its discretion, ask any Bidder for a clarification of its Proposal.</p> <p>32.2 UNDP's request for clarification and the response shall be in writing and no change in the prices or substance of the Proposal shall be sought, offered, or permitted, except to provide clarification, and confirm the correction of any arithmetic errors discovered by UNDP in the evaluation of the Proposals, in accordance with RFP.</p> <p>32.3 Any unsolicited clarification submitted by a Bidder in respect to its Proposal, which is not a response to a request by UNDP, shall not be considered during the review and evaluation of the Proposals.</p>
<p>33. <i>Responsiveness of Proposal</i></p>	<p>33.1 UNDP's determination of a Proposal's responsiveness will be based on the contents of the Proposal itself. A substantially responsive Proposal is one that conforms to all the terms, conditions, TOR and other requirements of the RFP without material deviation, reservation, or omission.</p> <p>33.2 If a Proposal is not substantially responsive, it shall be rejected by UNDP and may not subsequently be made responsive by the Bidder by correction of the material deviation, reservation, or omission.</p>
<p>34. <i>Nonconformities, Reparable Errors and Omissions</i></p>	<p>34.1 Provided that a Proposal is substantially responsive, UNDP may waive any non-conformities or omissions in the Proposal that, in the opinion of UNDP, do not constitute a material deviation.</p> <p>34.2 UNDP may request the Bidder to submit the necessary information or documentation, within a reasonable period of time, to rectify nonmaterial nonconformities or omissions in the Proposal related to documentation requirements. Such omission shall not be related to any aspect of the price of the Proposal. Failure of the Bidder to comply with the request may result in the rejection of its Proposal.</p> <p>34.3 For Financial Proposal that has been opened, UNDP shall check and correct arithmetical errors as follows:</p> <ul style="list-style-type: none"> a) if there is a discrepancy between the unit price and the line item total that is obtained by multiplying the unit price by the quantity, the unit price shall prevail and the line item total shall be corrected, unless in the opinion

	<p>of UNDP there is an obvious misplacement of the decimal point in the unit price; in which case the line item total as quoted shall govern and the unit price shall be corrected;</p> <p>b) if there is an error in a total corresponding to the addition or subtraction of subtotals, the subtotals shall prevail and the total shall be corrected; and</p> <p>c) if there is a discrepancy between words and figures, the amount in words shall prevail, unless the amount expressed in words is related to an arithmetic error, in which case the amount in figures shall prevail.</p> <p>34.4 If the Bidder does not accept the correction of errors made by UNDP, its Proposal shall be rejected.</p>
E. AWARD OF CONTRACT	
35. <i>Right to Accept, Reject, Any or All Proposals</i>	35.1 UNDP reserves the right to accept or reject any Proposal, to render any or all of the Proposals as non-responsive, and to reject all Proposals at any time prior to award of contract, without incurring any liability, or obligation to inform the affected Bidder(s) of the grounds for UNDP's action. UNDP shall not be obliged to award the contract to the lowest priced offer.
36. <i>Award Criteria</i>	36.1 Prior to expiration of the proposal validity, UNDP shall award the contract to the qualified Bidder based on the award criteria indicated in the BDS.
37. <i>Debriefing</i>	37.1 In the event that a Bidder is unsuccessful, the Bidder may request a debriefing from UNDP. The purpose of the debriefing is to discuss the strengths and weaknesses of the Bidder's submission, in order to assist the Bidder in improving its future proposals for UNDP procurement opportunities. The content of other proposals and how they compare to the Bidder's submission shall not be discussed.
38. <i>Right to Vary Requirements at the Time of Award</i>	38.1 At the time of award of Contract, UNDP reserves the right to vary the quantity of services and/or goods, by up to a maximum twenty-five per cent (25%) of the total offer, without any change in the unit price or other terms and conditions.
39. <i>Contract Signature</i>	39.1 Within fifteen (15) days from the date of receipt of the Contract, the successful Bidder shall sign and date the Contract and return it to UNDP. Failure to do so may constitute sufficient grounds for the annulment of the award, and forfeiture of the Proposal Security, if any, and on which event, UNDP may award the Contract to the Second Ranked Bidder or call for new Proposals.
40. <i>Contract Type and General Terms and Conditions</i>	40.1 The types of Contract to be signed and the applicable UNDP Contract General Terms and Conditions, as specified in BDS, can be accessed at http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html
41. <i>Performance Security</i>	41.1 40.1 A performance security, if required in BDS, shall be provided in the amount specified in BDS and form available at https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Solicitation_Performance%20Guarantee%20Form.docx&action=default within fifteen (15) days of the contract signature by both parties. Where a performance security is required, the receipt of the performance security by UNDP shall be a condition for rendering the contract

	effective.
42. <i>Bank Guarantee for Advanced Payment</i>	42.1 Except when the interests of UNDP so require, it is UNDP's preference to make no advance payment(s) (i.e., payments without having received any outputs). If an advance payment is allowed as per BDS, and exceeds 20% of the total contract price, or USD 30,000, whichever is less, the Bidder shall submit a Bank Guarantee in the full amount of the advance payment in the form available at https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Contract%20Management%20Payment%20and%20Taxes_Advanced%20Payment%20Guarantee%20Form.docx&action=default
43. <i>Liquidated Damages</i>	43.1 If specified in BDS, UNDP shall apply Liquidated Damages resulting from the Contractor's delays or breach of its obligations as per the Contract.
44. <i>Payment Provisions</i>	44.1 Payment will be made only upon UNDP's acceptance of the work performed. The terms of payment shall be within thirty (30) days, after receipt of invoice and certification of acceptance of work issued by the proper authority in UNDP with direct supervision of the Contractor. Payment will be effected by bank transfer in the currency of contract.
45. <i>Vendor Protest</i>	45.1 UNDP's vendor protest procedure provides an opportunity for appeal to those persons or firms not awarded a contract through a competitive procurement process. In the event that a Bidder believes that it was not treated fairly, the following link provides further details regarding UNDP vendor protest procedures: http://www.undp.org/content/undp/en/home/operations/procurement/business/protest-and-sanctions.html
46. <i>Other Provisions</i>	<p>46.1 In the event that the Bidder offers a lower price to the host Government (e.g. General Services Administration (GSA) of the federal government of the United States of America) for similar services, UNDP shall be entitled to same lower price. The UNDP General Terms and Conditions shall have precedence.</p> <p>46.2 UNDP is entitled to receive the same pricing offered by the same Contractor in contracts with the United Nations and/or its Agencies. The UNDP General Terms and Conditions shall have precedence.</p> <p>46.3 The United Nations has established restrictions on employment of (former) UN staff who have been involved in the procurement process as per bulletin ST/SGB/2006/15 http://www.un.org/en/ga/search/view_doc.asp?symbol=ST/SGB/2006/15&referer</p>

SECTION 3. BID DATA SHEET

The following data for the services to be procured shall complement, supplement, or amend the provisions in the Request for Proposals. In the case of a conflict between the Instructions to Bidders, the Data Sheet, and other annexes or references attached to the Data Sheet, the provisions in the Data Sheet shall prevail.

BDS No.	Ref. to Section.2	Data	Specific Instructions / Requirements
1	7	Language of the Proposal	English
2		Submitting Proposals for Parts or sub-parts of the TOR (partial bids)	Not Allowed
3	20	Alternative Proposals	Shall not be considered
4	21	Pre-proposal conference	<p>Will be Conducted</p> <p>Date and Time: June 21, 2022 10:00 AM</p> <p>Venue: Zoom Online Meeting, https://undp.zoom.us/join/604R9Teovg7Q2kE_C</p> <p>The UNDP focal point for the arrangement is: Sestyo Ndaru Wicaksono / Yusef Millah Telephone: +62 21 2980 2300 E-mail: sestyo.wicaksono@undp.org / yusef.millah@undp.org</p>
5	16	Proposal Validity Period	90 days
6	12	Bid Security	Not Required
7	42	Advanced Payment upon signing of contract	Not Allowed
8	43	Liquidated Damages	Will not be imposed
9	41	Performance Security	Not Required
10	13	Currency of Proposal	Other: USD for international bidders or IDR which is mandatory for local bidders

11	18	Deadline for submitting requests for clarifications/ questions	2 days before the submission deadline
12		Contact Details for submitting clarifications/questions	Focal Person in UNDP: Sestyo Wicaksono/ Yusef Saiful M. E-mail address: Sestyo.wicaksono@undp.org / yusef.millah@undp.org
13	18, 19 and 21	Manner of Disseminating Supplemental Information to the RFP and responses/clarifications to queries	Direct communication to prospective Proposers by email and Posting on the UNGM and UNDP Global Website and relevant e-tendering event ID.
14	23	Deadline for Submission	The deadline as indicated in the e-tendering system For eTendering submission - as indicated in eTendering system. Note that system time zone is in EST/EDT (New York) time zone.
14	22	Allowable Manner of Submitting Proposals	✓ e-Tendering
15	22	Proposal Submission Address	https://etendering.partneragencies.org <u>Event ID number: IDN10 0000012833</u>
16	22	Electronic submission eTendering requirements	<ul style="list-style-type: none"> ▪ Format: PDF files only ▪ File names must be maximum 60 characters long and must not contain any letter or special character other than from Latin alphabet/keyboard. ▪ All files must be free of viruses and not corrupted. ▪ Password for financial proposal <u>must</u> not be provided to UNDP until requested by UNDP ▪ Mandatory subject of email for sending query: RFP/UNDP/REDD+/ 185858/011/2022 - Long Term Agreement - Independent Assessor for conducting independent assessment of the GCF REDD+ Results-Based Payments project in Indonesia – Phase 2
17	27 36	Evaluation Method for the Award of Contract	Combined Scoring Method, using the 70%-30% distribution for technical and financial proposals respectively The minimum technical score required to pass is 70%.
18		Expected date for commencement of Contract	<i>August 1, 2022</i>

19		Maximum expected duration of contract	expected up to 1 month every calendar year, for the duration of the three-year project.
20	35	UNDP will award the contract to:	One Proposer Only
21	39	Type of Contract	Purchase Order and Contract for Goods and Services for UNDP http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html
22	39	UNDP Contract Terms and Conditions that will apply	UNDP General Terms and Conditions for Professional Services http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html
23		Other Information Related to the RFP	<i>[All other instructions and information not yet mentioned so far in this Data Sheet but are relevant to the RFP must be cited here, and any further entries that may be added below this table row]</i>

SECTION 4. EVALUATION CRITERIA

Preliminary Examination Criteria

Proposals will be examined to determine whether they are complete and submitted in accordance with RFP requirements as per below criteria on a Yes/No basis:

- Appropriate signatures
- Power of Attorney
- Minimum documents provided
- Technical and Financial Proposals submitted separately
- Bid Validity
- Bid Security submitted as per RFP requirements with compliant validity period

Minimum Eligibility and Qualification Criteria

Eligibility and Qualification will be evaluated on Pass/Fail basis.

If the Proposal is submitted as a Joint Venture/Consortium/Association, each member should meet minimum criteria, unless otherwise specified in the criterion.

Subject	Criteria	Document Submission requirement
ELIGIBILITY		
Legal Status	Vendor is a legally registered entity.	Form B: Bidder Information Form
Eligibility	Vendor is not suspended, nor debarred, nor otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization in accordance with ITB clause 3.	Form A: Technical Proposal Submission Form
Conflict of Interest	No conflicts of interest in accordance with ITB clause 4.	Form A: Technical Proposal Submission Form
Bankruptcy	Not declared bankruptcy, not involved in bankruptcy or receivership proceedings, and there is no judgment or pending legal action against the vendor that could impair its operations in the foreseeable future.	Form A: Technical Proposal Submission Form
Other Eligibility	<ul style="list-style-type: none"> • The independent assessor must be an "institution of repute, with no commercial relationship with any of the other parties that may impair its objectivity, impartiality or independence" (UNDP POPP). • The institution should have no affiliation to UNDP or the Implementing Party • The independent assessor should be a reputable global firm with a global network with at least 10 companies in 12 countries with a branch office in Jakarta which is operational for more than 15 years internationally. • The independent assessor must have accreditation by an International Accreditation Forum (IAF) member body such as, but not limited to the Assurance Services International (ASI), American National Standards Institute (ANSI), the Organismo Nacional de Acreditación de Colombia (ONAC), the Standards Council of Canada (SCC) and the National Accreditation Body of Indonesia (KAN, see http://kan.or.id) 	

QUALIFICATION		
History of Non-Performing Contracts¹	Non-performance of a contract did not occur as a result of contractor default for the last 3 years.	Form D: Qualification Form
Litigation History	No consistent history of court/arbitral award decisions against the Bidder for the last 3 years.	Form D: Qualification Form
Previous Experience	Minimum 5 years of relevant experience.	Form D: Qualification Form
	Minimum 3 contracts of similar value, nature and complexity implemented over the last 5years. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Form D: Qualification Form
Financial Standing	Minimum average annual turnover of USD100,000 for the last 3 years. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Form D: Qualification Form
	Bidder must demonstrate the current soundness of its financial standing and indicate its prospective long-term profitability. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Form D: Qualification Form
	Any additional criteria if required	

¹ Non-performance, as decided by UNDP, shall include all contracts where (a) non-performance was not challenged by the contractor, including through referral to the dispute resolution mechanism under the respective contract, and (b) contracts that were so challenged but fully settled against the contractor. Non-performance shall not include contracts where Employers decision was overruled by the dispute resolution mechanism. Non-performance must be based on all information on fully settled disputes or litigation, i.e. dispute or litigation that has been resolved in accordance with the dispute resolution mechanism under the respective contract and where all appeal instances available to the Bidder have been exhausted.

Technical Evaluation Criteria

Summary of Technical Proposal Evaluation Forms		Points Obtainable
1.	Bidder's qualification, capacity and experience	300
2.	Proposed Methodology, Approach and Implementation Plan	400
3.	Management Structure and Key Personnel	300
	Total	1000

Section 1. Bidder's qualification, capacity and experience		Points obtainable
1.1	<ul style="list-style-type: none"> The independent assessor must be an "institution of repute, with no commercial relationship with any of the other parties that may impair its objectivity, impartiality or independence" (UNDP POPP). 	50
1.2	<ul style="list-style-type: none"> The institution should have no affiliation to UNDP or the Implementing Party 	30
1.3	<ul style="list-style-type: none"> The independent assessor should be a reputable global firm with a global network with at least 10 subsidiary companies in 12 countries with a branch office in Jakarta which is operational for more than 15 years internationally. 	70
1.4	<ul style="list-style-type: none"> The independent assessor must have accreditation by an International Accreditation Forum (IAF) member body such as, but not limited to the Assurance Services International (ASI), American National Standards Institute (ANSI), the Organismo Nacional de Acreditación de Colombia (ONAC), the Standards Council of Canada (SCC) and the National Accreditation Body of Indonesia (KAN, see http://kan.or.id). 	50
1.5	<ul style="list-style-type: none"> Demonstrate a robust expertise and relevant experience in relation with evaluation of projects and verification of project activities such as third-party certification, auditing and testing services in Southeast Asia for at least 5 years; 	40
1.6	<ul style="list-style-type: none"> Be able to mobilize a multidisciplinary team with relevant and proven experience: <ul style="list-style-type: none"> In the assessment of projects results related to social forestry, forest conservation and protected areas, community livelihoods and forest land rehabilitation (at least 3 references in the past 5 years) On the environmental policy implementation in Indonesia 	60
Total Section 1		300

Section 2. Proposed Methodology, Approach and Implementation Plan		Points obtainable
2.1	Understanding of the requirement: Have the important aspects of the task been addressed in sufficient detail? Are the different components of the project adequately weighted relative to one another?	50

2.2	Description of the Offeror's approach and methodology for meeting or exceeding the requirements of the Terms of Reference	100
2.3	Details on how the different service elements shall be organized, controlled and delivered	50
2.4	Description of available performance monitoring and evaluation mechanisms and tools; how they shall be adopted and used for a specific requirement	50
2.5	Assessment of the implementation plan proposed including whether the activities are properly sequenced and if these are logical and realistic	100
2.6	Demonstration of ability to plan, integrate and effectively implement sustainability measures in the execution of the contract	50
Total Section 2		400

Section 3. Management Structure and Key Personnel			Points obtainable
3.1	Composition and structure of the team proposed. Are the proposed roles of the management and the team of key personnel suitable for the provision of the necessary services?		50
3.2	Qualifications of key personnel proposed		250
3.2 a	Forester (Team Leader)		100
	- At least a MSc in forestry, agronomy or natural resources management or equivalent	20	
	- At least 10 years' experience evaluating forestry projects	25	
	- At least 15 years' experience in forestry and/or forest conservation	20	
	- Demonstrated knowledge and experience on forest management and/or forest conservation in the tropics	25	
	- Fluent in spoken and written English. Fluency in Bahasa Indonesia desirable	10	
3.2 b	Social and Community development specialist		50
	- At least a MSc in social science, community development or community-based natural resources management	5	
	- At least 7 years' experience in community development projects in relation with sustainable development and/or community-based natural resources management	10	

	<ul style="list-style-type: none"> - At least 5 years' experience evaluating community development projects 	10	
	<ul style="list-style-type: none"> - At least 5 years' experience working with indigenous communities (masyarakat adat) on natural resource management, particularly on customary forests 	10	
	<ul style="list-style-type: none"> - Demonstrated knowledge on social and customary forest in his/her CVs. 	10	
	<ul style="list-style-type: none"> - Fluent in spoken and written English. Fluency in Bahasa Indonesia desirable 	5	
3.2 c	Social and gender safeguards expert		50
	<ul style="list-style-type: none"> - At least a MSc in social science, community development or community-based natural resources management 	5	
	<ul style="list-style-type: none"> - At least 7 years' experience on safeguards in the context of development or conservation projects 	10	
	<ul style="list-style-type: none"> - At least 5 years' experience grievance redress mechanisms related to natural resource management 	10	
	<ul style="list-style-type: none"> - At least 5 years' experience on women's inclusion and gender related policy development within the natural resource management field 	10	
	<ul style="list-style-type: none"> - At least 5 years' experience evaluating community development projects 	5	
	<ul style="list-style-type: none"> - Demonstrated knowledge on social safeguard particularly in the forestry sector in his/her CVs 	5	
	<ul style="list-style-type: none"> - Fluent in spoken and written English. Fluency in Bahasa Indonesia desirable 	5	
3.2 d	GIS & remote sensing expert		50
	<ul style="list-style-type: none"> - At least a MSc in Geographic Information System (GIS) and remote sensing 	20	
	<ul style="list-style-type: none"> - At least 7 years' experience on GIS and remote sensing for natural resources management 	20	
	<ul style="list-style-type: none"> - Fluent in spoken and written English. Fluency in Bahasa Indonesia desirable 	10	
Total Section 3			300

SECTION 5. TERMS OF REFERENCE

Terms of Reference – Independent Assessor for conducting independent assessment of the GCF REDD+ Results-Based Payments project in Indonesia (Phase 2)

Contents

1. Context
2. Objective of the assignment
3. Detailed tasks **Error! Bookmark not defined.**
4. Overall roll-out of the assignment **Error! Bookmark not defined.**
5. Expected deliverables when the call-off contract is activated **Error! Bookmark not defined.**
6. Duration and location of the assignment **Error! Bookmark not defined.**
7. Qualifications required **Error! Bookmark not defined.**
- Annex 1: Glossary of key terms **Error! Bookmark not defined.**
- Annex 2: Summary of Output 2 covered by this PBPA (from GCF Funding Proposal) **Error! Bookmark not defined.**
- Annex 3: Draft Performance-Based Payment Agreement Validation Methodology **Error! Bookmark not defined.**
- Annex 4: Performance-Based Payment Agreement Template **Error! Bookmark not defined.**

1. Context

REDD+ Results-Based Payments (RBPs) under the UNFCCC the Green Climate Fund (GCF) pilot-programme.

The government of Indonesia has requested UNDP to act as its Accredited Entity for the GCF pilot-programme on REDD+ RBPs². The [REDD+ Results-Based payment proposal to the GCF](#) for the emission reductions achieved in 2014-2016 was approved at B.26. Indonesia's RBPs proposal is structured around 3 main Outputs: (i) Output 1 focuses on the enabling environment for REDD+ implementation; (ii) Output 2 on support to the Social Forestry programmes and Forest Management Units (FMUs) and related investments (forest rehabilitation, fire management, patrolling, community livelihoods); and (iii) Output 3 is related to project management.

While Outputs 1 & 3 will use a conventional financing modality, for Output 2 the Government of Indonesia and UNDP opted for the use of UNDP's "Performance-Based Payments" (PBP) financing modality (see annex 3 for the a draft of the agreement), in order to (i) Maximize country leadership by providing more flexibility to the Government of Indonesia in the way it provides the desired results; (ii) Ensure cost-efficiency by making optimal use of existing government structures, while ensuring that UNDP can fulfill its role of Accredited Entity adequately, in line with GCF and UNDP standards (incl. safeguards and gender); (iii) Enable faster disbursements from UNDP to the Indonesia than a conventional upfront payment modality would allow, without compromising the quality of implementation (incl. safeguards) and the intended use of proceeds.

² Terms of Reference of the GCF pilot-programme for REDD+ results-based payments are accessible here: https://www.greenclimate.fund/documents/20182/1203466/Terms_of_reference_for_the_pilot_programme_for_REDD_results-based_payments.pdf/e26651fc-e216-c8b0-55a1-8eea16a90f39

The mechanism will be implemented through the Indonesia Environment Fund of Indonesia (IEF) as the Implementing partner for the implementation of output 2.

UNDP Performance-Based Payments (PBPs) modality³

UNDP operational guidance note for PBPs mentions that *“the PBP agreement describes at a minimum:*

- a) the desired development result expressed in an indicator that can be measured and verified;*
- b) a mechanism or method how its achievement can be verified; and*
- c) a corresponding payment [...] paid after the result has been achieved”.*

As defined in UNDP’s Programme and Operations Policies and Procedures (POPP):

1. *“Performance-based payments (PBPs) are a type of agreement between UNDP and a [responsible party] to provide funding upon the verified achievement of an agreed measurable development result. No advances are provided, rather payments are made only upon the verified achievement of agreed results. [...]”*
2. *[...] “For PBPs, the achievement of specific, pre-agreed results (outputs and/or activities) must be validated through performance measures and quality certified by an independent assessor [...]”*
16. *“The assessor provides a neutral, impartial and independent assessment of whether the agreed development result has been achieved prior to issuing the agreed payment. The selection of the assessor must be competitive and agreed between UNDP and the responsible party benefitting from a performance-based payment. The process is guided by the following criteria:*
 - *The independent assessor must be an internationally recognized institution of repute, with no commercial relationship with any of the other parties that may impair its objectivity, impartiality or independence.*
 - *The institution should have no affiliation to UNDP or the responsible party. [...]”*
17. *“UNDP engages the independent assessor through a separate agreement once consensus has been reached on the choice of an institution. The independent assessor must acknowledge its role in the performance-based payment agreement as a non-party to the agreement.”*
20. *“Before a project document containing a performance-based payment can be signed, the project appraisal committee or project board must review: (i) The choice of the proposed responsible party and the independent assessor; (ii) The formulation of the result, validation method and payment-linked performance indicators submitted by the independent assessor; and (iii) The draft performance-based payment agreement based on the relevant template”.*
21. *“The independent assessor, prior to the signature of the performance-based payment agreement, validates key aspects, including: (a) the theory of change explaining how the result(s) are expected to be achieved; (b) the definition of the result(s); (c) objectively verifiable indicators to measure the achievement of the result(s) as well as performance targets against these indicators that will trigger payments; (d) the adequacy of risk management measures, including for compliance with social and environmental standards; and (e) the payment terms linked to the validation of the result(s), which can include: (i) Financial incentives in case the result(s) are achieved early or are surpassed; (ii) Provisions for reduced or graded payments in case the result(s) are partially achieved or incomplete (i.e., ‘near miss’); and (iii) Any other incentives and payment conditions related to the quality and sustainability of the result(s)”.*
22. *“The independent assessor, in consultation with UNDP and the responsible party, will develop a validation methodology attached to the performance-based payment agreement as an annex. It will help verify the achievement of milestones and targets reported by the responsible party to validate that agreed levels of quantity,*

³ The Full POPP for Performance-Based Payments is available publicly through the following weblink:

https://popp.undp.org/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Design_Performance-Based%20Payments.docx

The PBPA template is available through the following weblink:

https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Design_Performance%20Based%20Payment%20Agreement%20_Final%20for%20Oct%20OPG.docx&action=default&DefaultItemOpen=1

quality and sustainability were delivered. Result(s) validation must be based on independent data collection or validation of existing data on the specified indicators”.

The goal of the present assignment is to undertake assurance activities (e.g., random assignment, data collection), and to verify the achievement of the results required to make performance payments. The Independent Assessor will be responsible for testing and finalizing detailed Validation Methodology that will be agreed/adopted by the contracting organization (UNDP), and validate the terms of the Performance-Based Payment Agreement. In this context UNDP is looking for a firm⁴ to act as Independent Assessor, referred to in this document as “Independent Assessor” or “IA”, for activity 1.1 of the GCF project.

2. Objective of the assignment

The objective for this assignment is to:

- **Provide a “neutral, impartial and independent” annual assessment** of whether the agreed results have been achieved, and related recommendations to UNDP, prior to UNDP issuing the performance-based payments to the Implementing Party.

3. Detailed tasks

The objective described above requires at least the following tasks to be carried out.

Phase 2:

- 1.1. **Review the annual report of results submitted by the Implementing Party;**
- 1.2. Collect additional data, if required, on the reported achievements and other related indicators from secondary sources, and **carry out fieldwork and/or other complementary measures according to the validation methodology**, to obtain the evidence necessary to be able to provide assurance that the Implementing Party has met the criteria established under the PBPA, including the extent to which results reported have been achieved and are of adequate quality (incl. safeguards requirements). The Independent Assessor must triangulate the reporting from the implementing partner and collect primary and secondary data used to report on performance. This may include (but is not limited to) random sample surveys, beneficiary feedback, georeferenced photographs, interviews, and 3rd party stakeholders, as appropriate. The method of data collection should provide assurance to UNDP and GCF that the results have been achieved as per the agreed indicator. The assessment must provide evidence-based information that is credible, reliable and useful;
- 1.3. **Prepare and present to UNDP and the Implementing Party an Independent Assessor’s report on results achieved and reported by the Implementing Party.** This report should include at least (i) a quantification of the results achieved, (ii) an assurance opinion as to whether the assessment criteria have been met, (iii) a quantification of the extent to which criteria have not been met, should this be necessary, (iv) a recommendation to UNDP regarding the level of payment deemed relevant according to results confirmed, taking into account the minimum progress threshold and the payment terms defined, and [(v) *additional recommendations regarding potential areas of improvement for the Implementing Party in terms of implementation of the activities for results to qualify or in the way to document them more adequately*].
- 1.4. **If necessary, engage in the dispute settlement process** as defined in UNDP’s PBP policy, would there be a disagreement with the Implementing Party over the recommendation from the IA to UNDP and related decision by UNDP on actual payments.

The IA should propose additional important tasks considered left out, if any.

The Independent Assessor is expected to follow a participatory and gender-responsive approach

⁴ The firm may be constituted as a private company, a NGO, a University or other similar institutions

ensuring close engagement with counterparts, in particular UNDP Country Office, the project team, UNDP Climate & Forests team and key stakeholders.

4. Overall roll-out of the assignment

UNDP envisages the implementation of the contract using Long Term Agreement for initial 3 years and possibility to extend for another year to include the following:

- 1) Aimed at periodically verifying the achievement of milestones and targets reported by the Implementing Party to validate that agreed levels of quantity, quality and sustainability were delivered. This phase will start once the PBPA is signed between UNDP and the Implementing Party.

It is envisaged that, as a general rule, the annual verification should be carried over a period that is no longer than one (1) month. Each time the LTA for independent assessment process will be activated (i.e. when the Implementing Party communicates to UNDP its intention to submit a payment request, which is expected to be each calendar year), the terms of reference will specify the time period as well as an indicative amount of results and geographical extent, so that the IA may adjust its technical and financial proposal adequately to ensure it can deliver in the specified time. UNDP will issue an on-call basis contract to start the annual verification activity in accordance with the terms of reference and the IA adjusted technical and financial proposals.

5. Expected deliverables when the call-off contract is activated

Deliverables are expected to include at least:

1. **Inception report**
2. **Annual verification report*** (in English and Bahasa Indonesia), which include (i) the mission(s) report(s) and (ii) the results assessment report, with all elements mentioned in section 3 (detailed tasks) with the various annexes/templates that must be filled by the IA. A template for Results Validation is included in the PBPA and is completed by the IA during implementation to certify the achievement of results eligible for payment. The assessment report must include a chapter providing a set of conclusions, recommendations and lessons.

Outputs/Deliverables	Percentage of fees	Tentative Timeframe
Inception report	10%	Within 7 days of signing the contract
Verification report, including the Mission(s) report(s) and Results assessment report	90%	31 October 2022

** A minimum of three (3) and up to five (5) verification reports in total are expected during the contract period (one for each calendar year of the three-year project). The scope of work and applicable fees may vary depending on the quantity of assessment missions during the contract year.*

6. Duration and location of the assignment

The duration of the assignment will be:

Under Section 3: Detailed Tasks number 1.1 to 1.4:

- Duration: expected up to 1 month every calendar year, for the duration of the three-year project.
- Location: Jakarta, with field missions in Indonesia

7. Qualifications required

Eligibility criteria for the firm

- The independent assessor must be an “*institution of repute, with no commercial relationship with any of the other parties that may impair its objectivity, impartiality or independence*”⁵ (UNDP POPP).
- The institution should have no affiliation to UNDP or the Implementing Party
- The independent assessor should be a reputable global firm with a global network with at least 5 subsidiary companies in at least 3 countries with a branch office in Jakarta which is operational for more than 10 years internationally.
- The independent assessor must have accreditation by an International Accreditation Forum (IAF) member body such as the Assurance Services International (ASI), American National Standards Institute (ANSI), the Organismo Nacional de Acreditación de Colombia (ONAC), the Standards Council of Canada (SCC) and the National Accreditation Body of Indonesia (KAN, see <http://kan.or.id>).

Expected qualifications for the firm

- Demonstrate a robust expertise and relevant experience in relation with evaluation of projects and verification of project activities such as third-party certification, auditing and testing services in Southeast Asia for at least 5 years;
- Be able to mobilize a multidisciplinary team with relevant and proven experience:
 - In the assessment of projects results related to social forestry, forest conservation and protected areas, community livelihoods and forest land rehabilitation (at least 3 references in the past 5 years)
 - On the environmental policy implementation in Indonesia

Qualifications of key personnel

There are no minimum requirements related to personnel, except for the team leader which must have demonstrated experience in evaluating forestry projects and must be fluent in spoken and written English. Familiarity with spoken and written Bahasa Indonesia is an asset.

Beyond this, the firm may mobilize the human resources it deems required to conduct the assignment responding to the requirements presented in these TORs. Nonetheless, it is expected that the team proposed should include the profiles presented (which may however be combined). The qualifications of key personnel will be evaluated based on this.

The team leader should have a proven experience in supervising similar projects and be fluent in spoken and written English. Familiarity with spoken and written Bahasa Indonesia is an asset. It is envisaged that the team leader would be the forester, but the candidate may propose and justify additional dispositions.

1. Forester (Team Leader)

Education:	• At least a MSc in forestry, agronomy or natural resources management or equivalent
Experience:	• At least 10 years' experience in forestry and/or forest conservation

^{5 5} Since an external international audit of the target programmes has never been carried out, the intent of the field sample test is not necessary to obtain statistical significance, but rather to bring confidence to KLHK and IEF that the PBP methodology is realistic and it will be feasible to demonstrate results.

⁵ A specific question on impartiality and independence will be incorporated in the due diligence process

	<ul style="list-style-type: none"> • At least 15 years' experience evaluating forestry projects • Demonstrated knowledge and experience on forest management and/or forest conservation in the tropics
Language:	Fluent in spoken and written English. Fluency in Bahasa Indonesia desirable

2. Social and Community development specialist

Education:	<ul style="list-style-type: none"> • At least a MSc in social science, community development or natural resources management or equivalent
Experience:	<ul style="list-style-type: none"> • At least 7 years' experience in community development projects in relation with sustainable development and/or community-based natural resources management • At least 5 years' experience evaluating community development projects • At least 5 years' experience working with indigenous communities (masyarakat adat) on natural resource management, particularly on customary forests • Demonstrated knowledge on social and customary forest in his/her CVs.
Language:	Fluent spoken and written English. Fluency in Bahasa Indonesia desirable

3. Social and gender safeguards expert

Education:	<ul style="list-style-type: none"> • At least a MSc in social science, community development or natural resources management or equivalent
Experience:	<ul style="list-style-type: none"> • At least 7 years' experience on safeguards in the context of development or conservation projects • At least 5 years' experience on grievance redress mechanisms related to natural resource management • At least 5 years' experience on women's inclusion and gender related policy development within the natural resource management field • At least 5 years' experience evaluating community development projects • Demonstrated knowledge on social safeguard particularly in the forestry sector in his/her CVs •
Language:	Fluent spoken and written English. Fluency in Bahasa Indonesia desirable

4. GIS & remote sensing expert

Education:	<ul style="list-style-type: none"> • At least a MSc in Geographic Information System (GIS) and remote sensing
Experience:	<ul style="list-style-type: none"> • At least 7 years' experience on GIS and remote sensing for natural resources management
Language:	Fluent spoken and written English. Fluency in Bahasa Indonesia desirable

5. Project Admin

Education:	• At least a Bachelor in Administrative, Accounting, or other relevant major
Experience:	• At least 4 years' experience on project administration and financial management
Language:	Fluent spoken and written English. Fluency in Bahasa Indonesia desirable

Annex 1: Glossary of key terms

Extract of key terms from the UNDP Guidance note on PBPs:

<i>Term</i>	<i>Definition</i>
Independent Assessor	An independent third-party responsible for validating if indicator targets have been met as well as for providing the documentation to trigger release of funds for payment to the Responsible Party under a Performance-Based Payment agreement.
Intervention	Specific activity or set of activities intended to bring about change in some aspect(s) of the status of the target population.
Minimum Progress Thresholds	A set of quantitative and/or qualitative measures that provide a simple and reliable basis for assessing progress (or lack thereof) towards achievement of the intended results. It is a means of measuring whether progress is taking place at an acceptable pace, and what actually happens against what has been planned in terms of quantity, quality and timeliness. These measures may seek to assess progress towards arranging critical project inputs required, completing key project activities that drive results, or assessing lead result indicators. Minimum progress thresholds help provide early warning signs about whether a project is on track and if it should be terminated early if it appears unlikely that the agreed results will be achieved.
Result(s)	The Result(s) is/are a specific project performance results which the RP agrees to deliver to UNDP subject to pre-agreed validation methodology and within the agreed time-frame. The Result(s) may include: (1) Milestone Result(s) and/or (2) Target Result, both terms as defined in this glossary. PBP results must be at the Output or Outcome-level.
Results Validation Methodology	Determination of whether the Result(s) delivered by the RP is achieved per the requirements of this Agreement

From UNDP POPP on PBPs:

- Clarity of the result: A clear definition is essential since an achieved result is at the core of any performance-based payment.
- Payment-linked indicator(s): The achievement of a result is established based on agreed indicators that serve as a trigger for payment. Indicator(s) must measure the exact intended result. This ensures that UNDP disburses funds only when the responsible party has delivered results that are achieved through principled performance⁶.
- Efficient resource use: Since performance-based payments are intended to optimize the achievement of results, the amount to be paid must be commensurate with that result. Agreeing on targets and amount paid for attaining them will require detailed negotiations between UNDP and the [responsible party] in most instances.
- Provision for non-results: The non-achievement of results will result in the [responsible party] receiving no payment or only partial payment, depending on the terms of the contribution agreement with the funding partner(s). Funding that is not released may be returned to the funding partner(s) or alternatively allocated to another [responsible party].
- Early termination: Every performance-based payment agreement must contain a clear early termination provision for scenarios where it is determined that continuing the project will not achieve the required results. A monitoring

⁶ i.e. performance that is in line with the principles of UNDP's regulatory framework and Code of Ethics, and is in adherence with UNDP's Social and Environmental Standards.

schedule should indicate minimum progress thresholds. Where performance indicates that the [responsible party] cannot deliver the required level of results within the identified time frame, UNDP would terminate the agreement. Minimum progress thresholds must be defined for each year of the agreement. Early termination may also be triggered through lack of adherence to UNDP's Social and Environmental Standards.

Annex 2: Summary of Output 2 covered by this PBPA (from GCF Funding Proposal)

Output 2: Support to decentralized sustainable forest governance

This output aims to support the government of Indonesia in advancing its objectives of decentralized sustainable management of forests through the operationalization of Forest Management Units (FMUs), as well as in its complementary objective of devolving access to and management of forest land and resources to communities in adequate areas. This project will therefore support the implementation and further refinement of the Social Forestry and FMU programmes respectively, looking at opportunities for complementarity and synergies between them whenever possible. Indeed, social forestry licenses are granted within the boundaries of FMUs, typically as small “clusters” in much wider FMU areas (as these cover the overall forest estate), where communities are eligible and request a social forestry license. While FMUs do also collaborate and provide benefits with communities that are not eligible/granted social forestry licenses (i.e. developing community livelihoods plans and supporting their implementation), social forestry goes a step further in providing formalized and secured user &/or ownership rights. Among others, the FMU forest management plans, business plans and community development plans developed for the operationalization of the FMUs are an opportunity to identify where social forestry and what specific scheme may be relevant, support these communities in requesting and obtaining a social forestry license, as well as support the implementation of subsequent investments necessary to enable sustainable forest management and livelihoods. Rather than in isolation, these two programmes must be seen as synergetic, which also enable economies of scale.

This project will support (i) activities related to operationalization of FMUs and licensing of social forestry respectively, and (ii) actual investments supporting sustainable forest management and sustainable livelihoods, both within and outside FMUs. This activity will directly benefit from acceleration activities supported through Activity 1.2, including the guidance developed and enhanced regulatory framework at national and subnational level, as well as from the trained facilitators that will be deployed to support FMUs. This output will use a performance-based payments modality.

Activity 2.1: Support the establishment and operationalization of Forest Management Units (FMUs), as well as SFM investments inside & outside FMUs

While FMUs have been established under the Forestry Law No.41/1999 in all provinces of the country, covering nearly the entirety of the forest estate, much remains to be done in terms of operationalizing them. While different FMUs may be at different stages of maturity and with different needs, supporting their operationalization require a set of complementary interventions, likely to include supporting:

- An assessment of the FMU capacity and capacity building needs (incl. sustainable forestry management system – PHPL);
- Awareness raising, capacity building and technical assistance to the FMU staff, provincial and district authorities as well as local communities;
- The development of adequate administration, management and monitoring systems;
- The creation and/or strengthening (as relevant) of multi-stakeholder platforms to ensure participation in forest management planning processes and other relevant subnational land-use planning processes. This will build as much as possible on existing structures to avoid the fragmentation of support;
- The participatory development of long-term and annual sustainable forest management plans;
- The development of quality business plans aimed at ensuring the financial viability of the FMU over the long-term;
- The development of site design document and Water Utilization Area Maps, for FMU conservation areas;
- The participatory development of community sustainable development plans, supporting sustainable forest management;

In addition to supporting the operationalization of the FMUs, this project will also support actual investment in key areas, both inside and outside of the FMUs. When inside the FMUs, interventions will be guided as feasible on the various plans developed (Forest Management Plan, Business Plan and Community livelihood Plan), though some “no-regret” actions may also be implemented in parallel to ensure motivation and progress.

The main activities to be supported include:

- Fire prevention/management
- Reforestation
- Forest restoration/enhancement
- Community livelihood activities
- FMU business activities

Support to local communities may be implemented through the Social Forestry programme (Activity 2.2) when target areas coincide, or in an independent or complementary manner in cases where social forestry is not prioritized at the time on the FMU territory or does not cover the overall population in the FMU.

Activity 2.2 Expand and enhance implementation of the Social Forestry Programme

In moving forward with the social forestry programme, the Government of Indonesia’s first priority is to continue to assist Adat and non-Adat communities, villages, individuals to obtain licenses available through the six different schemes of social forestry, thereby increasing the size of forests under this programme. As such, this output seeks to strengthen key stages of the process: application, planning, verification, implementation and monitoring, through approaches that integrate considerations for the roles and rights of men, women and youths in Adat and non-Adat communities, villages, cooperatives and other entities.

The second priority is to ensure permit or rights holders are able to improve their livelihoods through the implementation of various management or development plans and therefore contribute to addressing drivers of deforestation and barriers to carbon enhancement

The Ministry of Environment and Forestry introduced Social Forestry Acceleration Working Groups, comprising Ministry officers, NGOs, practitioners at national and provincial levels to support community engagement. To further support these working groups, multi-stakeholder platforms with balanced gender and social group representations, at relevant governance levels, will be established or strengthened to provide inputs on among others, socio-cultural, biophysical, economic contexts, as well as support socialization for the programme.

Support will also be extended to integrate into village and provincial development planning processes because these plans are key for the central government to allocate and distribute funds for development. In the case of the social forestry programme, these funds are needed to facilitate and support the application process, conduct verifications, prepare and implement work plans as well as monitor implementation. Therefore, additional support will be provided to develop the forest management plans, business and annual work plans for the various social forestry schemes. These plans will be further supported by developing and implementing community investments plans including for small and micro community enterprises.

As stated above, customary forests or Hutan Adat, is a means to recognize customary territory and accord land and forest resource rights to Adat communities. This output will support the development of district-level regulations to recognize customary forests, further complemented by establishing multi-stakeholder verification teams that consist of among others, Adat experts, NGOs including indigenous NGOs, and supported by Ministry of Environment and Forestry officials.

Activities 2.1 and 2.2 shall be implemented ensuring that measures identified in the consultation, ESMP & gender plans have been carried out adequately. They will also be through approaches that integrate considerations for the roles and rights of men, women and youths in Adat and non-Adat communities, villages, cooperatives and other entities.

Annex 3: Draft Performance-Based Payment Agreement Validation Methodology

Introduction

This document provides a summary of the key steps in the proposed independent validation methodology (VM) for verifying Performance-Based Payments (PBPs), which is a mandatory part of the PBP Agreement to be signed between the Indonesian government and UNDP. These PBPs are the next step to allocate proceeds already received from the Green Climate Fund for REDD+ national emissions reductions for the period 2014–2016. The summary concludes by describing the validation process for a single payment-linked indicator and associated environmental and social (including gender) safeguards indicators as an example. All reference to annexes in this document refer to the annex numbering of the standard UNDP PBP Agreement template.

Summary description of the validation methodology

The main objective of the independent Validation Methodology is to provide a neutral, impartial and independent annual assessment of whether the agreed results have been achieved, as well as to provide recommendations to UNDP, prior to the issuance of PBPs to the Implementation Party (IP in this case, the Indonesian Environment Fund). With reference to a neutral guideline of ISO 17029:2019, ISO 14065:2020, and ISO 14064-3:2019, the development of a validation methodology and its associated activities has been consulted and agreed upon with UNDP and IP.

The final VM document will be included as Annex A of the Performance-based Payment Agreement (PBPA) and will, as a minimum, include the following:

A clear description of the scope and objectives of the VM process, referencing (in Annexes) the reporting formats and other information of relevance to the VM process.

A clear and concise description of each Key Performance Indicator (KPI) and related safeguards indicators (SES indicators). These descriptions should include the objective of the indicator (why has it been selected), the proposed payment for the indicator, as relevant, and a short summary of how the indicator will be verified (what are the MoVs and the process to check this).

A brief description of the level of assurance and approach to materiality (qualitative and quantitative) to be applied

A detailed overview of the main tasks to be completed for results validation. This will include inter-alia:

- A description of how the initial desk assessment of results will be carried out
- A description of how the risk-based sampling will be carried out
- A description of how the field visits and interviews will be implemented (primary data collection), based on the risk-based sampling results

- A description of the ex-post field visit data / information analysis
- A clear description of how IA findings will be reported, including how these findings will be categorized.

1.1. Description of the validation process for a single payment-linked indicator for Social Forestry Programme

Indicator 1 – Area (in hectares) increases under the Social Forestry (SF) management scheme (Hutan Adat, Hutan Desa, Hutan Kemasyarakatan, Hutan Tanaman Rakyat, and Kemitraan Kehutanan). The indicator considers the number of hectares that have been added to the Social Forestry scheme under each of the five categories of SF permit listed above. The objective of this indicator is to increase the area of forest in Indonesia under sustainable, pro-poor forest management within the context of the MoEF Social Forestry programme.

The payment amount linked to the indicator is IDR 327.000/ha. In order to comply with this indicator, the social forestry area (ha) for which payment is being requested shall be verified against associated Quality and Safeguards Indicators detailed below. In the case of field verification, a targeted representative sample will be taken to visit and verify the compliance towards the associated indicators.

Associated Quality Indicators

- **Indicator 1.A.** Social Forestry area (ha) requested for payments shall be updated in the Indicative Map of Social Forestry Area (PIAPS).
- **Indicator 1.B.** Social Forestry Legal Access Decrees for the areas requested for payments shall be established and issued.
- **Indicator 1.C.** Social Forestry application verification completed, and results determined for the areas requested for payments.

Associated Safeguards Indicators

- **Indicator 1.1** –Mechanisms exist for verifying potential beneficiaries (subjects), allocated land claims (objects), and compliance between objects and classification of forest functions.
- **Indicator 1.2.** There is an equitable distribution of social forestry permits among the intended groups (communities living around forests, poor, those with limited / no access to land, those the depend on the land for a living (including women), poor female household heads, women working on land).
- **Indicator 1.3.** The Social Forestry Plan Document (RKPS or RKT) meets the format stipulated in Perdirjen 16 (or its replacement regulations) and is authorized by the appointed official.
- **Indicator 1.4.** – Complaints documented through existing grievance redress mechanisms (GRMs) related to the SF permitting process are considered and actions are taken to resolve such complaints.

- **Indicator 1.5.** – There are no negative environmental and social (including gender) impacts generated by SF permit holders and/or SF activities.
- **Indicator 1.6.** – Social forestry activities are prepared through an effective, inclusive and gender responsive process.
- **Indicator 1.7.** – The public has access to the SF website and /or other non-digital information platforms, which includes information on gender-related social forestry activities

NB: during the first year of implementation, these indicators are treated as bonuses, starting from the second year, payment will be based on the relative level of compliance with SES indicators. SES compliance will be registered according to a ‘traffic light’ system, further described below. Technical support as needed, to improve safeguards compliance, will be provided.

Results Validation Methodology Framework

The approach described below will be applied to determine whether the agreed results have been achieved, prior to UNDP issuing the performance-based payments to the Implementing Party.

The assessment team will request the following data sets and documentation be provided by the IP to assess these indicators:

- Updated PIAPS showing all new Social Forestry permits. Requested samples of spatial file delineating the boundaries of new Social Forestry permits.
- Requested samples of Social Forestry Legal Access Decrees issued towards new Social Forestry permits.
- Requested samples of Report on Social Forestry permit application verification process.
- Requested samples of Social Forestry permits that have been allocated to intended groups (communities living around forests, poor, those with limited / no access to land, those the depend on the land for a living (including women), poor female household heads, women working on land).
- Requested sample of information on stakeholder participation and involvement in the development of the Social Forestry Planning documents (e.g. minutes of meeting with list of participants, dis-aggregated by sex and stakeholder group at a minimum).
- Requested sample of documentation on stakeholder participation assessing the quality, inclusiveness and gender-responsiveness of participation of vulnerable groups (e.g. women, youth, adat communities, etc.) using the established scoring system.
- Requested sample on the use and application of grievance redress mechanisms related to SF permitting, including existing complaints reports showing how grievances are addressed.
- Requested samples of reports illustrating how environmental and social impacts of SF permits are identified, mitigated and monitored in accordance with applicable law, decree, article, etc (e.g. MoEF Decree No. 09 Year 2021; PSKL

DG Decree No. 07 Year 2016; PSKL DG Decree No. 16 Year 2016); and adheres to the measures outlined in the ESMP developed for this project.

- Requested samples of reports on FGD discussions and list of participants (data dis-aggregated by sex) related to the implementation of SF activities.
- Gender dis-aggregated data on persons receiving SF permits.
- Gender dis-aggregated data on persons involved in SF activities (e.g. preparation of forest management planning, post-harvest activities).
- Access to existing SF websites and / or non-digital public information related to SF activities in accordance with applicable law, decree, article, etc. (e.g. MoEF Decree No. 09 Year 2021; PSKL DG Decree No. 07 Year 2016; PSKL DG Decree No. 16 Year 2016).

The assessment team will apply validation techniques to assess the correctness and completeness of the reported Results in fulfillment of the above indicators, including:

- **Recalculation:**

- Independently recalculate total number of hectares within the Social Forestry programme sample set, for those areas where payments are being requested. Compare the total hectares for the indicators calculated by the assessment team to the total hectares for the indicators reported by the IP. This recalculation will form the basis of the materiality calculation.
- Independently recalculate the premium payments for increasing women's participation in SF activities (permit and non-permit holders)

- **Tracing & Vouching:**

- For each indicator, independently review programme/activity implementation documentation for a risk-based sample of areas requesting payments. The goal of risk-based sampling is to trace the areas requesting payments for SF permits to assess relative compliance in terms of the full set of indicators (quality & safeguard). This information will be included in the materiality calculation.
- Project documentation will be obtained from the PSKL Directorate General with facilitation assistance from the PMU. The assessment team will compare the reported SF permit area, by permit holder, gender, poverty status, and note any anomalies on status for the sampled contracts in the PSA database to the total hectares reported by the IP.
- Programme/activity implementation documentation from the SF M&E system which contains hard copies of implementation documentation, will also be observed in the field by the IA. The assessment team will compare the project area, SF permit holders' gender, and location (district) found in the hard copy documentation to the total hectares reported by the IP by contract.
- For SES indicators 1.1, 1.2, 1.4, 1.5, 1.6 and 1.7, risk-based field sampling will be undertaken and a 'traffic light' system will be applied to assess the relative compliance

to each safeguard indicator. Further details on this traffic light system are presented in Annex 1 at the end of this document.

- If there are violations reported, seek the registration of the fact (notification of the complaint) and the process at the level of laws and institutions designated in the Ministry of Environment and Forestry (MoEF) for these issues.

- **Data Collection:**

- During the desk review, utilize provided spatial data files to check area and boundaries, and confirm status for a sample of PS area requesting payments.
- In the field, independently check the accuracy of spatial information used in delineation of the SF area, by collecting GPS coordinates for a sample of SF area corners or other monuments and comparing actual locations to mapped locations in the spatial data-set provided by the PSKL Directorate General.

- **Interviews:**

- If necessary, conduct interviews with PSKL Directorate General staff at the various level of program/activity implementation including social experts, GIS specialists and monitoring and control specialists responsible for the GIS mapping of project areas, desk reviews, monitoring, and/or field visit of projects selected for monitoring.
- Based on risk-based sampling method, potential sites are identified for field visit. In the field, undertake interviews and make detailed observations regarding the implementation of environmental and social safeguards. This will include but not be limited to: (1) interviews with both female and male persons responsible for implementing the programme/activity in the field and (2) interviews with a selection of SF permit applicants and recipients including equitably with vulnerable groups, such as women, youth and elderly and (3) interviews with female and male representatives of Adat Communities where relevant. The main objective of these interviews is to develop a clear understanding of how the safeguards are being operationalized on the ground. These interviews, implemented as part of the risk-based sampling approach, should provide the needed inputs to develop the traffic light scoring (see separate description at the end of the document)

Description of how the risk-based sampling will be carried out

- The sample selection process must be preceded by a meeting between IEF (BPD LH) and the PSKL Directorate General to ensure that :
 - All activities that will be examined are ensured that they are free from tenure conflict and all the complaint and disputes have been resolved
 - All locations claimed based on area (ha) such as the area of social forestry, the area of rehabilitated land and forest, the area of land and forest fires extinguished, are in accordance with the maps officially issued by the Ministry of Environment and Forestry.

- All activities have been audited by Audit Board of the Republic of Indonesia (BPK) or the related inspectorate
- Sample for social forestry selected based on :
 - 'Balai' in each region. There are 5 'Balai' PSKL, namely BPSKL Sumatera, BPSKL Kalimantan, BPSKL Jawa-Bali-Nusa Tenggara, BPSKL Sulawesi, and BPSKL Maluku-Papua.
 - From the five 'Balai', selected Balai which has 5 types of Social Forestry (Hutan Kemasyarakatan, Hutan Desa, Hutan Tanaman Rakyat, Kemitraan Kehutanan and Hutan Adat)
 - One sample is selected for each type of Social Forestry
- Steps for data sample collection:
 - Conduct discussions with PKPS Directorate, PSKL Directorate General, Ditjen PSKL to select which Balai to be used as samples
 - Organize discussions with 'Balai' representatives on the process of proposing to granting Social Forestry permits, the preparation of the RKPS and RKT as well as their implementation and monitoring
 - Conduct site-level visits for discussions with Social Forestry permit holders and communities who are not Social Forestry permit holders
- The rationale for selecting a sample based on region and 'Balai' are:
 - All social forestry proposals or submissions are in the PKPS Directorate, PSKL Directorate General and archived at 'Balai' PSKL, because the PSKL proposal process from community groups is assisted by 'Balai' PSKL
 - All documents resulting from technical verification archived at the Directorate of PKPS, Directorate General of PSKL and archived at 'Balai' PSKL, because the verification team was formed by the Directorate of PKPS, and consists of representatives of stakeholders and 'Balai' PSKL
 - All documents Social Forestry Legal Access Decrees and its attachment are in the PKPS Directorate, PSKL Directorate General as the issuer of Social Forestry Legal Access Decrees on behalf of the Minister of LHK
 - Efficiency and effectiveness.

Calculation of the level of payment to the responsible party

The IA's recommendation to UNDP on the level of payment considered relevant will be made based on the confirmed/validated results, taking into account the minimum progress threshold detailed in Annex H and the payment conditions defined in Annex A-3.

For example, for **Indicator 1 – Area (in hectares) increases under the Social Forestry (SF) management scheme**, the value of the payment is IDR 327.000 per hectare.

Therefore, if the result achieved in a given year is 200,000 hectares, the payment recommendation will be IDR 65.400.000.000 (200,000 ha X IDR 327.000).

The IP will only be paid for the Results which have been verified. Therefore, the non-achievement of Results will result in the IP receiving no payment or only partial payment. To determine the level of payment the IA will utilize the materiality calculation. Quantitative materiality will be independently calculated for each indicator as a percentage error as follows:

$$\% \text{ Error} = \frac{(RP \text{ Results Assertion} - IA \text{ Recalculation})}{IA \text{ Recalculation}} * 100$$

The IA will trace the values of the selected population sample (eg, new forest rehabilitation sites reported by the MA) back to the original data (eg, program/activity implementation reports) and compare them with the original data provided by IP. For data checks conducted on a sample, a correction factor will be used to extrapolate the difference in the weighted average of the sample results to the total population (e.g., all area (in hectares) increases under SF management schemes). If the IA finds inconsistencies that result in a material misstatement in the reported Results, the IA may add additional samples until reasonable level of assurance regarding the Results reported can be reached.

The level of payment is determined as follows:

- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the $\pm 10\%$ threshold), the IP will receive full payment for the values reported. For example, for Indicator 1.1.1, if the IP reported 200,000 ha and the IA recalculated 195,000, the materiality would be 2.6% and the IP would receive a full payment for the 200,000 reported.
- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the $\pm 10\%$ threshold), and are above the required minimum threshold detailed in Annex H, the IA will calculate the level of payment following the payment conditions defined in Annex A-3.
- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the $\pm 10\%$ threshold) but are below the required minimum threshold detailed in Annex H, the IA will calculate the level of payment following the payment conditions defined in Annex A-3. However, the IA will also notify the UNDP (and the Project Board) that the minimum threshold has not been achieved. This information will be discussed by the Project Board who will decide on next steps, which may include termination of the agreement or other corrective measures.
- For any indicator for which the reported Results exceed the $\pm 10\%$ threshold, it indicates the presence of material omissions, misstatements or errors large enough that the assessment team is unable to reach a reasonable level of assurance

regarding the Results reported for the indicator. Payment cannot be made for the indicator unless the errors resulting in the exceedance of the materiality threshold are resolved. However, if a material discrepancy cannot be resolved, it will be at the discretion of the UNDP whether material discrepancies must be addressed by the IP for the payment (partial or full) to be made for any individual indicator.

- For SES indicators, a high level of compliance (an overall scoring of green) will result in a premium payment. For a low or moderate level of compliance (red or yellow) no premium will be paid, and support will be provided in the next year, for those areas where weaknesses are noted. In cases where critical safeguards issues are noted, no payments will be made.

1.2. Description of the validation process for a single payment-linked indicator for the Ecosystem Restoration in Conservation Areas

KPI 4a-i – Area in hectares of conservation areas (KK) rehabilitated (by type of rehabilitation/forest and land/actors involved)

This indicator considers the number of hectares of conservation areas (*Kawasan Suaka Alam/KSA & Kawasan Pelestarian Alam/KPA*) that have been rehabilitated through Ecosystem Restoration (*Pemulihan Ekosistem*) efforts. The objective of this indicator is to restore the integrity of the ecosystem: (a) back to its original condition/level; and/or (b) to a certain future condition (Desired Future Condition/DFC) in accordance with the management area objectives.

The payment amount linked to this indicator is IDR 12.569.400 per hectare. To check compliance with this indicator the IA will verify that, in accordance with regulation MoEF Regulation No. 48/2014, KSDAE DG Regulation No.12/2015, and KSDAE DG Regulation No. 13/2015 on Procedures for Implementing Ecosystem Recovery at *Kawasan Suaka Alam & Kawasan Pelestarian Alam* including derivative regulations relevant in its enactment, the Ecosystem Recovery Plan has been authorized by the Technical Director on behalf of the Director General. If the rehabilitation activities have been implemented through the Conservation Partnership Scheme, the IA will verify that the Conservation Partnership Agreements have been signed.

Associated Quality Indicators

- **Indicator 4a-i-A.** The Ecosystem Recovery Plan document is authorized/decreed by the Technical Director on behalf of Director General (5 years plan)
- **Indicator 4a-i-B.** Conservation Partnership Agreement signed if Ecosystem Restoration (PE) is done through Conservation Partnership scheme

Associated Safeguards Indicators

- **Indicator 4a-i.1** – Conservation areas selected for rehabilitation are free from tenurial conflict.
- **Indicator 4a-i.2** - There are no negative environmental and social (including gender) impacts generated by rehabilitation activities in conservation areas.
- **Indicator 4a-i-3** - Existing communities are accommodated in conservation areas through traditional zones/blocks, utilization zones and special zones.
- **Indicator 4a-i-4** - Complaints documented through existing GRMs related to conservation area rehabilitation activities are considered and actions are taken to resolve such complaints.
- **Indicator 4a-i-5** - There is an effectively functioning stakeholder consultation process to ensure the involvement of all stakeholders, including collaborative management, in conservation area rehabilitation activities / conservation partnerships.

- **Indicator 4a-i-6** - The public has access to a functional MoEF/BRGM website and /or other digital platforms or non-digital information, with information on activities related to conservation area rehabilitation.
- **Indicator 4a-i-7a** - Equal participation of women and men in Ecosystem Recovery planning and management activities related to conservation area rehabilitation.
- **Indicator 4a-i-7b** - Equal participation of women and men in conservation area rehabilitation planning and implementation activities.

NB: during the first year of implementation, these indicators are treated as bonuses, starting from the second year, payment will be based on the relative level of compliance with SES indicators. SES compliance will be registered according to a 'traffic light' system, further described below. Technical support as needed, to improve safeguards compliance, will be provided.

Results Validation Methodology Framework

The approach described below will be applied to determine whether the agreed results have been achieved, prior to UNDP issuing the performance-based payments to the Implementing Party.

The assessment team will request the following datasets and documentation be provided by the IP to assess these indicators:

- Requested an Ecosystem Recovery Plan documents (decreed according to regulations)
- Requested samples of Conservation Partnership Agreement documents (decreed in accordance with regulations)
- Requested information on mechanism for implementing preconditions to ensure that the land to be rehabilitated does not have overlapping rights (source: Report of tenurial conflict identification on conservation area)
- Requested document on Existence of an ecosystem recovery plan (5 year period) in Conservation area every 5 years (where and what mechanism, community involvement, details of the plan)
- Requested report on land rehabilitation in conservation areas that include native species
- Requested report on precondition activities for land rehabilitation
- Requested information on the number of complaints and responses from UPT conservation area managers in online reports and LKJ
- Access to website for forest rehabilitation in conservation areas: KK website (<http://ksdae.menlhk.go.id/>); KSDAE situation room and for mangrove land rehabilitation: www.padatkaryamangrove.info; RHL website - under development;
- Requested data on the number of women and men involved in pre-conditioning and implementation activities
- Gender disaggregated data on persons involved in conservation partnership activities in pre-conditioning and implementation activities.

The assessment team will apply validation techniques to assess the correctness and completeness of the reported Results in fulfillment of the above indicators, including:

- **Recalculation:**

- Independently recalculate total area (Ha) of Rehabilitated Forest and Land activities within the conservation partnership programme sample set, for those areas where payments are being requested. Compare the total area (ha) for the indicators calculated by the assessment team to the total area (ha) for the indicators reported by the IP. This recalculation will form the basis of the materiality calculation.
- Independently recalculate the premium payments for increasing women's participation in conservation partnership activities (permit and non-permit holders)

- **Tracing & Vouching:**

- For each indicator, independently review programme/activity implementation documentation for a risk-based sample of areas requesting payments. The goal of risk-based sampling is to trace the areas requesting payments for conservation partnership agreement to assess relative compliance in terms of the full set of indicators (quality & safeguard). This information will be included in the materiality calculation.
- Project documentation will be obtained from the KSDAE Directorate General with facilitation assistance from the PMU. The assessment team will compare the reported area (ha), by permit holder, gender, poverty status, and note any anomalies on status for the sampled contracts in the KSDAE database to the total hectares reported by the IP.
- Programme/activity implementation documentation from the conservation partnership M&E system which contains hard copies of implementation documentation, will also be observed in the field by the IA. The assessment team will compare area (ha) of conservation partnership, local community permit holders' gender found in the hard copy documentation to the total area reported by the IP by contract.
- For SES indicators 4a-i.1, 4a-i.2, 4a-i.3, 4a-i.4, 4a-i.5, 4a-i.6, 4a-i.7a, 4a-i.7b, risk-based field sampling will be undertaken and a 'traffic light' system will be applied to assess the relative compliance to each safeguard indicator. Further details on this traffic light system are presented in Annex 1 at the end of this document.
- If there are violations reported, seek the registration of the fact (notification of the complaint) and the process at the level of laws and institutions designated in the Ministry of Environment and Forestry (MoEF) for these issues.

- **Data Collection:**

- During the desk review, utilize provided data files to check conservation partnership area (ha), and confirm status for a sample of conservation partnership area requesting payments.
- In the field, independently check the accuracy of conservation partnership information in the dataset provided by the KSDAE Directorate General.

■ Interviews:

- If necessary, conduct interviews with KSDAE Directorate General staff at the various level of program/activity implementation including social experts, monitoring and control specialists responsible for the project areas, desk reviews, monitoring, and/or field visit of projects selected for monitoring.
- Based on risk-based sampling method, potential sites are identified for field visit. In the field, undertake interviews and make detailed observations regarding the implementation of environmental and social safeguards. This will include but not be limited to: (1) interviews with both female and male persons responsible for implementing the programme/activity in the field and (2) interviews with a selection of conservation partnership agreement applicants and recipients including equitably with vulnerable groups, such as women, youth and elderly and (3) interviews with female and male representatives of Adat Communities where relevant. The main objective of these interviews is to develop a clear understanding of how the safeguards are being operationalized on the ground. These interviews, implemented as part of the risk-based sampling approach, should provide the needed inputs to develop the traffic light scoring (see separate description at the end of the document).

Description of how the risk-based sampling will be carried out

- The sample selection process must be preceded by a meeting between IEF (BPD LH) and KSDAE Directorate General to agree that :
 - All activities that will be examined are ensured that they are free from tenure conflict and all the complaint and disputes have been resolved
 - All locations claimed based on area (ha) such as the area of social forestry, the area of rehabilitated land and forest, the area of land and forest fires extinguished, are in accordance with the maps officially issued by the Ministry of Environment and Forestry.
 - All activities have been audited by Audit Board of the Republic of Indonesia (BPK) or the related inspectorate
- Samples for ecosystem restoration through conservation partnerships were selected based on :
 - 'UPT' KSDAE. There are 74 'UPT' KSDAE, consisting of 8 'Balai Besar' KSDA (BBKSDAE), 19 'Balai' KSDA (BKSDAE), 8 National Parks 'Balai Besar' (BBTN) and 38 National Parks 'Balai' (BTN).
 - Region: Sumatera, Kalimantan, Jawa-Bali-Nusa Tenggara, Sulawesi, Maluku-Papua
- Steps for data sample collection:
 - Conducted discussions with KSDAE Directorate General select a sample where from each region, 4 samples were selected consisting of 1 BBKSDA, 1 BKSDA,

- 1 BBTN, 1 BTN who had or are currently implementing the Conservation Partnership program in the context of Ecosystem Recovery
- Made a visit to the 'Balai' or 'Balai Besar' for discussion on planning and implementing conservation partnerships for ecosystem restoration
- Make a visit to the site level (village and ecosystem restoration sites) to cross-check the results of the discussion at the Balai or Balai Besar level
- The rationale for selecting a sample based on 'UPT' are :
 - BBKSDA dan BKSDA: managing Nature Reserve Areas (Kawasan Suaka Alam/KSA)
 - BBTN dan BTN: managing national parks as part of Nature Conservation Areas (Kawasan Pelestarian Alam/KPA)
 - All conservation partnerships proposal are in SDAE Directorate General and archived in 'UPT' KSDAE, because the process of proposing conservation partnerships from community groups is assisted by UPT.
 - All verification results document are in the Directorate General of KSDAE and archived at UPT KSDAE, because the verification team was formed by UPT KSDAE for field verification, and the results are sent to the Directorate General of KSDAE for inspection and approval from the Director General of KSDAE.
 - All documents of the Conservation Partnership Cooperation Agreement (PKS) and their attachments are in the Directorate General of KSDAE, because the approval of PKS is the authority of the Director General of KSDAE. Meanwhile, those who signed the PKS were the Head of the UPT and the Head of the Group. So that the PKS document and its attachments are also in the UPT and in community groups.

Calculation of the level of payment to the responsible party

The IA's recommendation to UNDP on the level of payment considered relevant will be made based on the confirmed/validated results, taking into account the minimum progress threshold detailed in Annex H and the payment conditions defined in Annex A-3.

For example, for **Indicator 4a-i – Area in hectares of conservation areas (KK) rehabilitated (by type of rehabilitation/forest and land/actors involved)**, the value of the payment is IDR 12.569.400 per hectare. Therefore, if the result achieved in a given year is 45,000 hectares, the payment recommendation will be IDR 565.623,000.000 (45,000 ha X IDR 12.569.400).

The IP will only be paid for the Results which have been verified. Therefore, the non-achievement of Results will result in the IP receiving no payment or only partial payment. To determine the level of payment the IA will utilize the materiality calculation. Quantitative materiality will be independently calculated for each indicator as a percentage error as follows:

$$\% \text{ Error} = \frac{(RP \text{ Results Assertion} - IA \text{ Recalculation})}{IA \text{ Recalculation}} * 100$$

The IA will trace the values of the selected population sample (eg, new forest rehabilitation sites reported by the MA) back to the original data (eg, program/activity implementation reports) and compare them with the original data provided by IP. For data checks conducted on a sample, a correction factor will be used to extrapolate the difference in the weighted average of the sample results to the total population (e.g., all area (in hectares) increases under conservation partnership schemes). If the IA finds inconsistencies that result in a material misstatement in the reported Results, the IA may add additional samples until reasonable level of assurance regarding the Results reported can be reached.

The level of payment is determined as follows:

- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the $\pm 10\%$ threshold), the IP will receive full payment for the values reported. For example, for Indicator 4a-i, if the IP reported 45,000 ha and the IA recalculated 44,000, the materiality would be 2.3% and the IP would receive a full payment for the 45,000 reported.
- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the $\pm 10\%$ threshold), and are above the required minimum threshold detailed in Annex H, the IA will calculate the level of payment following the payment conditions defined in Annex A-3.
- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the $\pm 10\%$ threshold) but are below the required minimum threshold detailed in Annex H, the IA will calculate the level of payment following the payment conditions defined in Annex A-3. However, the IA will also notify the UNDP (and the Project Board) that the minimum threshold has not been achieved. This information will be discussed by the Project Board who will decide on next steps, which may include termination of the agreement or other corrective measures.
- For any indicator for which the reported Results exceed the $\pm 10\%$ threshold, it indicates the presence of material omissions, misstatements or errors large enough that the assessment team is unable to reach a reasonable level of assurance regarding the Results reported for the indicator. Payment cannot be made for the indicator unless the errors resulting in the exceedance of the materiality threshold are resolved. However, if a material discrepancy cannot be resolved, it will be at the discretion of the UNDP whether material discrepancies must be addressed by the IP for the payment (partial or full) to be made for any individual indicator.
- For SES indicators, a high level of compliance (an overall scoring of green) will result in a premium payment of xxx. For a low or moderate level of compliance (red or

yellow) no premium will be paid, and support will be provided in the next year, for those areas where weaknesses are noted. In cases where critical safeguards issues are noted, no payments will be made.

1.3. Description of the validation process for a single payment-linked indicator for the Mangrove/Coastal Forest Rehabilitation (RHL)

KPI 4a-ii – Area in hectares of mangrove and coastal forest rehabilitated.

This indicator concerns the number of hectares of mangrove or coastal forest rehabilitated. This objective of the indicator is to rehabilitate areas of mangrove and coastal forest to restore, maintain and improve the functions of mangrove and coastal forests so that their carrying capacity, productivity and role in supporting life support systems are maintained.

The payment amount linked to this indicator is IDR 21.496.800 per hectare. To check compliance with this indicator – based on regulations established in MoEF Regulation No. 2/2020 and No. 105/2018 on Procedures for Implementation, Supporting Activities, Incentives Provision, and Guidance and Control of Forest and Land Rehabilitation Activities, including derivative regulations relevant in its enactment – the IA will verify that (a) the mangrove or coastal forest rehabilitation planting is in accordance with the RHL Annual Plan Rtn-RHL, (b) the RHL location is based on the One Map mangrove and Indicative Map of Mangrove Rehabilitation, (c) community preparation activities are undertaken, (d) technical planning activities are carried out and (e) rehabilitation activities (field preparation, provision of seedlings, planting, maintenance) are carried out.

Associated Quality Indicators

- **Indicator 4a.ii.A.** Implementation of Mangrove/Coastal Forest Rehabilitation Planting in accordance with the RHL Annual Plan (RTn-RHL)
- **Indicator 4a.ii.B.** RHL location refers/determined based on One Map mangrove and Indicative Map of Mangrove Rehabilitation
- **Indicator 4a.ii.C.** Community Institutional Preparation Activities related to RHL are developed and implemented
- **Indicator 4a.ii.D.** RHL Technical Planning Activities are developed and implemented
- **Indicator 4a.ii.E.** Rehabilitation activities (including field preparation, provision of seedlings, planting, maintenance, etc.) are carried out

Associated Safeguards Indicators

- **Indicator 4a.ii.1** – Areas selected for mangrove and coastal forest rehabilitation are free from tenurial conflict.
- **Indicator 4a.ii.2** - Complaints documented through existing GRMs related to mangrove and coastal forest rehabilitation activities are considered and actions are taken to resolve such complaints.
- **Indicator 4a.ii.3** – There is an effectively functioning stakeholder consultation process to ensure the involvement of all stakeholders in mangrove and coastal forest rehabilitation.
- **Indicator 4a.ii. 4** – The public has access to a functional website and /or other digital platforms or non-digital information, with information on activities related to mangrove and coastal forest rehabilitation.

- **Indicator 4a.ii. 5** – Equal participation of women and men in mangrove and coastal forest rehabilitation activities.

NB: during the first year of implementation, these indicators are treated as bonuses, starting from the second year, payment will be based on the relative level of compliance with SES indicators. SES compliance will be registered according to a ‘traffic light’ system, further described below. Technical support as needed, to improve safeguards compliance, will be provided.

Results Validation Methodology Framework

The approach described below will be applied to determine whether the agreed results have been achieved, prior to UNDP issuing the performance-based payments to the Implementing Party.

The assessment team will request the following data sets and documentation be provided by the IP to assess these indicators:

- Request a document on RHL Annual Plan (RTn-RHL)
- Request One Map Mangrove Document and Mangrove Rehabilitation Indicative Map
- Request Community Institutional Preparation Report Document (or contained in RHL Implementation Document)
- Request RHL Technical Planning Document (or contained in the RHL Implementation Document)
- Request RHL Implementation Report Document (developed according to regulations)
- Request information on mechanism for implementing preconditions to ensure that the land to be rehabilitated does not have overlapping rights (source: Berita Acara of local community respons/opinion whether they accept or refuse the project)
- Information on the number of complaints and responses from UPT BPDASHL in online reports and LKJ
- Functional website for mangrove land rehabilitation: www.padatkaryamangrove.info; RHL website - under development; KK website: KSDAE situation room
- Data on the number of women and men involved in pre-conditioning and implementation activities

The assessment team will apply validation techniques to assess the correctness and completeness of the reported Results in fulfillment of the above indicators, including:

- **Recalculation:**
 - Independently recalculate total number of area (ha) of the mangrove or coastal forest rehabilitated programme/activity sample set, for those areas where payments are being requested. Compare the total area (ha) for the indicators calculated by the assessment team to the total area (ha) for the indicators reported by the IP. This recalculation will form the basis of the materiality calculation.
 - Independently recalculate the premium payments for increasing women's participation in mangrove/ coastal forest rehabilitation activities.
- **Tracing & Vouching:**

- For each indicator, independently review programme/activity implementation documentation for a risk-based sample of areas requesting payments. The goal of risk-based sampling is to trace the areas requesting payments for mangrove/ coastal forest rehabilitation to assess relative compliance in terms of the full set of indicators (quality & safeguard). This information will be included in the materiality calculation.
- Project documentation will be obtained from the PDASHL Directorate General with facilitation assistance from the PMU. The assessment team will compare the reported area of mangrove/ coastal forest rehabilitation (ha), by permit holder, gender, poverty status, and note any anomalies on status for the sampled contracts in the PSA database to the total hectares reported by the IP.
- Programme/activity implementation documentation from the Forest Rehabilitation M&E system which contains hard copies of implementation documentation, will also be observed in the field by the IA. The assessment team will compare the area of mangrove/ coastal forest rehabilitation, gender found in the hard copy documentation to the total units reported by the IP by contract.
- For SES indicators 4a.ii.1, 4a.ii.2, 4a.ii.3, 4a.ii.4, and 4a.ii.5, risk-based field sampling will be undertaken and a 'traffic light' system will be applied to assess the relative compliance to each safeguard indicator. Further details on this traffic light system are presented in Annex 1 at the end of this document.
- If there are violations reported, seek the registration of the fact (notification of the complaint) and the process at the level of laws and institutions designated in the Ministry of Environment and Forestry (MoEF) for these issues.

- **Data Collection:**

- During the desk review, utilize provided data files to check area of mangrove/ coastal forest rehabilitation (ha) and confirm status for a sample of mangrove/ coastal forest rehabilitation area requesting payments.
- In the field, independently check the accuracy of mangrove/ coastal forest rehabilitation information in the data set provided by the PDASHL Directorate General.

- **Interviews:**

- If necessary, conduct interviews with PDASHL Directorate General staff at the various level of program/activity implementation including social experts, monitoring and control specialists responsible for the project areas. Desk reviews, monitoring, and/or field visit of projects selected for monitoring could also be conducted as necessary.
- Based on risk-based sampling method, potential sites are identified for field visit. In the field, undertake interviews and make detailed observations regarding the implementation of environmental and social safeguards. This will include but not be limited to: (1) interviews with both female and male persons responsible for implementing the programme/activity in the field and (2) interviews with a selection of local community group who carry out mangrove/ coastal forest rehabilitation including equitably with vulnerable groups, such as women, youth and elderly and (3) interviews

with female and male representatives of Adat Communities where relevant. The main objective of these interviews is to develop a clear understanding of how the safeguards are being operationalized on the ground. These interviews, implemented as part of the risk-based sampling approach, should provide the needed inputs to develop the traffic light scoring (see separate description at the end of the document).

Description of how the risk-based sampling will be carried out

- The sample selection process must be preceded by a meeting between the IEF (BPD LH) with the Directorate General of PDASRH to agree that:
 - All activities that will be examined are ensured that they are free from tenure conflicts and all the complaint and disputes have been resolved
 - All claimed mangrove/coastal rehabilitation locations based on the area (ha) that are in accordance with the maps officially issued by the Ministry of Environment and Forestry
 - All activities have been audited by Audit Board of the Republic of Indonesia (BPK) or the related inspectorate
- Samples for mangrove/coastal rehabilitation are selected based on:
 - Region (Sumatera, Kalimantan, Jawa-Bali-Nusa Tenggara, Sulawesi, Maluku-Papua).
 - Those in charge of the rehabilitation of mangrove/coastal, namely:
 1. Directorate General of PPKL (Pollution Control and Environmental Damage)
 2. BRGM (Peat and Mangrove Restoration Agency)
 3. TRGMD (Regional Peat and Mangrove Restoration Team)
 4. PDASRH (There are 34 Balai PDASRH throughout Indonesia)
 5. UPT KSDAE
- Steps for data sample collection:
 - Interview with the Directorate General of PPKL to select a sample of areas that have carried out mangrove/coastal rehabilitation, supported by BRGM, TRGMD, PDASRH and UPT KSDAE.
 - The sample area is selected only in one region (out of 5 regions), for example, the selected sample is Riau because the three institutions responsible for the rehabilitation of mangrove/coastal are in Riau.
 - Conduct a visit to the selected Balai as a sample, to discuss and collect documents related to forest and land rehabilitation activities carried out.
 - Conduct a site visit where the mangrove/coastal planting/rehabilitation activity takes place

- The rationale for selecting a sample based on the region and the person in charge of the rehabilitation of mangrove/coastal are:
 - The four institutions in charge of mangrove/coastal rehabilitation have different roles and programs, and it is necessary to look at the synergy between the programs and their roles.
 - Efficiency and effectiveness. A visit to an area that has three institutions in charge of the rehabilitation of mangrove/coastal will increase cost-efficiency. In addition, it can be more effective in collecting data and information.

Calculation of the level of payment to the responsible party

The IA's recommendation to UNDP on the level of payment considered relevant will be made based on the confirmed/validated results, taking into account the minimum progress threshold detailed in Annex H and the payment conditions defined in Annex A-3.

For example, for **KPI 4a-ii** – Area in hectares of mangrove and coastal forest rehabilitated, the value of the payment is IDR 21.496.800 per hectare. Therefore, if the result achieved in a given year is 1.250 hectares, the payment recommendation will be IDR26.871.000.000 (1.250 ha X IDR 21.496.800).

The IP will only be paid for the Results which have been verified. Therefore, the non-achievement of Results will result in the IP receiving no payment or only partial payment. To determine the level of payment the IA will utilize the materiality calculation. Quantitative materiality will be independently calculated for each indicator as a percentage error as follows:

$$\% \text{ Error} = \frac{(RP \text{ Results Assertion} - IA \text{ Recalculation})}{IA \text{ Recalculation}} * 100$$

The IA will trace the values of the selected population sample (eg, new mangrove/ coastal forest rehabilitation sites reported by the MA) back to the original data (eg, program/activity implementation reports) and compare them with the original data provided by IP. For data checks conducted on a sample, a correction factor will be used to extrapolate the difference in the weighted average of the sample results to the total population (e.g., all area (in hectares) increases). If the IA finds inconsistencies that result in a material misstatement in the reported Results, the IA may add additional samples until reasonable level of assurance regarding the Results reported can be reached.

The level of payment is determined as follows:

- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the ±10% threshold), the IP will receive full payment for the values reported. For example, for Indicator 1.1.1, if the IP reported 1.250 ha and the IA recalculated 1.200, the materiality would be 4,2% and the IP would receive a full payment for the 200,000 reported.

- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the $\pm 10\%$ threshold), and are above the required minimum threshold detailed in Annex H, the IA will calculate the level of payment following the payment conditions defined in Annex A-3.
- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the $\pm 10\%$ threshold) but are below the required minimum threshold detailed in Annex H, the IA will calculate the level of payment following the payment conditions defined in Annex A-3. However, the IA will also notify the UNDP (and the Project Board) that the minimum threshold has not been achieved. This information will be discussed by the Project Board who will decide on next steps, which may include termination of the agreement or other corrective measures.
- For any indicator for which the reported Results exceed the $\pm 10\%$ threshold, it indicates the presence of material omissions, misstatements or errors large enough that the assessment team is unable to reach a reasonable level of assurance regarding the Results reported for the indicator. Payment cannot be made for the indicator unless the errors resulting in the exceedance of the materiality threshold are resolved. However, if a material discrepancy cannot be resolved, it will be at the discretion of the UNDP whether material discrepancies must be addressed by the IP for the payment (partial or full) to be made for any individual indicator.
- For SES indicators, a high level of compliance (an overall scoring of green) will result in a premium payment of xxx. For a low or moderate level of compliance (red or yellow) no premium will be paid, and support will be provided in the next year, for those areas where weaknesses are noted. In cases where critical safeguards issues are noted, no payments will be made.

1.4. Description of the validation process for a single payment-linked indicator for the Peatland Rehabilitation

- **KPI 6a** – Area in hectares of peatlands (a) facilitated for restoration in 7 fire-prone provinces (PKG–PPKL) and (b) rehabilitated from degradation.

This indicator concerns the restoration of peatland from degraded or fire-prone conditions and rehabilitation of peatland from degradation. The objective of this indicator is to restore the condition and function of the peat ecosystem close to its original condition or conforming to its original function through natural succession, hydrological restoration, vegetative rehabilitation, and/or other means in accordance with science and technology advancement in the 7 fire-prone provinces.

The payment amount linked to this indicator is USD 15,766 per hectare. To check compliance with this indicator – based on regulations established in MoEF Regulation No. 16/2017 on Technical Guidelines for Peat Ecosystem Rehabilitation, including derivative regulations relevant in its enactment – the IA will verify that (a) the areas selected for restoration are included in the Indicative Map for Priority Peat Restoration, (b) the Peat Recovery Design Plan has been developed, (c) the Cooperation Agreements have been developed, and (d) the Vegetative Peatland Rehabilitation Implementation Report has been developed and (e) the vegetation rehabilitation activities are carried out (applies to degraded peatland rehabilitation).

Associated Quality Indicators

- **Indicator 6a.i.1.** Peatland Recovery/Restoration Site refers/determined based on Indicative Map of Peat Priority Restoration
- **Indicator 6a.i.2.** Peat Recovery Plan (Design) Document authorized/decreed
- **Indicator 6a.i.3.** Peat Recovery Cooperation Agreement agreed/signed if PE is done through cooperation scheme (community/village/company/etc)
- **Indicator 6a.i.4.** Vegetation Rehabilitation Activities in Peatlands are carried out (documented/reported)

Associated Safeguards Indicators

- **Indicator 6a.ii.1** – Areas selected for peatland rehabilitation are free from tenurial conflict.
- **Indicator 6a.ii.2** - Complaints documented through existing GRMs related to peatland rehabilitation activities are considered and actions are taken to resolve such complaints.
- **Indicator 6a.ii.3** – There is an effectively functioning stakeholder consultation process to ensure the involvement of all stakeholders in peatland rehabilitation.
- **Indicator 6a.ii. 4** – The public has access to a functional website and /or other digital platforms or non-digital information, with information on activities related to peatland rehabilitation.
- **Indicator 6a.ii. 5** – Equal participation of women and men in peatland rehabilitation activities.

NB: during the first year of implementation, these indicators are treated as bonuses,

starting from the second year, payment will be based on the relative level of compliance with SES indicators. SES compliance will be registered according to a 'traffic light' system, further described below. Technical support as needed, to improve safeguards compliance, will be provided.

Results Validation Methodology Framework

The approach described below will be applied to determine whether the agreed results have been achieved, prior to UNDP issuing the performance-based payments to the Implementing Party.

The assessment team will request the following datasets and documentation be provided by the IP to assess these indicators:

- Request an Indicative Map of Peat Priority Restoration and RHL Implementation Report documents (developed according to regulations)
- Request a Peat Recovery Plan (Design) document (developed according to regulations)
- Request an Agreement on Peat Recovery Cooperation document (determination according to regulations)
- Request a Report documents of Vegetation Rehabilitation Implementation in Peatlands (developed according to regulations)
- Request information on mechanism for implementing preconditions to ensure that the land to be rehabilitated does not have overlapping rights (source: Berita Acara of local community response/opinion whether they accept or refuse the project)
- Information on the number of complaints and responses from Satker PKG PPKL in online reports and LKJ
- Functional website for mangrove land rehabilitation: www.padatkaryamangrove.info; RHL website - under development; PKG website:
- Data on the number of women and men involved in pre-conditioning and implementation activities

The assessment team will apply validation techniques to assess the correctness and completeness of the reported Results in fulfillment of the above indicators, including:

- **Recalculation:**
 - Independently recalculate total area of peatland restoration/ rehabilitation (ha) within the Social Forestry programme sample set, for those areas where payments are being requested. Compare the total area (ha) for the indicators calculated by the assessment team to the total area (ha) for the indicators reported by the IP. This recalculation will form the basis of the materiality calculation.
 - Independently recalculate the premium payments for increasing women's participation in peatland rehabilitation activities (permit and non-permit holders)

■ **Tracing & Vouching:**

- For each indicator, independently review programme/activity implementation documentation for a risk-based sample of areas requesting payments. The goal of risk-based sampling is to trace the areas requesting payments for peatland rehabilitation to assess relative compliance in terms of the full set of indicators (quality & safeguard). This information will be included in the materiality calculation.
- Project documentation will be obtained from the PKG PPKL Directorate General with facilitation assistance from the PMU. The assessment team will compare the reported area of peatland rehabilitation, by permit holder, gender, poverty status, and note any anomalies on status for the sampled contracts in the PSA database to the total hectares reported by the IP.
- Programme/activity implementation documentation from the Peatland Rehabilitation M&E system which contains hard copies of implementation documentation, will also be observed in the field by the IA. The assessment team will compare the area of peatland rehabilitation, gender found in the hard copy documentation to the total units reported by the IP by contract.
- For SES indicators 6a.ii.1, 6a.ii.2, 6a.ii.3, 6a.ii.4, 6a.ii.5 risk-based field sampling will be undertaken and a 'traffic light' system will be applied to assess the relative compliance to each safeguard indicator. Further details on this traffic light system are presented in Annex 1 at the end of this document.
- If there are violations reported, seek the registration of the fact (notification of the complaint) and the process at the level of laws and institutions designated in the Ministry of Environment and Forestry (MoEF) for these issues.

■ **Data Collection:**

- During the desk review, utilize provided data files to check area of peatland rehabilitation (ha) and confirm status for a sample of PS area requesting payments.
- In the field, independently check the accuracy of peatland rehabilitation information in the dataset provided by the PKG PPKL Directorate General.

■ **Interviews:**

- If necessary, conduct interviews with Satker PKG and PPKL Directorate General staff at the various level of program/activity implementation including social experts, monitoring and control specialists responsible for the project areas. Desk reviews, monitoring, and/or field visit of projects selected for monitoring could also be conducted as necessary.
- Based on risk-based sampling method, potential sites are identified for field visit. In the field, undertake interviews and make detailed observations regarding the implementation of environmental and social safeguards. This will include but not be limited to: (1) interviews with both female and male persons responsible for implementing the programme/activity in the field and (2) interviews with a selection of local community groups who involve in peatland rehabilitation including equitably with

vulnerable groups, such as women, youth and elderly and (3) interviews with female and male representatives of Adat Communities where relevant. The main objective of these interviews is to develop a clear understanding of how the safeguards are being operationalized on the ground. These interviews, implemented as part of the risk-based sampling approach, should provide the needed inputs to develop the traffic light scoring (see separate description at the end of the document).

Description of how the risk-based sampling will be carried out

- The sample selection process must be preceded by a meeting between the IEF (BPD LH) with the Directorate General of PPKL to agree that:
 - All activities that will be examined are ensured that they are free from tenure conflicts and all the complaint and disputes have been resolved
 - All claimed peatland restoration/ rehabilitation locations based on the area (ha) that are in accordance with the maps officially issued by the Ministry of Environment and Forestry
 - All activities have been audited by Audit Board of the Republic of Indonesia (BPK) or the related inspectorate
- Samples for peatland rehabilitation are selected based on:
 - Region (Sumatera, Kalimantan, Jawa-Bali-Nusa Tenggara, Sulawesi, Maluku-Papua).
 - Those in charge of the rehabilitation of peatland, namely:
 1. Directorate General of PPKL (Pollution Control and Environmental Damage)
 2. BRGM (Peat and Mangrove Restoration Agency)
 3. TRGMD (Regional Peat and Mangrove Restoration Team)
 4. UPT KSDAE
- Steps for data sample collection:
 - Interview with the Directorate General of PPKL to select a sample of areas that have carried out peatland rehabilitation, supported by BRGM, TRGMD, and UPT KSDAE.
 - The sample area is selected only in one region (out of 5 regions), for example, the selected sample is Riau because the three institutions responsible for the rehabilitation of peatland are in Riau.
 - Conduct a visit to the selected Balai as a sample, to discuss and collect documents related to peatland restoration/ rehabilitation activities carried out.
 - Conduct a site visit where the peatland restoration/ rehabilitation activity takes place.

- The rationale for selecting a sample based on the region and the person in charge of the rehabilitation of peatland are:
 - The three institutions in charge of peatland restoration/ rehabilitation have different roles and programs, and it is necessary to look at the synergy between the programs and their roles.
 - Efficiency and effectiveness. A visit to an area that has three institutions in charge of the rehabilitation of peatland will increase cost-efficiency. In addition, it can be more effective in collecting data and information.

Calculation of the level of payment to the responsible party

The IA's recommendation to UNDP on the level of payment considered relevant will be made based on the confirmed/validated results, taking into account the minimum progress threshold detailed in Annex H and the payment conditions defined in Annex A-3.

For example, for **KPI 6a** – Area in hectares of peatlands (a) facilitated for restoration in 7 fire-prone provinces (PKG–PPKL) and (b) rehabilitated from degradation, the value of the payment is IDR 21.496.800 per hectare. Therefore, if the result achieved in a given year is 200.000 hectares, the payment recommendation will be IDR4.299.360.000 (200.000 ha X IDR 21.496.800).

The IP will only be paid for the Results which have been verified. Therefore, the non-achievement of Results will result in the IP receiving no payment or only partial payment. To determine the level of payment the IA will utilize the materiality calculation. Quantitative materiality will be independently calculated for each indicator as a percentage error as follows:

$$\% \text{ Error} = \frac{(\text{RP Results Assertion} - \text{IA Recalculation})}{\text{IA Recalculation}} * 100$$

The IA will trace the values of the selected population sample (eg, new peatland rehabilitation sites reported by the MA) back to the original data (eg, program/activity implementation reports) and compare them with the original data provided by IP. For data checks conducted on a sample, a correction factor will be used to extrapolate the difference in the weighted average of the sample results to the total population (e.g., all area (in hectares) increases). If the IA finds inconsistencies that result in a material misstatement in the reported Results, the IA may add additional samples until reasonable level of assurance regarding the Results reported can be reached.

The level of payment is determined as follows:

- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the ±10% threshold), the IP will receive full payment for the

values reported. For example, for Indicator 6a., if the IP reported 200.000 ha and the IA recalculated 195.000, the materiality would be 2,6% and the IP would receive a full payment for the 200.000 reported.

- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the $\pm 10\%$ threshold), and are above the required minimum threshold detailed in Annex H, the IA will calculate the level of payment following the payment conditions defined in Annex A-3.
- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the $\pm 10\%$ threshold) but are below the required minimum threshold detailed in Annex H, the IA will calculate the level of payment following the payment conditions defined in Annex A-3. However, the IA will also notify the UNDP (and the Project Board) that the minimum threshold has not been achieved. This information will be discussed by the Project Board who will decide on next steps, which may include termination of the agreement or other corrective measures.
- For any indicator for which the reported Results exceed the $\pm 10\%$ threshold, it indicates the presence of material omissions, misstatements or errors large enough that the assessment team is unable to reach a reasonable level of assurance regarding the Results reported for the indicator. Payment cannot be made for the indicator unless the errors resulting in the exceedance of the materiality threshold are resolved. However, if a material discrepancy cannot be resolved, it will be at the discretion of the UNDP whether material discrepancies must be addressed by the IP for the payment (partial or full) to be made for any individual indicator.
- For SES indicators, a high level of compliance (an overall scoring of green) will result in a premium payment of xxx. For a low or moderate level of compliance (red or yellow) no premium will be paid, and support will be provided in the next year, for those areas where weaknesses are noted. In cases where critical safeguards issues are noted, no payments will be made.

1.5. Description of the validation process for a single payment-linked indicator for the capacity Strengthening in Forest and Land Fire Prevention

KPI 7 – Number of institutions / organizations with strengthened capacity for forest and land fire prevention.

This indicator concerns the capacity strengthening of the Manggala Agni organizations, who are the fire-fighting brigades in Indonesia. The objective of this indicator is to document the awareness and training activities carried out to develop Manggala Agni & MPA (*Masyarakat Peduli Api*) capacity.

The payment related to this indicator is IDR 102.000.000 for each organization where capacity has been strengthened. To check compliance with this indicator, the IA will verify that the Community Fire Awareness Development activity report has been prepared, and that the Manggala Agni Technical Counseling or training report has been developed, both in accordance with Directorate General Regulation No. 3/202 on Organization and Work Area of Manggala Agni and Regulation No. 3/2018 on Establishment and Development of MPA, including derivative regulations relevant in its enactment.

Associated Quality Indicators

- **Indicator 7.A.** Community Fire Awareness Development Activities carried out
- **Indicator 7.B.** Training/technical guidance activities for Manggala Agni are carried out

Associated Safeguards Indicators

- **Indicator 7.1.** - Recruitment for Manggala Agni open to both men and women (no discrimination).
- **Indicator 7.2.** - Number of Manggala Agni trained in occupational health and safety

NB: during the first year of implementation, these indicators are treated as bonuses, starting from the second year, payment will be based on the relative level of compliance with SES indicators. SES compliance will be registered according to a 'traffic light' system, further described below. Technical support as needed, to improve safeguards compliance, will be provided.

Results Validation Methodology Framework

The approach described below will be applied to determine whether the agreed results have been achieved, prior to UNDP issuing the performance-based payments to the Implementing Party.

The assessment team will request the following datasets and documentation be provided by the IP to assess these indicators:

- Requested a report document of Community Fire Awareness Development Activities (developed according to regulations)
- Requested a report document on Training/technical guidance for Manggala Agni Activity occupational health and safety (developed according to regulations)

disaggregated by gender (source: training activity report document including material and number of participants disaggregated by gender)

- Requested information about recruitment that opens up opportunities for both men and women
- Requested data on the number of women and men involved in manggala agni (source: reports related to manggala agni from PPI KHL in the province)
- Requested report on training for forest fire control with gender disaggregated data (first year baseline)

The assessment team will apply validation techniques to assess the correctness and completeness of the reported Results in fulfillment of the above indicators, including:

- **Recalculation:**

- Independently recalculate number of institutions / organizations with strengthened capacity for forest and land fire prevention sample set, for those areas where payments are being requested. Compare the total number of organizations for the indicators calculated by the assessment team to the total number of organizations for the indicators reported by the IP. This recalculation will form the basis of the materiality calculation.
- Independently recalculate the premium payments for increasing women's participation in manggala agni activities.

- **Tracing & Vouching:**

- For each indicator, independently review programme/activity implementation documentation for a risk-based sample of areas requesting payments. The goal of risk-based sampling is to trace the areas is requested payments for the institutions / organizations with strengthened capacity for forest and land fire prevention in order to assess relative compliance in terms of the full set of indicators (quality & safeguard). This information will be included in the materiality calculation.
- Project documentation will be obtained from the PPI Directorate General with facilitation assistance from the PMU. The assessment team will compare the reported area, by gender and note any anomalies on status for the sampled programme/activities in the PSA database to the total programme/activities reported by the IP.
- Programme/activity implementation documentation from the Forest Fire M&E system which contains hard copies of implementation documentation, will also be observed in the field by the IA. The assessment team will compare the documentation gender found in the hard copy documentation to the total units reported by the IP by contract.
- For SES indicators 7.1 and 7.2, risk-based field sampling will be undertaken and a 'traffic light' system will be applied to assess the relative compliance to each safeguard indicator. Further details on this traffic light system are presented in Annex 1 at the end of this document.

- If there are violations reported, seek the registration of the fact (notification of the complaint) and the process at the level of laws and institutions designated in the Ministry of Environment and Forestry (MoEF) for these issues.

- **Data Collection:**

- During the desk review, utilize provided data files to check manggala agni units and classes, and confirm status for a sample of institutions / organizations requesting for payments.
- In the field, independently check the accuracy of manggala agni information in the dataset provided by the PPI Directorate General.

- **Interviews:**

- If necessary, conduct interviews with PPI Directorate General staff at the various level of program/activity implementation including social experts, monitoring and control specialists responsible for the project areas, desk reviews, monitoring, and/or field visit of projects selected for monitoring.
- Based on risk-based sampling method, potential sites are identified for field visit. In the field, undertake interviews and make detailed observations regarding the implementation of environmental and social safeguards. This will include but not be limited to: (1) interviews with both female and male persons responsible for implementing the programme/activity in the field and (2) interviews with a selection of Manggala Agni member, either man and women, youth and elderly and (3) interviews with female and male representatives of Adat Communities where relevant. The main objective of these interviews is to develop a clear understanding of how the safeguards are being operationalized on the ground. These interviews, implemented as part of the risk-based sampling approach, should provide the needed inputs to develop the traffic light scoring (see separate description at the end of the document).

Description of how the risk-based sampling will be carried out

- The sample selection process must be preceded by a meeting between the IEF (BPD LH) with the Directorate General of PPI to agree that:
 - All activities have been audited by the BPK or the related inspectorate
- Sample for the amplified amount of manggala agni, selected based on:
 - 'Balai' in each region. There are 5 'Balai PPIKARHUTLA', namely in Sumatra, Kalimantan, Java-Bali-Nusa Tenggara, Sulawesi, and Maluku-Papua.
 - From the five 'Balai', the one with the highest volume of activities will be selected
- Steps for data sample collection:
 - Conducted discussions with the PPI Directorate to select which Balai to be used as samples

- Made a visit to Balai to discuss the process carried out in strengthening the Manggala Agni organization
 - Conducted discussions with a representative of the Manggala Agni can also be done at the Balai, if there are members of the Manggala Agni at the Balai PPI and KARHUTLA offices.
- The rationale for selecting a sample based on activity volume is:
- Activity volume reflects the amount of funds managed to carry out activities, including activities to strengthen Manggala Agni through training.
 - In addition, Balai which has an extensive/a large volume of activities is assumed to have better-documented activities and results.

Calculation of the level of payment to the responsible party

The IA's recommendation to UNDP on the level of payment considered relevant will be made based on the confirmed/validated results, taking into account the minimum progress threshold detailed in Annex H and the payment conditions defined in Annex A-3.

For example, for **KPI 7 – Number of institutions / organizations with strengthened capacity for forest and land fire prevention**, the value of the payment is IDR 102.000.000 for each organization. Therefore, if the result achieved in a given year is 106 organization, the payment recommendation will be IDR 10.812.000.000 (106 organization X IDR 102.000.000).

The IP will only be paid for the Results which have been verified. Therefore, the non-achievement of Results will result in the IP receiving no payment or only partial payment. To determine the level of payment the IA will utilize the materiality calculation. Quantitative materiality will be independently calculated for each indicator as a percentage error as follows:

$$\% \text{ Error} = \frac{(\text{RP Results Assertion} - \text{IA Recalculation})}{\text{IA Recalculation}} * 100$$

The IA will trace the values of the selected population sample (eg, new institutions / organizations with strengthened capacity for forest and land fire prevention reported by the MA) back to the original data (eg, program/activity implementation reports) and compare them with the original data provided by IP. For data checks conducted on a sample, a correction factor will be used to extrapolate the difference in the weighted average of the sample results to the total population (e.g., all number of institutions / organizations with strengthened capacity for forest and land fire prevention). If the IA finds inconsistencies that result in a material misstatement in the reported Results, the IA may add additional samples until a reasonable level of assurance regarding the Results reported can be reached.

The level of payment is determined as follows:

- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the $\pm 10\%$ threshold), the IP will receive full payment for the values reported. For example, for Indicator 7.1, if the IP reported 106 organization and the IA recalculated 100 organization, the materiality would be 6% and the IP would receive a full payment for the 106 reported.
- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the $\pm 10\%$ threshold), and are above the required minimum threshold detailed in Annex H, the IA will calculate the level of payment following the payment conditions defined in Annex A-3.
- For any indicator for which the reported Results are free of material errors (i.e., discrepancies are below the $\pm 10\%$ threshold) but are below the required minimum threshold detailed in Annex H, the IA will calculate the level of payment following the payment conditions defined in Annex A-3. However, the IA will also notify the UNDP (and the Project Board) that the minimum threshold has not been achieved. This information will be discussed by the Project Board who will decide on next steps, which may include termination of the agreement or other corrective measures.
- For any indicator for which the reported Results exceed the $\pm 10\%$ threshold, it indicates the presence of material omissions, misstatements or errors large enough that the assessment team is unable to reach a reasonable level of assurance regarding the Results reported for the indicator. Payment cannot be made for the indicator unless the errors resulting in the exceedance of the materiality threshold are resolved. However, if a material discrepancy cannot be resolved, it will be at the discretion of the UNDP whether material discrepancies must be addressed by the IP for the payment (partial or full) to be made for any individual indicator.
- For SES indicators, a high level of compliance (an overall scoring of green) will result in a premium payment of xxx. For a low or moderate level of compliance (red or yellow) no premium will be paid, and support will be provided in the next year, for those areas where weaknesses are noted. In cases where critical safeguards issues are noted, no payments will be made.

2.1. Description of indicators

Objectively verifiable Key Performance Indicators (KPIs) and Social and Environmental Safeguard Indicators (SES Indicators) have been established through collaboration with the Ministry of Environment and Forestry (MoEF/KLHK), the Indonesian Environment Fund (BPDFLH) and UNDP. These indicators will be used to measure the achievement of Results and are further described below.

- Indicators of payment and SES quality assessment for Social Forestry (1 KPIs and 7 SES indicators)
- Indicators of payment and SES quality assessment for forest and land rehabilitation (3 KPIs and 7 SES indicators for KPI 4-a-i, 5 SES indicators for KPI 4-a-ii and KPI 6a)
- Indicators of payment and SES quality assessment for capacity strengthening in forest and land fire prevention (1 KPI and 2 SES indicators)

Some SES indicators will only be applied in year two of the project.

2.1.1. Payment for Social Forestry (increases in HA, HD, HKm, HTR and KemKT)

KPI 1 – Area in hectares under the Social Forestry Management Scheme (HA, HD, HKm, HTR, KemKT). This indicator considers the number of hectares that have been added under each of the five social forestry categories of the Social Forestry programme. The objective of this indicator is to increase the area of forest in Indonesia under sustainable, pro-poor forest management within the context of the MoEF Social Forestry programme.

The payment amount linked to the indicator is IDR 327.000/ha. To check compliance with this indicator, the IA will verify that the social forestry area (ha) for which payment is being requested is included in the Indicative Map of Social Forestry (PIAPS). The IA will also verify that the legal access decrees and the verification results of the SF applications have been prepared according to regulations established in MoEF Regulation No. 9/2021 on Social Forestry, including derivative regulations relevant in its enactment. In the case of field verification, a targeted representative sample will be visited to verify compliance toward this indicator and the associated SES indicators below.

SES Indicator 1.1 – Mechanisms exist for verifying potential beneficiaries (subjects), allocated land claims (objects), and compliance between objects and classification of forest functions. This indicator considers the risks of unintended negative environmental or social impacts because of SF activities either (a) allocated to persons not eligible for SF permits or (b) implemented in forest areas that are not amenable to such activities.

There are no payments related to this indicator. To check compliance with this indicator, the IA will verify that SF applicants (subjects) meet the criteria established for the SF programme in accordance with applicable law, decree, article, etc (e.g. MoEF Decree No. 09 Year 2021; PSKL DG Decree No. 07 Year 2016; PSKL DG Decree No. 16 Year 2016); and that the type of SF permit (the object) is compatible with the classification of forest

functions in accordance with applicable law, decree, article, etc (e.g. MoEF Decree No. 09 Year 2021; PSKL DG Decree No. 07 Year 2016; PSKL DG Decree No. 16 Year 2016).

SES Indicator 1.2 – There is an equitable distribution of social forestry permits among the intended groups (communities living around forests, poor, those with limited / no access to land, those the depend on the land for a living (including women), poor female household heads, women working on land). This indicator concerns ‘leaving no one behind’. The objective is to ensure that SF permit holders are not dominated by only one group but that all groups identified in the SF regulation have equal opportunity, also in terms of access to information about the programme, to apply for and receive permits. This includes Masyarakat Adat, and groups headed by women.

There are no payments related to this indicator, but incentives may be implemented to encourage a more equitable distribution among permit holders. To check compliance with this indicator, the IA will verify that the responsible authorities have presented a baseline and regularly updated information on the distribution of permits by permit holder category. Under output 1, an assessment will be undertaken to determine how SF subjects are targeted and whether support is needed for more effective targeting to the different groups.

SES Indicator 1.3 – The Social Forestry Plan Document (RKPS or RKT) meets the format stipulated in Perdirjen 16 (or its replacement regulations) and is authorized by the appointed official. This indicator concerns the way that the SF planning process is implemented. This objective of the indicator is to ensure that the planning document is prepared with attention to local wisdom, forest potential, market opportunities, and aspects of gender mainstreaming, and considers long term management plans.

There are no payments related to this indicator. To check compliance with this indicator, the IA will verify that the SF planning document has been prepared according to MoEF Regulation No. 9/2021 on Social Forestry, including derivative regulations relevant in its enactment and that issues related to the subjects noted above arising during the planning process are resolved prior to plan authorization.

SES Indicator 1.4 – Complaints documented through existing grievance redress mechanisms (GRMs) related to the SF permitting process are considered and actions are taken to resolve such complaints. This indicator considers whether and to what extent grievances are being addressed in the SF programme. The objective of the indicator is to propose improvements, as needed, to the grievance redress procedures.

The GRM process is the subject of a technical consultancy, and this indicator will be adjusted to reflect the recommendations made.

SES Indicator 1.5 – There are no negative environmental and social (including gender) impacts generated by SF permit holders and/or SF activities.

This indicator concerns the control of negative environmental and social impacts associated with SF activities. The objective of the indicator is to ensure that activities are implemented in a manner consistent with the conditions of each permit, that they do not generate negative environmental and social impacts, and that the responsible authority is

able to act in case of non-compliance.

There are no payments related to this indicator. To check compliance with this indicator, the IA will verify that the responsible authority is managing environment and social impacts of SF permits in accordance with applicable law, decree, article, etc (e.g. MoEF Decree No. 09 Year 2021; PSKL DG Decree No. 07 Year 2016; PSKL DG Decree No. 16 Year 2016); and adheres to the measures outlined in the ESMP developed for this project.

SES Indicator 1.6 – Social forestry activities are prepared through an effective, inclusive and gender responsive process. This indicator concerns the pro-active inclusion of gender concerns in the SF programme. The objective of the indicator is (a) to document whether and how women are included in both the SF permitting process and in SF activities and (b) to propose improvements to existing processes. SF plans should explicitly document how vulnerable groups (e.g. women, youth, adat communities, etc.) were 1) involved in design and 2) had their perspectives reflected in the plans.

There will be incentive payments related to this indicator. In the first year, a national baseline will be established. From Y2 onwards, increases in women's equitable and active participation will be rewarded with a premium payment.

To check compliance with this indicator, the IA will verify whether there is a process for pro-actively involving women in the SF programme that will be reflected in some means of verification:

- (1) Gender disaggregated data on the participants of activities related to SF (e.g. preparation of forest management planning, post-harvest activities).
- (2) Gender disaggregated data available of number of men and women receiving SF permits (note: this area KLHK suggest not to put target for increased number because of the difficult nature to achieve the target of women recipient of SF permits).
- (3) Gender disaggregated data available of women and men represented in the forest farmers association/KTH or other forest management structure in the village.
- (4) Distribution of female/male permit holders / SF participants, as reflected in Berita Acara and list of participants in planning meetings.
- (5) Quality of stakeholder engagement process, assessed through documentation provided on the quality, inclusiveness and gender-responsiveness of stakeholder participation of vulnerable groups (e.g. women, youth, adat communities, etc.). (See scoring system below for more details)

The following scoring system will be used to determine level of payment rewarded.

Payment Level	Requirement	Payment proposed
Minimum incentive payment	Gender disaggregated data provided	3% on top of final payment for the KPI
Medium incentive Payment	Gender disaggregated data provided AND documentation on at least ONE of the following aspects: a) Evidence of mechanism women's perspectives considered within decision-making processes on selected SF activities. For example, a suggestion	5% on top of final payment for the KPI

	<p>made by a woman was taken on board and approved.</p> <p>b) Evidence that any meetings, consultations and/or trainings undertaken to promote women's attendance and active involvement. For example, time, location and format (e.g. women's only groups) of meetings took into account women's daily roles and time constraints so that they can attend and also actively participate.</p> <p>c) SF plans explicitly document how vulnerable groups (e.g. women, adat communities, etc.) were 1) involved in design and 2) had their perspectives reflected in the plans</p>	
Maximum incentive payment	Gender disaggregated data provided AND at least TWO of the point a-c above.	10% on top of final payment for the KPI

SES Indicator 1.7 – The public has access to the SF website and /or other non-digital information platforms, which includes information on gender-equal social forestry activities. This indicator concerns the availability of free and easy-to-access SF programme information, ideally gender-disaggregated. The objective of the indicator is to ensure that target groups and especially women, in areas where the SF programme is active, are aware of the programme. It also aims to ensure that the broader Indonesian public can access reliable and up-to-date SF programme information. The indicator will help in identifying areas where improvements can be made.

There are no payments related to this indicator. To check compliance with this indicator , the IA will verify that the public information on the SF programme is available in accordance with law, decree, article....

2.1.2. Payments for conservation area rehabilitation

KP 4a-i – Area in hectares of conservation areas (KK) rehabilitated (by type of rehabilitation/forest and land/actors involved) This indicator considers the number of hectares of conservation areas (*Kawasan Suaka Alam/KSA & Kawasan Pelestarian Alam/KPA*) that have been rehabilitated through Ecosystem Restoration (*Pemulihan Ekosistem*) efforts. The objective of this indicator is to restore the integrity of the ecosystem: (a) back to its original condition/level; and/or (b) to a certain future condition (Desired Future Condition/DFC) in accordance with the management area objectives.

The payment amount linked to this indicator is IDR 12.569.400 per hectare. To check compliance with this indicator the IA will verify that, in accordance with regulation MoEF Regulation No. 48/2014 on Procedures for Implementing Ecosystem Recovery at *Kawasan Suaka Alam & Kawasan Pelestarian Alam* including derivative regulations relevant in its enactment, the Ecosystem Recovery Plan has been authorized by the Technical Director on behalf of the Director General. If the rehabilitation activities have been implemented through the Conservation Partnership Scheme, the IA will verify that the Conservation Partnership Agreements have been signed.

SES indicator 4a-i-1 – Conservation areas selected for rehabilitation are free from

tenurial conflict. This indicator concerns outstanding land claims that may exist within the conservation areas selected for rehabilitation. The objective of the indicator is to ensure that no-one's claims are ignored and avoid potential loss of future access (pending on the conservation zone category) to the land areas.

There are no payments related to this indicator. To check compliance, the IA will verify that the responsible authority has a process in place for documenting land claims and/or potential overlap of these claims in areas selected for conservation rehabilitation. The IA will also check that there are no outstanding, unresolved land claims in the selected areas.

SES Indicator 4a-i 2 – There are no negative environmental and social (including gender) impacts generated by rehabilitation activities in conservation areas. This indicator concerns the control of negative environmental and social impacts associated with rehabilitation activities in conservation areas. The objective of the indicator is to ensure that activities are all implemented in a manner consistent with the conditions of the Conservation Partnership Agreements as set in P6/2018 on conservation partnership or other relevant legal documents, that they do not generate negative environmental and social impacts, and that the responsible authority is able to act in case of non-compliance.

There are no payments related to this indicator. To check compliance with this indicator, the IA will verify that the responsible authority is managing environment and social impacts of all conservation activities in accordance with applicable law, decree, article, etc (e.g. MoEF Decree No. 02 Year 2020; MoEF Decree No. 105 Year 2018; MoEF Decree No. 16 Year 2017; KSDAE DG Decree No. 12 Year 2015; KSDAE DG Decree No. 13 Year 2015); and adheres to the measures outlined in the ESMP developed for this project. The IA will also verify that the responsible authorities are using native species for replanting efforts, as relevant.

SES Indicator 4a-i-3 – Existing communities are accommodated in conservation areas through traditional zones/blocks, utilization zones and special zones. This indicator concerns pre-existing land use by Adat and/or other local people within the areas selected for conservation rehabilitation. The objective of the indicator is to ensure that no-one is displaced and/or loses access to their livelihoods because of conservation area rehabilitation activities.

There are no payments related to this indicator. To check compliance with this indicator, the IA will verify that there are traditional blocks, utilization zones and/or special zones established where the circumstances require this. The IA will also check that there are no outstanding, unresolved conflicts in areas considered for PBPs.

SES Indicator 4a-i-4 – Complaints documented through existing GRMs related to conservation area rehabilitation activities are considered and actions are taken to resolve such complaints. This indicator concerns whether and to what extent grievances are being addressed in conservation area rehabilitation activities. The objective of the indicator is to propose improvements, as needed, to the grievance redress procedures.

There are no payments related to this indicator. The GRM process is the subject of a

technical consultancy, and this indicator will be adjusted to reflect the recommendations made.

SES Indicator 4a-i-5 – There is an effectively functioning stakeholder consultation process to ensure the involvement of all stakeholders, including collaborative management, in conservation area rehabilitation activities / conservation partnerships. This indicator concerns whether and how stakeholders participate in conservation rehabilitation activities. The objective of the indicator is to ensure that there is a process for consulting stakeholders, that it is functioning well, and that it is, in some cases, leading to collaborative management of conservation areas.

There are no payments related to this indicator. To check compliance, the IA will verify that the responsible authorities have a stakeholder engagement process in place that meets minimum criteria for effective stakeholder participation.

This indicator will be adjusted based on inputs from the GRM/SEP consultant.

SES Indicator 4a-i-6 – The public has access to a functional MoEF/BRGM website and /or other digital platforms or non-digital information, with information on activities related to conservation area rehabilitation. This indicator concerns the availability of free and easy-to-access conservation area information. The objective of the indicator is to ensure that communities and small businesses/enterprises where conservation areas are being rehabilitated are aware of the activities. It also aims to ensure that the broader Indonesian public can access reliable and up-to-date information on conservation area rehabilitation. This indicator will help in identifying areas where improvements can be made to existing website or information tools.

There are no payments related to this indicator. To check compliance with this indicator, the IA will verify that public information on conservation area rehabilitation is available in accordance with law, decree, article....

SES Indicator 4a-i-7a – Equal participation of women and men in Ecosystem Recovery planning and management activities related to conservation area rehabilitation. This indicator concerns the pro-active involvement of women in activities such as Ecosystem Recovery and Conservation Partnerships. The objective of the indicator is to (a) document whether and how women are included in ecosystem recovery and conservation partnership planning and activities and (b) to propose improvements to existing processes.

There will be incentive payments related to this indicator.

Payment Level	Requirement	Payment proposed
Minimum incentive payment	Gender disaggregated data provided	3% on top of final payment for the KPI
Medium incentive Payment	Gender disaggregated data provided AND documentation on at least ONE of the following aspects: d) Evidence of mechanism women's perspectives considered within decision-making processes on selected environmental service planning and	5% on top of final payment for the KPI

	<p>management. For example, a suggestion made by a woman was taken on board and approved.</p> <p>e) Evidence that any meetings, consultations and/or trainings undertaken to promote women's attendance and active involvement. For example, time, location and format (e.g. women's only groups) of meetings took into account women's daily roles and time constraints so that they can attend and also actively participate.</p> <p>f) Ecosystem recovery and conservation partnership plans explicitly document how vulnerable groups (e.g. women, adat communities, etc.) were 1) involved in design and 2) had their perspectives reflected in the plans</p>	
Maximum incentive payment	Gender disaggregated data provided AND at least TWO of the point a-c above.	10% on top of final payment for the KPI

SES Indicator 4a-i-7b – Equal participation of women and men in conservation area rehabilitation planning and implementation activities. This indicator concerns gender equality and specifically, equal opportunity for women in conservation rehabilitation activities. The objective of the indicator is to (a) document whether and how women are included in land/forest rehabilitation activities related to conservation areas (such as pre-condition activities, type selection, seed preparation, planting) and (b) to propose improvements to existing processes.

There will be incentive payments related to this indicator.

Payment Level	Requirement	Payment proposed
Minimum incentive payment	Gender disaggregated data provided	3% on top of final payment for the KPI
Medium incentive Payment	<p>Gender disaggregated data provided AND documentation on at least ONE of the following aspects:</p> <p>a) Evidence of mechanism women's perspectives considered within decision-making processes on conservation area rehabilitation planning and implementation activities. For example, a suggestion made by a woman was taken on board and approved.</p> <p>b) Evidence that any meetings, consultations and/or trainings undertaken to promote women's attendance and active involvement. For example, time, location and format (e.g. women's only groups) of meetings took into account women's daily roles and time constraints so that they can attend and also actively participate.</p> <p>c) Conservation area rehabilitation plans explicitly document how vulnerable groups (e.g. women, adat communities, etc.) were 1) involved in design and 2) had their perspectives reflected in the plans</p>	5% on top of final payment for the KPI

Maximum incentive payment	Gender disaggregated data provided AND at least TWO of the point a-c above.	10% on top of final payment for the KPI
---------------------------	---	---

2.1.3. Payments for mangrove and coastal forest rehabilitation

KPI 4a-ii – Area in hectares of mangrove and coastal forest rehabilitated. This indicator concerns the number of hectares of mangrove or coastal forest rehabilitated. This objective of the indicator is to rehabilitate areas of mangrove and coastal forest to restore, maintain and improve the functions of mangrove and coastal forests so that their carrying capacity, productivity and role in supporting life support systems are maintained.

The payment amount linked to this indicator is IDR 21.496.800 per hectare. To check compliance with this indicator – based on regulations established in MoEF Regulation No. 2/2020 and No. 105/2018 on Procedures for Implementation, Supporting Activities, Incentives Provision, and Guidance and Control of Forest and Land Rehabilitation Activities, including derivative regulations relevant in its enactment – the IA will verify that (a) the mangrove or coastal forest rehabilitation planting is in accordance with the Rhl Annual Plan Rtn-RHL, (b) the RHL location is based on the One Map mangrove and Indicative Map of Mangrove Rehabilitation, (c) community preparation activities are undertaken, (d) technical planning activities are carried out and (e) rehabilitation activities (field preparation, provision of seedlings, planting, maintenance) are carried out.

SES indicator 4a-ii-1 – Areas selected for mangrove and coastal forest rehabilitation are free from tenurial conflict. This indicator concerns outstanding land claims that may exist within the areas selected for mangrove or coastal forest rehabilitation. The objective of the indicator is to ensure that no-one's claims are ignored or that they lose future access to the land areas.

There are no payments related to this indicator. To check compliance, the IA will verify that the responsible authority has a process in place for documenting land claims and/or potential overlap of these claims in areas selected for mangrove and coastal rehabilitation. The IA will also check that there are no outstanding, unresolved land claims in the selected areas.

SES Indicator 4a-ii-2 – Complaints documented through existing GRMs related to mangrove and coastal forest rehabilitation activities are considered and actions are taken to resolve such complaints. This indicator concerns whether and to what extent grievances are being addressed in mangrove and coastal forest rehabilitation activities. The objective of the indicator is to propose improvements, as needed, to the grievance redress procedures.

There are no payments related to this indicator. The GRM process is the subject of a technical consultancy, and this indicator will be adjusted to reflect the recommendations made.

SES Indicator 4a-ii-3 – There is an effectively functioning stakeholder consultation process to ensure the involvement of all stakeholders in mangrove and coastal forest rehabilitation. This indicator concerns whether and how stakeholders participate in

the mangrove and coastal forest rehabilitation activities. The objective of the indicator is to ensure that there is a process for stakeholder consultation that it is functioning well.

There are no payments related to this indicator. To check compliance, the IA will verify that the responsible authorities have a stakeholder engagement process in place that meets minimum criteria for effective stakeholder participation.

This indicator will be adjusted based on inputs from the GRM/SEP consultant.

SES Indicator 4a-ii-4 – The public has access to a functional website and /or other digital platforms or non-digital information, with information on activities related to mangrove and coastal forest rehabilitation. This indicator concerns the availability of free and easy-to-access on mangrove and coastal forest information. The objective of the indicator is to document that communities are aware of the mangrove and coastal forest rehabilitation activities. It also aims to ensure that the broader Indonesian public can access reliable and up-to-date information on mangrove and coastal forest rehabilitation. This indicator will help in identifying areas where improvements can be made to existing website or information tools.

There are no payments related to this indicator. To check compliance with this indicator, the IA will verify that public information on mangrove and coastal forest rehabilitation is available in accordance with law, decree, article....

SES Indicator 4a-ii-5 – Equal participation of women and men in mangrove and coastal forest rehabilitation activities. This indicator concerns the pro-active involvement of women in rehabilitation activities.

The objective of the indicator is to (a) document whether and how women are included in mangrove and coastal forest rehabilitation activities (such as pre-condition activities, type selection, seed preparation, planting) and (b) propose improvements to existing processes to encourage increased female involvement.

There will be incentive payments related to this indicator.

Payment Level	Requirement	Payment proposed
Minimum incentive payment	Gender disaggregated data provided	3% on top of final payment for the KPI
Medium incentive Payment	Gender disaggregated data provided AND documentation on at least ONE of the following aspects: a) Evidence of mechanism women's perspectives considered within decision-making processes on mangrove and coastal forest rehabilitation planning and implementation activities. For example, a suggestion made by a woman was taken on board and approved. b) Evidence that any meetings, consultations and/or trainings undertaken to promote women's attendance and active involvement. For example, time, location and format (e.g. women's only groups) of meetings took into account women's daily roles and time	5% on top of final payment for the KPI

	constraints so that they can attend and also actively participate. c) Mangrove and coastal forest rehabilitation plans (e.g. ecotourism) explicitly document how vulnerable groups (e.g. women, adat communities, etc.) were 1) involved in design and 2) had their perspectives reflected in the plans	
Maximum incentive payment	Gender disaggregated data provided AND at least TWO of the point a-c above.	10% on top of final payment for the KPI

2.1.4. Payment for peatland restoration in seven fire-prone provinces and degraded peatland rehabilitation

KPI 6a – Area in hectares of peatlands (a) facilitated for restoration in 7 fire-prone provinces (PKG–PPKL) and (b) rehabilitated from degradation. This indicator concerns the restoration of peatland from degraded or fire-prone conditions and rehabilitation of peatland from degradation. The objective of this indicator is to restore the condition and function of the peat ecosystem close to its original condition or conforming to its original function through natural succession, hydrological restoration, vegetative rehabilitation, and/or other means in accordance with science and technology advancement in the 7 fire-prone provinces.

The payment amount linked to this indicator is USD 15,766 per hectare. To check compliance with this indicator – based on regulations established in MoEF Regulation No. 16/2017 on Technical Guidelines for Peat Ecosystem Rehabilitation, including derivative regulations relevant in its enactment – the IA will verify that (a) the areas selected for restoration are included in the Indicative Map for Priority Peat Restoration, (b) the Peat Recovery Design Plan has been developed, (c) the Cooperation Agreements have been developed, and (d) the Vegetative Peatland Rehabilitation Implementation Report has been developed and (e) the vegetation rehabilitation activities are carried out (applies to degraded peatland rehabilitation).

The same SES Quality Assessment Indicators used for mangrove and coastal forest restoration will be applied here.

2.1.5. Payment for capacity strengthening in forest and land fire prevention

KPI 7 – Number of institutions / organizations with strengthened capacity for forest and land fire prevention. This indicator concerns the capacity strengthening of the Manggala Agni organizations, who are the fire-fighting brigades in Indonesia. The objective of this indicator is to document the awareness and training activities carried out to develop Manggala Agni & MPA (*Masyarakat Peduli Api*) capacity.

The payment related to this indicator is IDR 102.000.000 for each organization where capacity has been strengthened. To check compliance with this indicator, the IA will verify that the Community Fire Awareness Development activity report has been prepared, and that the Manggala Agni Technical Counseling or training report has been developed, both in accordance with Directorate General Regulation No. 3/202 on Organization and Work Area of Manggala Agni and Regulation No. 3/2018 on Establishment and Development of MPA, including derivative regulations relevant in its enactment.

SES Indicator 7.1 – Recruitment for Manggala Agni open to both men and women (no discrimination). This indicator concerns the equal participation of both women and men in Manggala Agni. The objective of this indicator is to ensure that women have the same opportunities as men to be trained in and participate in fire-fighting.

There are no payments related to this indicator. To check compliance with this indicator the IA verify the data on number of women and men that have been recruited to Manggala Agni and trained.

SES Indicator 7.2 – Number of Manggala Agni trained in occupational health and safety. This concerns the inclusion of health and safety aspects into the Manggala Agni capacity strengthening. The objective is to document the number of Manggala Agni members receiving training in the basic principles of occupational health and safety, in line with the UNDP SES standards, and that they are provided with adequate safety equipment to be used when fighting fires.

There are no payments related to this indicator. To check compliance with this indicator, the IA will verify that (a) the training packages developed include reference to occupational health and safety, in accordance with standard, regulation (b) the training reports include reporting on the number of persons trained (gender-disaggregated).

3.1 Description of Findings

The IA uses findings as an instrument for analysis, justification and/or identification of risks that may result in requests for additional information or further corrective action. Based on ISO 17029:2019, ISO 14065:2020, and ISO 14064-3:2019, findings shall address the relevant part of the assessment criteria, with additional reference to a good practice guidance as appropriate (not necessarily contradicting the objectively verifiable indicators in the assessment). This process provides an opportunity for the IP to understand and respond to the findings. The IA will communicate the findings, potential findings, and/or the potential impact of the findings to UNDP who will share it with the IP. The IP is given the opportunity to respond to the findings within an agreed period of time and the current status of each finding is continuously tracked. An evaluation will be performed by the IA upon submission of responses to decide whether adequate information have been provided to correct the non-conformity or if additional findings should be issued. Findings may also be withdrawn if they are no longer considered relevant.

There are two types of assessment findings for this programme:

Non-Conformity Report (NCR)

An NCR marks a discrepancy related to a specific requirement in the indicators of the performance-based payment agreement. If the IP fails or is unable to achieve the agreed target or unable to meet the minimum threshold requirements required of an indicator, it can result in a non-conformity report. It will be at UNDP's discretion whether there are findings or observations related to non-conformities or material discrepancies that the IP should address. This finding type could only be closed by the IA if there is evidence indicating that the identified discrepancy has been corrected.

New Information Request (NIR)

If there is insufficient information to make a decision regarding conformity or materiality, a New Information Request (NIR) will be issued by the validation team/validator. Once the responses are received, the validation team/validator will evaluate the submission and determine whether the additional information submitted is sufficient or if additional findings (NIR or observations) are required to be issued.

Observation

As for the findings that are observation type, it shows one or more of the following but is not limited to:

- Areas where there are immaterial discrepancies between the observations, data testing results and/or professional judgment of the IA with the information reported or used.
- Areas where the expert judgement of the IA suggests that there are opportunities for improvement in the areas included in the scope of assessment.

- Qualitative material errors could result in observations regarding the potential deficiencies in the existing quality system programme.
- An area that may become a nonconformity in the future.

3.2 Report

The IA will need to provide a validation report to conclude all the validation process. The report should describe how the validation methodology was followed during the process, provide documentation of each step of the process, draw conclusion on the IP's overall performance and suggest recommendation to minimize critical findings during the validation process.

The validation report should be provided in Bahasa Indonesia and/or English that covers information below:

- Quantification of the results achieved and the quantification of the extent to which criteria have not been met.
- An assurance opinion as to whether the assessment criteria have been met.
- Recommendation to UNDP regarding the level of payment deemed relevant according to results confirmed, taking into account the minimum progress threshold and the payment terms defined in Annex A-3
- Additional recommendations regarding potential areas of improvement for the Implementing Partner in terms of implementation of the activities for results to qualify or in the way to document them more adequately.
- Mission report for each field visit.
- Results/Performance Achieved Validation Format completed by the IP r to certify the achievement of results eligible for payment (see below).

Based on ISO 17029:2019, ISO 14065:2020, and ISO 14064-3:2019, an independent technical review (a separate team/unit within the same IA organization) should be applied to the validation report to ensure that IA's activities, findings, and conclusions are following with the validation methodology. The review will target on the procedures and principles within the validation methodology and not the object (performance indicators) being assessed to avoid second iteration of the assessment process. Once the technical reviewer has signed off on the validation report, the report will be submitted to the UNDP and the IP for final review. When UNDP and IP agree on the validation report, then the final validation report can be released.

Annexure 1 – The 'traffic light' system for assessing safeguard implementation.

The implementation of safeguards will be assessed according to a 'traffic light' system.

This system will be implemented as follows:

Step 1: Implement a desk review to assess the available information on safeguards for those areas where payments are being requested.

Step 2: Using the desk risk analysis as a starting point, implement risk-based sampling (see tracing and vouching above) as part of the field verification process. The identification of risk should integrate the risks as seen from an environmental, social and gender perspective as well as from a technical perspective.

Step 3: During field visits as part of the risk-based sampling, collect quantitative and qualitative information to confirm how environmental and social safeguards are being implemented. The precise methodology for this should be developed as part of the detailed Validation Methodology. Quantitative information will include the checking of information identified in the MoVs defined for each SES indicator. Qualitative information collection could include: (1) interviews with persons responsible for implementing the programme in the field to confirm whether and how safeguard concerns at the local level are addressed, (2) interviews with a selection of SF permit applicants and recipients including equitably those from vulnerable groups, such as women, youth, elderly, etc., to obtain their insights on key safeguards issues, (3) interviews with both female and male representatives of Adat Communities to determine how their concerns are considered. The main objective of these interviews is to develop a clear understanding of how the safeguards are being operationalized on the ground.

Step 4: Based on the quantitative and qualitative information collected, assign a traffic light of red, yellow, or green, depending on the level of compliance to each SES indicator. Criteria are described in the table below.

SES indicators	Criteria for assigning traffic light color		
Indicator 1	The safeguard indicator is not implemented or considered at all	The SES indicator is implemented but there is room for improvement	The SES indicator is fully implemented, and documentation is readily available to confirm this
Indicator 2, etc.			

Step 5: Once all indicators have been assessed, prepare a narrative report that analyses the overall safeguard performance, and provides recommendations on actions needed to (1) immediately address any critical issues identified (for red SES indicators) (2) improve safeguard performance (for both and yellow indicators). No action will be required for green indicators.

SECTION 6: RETURNABLE BIDDING FORMS / CHECKLIST

This form serves as a checklist for preparation of your Proposal. Please complete the Returnable Bidding Forms in accordance with the instructions in the forms and return them as part of your Proposal submission. No alteration to format of forms shall be permitted and no substitution shall be accepted.

Before submitting your Proposal, please ensure compliance with the Proposal Submission instructions of the BDS 22.

Technical Proposal Envelope:

Have you duly completed all the Returnable Bidding Forms?	
▪ Form A: Technical Proposal Submission Form	<input type="checkbox"/>
▪ Form B: Bidder Information Form	<input type="checkbox"/>
▪ Form C: Joint Venture/Consortium/ Association Information Form	<input type="checkbox"/>
▪ Form D: Qualification Form	<input type="checkbox"/>
▪ Form E: Format of Technical Proposal	<input type="checkbox"/>
Have you provided the required documents to establish compliance with the evaluation criteria in Section 4?	<input type="checkbox"/>

Financial Proposal Envelope

(Must be submitted in a separate sealed envelope/password protected email)

▪ Form F: Financial Proposal Submission Form	<input type="checkbox"/>
▪ Form G: Financial Proposal Form	<input type="checkbox"/>

FORM A: TECHNICAL PROPOSAL SUBMISSION FORM

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	[Insert RFP Reference Number]		

We, the undersigned, offer to provide the services for [Insert Title of services] in accordance with your Request for Proposal No. [Insert RFP Reference Number] and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and our Financial Proposal sealed under a separate envelope.

We hereby declare that our firm, its affiliates or subsidiaries or employees, including any JV/Consortium /Association members or subcontractors or suppliers for any part of the contract:

- a) is not under procurement prohibition by the United Nations, including but not limited to prohibitions derived from the Compendium of United Nations Security Council Sanctions Lists;
- b) have not been suspended, debarred, sanctioned or otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization;
- c) have no conflict of interest in accordance with Instruction to Bidders Clause 4;
- d) do not employ, or anticipate employing, any person(s) who is, or has been a UN staff member within the last year, if said UN staff member has or had prior professional dealings with our firm in his/her capacity as UN staff member within the last three years of service with the UN (in accordance with UN post-employment restrictions published in ST/SGB/2006/15);
- e) have not declared bankruptcy, are not involved in bankruptcy or receivership proceedings, and there is no judgment or pending legal action against them that could impair their operations in the foreseeable future;
- f) undertake not to engage in proscribed practices, including but not limited to corruption, fraud, coercion, collusion, obstruction, or any other unethical practice, with the UN or any other party, and to conduct business in a manner that averts any financial, operational, reputational or other undue risk to the UN and we *embrace the principles of the United Nations Supplier Code of Conduct and adhere to the principles of the United Nations Global Compact.*

We declare that all the information and statements made in this Proposal are true and we accept that any misinterpretation or misrepresentation contained in this Proposal may lead to our disqualification and/or sanctioning by the UNDP.

We offer to provide services in conformity with the Bidding documents, including the UNDP General Conditions of Contract and in accordance with the Terms of Reference

Our Proposal shall be valid and remain binding upon us for the period of time specified in the Bid Data Sheet.

We understand and recognize that you are not bound to accept any Proposal you receive.

I, the undersigned, certify that I am duly authorized by [Insert Name of Bidder] to sign this Proposal and bind it should UNDP accept this Proposal.

Name: _____

Title: _____

Date: _____

Signature: _____

[Stamp with official stamp of the Bidder]

FORM B: BIDDER INFORMATION FORM

Legal name of Bidder	[Complete]
Legal address	[Complete]
Year of registration	[Complete]
Bidder's Authorized Representative Information	Name and Title: [Complete] Telephone numbers: [Complete] Email: [Complete]
Are you a UNGM registered vendor?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, [insert UGNM vendor number]
Are you a UNDP vendor?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, [insert UNDP vendor number]
Countries of operation	[Complete]
No. of full-time employees	[Complete]
Quality Assurance Certification (e.g. ISO 9000 or Equivalent) (If yes, provide a Copy of the valid Certificate):	[Complete]
Does your Company hold any accreditation such as ISO 14001 related to the environment? (If yes, provide a Copy of the valid Certificate):	[Complete]
Does your Company have a written Statement of its Environmental Policy? (If yes, provide a Copy)	[Complete]
Contact person UNDP may contact for requests for clarification during Proposal evaluation	Name and Title: [Complete] Telephone numbers: [Complete] Email: [Complete]
Please attach the following documents:	<ul style="list-style-type: none"> ▪ Company Profile, which should <u>not</u> exceed fifteen (15) pages, including printed brochures and product catalogues relevant to the goods/services being procured ▪ Certificate of Incorporation/ Business Registration ▪ Tax Registration/Payment Certificate issued by the Internal Revenue Authority evidencing that the Bidder is updated with its tax payment obligations, or Certificate of Tax exemption, if any such privilege is enjoyed by the Bidder ▪ Trade name registration papers, if applicable ▪ Local Government permit to locate and operate in assignment location, if applicable ▪ Official Letter of Appointment as local representative, if Bidder is submitting a Bid in behalf of an entity located outside the country ▪ Power of Attorney ▪ All document in meeting the required eligibility and qualification

FORM C: JOINT VENTURE/CONSORTIUM/ASSOCIATION INFORMATION FORM

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	[Insert RFP Reference Number]		

To be completed and returned with your Proposal if the Proposal is submitted as a Joint Venture/Consortium/Association.

No	Name of Partner and contact information (address, telephone numbers, fax numbers, e-mail address)	Proposed proportion of responsibilities (in %) and type of services to be performed
1	[Complete]	[Complete]
2	[Complete]	[Complete]
3	[Complete]	[Complete]

Name of leading partner (with authority to bind the JV, Consortium, Association during the RFP process and, in the event a Contract is awarded, during contract execution)	[Complete]
--	------------

We have attached a copy of the below document signed by every partner, which details the likely legal structure of and the confirmation of joint and severable liability of the members of the said joint venture:

☐ Letter of intent to form a joint venture **OR** ☐ JV/Consortium/Association agreement

We hereby confirm that if the contract is awarded, all parties of the Joint Venture/Consortium/Association shall be jointly and severally liable to UNDP for the fulfillment of the provisions of the Contract.

Name of partner: _____ Name of partner: _____

Signature: _____ Signature: _____

Date: _____ Date: _____

Name of partner: _____ Name of partner: _____

Signature: _____ Signature: _____

Date: _____ Date: _____

FORM D: QUALIFICATION FORM

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	[Insert RFP Reference Number]		

If JV/Consortium/Association, to be completed by each partner.

Historical Contract Non-Performance

<input type="checkbox"/> Contract non-performance did not occur for the last 3 years			
<input type="checkbox"/> Contract(s) not performed for the last 3 years			
Year	Non- performed portion of contract	Contract Identification	Total Contract Amount (current value in US\$)
		Name of Client: Address of Client: Reason(s) for non-performance:	

Litigation History (including pending litigation)

<input type="checkbox"/> No litigation history for the last 3 years			
<input type="checkbox"/> Litigation History as indicated below			
Year of dispute	Amount in dispute (in US\$)	Contract Identification	Total Contract Amount (current value in US\$)
		Name of Client: Address of Client: Matter in dispute: Party who initiated the dispute: Status of dispute: Party awarded if resolved:	

Previous Relevant Experience

Please list only previous similar assignments successfully completed in the last 3 years.

List only those assignments for which the Bidder was legally contracted or sub-contracted by the Client as a company or was one of the Consortium/JV partners. Assignments completed by the Bidder's individual experts working privately or through other firms cannot be claimed as the relevant experience of the Bidder, or that of the Bidder's partners or sub-consultants, but can be claimed by the Experts themselves in their CVs. The Bidder should be prepared to substantiate the claimed experience by presenting copies of relevant documents and references if so requested by UNDP.

Project name & Country of Assignment	Client & Reference Contact Details	Contract Value	Period of activity and status	Types of activities undertaken

--	--	--	--	--

Bidders may also attach their own Project Data Sheets with more details for assignments above.

☐ Attached are the Statements of Satisfactory Performance from the Top 3 (three) Clients or more.

Financial Standing

Annual Turnover for the last 3 years	Year	USD
	Year	USD
	Year	USD
Latest Credit Rating (if any), indicate the source		

Financial information (in US\$ equivalent)	Historic information for the last 3 years		
	Year 1	Year 2	Year 3
	Information from Balance Sheet		
Total Assets (TA)			
Total Liabilities (TL)			
Current Assets (CA)			
Current Liabilities (CL)			
	Information from Income Statement		
Total / Gross Revenue (TR)			
Profits Before Taxes (PBT)			
Net Profit			
Current Ratio			

- ☐ Attached are copies of the audited financial statements (balance sheets, including all related notes, and income statements) for the years required above complying with the following condition:
- a) Must reflect the financial situation of the Bidder or party to a JV, and not sister or parent companies;
 - b) Historic financial statements must be audited by a certified public accountant;
 - c) Historic financial statements must correspond to accounting periods already completed and audited. No statements for partial periods shall be accepted.

FORM E: FORMAT OF TECHNICAL PROPOSAL

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	[Insert RFP Reference Number]		

The Bidder's proposal should be organized to follow this format of Technical Proposal. Where the bidder is presented with a requirement or asked to use a specific approach, the bidder must not only state its acceptance, but also describe how it intends to comply with the requirements. Where a descriptive response is requested, failure to provide the same will be viewed as non-responsive.

SECTION 1: Bidder's qualification, capacity and expertise

- 1.1 Brief description of the organization, including the year and country of incorporation, and types of activities undertaken.
- 1.2 General organizational capability which is likely to affect implementation: management structure, financial stability and project financing capacity, project management controls, extent to which any work would be subcontracted (if so, provide details).
- 1.3 Relevance of specialized knowledge and experience on similar engagements done in the region/country.
- 1.4 Quality assurance procedures and risk mitigation measures.
- 1.5 Organization's commitment to sustainability.

SECTION 2: Proposed Methodology, Approach and Implementation Plan

This section should demonstrate the bidder's responsiveness to the TOR by identifying the specific components proposed, addressing the requirements, providing a detailed description of the essential performance characteristics proposed and demonstrating how the proposed approach and methodology meets or exceeds the requirements. All important aspects should be addressed in sufficient detail and different components of the project should be adequately weighted relative to one another.

- 2.1 A detailed description of the approach and methodology for how the Bidder will achieve the Terms of Reference of the project, keeping in mind the appropriateness to local conditions and project environment. Details how the different service elements shall be organized, controlled and delivered.
- 2.2 The methodology shall also include details of the Bidder's internal technical and quality assurance review mechanisms.
- 2.3 Explain whether any work would be subcontracted, to whom, how much percentage of the work, the rationale for such, and the roles of the proposed sub-contractors and how everyone will function as a team.
- 2.4 Description of available performance monitoring and evaluation mechanisms and tools; how they shall be adopted and used for a specific requirement.
- 2.5 Implementation plan including a Gantt Chart or Project Schedule indicating the detailed sequence of activities that will be undertaken and their corresponding timing.
- 2.6 Demonstrate how you plan to integrate sustainability measures in the execution of the contract.
- 2.7 Any other comments or information regarding the project approach and methodology that will be adopted.

SECTION 2A: Bidder's Comments and Suggestions on the Terms of Reference

Provide comments and suggestions on the Terms of Reference, or additional services that will be rendered

beyond the requirements of the TOR, if any.

SECTION 3: Management Structure and Key Personnel

- 3.1 Describe the overall management approach toward planning and implementing the project. Include an organization chart for the management of the project describing the relationship of key positions and designations. Provide a spreadsheet to show the activities of each personnel and the time allocated for his/her involvement.
- 3.2 Provide CVs for key personnel that will be provided to support the implementation of this project using the format below. CVs should demonstrate qualifications in areas relevant to the Scope of Services.

Format for CV of Proposed Key Personnel

NAME OF PERSONNEL	[INSERT]
POSITION FOR THIS ASSIGNMENT	[INSERT]
NATIONALITY	[INSERT]
LANGUAGE PROFICIENCY	[INSERT]
EDUCATION/ QUALIFICATIONS	[SUMMARIZE COLLEGE/UNIVERSITY AND OTHER SPECIALIZED EDUCATION OF PERSONNEL MEMBER, GIVING NAMES OF SCHOOLS, DATES ATTENDED, AND DEGREES/QUALIFICATIONS OBTAINED.]

	<div>[INSERT]</div>
PROFESSIONAL CERTIFICATIONS	<div>[PROVIDE DETAILS OF PROFESSIONAL CERTIFICATIONS RELEVANT TO THE SCOPE OF SERVICES]</div> <div><div>▪ NAME OF INSTITUTION: [INSERT]</div><div>▪ DATE OF CERTIFICATION: [INSERT]</div></div>
EMPLOYMENT RECORD/ EXPERIENCE	<div>[LIST ALL POSITIONS HELD BY PERSONNEL (STARTING WITH PRESENT POSITION, LIST IN REVERSE ORDER), GIVING DATES, NAMES OF EMPLOYING ORGANIZATION, TITLE OF POSITION HELD AND LOCATION OF EMPLOYMENT. FOR EXPERIENCE IN LAST FIVE YEARS, DETAIL THE TYPE OF ACTIVITIES PERFORMED, DEGREE OF RESPONSIBILITIES, LOCATION OF ASSIGNMENTS AND ANY OTHER INFORMATION OR PROFESSIONAL EXPERIENCE CONSIDERED PERTINENT FOR THIS ASSIGNMENT.]</div> <div>[INSERT]</div>

REFERENCES	<i>[PROVIDE NAMES, ADDRESSES, PHONE AND EMAIL CONTACT INFORMATION FOR TWO (2) REFERENCES]</i>
	REFERENCE 1:
	[INSERT]
	REFERENCE 2:
	[INSERT]

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describe my qualifications, my experiences, and other relevant information about myself.

Signature of Personnel

Date (Day/Month/Year)

FORM F: FINANCIAL PROPOSAL SUBMISSION FORM

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	[Insert RFP Reference Number]		

We, the undersigned, offer to provide the services for [Insert Title of services] in accordance with your Request for Proposal No. [Insert RFP Reference Number] and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and our Financial Proposal sealed under a separate envelope.

Our attached Financial Proposal is for the sum of [Insert amount in words and figures].

Our Proposal shall be valid and remain binding upon us for the period of time specified in the Bid Data Sheet.

We understand you are not bound to accept any Proposal you receive.

Name: _____
Title: _____
Date: _____
Signature: _____

[Stamp with official stamp of the Bidder]

FORM G: FINANCIAL PROPOSAL FORM

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	[Insert RFP Reference Number]		

The Bidder is required to prepare the Financial Proposal following the below format and submit it in an envelope separate from the Technical Proposal as indicated in the Instruction to Bidders. Any Financial information provided in the Technical Proposal shall lead to Bidder’s disqualification.
The Financial Proposal should align with the requirements in the Terms of Reference and the Bidder’s Technical Proposal.

Currency of the proposal: [Insert Currency]

Table 1: Summary of Overall Prices

	Amount(s)
Professional Fees (from Table 2)	
Other Costs (from Table 3)	
Total Amount of Financial Proposal	

Table 2: Breakdown of Professional Fees

Name	Position	Fee Rate	No. of Days/months/ hours	Total Amount
		A	B	C=A+B
	Forester (Team Leader)		30	
	Social and Community development specialist		30	
	Social and gender safeguards expert		30	
	GIS & remote sensing expert		30	
	Project admin		30	
Subtotal Professional Fees:				

Table 3: Breakdown of Other Costs (if any)

Description	UOM	Quantity	Unit Price	Total Amount
Translation	Pax	1		
Report Production	Pax	1		
Out-of-Pocket Expenses	Pax	1		
Other Costs: (please specify)				
Subtotal Other Costs:				

Table 4: Breakdown of Price per Deliverable/Activity

Deliverable/ Activity description	Time (person days)	Professional Fees	Other Costs	Total
Deliverable 1: upon submission and acceptance of Inception Report				
Deliverable 2: upon submission and acceptance Verification report, including the Mission(s) report(s) and Results assessment report				
			Total	