

**STANDARD LETTER OF AGREEMENT BETWEEN  
THE UNITED NATIONS DEVELOPMENT PROGRAMME AND  
PUBLIC SERVICE AGENCY OF RESEARCH AND DEVELOPMENT CENTER FOR  
ELECTRICITY, NEW AND RENEWABLE ENERGY, AND ENERGY CONSERVATION  
TECHNOLOGY (PSA P3TEK KEBTKE)  
ON THE IMPLEMENTATION OF ASSISTANCE ON THE ENERGY MANAGEMENT  
IMPLEMENTATION FOR ENERGY SAVING COMPETITION AT THE MINISTRY OF  
ENERGY AND MINERAL RESOURCES (MEMR) BUILDINGS**

Your Excellency,

1. Reference is made to the consultations between officials of the United Nations Development Programme (hereinafter referred to as "UNDP") in Indonesia and officials of the Public Service Agency of Research and Development Center for Electricity, New and Renewable Energy, and Energy Conservation Technology – *Badan Layanan Umum, Pusat Penelitian dan Pengembangan Teknologi Kelistrikan, Energi Baru, Terbarukan, dan Konservasi Energi* (hereinafter referred to as "PSA P3TEK KEBTKE") with respect to the realization of activities by PSA P3TEK KEBTKE in the implementation of the project No. 00086173 - Market Transformation through Design and Implementation of Appropriate Mitigation Actions in the Energy Sector (MTRE3), as specified in Attachment 1: Project Document, to which UNDP has been selected as a responsible party.

2. In accordance with the Project Document and with the following terms and conditions, we confirm our acceptance of the activities to be provided by PSA P3TEK KEBTKE towards the project, as specified in Attachment 2: Description of Activities (hereinafter referred to as "Activities"). Close consultations will be held between PSA P3TEK KEBTKE and UNDP on all aspects of the Activities.

3. PSA P3TEK KEBTKE shall be fully responsible for carrying out, with due diligence and efficiency, all Activities in accordance with its Financial regulations, rules and other directives, only to the extent they are consistent with UNDP's Financial Regulations and Rules. In all other cases, UNDP's Financial Regulations and Rules must be followed<sup>1</sup>.


4. In carrying out the activities under this Letter, the personnel and sub-contractors of PSA P3TEK KEBTKE shall not be considered in any respect as being the employees or agents of UNDP. UNDP does not accept any liability for claims arising out of acts or omission of PSA P3TEK KEBTKE or its personnel, or of its contractors or their personnel, in performing the Activities or any claims for death, bodily injury, disability, damage to property or other hazards that may be suffered by PSA P3TEK KEBTKE, and its personnel as a result of their work pertaining to the Activities.

5. Any subcontractors, including NGOs under contract with PSA P3TEK KEBTKE, shall work under the supervision of the designated official of PSA P3TEK KEBTKE. These subcontractors shall remain accountable to PSA P3TEK KEBTKE for the manner in which assigned functions are discharged.

6. Upon signature of this Letter, UNDP will make payments to PSA P3TEK KEBTKE, according to the estimated schedule of payments specified in Attachment 3: Schedule of Activities, Facilities and Payments<sup>2</sup>.

<sup>1</sup> UNDP has adopted the Harmonized Approach to Cash Transfers Framework applied to government entity, as a partner in implementing the programme, using a Standard Letter of Agreement (LOA). UNDP shall engage a consultant to commence a Harmonized Approach to Cash Transfer (HACT) micro assessment to assess PSA P3TEK KEBTKE's financial management capacity (i.e. accounting, procurement, reporting, internal controls, etc.) to determine the overall risk rating and assurance activities. The risk rating, along with other available information, is also taken into consideration when selecting the appropriate cash transfer modality.

<sup>2</sup> Actual transfer of payments shall be subject to the UNDP acceptance of the signed Funding Authorization and Certificate of Expenditures (FACE) Form (a template of which is provided as Attachment 4 and the Guidelines for completing a FACE form is provided as Attachment 5). UNDP shall implement the HACT assurance activities that

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7. PSA P3TEK KEBTKE shall not make any financial commitments or incur any expenses which would exceed the budget for the Activities as set forth in Attachment 3. PSA P3TEK KEBTKE shall regularly consult with UNDP concerning the status and use of funds and shall promptly advise UNDP any time when PSA P3TEK KEBTKE is aware that the budget to carry out these Activities is insufficient to fully implement the project in the manner set out in the Attachment 2. UNDP shall have no obligation to provide PSA P3TEK KEBTKE with any funds or to make any reimbursement for expenses incurred by PSA P3TEK KEBTKE in excess of the total budget as set forth in Attachment 3.

8. PSA P3TEK KEBTKE shall submit a cumulative financial report each quarter (31 March, 30 June, 30 September and 31 December). The report will be submitted to UNDP through the UNDP Country Director or UNDP Resident Representative within 30 days following those dates. The format will follow the standard UNDP expenditure report [a model copy of which is provided as Attachment 4]. UNDP will include the financial report by PSA P3TEK KEBTKE in the financial report for Project ID: 000086173 - Market Transformation through Design and Implementation of Appropriate Mitigation Actions in the Energy Sector (MTRE3).

9. PSA P3TEK KEBTKE shall submit such progress reports relating to the Activities as may reasonably be required by the project manager in the exercise of his or her duties.

10. PSA P3TEK KEBTKE shall furnish a final report within 1 month after the completion or termination of the Activities, including a list of non-expendable equipment purchased by PSA P3TEK KEBTKE and all relevant audited or certified financial statements and records related to such Activities, as appropriate, pursuant to its Financial Regulations and Rules.

11. Equipment and supplies that may be furnished by UNDP or procured through UNDP funds will be disposed as agreed, in writing, between UNDP and PSA P3TEK KEBTKE.

12. Any changes to the Project Document which would affect the work being performed by PSA P3TEK KEBTKE in accordance with Attachment 2 shall be recommended only after consultation between the parties.

13. For any matters not specifically covered by this Letter, the Parties would ensure that those matters shall be resolved in accordance with the appropriate provisions of the Project Document and any revisions thereof and in accordance with the respective provisions of the Financial Regulations and Rules of the PSA P3TEK KEBTKE and UNDP.

14. The arrangements described in this Letter will remain in effect until the end of the project, or the completion of activities of PSA P3TEK KEBTKE according to Attachment 2, or until terminated in writing (with 30 days notice) by either party. The schedule of payments specified in Attachment 3 remains in effect based on continued performance by PSA P3TEK KEBTKE unless it receives written indication to the contrary from UNDP.

15. Any balance of funds that is undispersed and uncommitted after the conclusion of the Activities shall be returned within 30 days to UNDP.

16. Any amendment to this Letter shall be effected by mutual agreement, in writing.

17. All further correspondence regarding this Letter, other than signed letters of agreement or amendments thereto should be addressed to:

**Ms. Sophie Kemkhadze**  
Deputy Resident Representative for UNDP Indonesia  
8<sup>th</sup> Floor Menara Thamrin Building,

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include periodic on-site reviews (spot checks), programmatic monitoring, scheduled audits and special audits (if required).





Kav.3, M.H Thamrin, Jakarta Pusat, 10340  
Email: sophie.kemkhadze@undp.org

With copy to:

**Mr. Boyke Lakaseru**

National Project Manager for MTRE3

Menara Ravindo, 6<sup>th</sup> floor, Jl. Kebon Sirih Raya Kav. 75, Jakarta Pusat, 10340

Phone : +62 81283499306, email : boyke.lakaseru@undp.org

18. PSA P3TEK KEBTKE shall keep the UNDP Country Director/Resident Representative fully informed of all actions undertaken by them in carrying out this Letter.

19. UNDP may suspend this Agreement, in whole or in part, upon written notice, should circumstances arise which jeopardize successful completion of the Activities.

20. Any dispute between the UNDP and PSA P3TEK KEBTKE arising out of or relating to this Letter which is not settled by negotiation or other agreed mode of settlement, shall, at the request of either party, be submitted to a Tribunal of three arbitrators. Each party shall appoint one arbitrator, and the two arbitrators so appointed shall appoint a third arbitrator, who shall be the chairperson of the Tribunal. If, within 15 days of the appointment of two arbitrators, the third arbitrator has not been appointed, either party may request the President of the International Court of Justice to appoint the arbitrator referred to. The Tribunal shall determine its own procedures, provided that any two arbitrators shall constitute a quorum for all purposes, and all decisions shall require the agreement of any two arbitrators. The expenses of the Tribunal shall be borne by the parties as assessed by the Tribunal. The arbitral award shall contain a statement of the reasons on which it is based and shall be final and binding on the parties.

21. If you are in agreement with the provisions set forth above, please sign and return to this office two copies of this Letter. Your acceptance shall thereby constitute the basis for your PSA P3TEK KEBTKE participation in the implementation of the project.

22. This Letter of Agreement will be valid from **1 April 2021** up to **30 June 2021**.


23. In accordance with the financial schedule set forth in Attachment 3, this Letter of Agreement will not exceed **IDR 298,918,000 (two hundred and ninety-eight million, nine hundred and eighteen thousand Indonesian Rupiah)**.

24. This Letter of Agreement will consist of the following Attachments:  
1. Project Document  
2. Description of Activities  
3. Schedule of Activities, Facilities and Payments  
4. Funding Authorization and Certificate of Expenditures (FACE) Form Template  
5. Guidelines for Completing a FACE Form  
6. Model UNDP Expenditure Report

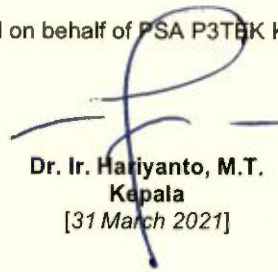
Yours sincerely,  
Signed on behalf of UNDP

*Sophie Kemkhadze*

**Sophie Kemkhadze**  
**Deputy Resident Representative**  
[31 March 2021]



Signed on behalf of PSA P3TEK KEBTKE



**Dr. Ir. Hariyanto, M.T.**  
**Kepala**  
[31 March 2021]



**Attachment 1**

PROJECT DOCUMENT

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## Attachment 2

### DESCRIPTION OF ACTIVITIES

Project number: 00086173

Project title: **ASISSTANCE ON THE ENERGY MANAGEMENT IMPLEMENTATION FOR ENERGY SAVING COMPETITION AT THE MINISTRY OF ENERGY AND MINERAL RESOURCES (MEMR) BUILDINGS**

#### Results to be achieved by PSA P3TEK KEBTKE

##### Background

Based on Government Regulation No.70 of 2009, national energy conservation is the responsibility of the Government, provincial government, district / city government, businessmen and the community. The implementation of energy conservation includes all stages of energy management, from energy supply activities, energy exploitation, energy utilization and energy resource conservation. Energy management is carried out with every effort to regulate and manage energy use as efficiently as possible in buildings without reducing the level of comfort and productivity. The level of energy consumption in a building or the Energy Consumption Intensity (IKE), is the division between energy consumption and the building area unit. IKE is obtained through the energy audit method, which is a method for calculating the level of energy consumption of a building. The results of the audit will be compared with existing standards, in order to look for opportunities to save energy consumption. Based on Government Regulation no. 79 of 2014 concerning National Energy Policy and Presidential Regulation No. 22 of 2017, the national energy conservation target is to achieve a final energy savings of 17% by 2025. According to this reason, it is expected that all building sectors can contribute to achieve the energy saving target, including the commercial building sector. This sector is estimated to have a potential savings of 10-30%.

The Ministry of Energy and Mineral Resources (MEMR) has several buildings designated as office buildings, research and development, education and training, guesthouses, museums, archives, campuses and others. However, the lack of understanding and competence of building managers at the MEMR regarding the importance of energy conservation becomes an obstacle in achieving the energy saving target of 17% by 2025. Most of the building managers do not understand yet about the IKE calculations. The importance of IKE building is to determine the energy use profile, whether efficient or wasteful, and to measure the potential energy savings calculations to analyze further about the energy saving opportunities.

PSA P3TEK KEBTKE is expected to deliver the following results:

- Profile of energy consumption data and IKE buildings in the MEMR
- IKE standards of MEMR Buildings, so that becomes a reference for other government buildings
- Recommendation of energy savings for building managers to increase their competence
- Identification and update on the status of energy monitoring system equipment

#### Work to be performed by PSA P3TEK KEBTKE

The scope of works to be conducted by PSA P3TEK KEBTKE shall include but not limited to:

1. Preparation of a work plan and a timeline that shows how the consultant will work on the scope of work given.
2. Collecting data related to energy use in MEMR buildings, and formulating the respective IKE sizes. The identification and data collection also be implemented on the installed energy

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monitoring system equipment in each building of MEMR, including supporting infrastructure (for example IT equipment and internet connection).

3. Determine screening criteria for buildings with great potential for energy management applications, and conduct screening based on collected data.
4. Based on the screening results, provide recommendations about the potential buildings that will get the assistance. It is expected that these buildings can represent each of the Echelon 1 units in the MEMR.
5. Provide assistance to the selected buildings through the implementation of walkthrough energy audits and recommendations for improvements and enhancement of energy efficiency.
6. Conduct field surveys and confirmations on the installed energy monitoring system equipment in each building, in the selected buildings,
7. Analyze the results of the energy audit and the condition of the energy monitoring system.
8. Prepare a report document, including the short, medium, and long-term recommendations of energy savings for building managers, along with cost estimates and the pay back period.
9. Conducting consultations and discussions with various related parties according to the needs that arise during the activity.

Description of inputs:

In order to complete the scope of work as per TOR, project requires following inputs:

1. Personnel as team leader/lead auditor and assistances to auditor energy
2. Cost allocation for travel, Covid-19 safety measures to undertake data collection/measurement in the project location in Jakarta
3. Facilitation of consultation/discussion: FGD/workshop, resource persons



Annexes:

**TERM OF REFERENCE**

**Assistance on The Energy Management Implementation for Energy Saving Competition at The Ministry of Energy and Mineral Resources (MEMR) Buildings**

**A. Background**

Based on Government Regulation No.70 of 2009, national energy conservation is the responsibility of the Government, provincial government, district / city government, businessmen and the community. The implementation of energy conservation includes all stages of energy management, from energy supply activities, energy exploitation, energy utilization and energy resource conservation. Energy management is carried out with every effort to regulate and manage energy use as efficiently as possible in buildings without reducing the level of comfort and productivity. The level of energy consumption in a building or the Energy Consumption Intensity (IKE), is the division between energy consumption and the building area unit. IKE is obtained through the energy audit method, which is a method for calculating the level of energy consumption of a building. The results of the audit will be compared with existing standards, in order to look for opportunities to save energy consumption. Based on Government Regulation no. 79 of 2014 concerning National Energy Policy and Presidential Regulation No. 22 of 2017, the national energy conservation target is to achieve a final energy savings of 17% by 2025. According to this reason, it is expected that all building sectors can contribute to achieve the energy saving target, including the commercial building sector. This sector is estimated to have a potential savings of 10-30%.

The Ministry of Energy and Mineral Resources (MEMR) has several buildings designated as office buildings, research and development, education and training, guesthouses, museums, archives, campuses and others. However, the lack of understanding and competence of building managers at the MEMR regarding the importance of energy conservation becomes an obstacle in achieving the energy saving target of 17% by 2025. Most of the building managers do not understand yet about the IKE calculations. The importance of IKE building is to determine the energy use profile, whether efficient or wasteful, and to measure the potential energy savings calculations to analyze further about the energy saving opportunities.

**B. Objective of Assignment**

The objective of this activity is to provide assistance for office building managers at the Ministry of Energy and Mineral Resources (MEMR) in preparing for the implementation of energy management in office environments through: walk-through audits, surveys and verification of IKE calculations, checking the condition of the energy monitoring system that has been installed and its supporting infrastructure, and providing energy saving efforts recommendations for the building managers.

The obtained data will be analyzed to determine the IKE standards in the MEMR buildings and follow-up the energy conservation program that will be implemented.

**C. Scope of Work and Expected Output**

1. Preparation of a work plan and a timeline that shows how the consultant will work on the scope of work given.
2. Collecting data related to energy use in MEMR buildings, and formulating the respective IKE sizes. The identification and data collection also be implemented on the installed energy monitoring system equipment in each building of MEMR, including supporting infrastructure (for example IT equipment and internet connection).
3. Determine screening criteria for buildings with great potential for energy management applications, and conduct screening based on collected data.

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4. Based on the screening results, provide recommendations about the potential buildings that will get the assistance. It is expected that these buildings can represent each of the Echelon 1 units in the MEMR.
5. Provide assistance to the selected buildings through the implementation of walkthrough energy audits and recommendations for improvements and enhancement of energy efficiency.
6. Conduct field surveys and confirmations on the installed energy monitoring system equipment in each building, in the selected buildings.
7. Analyze the results of the energy audit and the condition of the energy monitoring system.
8. Prepare a report document, including the short, medium, and long-term recommendations of energy savings for building managers, along with cost estimates and the pay back period.
9. Conducting consultations and discussions with various related parties according to the needs that arise during the activity.

The outputs of this activity are:

- a. Obtain a data profile of energy consumption and IKE in the MEMR buildings.
- b. Establish the IKE standard for the MEMR buildings, as a reference for other government buildings.
- c. Increase the competence of building managers, implementing energy management in buildings and transform the energy users behavior in buildings.

Beneficiaries:

- a. The Ministry of Energy and Mineral Resources (MEMR), related to the efforts in increasing energy efficiency in the MEMR buildings.
- b. Building managers, related to the information on energy saving strategies in buildings and standards for efficient energy use.

#### **D. Work Location**

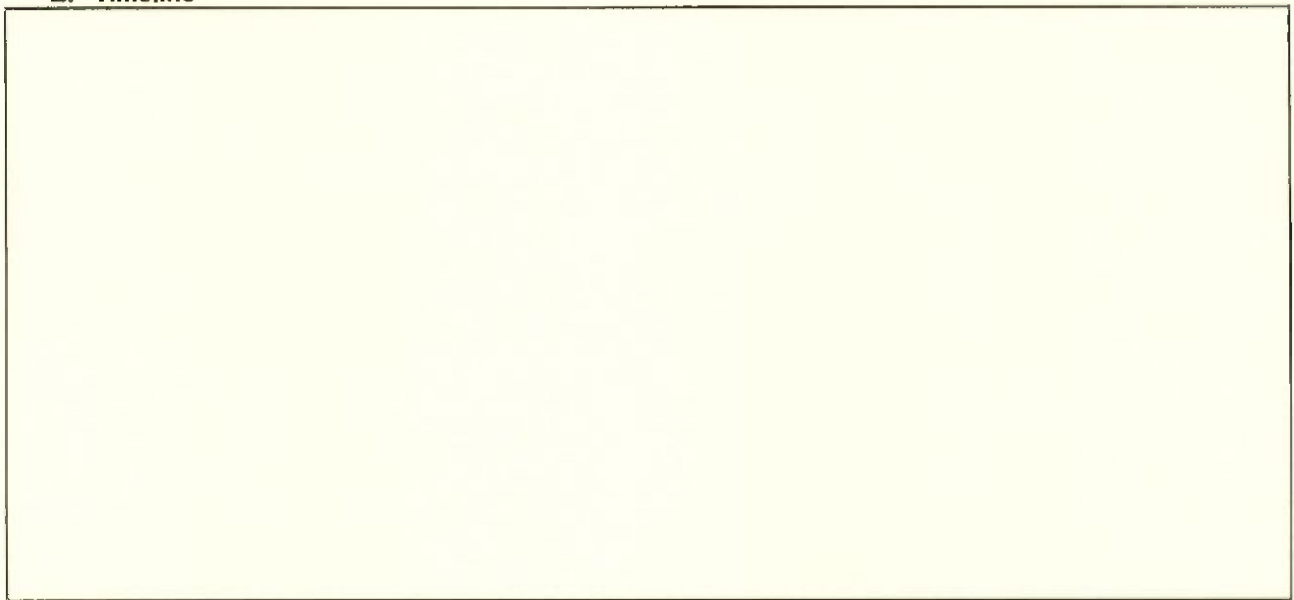
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No	Work Unit	Buildings	Location
1	Secretariat General	Heritage office building Chaerul Saleh building	Jl. Medan Merdeka Sel. No.18, RT.11/RW.2, Gambir, Kecamatan Gambir, Kota Jakarta Pusat
2	DG Oil and Gas	Gedung Kantor Ibnu Sutowo, Migas	Jln. HR. Rasuna Said Kav B-5, Jakarta Selatan
3	DG Electricity	Soemantri Brodjonegoro I and Soemantri Brodjonegoro II office buildings	Jl. H.R. Rasuna Said, Blok X 2, Kav. 7-8, Kuningan, RT.10/RW.4, Kuningan Tim., Kota Jakarta Selatan
4	DG Mineral and Coal	Muhammad Sahid I, II, III office buildings	Jl Prof DR. Soepomo No 10, Jakarta Selatan
5	DG NREEC	Slamet Bratanata Ditjen EBTKE office building	Jl Pegangsaan Timur No.1 Menteng Jakarta Pusat
6	Inspectorate General	Armunanto office building	Jl Patra Kuningan Rata No 18, Jakarta
7	Geological Agency	A.F Lasut I, II, III, IV, V, VI, VII, VIII, IX office buildings	Jl. Diponegoro No. 57, Cihaurgeulis, Bandung, Jawa Barat Sekretariat Badan Geologi, Badan Geologi
8	R&D Agency	IB Sudjana I (sekretariat) office building  IB Sudjana II research building  IB Sudjana III, IV, VII exploitation building  IB Sudjana V, VI, IX exploration building  IB Sudjana VIII archive building  IB Sudjana X R&D facility building  IB Sudjana XI, XII application building  IB Sudjana XIII, XIV, XV, XVI, XVII, XVIII, XIX, XX research laboratory building	Jl.Ciledug Raya Kav.109 - Cipulir Kebayoran Lama Jakarta Selatan
9	R&D Agency	P3TEK ESDM building for R&D	Jl.Pendidikan No.1, Pengasinan, Gunung Sindur, Kabupaten Bogor, Jawa Barat
10	R&D Agency	Geologi Kelautan (P3GL) office and R&D buildings	Jl. Dr. Djunjunan No.236 Pasteur- Bandung
11	R&D Agency	Geologi Kelautan (P3GL) office and R&D buildings	Jl. Kalijaga No. 101 Cirebon
12	PEM Akamigas	PEM Akamigas campus building	Jalan Gajah Mada 38 Cepu

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13	PEM Akamigas	PEM Akamigas dormitory building	Jalan Ngareng No. 1 Cepu
14	PPSDM Aparatur	Office building and guesthouse	Jalan Cisitua Lama No 37 Bandung
15	Geological Agency	Geologi Museum	Jl. Diponegoro No.57, Cihaur Geulis, Kec. Cibeunying Kaler, Kota Bandung, Jawa Barat 40122
16	BPH	Office building	Jl. Kapten P. Tendean No: 28 Jakarta Selatan
17	Geological Agency	BPPTKG research and development building	Jl. Cendana no. 15 Yogyakarta
18	BPSDM	Widjajono Partowidagdo office building	Jl Gatot Subroto Kav.49 Jakarta Selatan, DKI Jakarta
19	PPSDM Geominerba	The main office building of Balai Diklat Tambang Bawah Tanah, PSDM Geominerba	Jl Soekarno Hatta, Durian II, Sawahlunto
20	PPSDM KEBTKE	PPSDM KEBTKE (office building, conservation guesthouse, annex building)	Jalan Poncol Raya No. 39 Ciracas Jakarta Timur 13740
21	PPSDM Migas	Migas big office building, guesthouse, training and education building	Jl Sorogo 1 Cepu, Blora, Jawa Tengah

#### E. Timeline



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## Attachment 3

## Scheduled of Activities, Facilities and Payments

Year 2021

EXPECTED OUTPUTS <i>and indicators including annual targets</i>	PLANNED ACTIVITIES <i>List all activities to be undertaken during the year towards stated outputs</i>	Time Frame Q2 2021			Planned Budget		Estimated Schedule of Payment by UNDP (subject to acceptance of FACE Form)		
		Apr	May	Jun	Budget Description	Amount (IDR)	Apr	May	Jun
Report on assistance provided on implementation of energy management system in of MEMR Buildings which contains: <ul style="list-style-type: none"> <li>• Profile of energy consumption data and IKE buildings in the MEMR</li> <li>• IKE standards of MEMR Buildings, so that becomes a reference for other government buildings</li> <li>• Recommendation of energy savings for building managers to increase their competence</li> <li>• Identification and update on the status of energy monitoring system equipment</li> </ul>	Data collection on the energy consumption of buildings in MEMER and the status of energy monitoring system equipment	X			Contractual Services - Implementing Partner	115,000,000			
	Development of IKE for buildings in MEMR and setting up the selection criteria for buildings that will be assisted on the energy management system	X							
	Conduct screening and provide recommendation for the most potential buildings that can be assisted	X			Travel	142,618,000			IDR xx
	Site visit to conduct the walkthrough audit and verification on the energy monitoring system equipment	x	X		Workshops	16,800,000			
	Reports development which includes the short, medium, and long-term recommendations of energy savings for building managers, along with cost estimates		X		Rental & Maint of Other Equipment	7,000,000			
	Consultation and Discussion		X		Supplies	17,500,000			
	Reports finalization		x		<b>Total Fund transfer (100%)</b>	<b>298,918,000</b>			
	<b>Total</b>					<b>298,918,000</b>			

Note:

- Expenditures for personnel services may be limited to salary, allowances and other entitlements, including the reimbursement of income taxes due and travel costs on appointment to the project, duty travel within the programme country or region and repatriation costs.
- UNDP shall be responsible for providing miscellaneous services such as secretarial assistance, postage and cable services and transportation as may be required by PSA P3TEK KEBTKE in carrying out their assignment.
- Adjustments within each of the sections may be made in consultation between UNDP and PSA P3TEK KEBTKE. Such adjustments may be made if they are in keeping with the provisions of the Programme Support/Project Document and if they are found to be in the best interest of the project.
- The prevailing UN Guideline for Harmonized Cost Rates with Implementing Partners shall be used to implement this LoA.
- The second and subsequent payments will be released upon expenditures reporting of at least 80% of the previous payments.

A handwritten signature in blue ink, followed by the number 7.

## Attachment 4

## FUNDING AUTHORIZATION AND CERTIFICATE OF EXPENDITURES (FACE) FORM TEMPLATE

## Funding Authorization and Certificate of Expenditures

UN Agency: XXXXXXXXX

Date: DDMMYYYY

Country: XXXXXXXXXXXXXXXXXXXXXXXXXXXX  
 Programme Code & Title: XXXXXXXXXXXXXXXXXXXXXXXXXXXX  
 Project Code & Title: XXXXXXXXXXXXXXXXXXXXXXXXXXXX  
 Responsible Officer(s): XXXXXXXXXXXXXXXXXXXXXXXXXXXX  
 Workplan Code & Title: XXXXXXXXXXXXXXXXXXXXXXXXXXXX  
 Implementing Partner: XXXXXXXXXXXXXXXXXXXXXXXXXXXX

Type of Request:  
☐ Direct Cash Transfer (DCT)  
☐ Reimbursement  
☐ Direct Payment

Currency: \_\_\_\_\_

		REPORTING				REQUESTS / AUTHORIZATIONS		
Activity Description from AWP with Duration	Coding for UNDP, UNFPA and WFP	Authorized Amount XXXXXXXXXX A	Actual Project Expenditure B	Expenditures accepted by Agency C	Balance D = A - C	New Request Period & Amount XXXXXXXXXX E	Authorized Amount F	Outstanding Authorized Amount G = D + F
XXXXXXXXXXXXXXXXXXXXXXXXXXXX (MM/YYYY - MM/YYYY)								
XXXXXXXXXXXXXXXXXXXXXXXXXXXX (MM/YYYY - MM/YYYY)								
XXXXXXXXXXXXXXXXXXXXXXXXXXXX (MM/YYYY - MM/YYYY)								
<b>Total</b>		<b>8</b>	<b>8</b>	<b>0</b>	<b>0</b>	<b>8</b>	<b>8</b>	<b>0</b>

## CERTIFICATION

The undersigned authorized officer of the above-mentioned implementing institution hereby certifies that:

- ☐ The funding request shown above represents estimated expenditures as per AWP and itemized cost estimates attached.
- ☐ The actual expenditures for the period stated herein has been disbursed in accordance with the AWP and request with itemized cost estimates. The detailed accounting documents for these expenditures can be made available for examination, when required, for the period of five years from the date of the provision of funds.

Date Submitted: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

NOTE: \* Attached need to be completed by the UN Agency and not attached need to be completed by the counterpart.

## FOR AGENCY USE ONLY:

FOR ALL AGENCIES	
Approved by:	
Name:	
Title:	
Date:	

## FOR UNICEF USE ONLY

Account Charges		Liquidation Information	
Cash Transfer Reference		DCT Reference	
PRD ref. no. / counterpart ref. no.		PRD ref. no. / counterpart ref. no.	
GL codes		DCT Amount	0
Training	0	etc	
Travel	0	Equipment	
Meetings & Conferences	0	Admin	0
Other Cash Expenditures	0		
Total	0	Balance	0

## FOR UNFPA USE ONLY

New Funding Release	
Activity 1	0
Activity 2	0
Activity 3	0
Activity 4	0
Activity 5	0
Activity 6	0
Activity 7	0
Activity 8	0
Activity 9	0
Activity 10	0
Activity 11	0
Activity 12	0
Activity 13	0
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Activity 88	0
Activity 89	0
Activity 90	0
Activity 91	0
Activity 92	0
Activity 93	0
Activity 94	0
Activity 95	0
Activity 96	0
Activity 97	0
Activity 98	0
Activity 99	0
Activity 100	0

FACE Form (Revised 22-06-2005)

6-3



## Attachment 5

### GUIDELINES FOR COMPLETING A FACE FORM

This section summarizes the components of a FACE form and guidelines for completing it.

#### Header Area

The header area of the FACE form allows the IP to report on the reason for and purpose of the funding/reporting request. This information is required for appropriate coding in the agency's financial and management accounting systems. The specific data elements include:

- Name of the agency
- Date of the request
- Type of request (direct cash transfers, direct payments or reimbursements)
- Country where the programme takes place
- Programme title and code (as appropriate)
- Work plan<sup>3</sup> title and code
- Responsible officer(s)
- IP name
- Currency of the request/disbursement

#### Body of the Form

**Activity description:** This text field contains a short description of the activity as it appears in the underlying work plan, as well as its duration. This information is required for the agency's programme or project management systems.

**Coding column:** The second column allows the agency to enter its own account codes. This information is required for the agency's financial accounting system. The agency may enter this data itself or it may require the IP to do so. If the IP is to enter the data, counterpart staff must be trained.

#### Reporting Area

The FACE form is a dynamic form that must balance and reconcile from one reporting period to the next. The first column on the new form, Column A, therefore should repeat the last column (Column G) from the previously submitted and authorized FACE form. Note that Columns C, D, F and G are shaded. They are blank when the FACE is submitted to the agency. They are filled out by the agency prior to the financial processing of the form. All non-shaded columns are to be completed by the IP prior to submission.

**Column A – Authorized amount:** Column A will be blank for the first request from an IP. Subsequently it should include the date of the most recent previous authorization.

**Column B – Actual expenditure:** Column B reports the IP's actual expenditures for the period. At this point the expenditures are still subject to review and approval by the agency. The IP's designated official certifies that these expenditures are reported in accordance with the stipulation of the work plan, CPAP or equivalent and/or other related agreements with the agency.

<sup>3</sup> Agency work plans can be annual, multi-year, rolling or joint.

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**Column C – Expenditures accepted by agency:** The agency uses column C to review and approve, reject or request an amendment to expenditures reported by the IP. If the amounts are accepted as reported, no further adjustments to this part of the FACE form or communication with the IP about these expenditure are required. However, if changes are made (e.g., to query or reject a reported expenditure), the amount recorded by the agency in column C will differ from that reported in column B. In this case, the change needs to be communicated with the IP.

**Column D – Balance:** Column D records the balance of funds authorized for use in the reporting period that remained unspent as of the date of the form. The term 'unspent' can also reflect expenditures that are either known or ongoing as of the date of the FACE form, but that cannot be certified by the IP due to timing or internal reporting delays. The outstanding balance of funds authorized by activity can be carried forward, reprogrammed or refunded, depending on the internal policies of each agency.

#### **Requests/Authorizations Area**

**Column E – New request period and amount:** Column E determines the period of the new request, which is normally contiguous to the last reporting period. This column contains the requests for the authorization to spend or receive funds, by activity and for that period. Each request for new or additional funds is to be accompanied by an itemized list of expenditures in line with the work plan. This column can also reflect any balance for an activity in column D that is requested for reprogramming. This will reduce the total amount of the new disbursement request accordingly.

**Column F – Authorized amount:** The agency uses column F to establish the amount of funds to be disbursed for the new reporting period, by activity. This column is filled in by the agency. It is used to accept, reject or modify the amounts requested in column E. Any credits for reprogramming will be reflected in this column for reconciliation of the amounts.

**Column G – Outstanding authorized amount:** Column G is the sum of columns D and F, and indicates the total outstanding authorized amount. For subsequent period reporting, the amount of this column will be carried forward to column A of the new FACE form.

#### **Certification Area**

The certification area is used by the designated IP official to request funds and certify expenditures. This area requires a date, the signature of the official and his/her title.

#### **'For Agency Use Only' Area**

**Approvals box:** The 'For all agencies' box in the lower left corner of the FACE form should be signed by the appropriate agency official. This indicates the request for funds has been reviewed and approved and authorizes recording of the reported expenditures. The official should sign and date the form and provide his/her title.

**Agency-specific coding boxes:** The remainder of the form is used by UNICEF and UNFPA, as indicated, to complete the coding as required by their financial and management accounting systems. This section does not apply to other agencies.

Handwritten signature and initials in blue ink, located in the bottom right corner of the page.

Attachment 6

MODEL UNDP EXPENDITURE REPORT

Period \_\_\_\_\_

EXPECTED CP OUTPUTS and indicators including annual targets	PLANNED ACTIVITIES <i>List all activities to be undertaken during the year towards stated outputs</i>	Planned Budget		Payments and Expenditures		
		Budget Description	Amount	Payments received	Expenditures	Balance
		<b>Total</b>				

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