

**SICEST2016**



A Conference by  
Faculty of Engineering  
Sriwijaya University

ISBN 979-587-621-1

# PROCEEDINGS

*SRIWIJAYA INTERNATIONAL  
CONFERENCE ON ENGINEERING,  
SCIENCE & TECHNOLOGY  
[SICEST 2016]*

*Bangka Island Indonesia, 8-10 November 2016*



**SICEST2016**

Bangka Island-Indonesia, 8-10 November 2016

## OVERVIEW

SICEST (Sriwijaya International Conference on Engineering, Science and Technology) is the first regular conference organized by The Faculty of Engineering Sriwijaya University focuses on engineering, science and technology in innovation and development.

The objectives of the conference are:

- ☑ To bring together experts active in engineering, science and technology
- ☑ To explore research findings in the field of engineering, science and technology
- ☑ To discuss current development in innovation of Engineering, science and technology issues
- ☑ To enhance collaboration and networking among experts in the field on engineering, science and technology

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### **A** Sriwijaya International Symposium on Civil and Architecture Engineering

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### **B** Sriwijaya International Symposium on Chemical Process, Biotechnology & Energy Engineering

Host : Chemical Engineering Department

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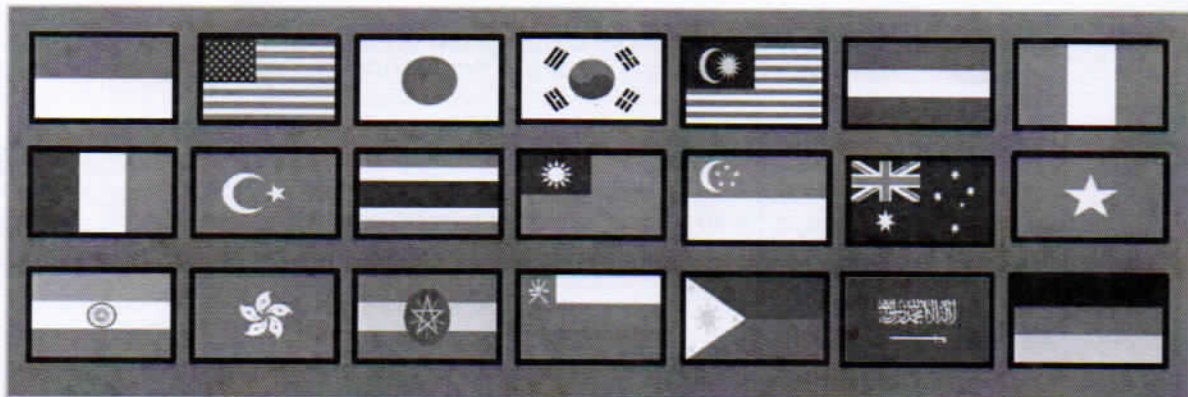
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[2]



## WELCOME NOTE

## FROM THE RECTOR OF SRIWIJAYA UNIVERSITY

On behalf of Sriwijaya University, I am very much privileged to congratulate all participants of The First Sriwijaya International Conference on Engineering, Science and Technology 2016 (SICEST 2016). This conference is part of the activities to mark the 56th year anniversary of Sriwijaya University.

Today our world is facing the engineering, science and technology problems. Research and development in Engineering, Science and Technology are one of a few sectors that can move forward and expected to be a share for regional and global economic recovery. I hope this international conference on engineering, science and technology can partially respond to the above issues.

World class universities and academic institutions are acknowledged by the high quality of researches produced and large number of high impact research publications. Therefore, high quality of researches and publications become the primary mission for an academic institution to achieve. Sriwijaya University as one of Indonesia's leading universities has determined to support the enhancement of researches and publications by providing platforms such as international conferences.

Finally, I am very grateful fo the dedicated efforts of all the committee members who have involved in preparation, organization and administration of this event. I hope this conference will provide opportunities to all of participants to exchange ideas and result of their work and also to discuss future cooperation plans in engineering, science and technology development.

Thank you very much for your kind participation and I wish you all the best of luck.

**Rector of Sriwijaya University**  
**Prof. Dr. Ir. Anis Saggaff, MSCE**





## WELCOME NOTE

### FROM DEAN OF FACULTY OF ENGINEERING SRIWIJAYA UNIVERSITY

Welcome to the 1st Sriwijaya International Conference on Engineering, Science, and Technology (SICEST) 2016. This conference is a regular program organized by Faculty of Engineering Sriwijaya University. In accordance with the rising demand for global harmonization of education, there will be increasing needs for international stages as the media for international community to meet, exchange ideas, cultures, and create collaborations. SICEST is created as a partial effort to accelerate international collaboration and dissemination of researches in the field of Science, Engineering, and Technology.



In order to make SICEST2016 gives more benefit for scientific communities, this conference is not only served as a media for research dissemination via presentation. SICEST2016 develops publication cooperation with four SCOPUS indexed publications to ensure the papers from this conference are well recorded in international database and recognized worldwide.

It is our great wishes and expectation that all distinguished guests and participants will get the benefits from this conference in order to make this event accomplishes its missions.

May all participants will have memorable experiences in Bangka Island Indonesia and enjoy the conference.

Best Regards

Dean  
Prof. Subriyer Nasir, MS., PhD

# TABLE OF CONTENTS

SICEST2016 Overview	i
Authors Affiliation	ii
Welcome notes	iv
Table of Contents	vi
Board of Editors	xiii
Steering and Scientific Committee	xiv
Remarks from Organizing Committee Chairman	xvi
Organizing Committee	xiv
Acknowledgement	xvii
Program at a Glance	xviii
Plenary Session	xix

## CIVIL ENGINEERING

Risk Allocation in Performance Based Contract Clauses for National Road Maintenance Project in Indonesia Deni Setiawan, Reini D. Wirahadikusumah, and Krishna S. Pribadi	1
Dominant Factor Causes of Construction Waste in the Indonesian Construction Project Elizar, Suripin and M.Agung Wibowo	5
The Effect of The Plate Numbers Toward The Compression Bearing Capacity Of Helical Piles in Peat Soil Ferry Fatnanta, Muhardi, and Parlan	9
The Investigation of El Nino Impacts on Rainfall in Lampung Province – Indonesia Gatot Susilo, Eka Desmawati and Ankavisi Nalaralagi	14
Sustainable Development: Early Age Strength of HSC Using Fly Ash to Replace Part of Cement Gidion Turuallo and Harun Mallisa	18
Quantification of Emission Rates of NO <sub>x</sub> based on Engine on Equipment and Engine Tier Types for Diesel Construction Equipment Heni Fitriani and Phil Lewis	22
Quality of Experience on Toll Roads: Road Condition and Travel Time Herry Trisaputra Zuna and Naya Cinantya Drestalita	25
Simplified Hydraulic Conceptual Model for Stormwater Treatment Bioretention Basin Isri Ronald Mangangka	29
Improving Mortar Properties in Saline Environment Jauhar Fajrin, Pathurahman and Lalu Gita Pratama	35



Effect of Plastic Aggregate coated with Sand to the Compressive Strength of Concrete Madsuri Satim., Pamudji, G. and Purnomo H.	39
Analysis of Transport Sedimentation in Settling Basin Weirin Watervang Lubuk Linggau Okma Yendri, Djugondo Siswodjo	43
Perceptions of Civil Engineers on Adequacy of Infrastructure at Sumatera Peter F. Kaming and Ferianto Raharjo	50
Study of Longitudinal Slipway in Fisheries Port Slamet Hargono	56
Shear Strength Study Effect of Gradation and Clay Content on Clayey Sand Soewignjo Agus Nugroho, Gunawan Wibisono, and Umam K.	59
The Analysis for Trip Generation of High Schools on Cihampelas Street Bandung Tania Bonita Sabrina and Tan Lie Ing	63
A Clustering Study - Steps to Protect Groundwater Resources Tatas, Yuyun Tajunnisa and Muhammad Hafiizh Imaaduddin	64

#### ARCHITECTURE AND BUILT ENVIRONMENT

'Nongkrong' Phenomenon Among University Students in Malang: Implications on The Characteristics of City Planning Astri Anindya Sari and Shirleyana	67
Bamboo Folded Frame as an Architectural Structure Bernadette Sudira and Anastasia Maurina	72
The Madurese Cultural Values in Kotalama Settlements – Malang Damayanti Asikin, Antariksa and Lisa Dwi Wulandari	76
Dwelling Process on Rusunami Judging from Changes in Unit Rusunami Benhil II (Open-Building Type) Joni Hardi and Andjar Widayanti	79
Redefine Architecture as Social Innovation for Empowering Community Martin L. Katoppo, Sugeng Triyadi and M. Jehansyah Siregar	84
Marketing Place : The Strategy of Heritage Tourism Development of Kuto Besak Fort Palembang Meldo Andi Jaya	88
Religiosity of Chinese Moslem: Implementation Respect to Ancestors in Dwelling Samsu Hendra Siwi and Paramita Atmodiwirjo	92
Strategy to Adjust Musi Riverfront Development at Palembang Setyo Nugroho and Husnul Hidayat	96
Canopy Density of Trees as Raindrops Arranger Sri Budiastuti, Djoko Purnomo, and Irfan Budi Pramono	101
The Space of Nobility Building: The Construction of Spatial Concept Based Upon The Beliefs and The Life Orientation in The Site of Majapahit Ancient City, Trowulan Indonesia Wara Indira Rukmi, Achmad Djunaedi, Sudaryono Sastrosasmita, and Heddy Shri Ahimsa-Putra	105
Application of Embodied Energy Calculation for Low Cost Housing In Indonesia Yuni Sri Wahyuni, Dewi Larasati ZR and Siswanti Zuraida	109



## CHEMICAL PROCESS AND BIOTECHNOLOGY

High Equivalent of Theoretical Plate from Reactive Distillation Unit by Purification of Ethanol on Different Concentration Agus Aktawan and Zahrul Mufrodi	114
Advanced Nanomaterials for Water and Wastewater Treatment: From Strategic Fundamental Research to Industry Adoption Ahmad Fauzi Ismail	117
Adsorption Kinetics and Equilibrium Studies of Chromium (IV) Metal Ions on The Salacca Peel Based Activated Carbons Arenst Andreas Arie, Selvy Utama, and Hans Kristianto	118
Differences in Characteristic of Fermented Inulin Biomass, Concentrate and Particles Powder by Lactobacillus acidophilus With and Without Microfiltration As Source of Dietary Fiber for Anti Cholesterol Aspiyanto, Agustine Susilowati and Hakiki Melanie	119
Microwave-Assisted Extraction of Phenolics from Pineapple (Ananas comosus) Peels for Green Zero-Valent Iron Production Capili, Marc Joseph, Lombos, Owen, Oblepias, Carmelle, Uy, Marylou and Cynthia F. Madrazo	124
Brine Shrimp Lethality Test Of The Water Extract Of Averrhoa Carambola L. Leaves Dewi Tristantini and Aulia Rahmi	128
Bentonite-biochar Composite for Heavy Metals Removal Felycia Edi Soetaredjo, Yi-Hsu Ju, Aning Ayucitra, and Suryadi Ismadji	131
CeO <sub>2</sub> -Al <sub>2</sub> O <sub>3</sub> xerogel as an oxygen storage support in Ni catalysts with enhanced reducibility Krongthong Kamonsuangkasem, Supaporn Therdthianwong, and Yingyot Poo-Arpom	132
Effects of Ruthenium Loading on Carbon Monoxide Hydrogenation Mardwita, Selpiana, Elfidiah, Ani Melani, Netty Herawati	136
Kinetics and Mechanisms of Methane Oxidation on Supported Binary Platinum-Chromium Catalyst Mardwita, Hideki Matsune, Sakae Takenaka and Masahiro Kishida	140
Synthesis of Epoxy Compound from Corn Oil as Intermediate for Biolubricant M. Riska J.P., M. Said, Anindya Fatmadini and M. Faizal	144
Influence of Hydrolysis Temperature and NaOH's Concentration to Make Oxalic Acid from Water Hyacinth Pamilia Coniwanti, Rizka Rachmiyanti, and Putri Yuliani	147
The Clathrate Hydrate Process for Desalination Ponnivalavan Babu and Praveen Linga	152
Study of Composition In The Process of Making Briquette Charcoal Rice Husk Rahmi M Sari, Erwin and Anizar	153
Laboratory Study of Optimization Surfactant Sodium Lignosulfonate From Bagasse Rini Setiati, Sugiatmo Kasmungin, Septorotno Siregar, Taufan Marhaendrajana, and Deana Wahyuningrum	157
Integrated Adsorber Engineering on Waste Cooking Oil Purification Selpiana, Shafira Nabilla, Eka Pertiwi, Mardwita, and Muhtaza Azizia Syafiq	161



Laboratory Studies for the Improvement of Obtaining Oil using AOS Surfactant Injection with Variation Oil Composition at Low Concentration	
Sugiatmo Kasmungin, Kartika Fajarwati Hartono and Pauhesti Rusdi	166
Anaerobic Digestion of Cheese Whey for Biogas Production: Review	
Wara Dyah Pita Rengga, Riska Yuliana Siregar and Diyah Saras Wati	170
Isolation and UV-LC/MS/MS Characterization of Antioxidant Compounds from Azadirachta Indica Leaves	
Yuni Paramitha Sari, Ibrahim Nasser Ahmed, Nonot Soewarno, Suryadi Ismadji and Yi-Hsu Ju	175

### ENERGY SCIENCE AND TECHNOLOGY

Biogas Purification under Different Sheet Nylon Mesh and Flow Rate	
Abdullah Saleh, Elisa Yulistia, and Fitri Rowiyah Rambe	180
Effect of Temperature on the Production of Methane from Methane Hydrates Formed in Excess Water Environment	
Chong Zheng Rong and Praveen Linga	184
Investigation on Visualization of Loop Heat Pipe	
Nandy Putra, Cahya Tri Anggara, and Nasruddin A. Abdullah	185
Oil Price Affection on Human Resources and Alternative Fuels as the Renewable Energy in Indonesia	
Prayang Sunny Yulia, Sugiatmo Kasmungin and Bayu Satiyawira	186
Bulk Production of Briquettes as an Alternative Fuel by Utilizing Coconut Shell and Peanut Shell	
Yusraida Khairani Dalimunthe, Sugiatmo Kasmungin and Cahaya Rosyidan	189

### MECHANICAL AND MATERIALS ENGINEERING

Quality Control of Operators' Fatigue Vision in Beverage Industry	
Anizar Arsyad and Erwin Sitorus	194
Development of an Automatic Sorting System	
Hassan Basri, M A Hannan and Irsyadi Yani	198
Application Study of Taguchi Methods in Optimization of Process Parameters for Rubber Industry	
Khalida Syahputri, Indah Rizky Tarigan and Sa Dudin	202
Criteria for Supplier Selection of Raw Material in The Supply Chain of Palm Oil	
Meilita Tryana Sembiring, Dini Wahyuni, Indah Rizky Tarigan, and Yusuf Hanifah	205
Experimental Study on Performance of Battery Thermal Management System Using L-Shaped Flat Heat Pipes	
Nandy Putra, Bambang Ariantara and Herka Manda Putra	209



Toughness Differences And Type of Fracture of Duralium in Artificial Aging Process Against Cooling Media Variation Poppy Puspitasari, Dewi Puspitasari, Solichin Solichin, Andoko Andoko, Puput Risdanareni	210
Analysis of Effect of Capture Fisheries Policy to the Supply Chain of Fish Canning Industry using System Dynamic Modeling Ratna Purwaningsih and Buna Rizal Rachman	213
Redesigning a High Wheel Bicycle: A Case Study of Inventive Problem Solving Risdiyono	218
Numerical Analysis of Shell and Tube Heat Exchangers with Segmental and Helical Baffle Sri Poernomo Sari, Andi Cahya Ichi, and Astuti	223
Mapping for Suppliers of Fast Moving Product to Support Logisticactivities (Case Study In Hospital) Tuti Sarma Sinaga and Khawarita Siregar	227

#### MINING AND GEOLOGICAL ENGINEERING

Evaluation of Reservoir Performance on Field "X" by Craig Geffen Morse Method Ardiansyah Akbar, Sugiarmo Kasmungin and Pauhesti Rusdi	230
Volcanogenic Tonsteins from Bukit Asam Coalfield, South Sumatra Basin, Indonesia Ferian Anggara, Amanda A. Sahri, Zain A. N. Asa, and D. Hendra Amijaya	233
Identification of The Tegalombo Ancient Volcano Based on Geomorphology, Structural Geology And Volcanostratigraphy: An Application Towards The Primary Minerals Exploration in Pacitan East Java Fredy, Joko Soesilo, Ade Febrina, Aulia Kurnia Hadi, and Satrio Esti Hapsoro	236
Lithology Analysis Using Joint PPand PS (Converted Wave) Inversion Hafidz Dezulfakar, Gigih Prakoso W, Nova Linzai, Firman syaifuddin, and Widya Utama	239
Analysis on Reverse Fault Structure of Kendeng Zone in Nampu Area, Boyolali Regency, Central Java Hafidz Reyzananda, Jatmika Setiawan, and Mahap Maha	244
Mineral Analysis on Sediment Load Testof The Tanjung Bunga Coastal Area Makassar Municipality Hamid Umar, D. A. Suriamihardja , Lawalenna Samang, and Ulva Ria Irfan	253
Mineralogy of Silicified Coal in Muara Enim Formation, Tanjung Enim, South Sumatera Hendra Amijaya, Theodora N. Tambaria1, and Himawan Tri Bayu Murti	257
Integrated Coal Logistic Infrastructure Feasibility Study to Unlock Giant Coal Reserve in Central Kalimantan Henrikus Galih Irawan, Herlambang Cipta Aji, and Ade Candra	261
Redesign Mining Sequence on Basin Type Coal Deposit to Optimize Stripping of Overburden Cost M. Taufik Toha	265



Petrophysical Analysis and Reserve Estimation "Kaprasida" Field Baturaja Formation South Sumatera Basin	
Muhammad Iqbal Maulana, Yosar Fatahillah, Widya Utama, and Anik Hilyah	269
Study of Temperature and Concentration Effect to Critical Micelles Concentration (CMC) on Surfactant Injection	
Puri Wijayanti, Sugiatmo Kasmungin and Widia Yanti	273
Study Characteristic Rock Mechanic at Roof and Rib In BMK 32 Hole Underground Coal Mine Bara Mitra Kencana Company, Sawahlunto	
Refky Adi Nata, Syamsul Komar, Endang Wwik DH, and Murad MS	277
Performance Comparison Between Polyamine and KCl in Swelling Clay and Rheology Parameters	
Vaya Candida Putra, Sugiatmo Kasmungin, and Astra Agus Pramana DN	281

### ENVIRONMENTAL SCIENCE AND TECHNOLOGY

Modification of Southern Bandung Waste Transportation Using Vehicle Routing Problem (VRP) – Nearest Neighbor Model	
Anni Rochaeni and Wahyukaton	283
Model Policy of Renewable Energy Resources of Waste Oil Palm Biomass In Sumatera Utara	
Aulia Ishak and Khalida Syahputri	288
Measuring Soil Recovery after Coal Minesite Rehabilitation in South Sumatra	
Dwi Setyawan, Adipati Napoleon, and Herlina Hanum	293
Superstructure Optimization Model for Integrated Urban Water Supply System – Bandung City, Indonesia	
E. Afiatun, S. Notodarmojo, A.J. Effendi, and K.A. Sidarto	296
Hospital Wastewater: Prediction of Contaminant Characteristics and The Possibility of Hybrid Membrane Process	
Ian Kurniawan, Subriyer Nasir, Hermansyah, and Mardiyanto	301
The Development of Android App System for Monitoring of Reclaimed Mine Land Based on GPS Location of the Tree Revegetation	
Rossi Passarella, Huda Ubaya1, Sutarno, Ahmad Rifai and Osvari Arsalan	307
Low Temperature Thermal Remediation for Refinery Sludge Contaminated Soil	
SongYoung Ho, Ko Sung Hwan, Ju Hong Bae, and Baek Ki Tae	310
Degradation of Winery Wastewater using UV light, O3, and UV/O3	
Tuty Emilia Agustina, Ha Ming Ang, and Vishnu Pareek	314
Study of Characteristics Habitat of Swamp Buffalo (Bubalus Bubalis) from Pampangan South Sumatra	
Yuanita Windusari, Laila Hanum, and Rahmat Pratama	321



**ELECTRICAL AND COMPUTATION ENGINEERING**

The Implementation of Diversion Traffic Using Open Flow Eki Ahmad Zaki Hamidi, Nanang Ismail and Mufid Ridlo Effendi	325
CBR Measurement Model Implementation for Determining the Course Harrizki Arie Pradana, and Agus Dendi Rachmatsyah	329
An Empirical Investigation on Customer Behavior to Adopt Mobile Commerce among the Y Generation in Indonesia Johan Reimon Batmetan , Jaime Da Costa Lobo Soares, and Suyoto	333
Design and Application Automatic Valve and Water Tank Replenishment Using Ultrasonic and Infrared Sensors Lia Kamelia, Neni Utami A, Adam Faroqi and Arry Citta Tenggara	339
Traffic Engineering Simulation using RSVP-TE Protocol on 3rd Layer Multiplatform MPLS VPN Nanang Ismail, M Arghifary, Eki A. Zaki1, and Dimas W	342
Implementation of Fuzzy Logic Control Algorithm in Mobile Robot Avider by Using Omnidirectional Vision Rossi Passarella, Kemahyanto Exaudi, Sutarno and Mas Sunardi	347
A Modified Fuzzy Similarity Measure Decision Making Approach to SLCM Selection	353

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PROCEEDINGS OF SRIWIJAYA INTERNATIONAL CONFERENCE ON  
ENGINEERING SCIENCE & TECHNOLOGY (SICEST 2016)

ISBN 979-578-621-1

View Online at:

<http://ejournal.unsri.ac.id/index.php/SICEST2016>

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# SICEST2016

## REMARKS FROM CHAIRMAN OF SICEST 2016

Honored Guest, Distinguished Scientists and Researchers  
Ladies and Gentlemen

On behalf of The Organizing Committee, I would like to extend a warm welcome to all distinguished participants who are attending the First Sriwijaya International Conference on Engineering, Science and Technology 2016 (SICEST 2016), with the theme : "Building a better future through innovation in engineering, science and technology" This conference is the first international conference organized by the Faculty of Engineering, Sriwijaya University.

SICEST2016 received 650 submissions, that were sent to review process by SICEST reviewers. After a thorough consideration based on the quality of paper submitted. SICEST Scientific Committee selected 220 papers for SCOPUS Publication by SICEST Publication Partners. There are four SICEST2016 publication partners i.e. Jurnal Teknologi, IJASEIT, MATEC, and IAES Journals. SICEST Scientific Committee also selected 180 papers for participation in SICEST2016 in Non Scopus Publication. There are 60 participants registered as listener.

The papers in this conference are contributed by scientists, researchers, engineers, students, professional stakeholders, plant builders, consultants, government officials, marketers and professional users/buyers of energy etc., coming from 20 countries and 137 affiliations.

We do hope that by organizing this conference will bring the most exciting development on Engineering, Science and Technology for our better future. This activity will provide a forum, where all concerned, may change ideas, information and knowledge to enhance the development of engineering, science and technology.

I hope that fruitful discussions during the conference will lead to the next steps in expanding engineering, science and technology cooperation, and once again my cordial welcome, my best wishes and a memorable stay in Bangka Island. Through this occasion, we would like to apologize for any unfavorable situations that may cause inconvenience during the SICEST 2016.

**Chairman**  
**Dr. Muhammad Faizal**



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## ACKNOWLEDGEMENTS

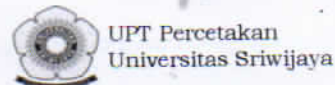
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## PROGRAM AT A GLANCE

### Day 1 (Tuesday, November 8, 2016)

08.00-07.30	Participants Arrival
13.00-18.30	Registration (batch 1)
19.00-21.00	Opening Ceremony (Welcome Party)

### Day 2 (Wednesday November 9, 2016)

07.00-08.00	Registration (batch 2)
08.00-08.15	Symposium Opening Remarks
08.15-10.00	Plenary Session
10.00-10.15	Coffee Break
10.15-12.30	<b>Symposium Session I</b>
	Poster Presentation Session I
12.30-13.30	Lunch Break & Shalat
13.30-15.30	<b>Symposium Session II</b>
	Poster Presentation Session II
15.30-15.45	Coffee Break
15.45-17.45	<b>Symposium Session III</b>
	Poster Presentation Session II
17.45-17.50	Symposium Closing

### Day 3 (Thursday, November 10, 2016)

07.30-15.30	SICEST Sightseeing (Tour) Program
15.30-17.30	Awarding & Closing Ceremony



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# **SRIWIJAYA INTERNATIONAL SYMPOSIUM ON CIVIL AND ARCHITECTURE ENGINEERING**



## Risk Allocation in Performance Based Contract Clauses for National Road Maintenance Project in Indonesia

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**Abstract:** As a new contract type for road maintenance work in Indonesia, PBC offers potential improvements in road service performance at lower project costs. However, its implementation is still facing challenges, with risk allocation between parties as one of the critical issues. The allocation of risk between project owner and contractor in a PBC contract plays an important role for the success of the project. It should be based on a proper assessment of the involved risks and choosing the party best able to manage them. The purpose of this paper is to review the practice of risk allocation between project owners and contractors in PBC contract clauses. Specifically the focus of this study is to review the clauses in the Standard Bidding Documents for the PBC work issued by Ministry of Public Works, Republic of Indonesia. The result of the analysis shows that contract clauses in PBC contract in Indonesia tend to allocate more risks to the contractor. For example the contractor has to bear the risk of inflation and exchange rate fluctuations, which have to be compensated by increasing the bid price. The contractor also has to bear risks beyond his or her capability to deal with, such as traffic overloading, bad road user behavior and improper road side activities such as informal markets using part of the right of way including drainage channels. If the owner can assume these risks with much lower costs, then the risk should be better allocated to the owner.

**Keywords:** Risk, allocation, performance, contract, roads, maintenance.

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### 1. Overview of Risk on Construction Project

All construction projects are unique and have their own risks. Such projects involve a number of parties concerned, starting with the owner, contractor, designer, suppliers, and others. All parties involved in a project inevitably carry certain risks. Risk can be defined as a hazard, a probability of it to occur and the potential of losses and resulting gains [7]. Risk can be defined as a difference of actual and expected results [11]. Risks can be managed, reduced, transferred or accepted, but it cannot be ignored [7].

Risk management process usually consists of four stages: risk identification, risk analysis, selection and monitoring of risk management techniques to the consequences of risk. The implementation phase of construction started after the owner and the contractor sign a construction contract. The purpose of construction contract agreement is to allocate the rights, responsibilities and risks between the parties. Construction business is a business with high risks, such as financial risks, political risk, security risk and risk at the time of execution which to be managed and handled by contractors. From the moment that the decision to begin design is taken until the new facility is in use, the owner is uncertain about the outcome of the project.

Risks are usually considered as uncertain future events, which, if they happen, will cause significant extra cost or delay. Generally, the project owner usually prefers to allocate most of the risk to the contractor. The impact of "must" bear a lot of risks, the contractor will perform a "trade off" to the offer price as a consequence to accept the risks that are beyond the control of the contractor [13].

Performance Based Contracts (PBC) is defined as the type of contract in which payment is made if the contractor meets the performance indicators that have been agreed in the contract. Performance Based Contracts focused on outcome (what), compared to how the work is done (how). Therefore, in terms of risk allocation, PBC is a contract that allocates a greater risk to the contractor. [5,6]. The provisions contained in the contract should clearly define "new role" of the project owners and

contractors. The parties involved would have to clearly identify all potential risks and allocate it to the party best able to manage it, for example: how to allocate risk in predicting traffic growth and how to allocate the risk of unexpected costs that are beyond the control of the contractor.

### 2. Introducing PBC in Road Maintenance Work in Indonesia

Road management authority in accordance with Indonesia Law No. 38, (2004) implements the activities (that include cycles of activities and the realization of the road which consists of regulation, development, construction and monitoring) are described as follows :

1. Regulation is the formulation of policy planning, general planning, and the preparation of legislation.
2. Development is drafting guidelines and technical standards, service, empowerment of human resources, research and development.
3. Construction of roads is the activity of programming, budgeting, technical planning, construction, operation and maintenance of roads .
4. Monitoring is the activities undertaken to aim of realizing orderly regulation, development and construction of roads. Monitoring include evaluation, assessment and control.

In handling the road condition, DGH conducts road management activities such as: periodic maintenance activities and increased structure (betterment). Basically, road maintenance activities are to maintain the condition and level of service of the road, so that they obtain the minimum total costs of transport and has a longer service age. Maintenance of roads according to the World Bank (1998) is a process for optimizing the performance of the road network throughout the year, aiming to keep these roads still function to serve the economic needs of society throughout the year and reduce vehicle operating costs. Generally, national road maintenance work uses a traditional contract with the method of delivery Design-Bid-Build (DBB). The characteristics of DBB delivery method are the contract for design work and construction work separately conducted, while routine



maintenance work is usually done by inhouse management. Other characteristics, are traditional contract using unit price, and requires technical specifications that have been set by the owner.

PBC is an approach that holds contracts with delivery methods Design-Build-Operate-Maintain (DBOM). At the PBC, design work, construction, through maintenance contracts are integrated into a single package and only to one contractor. PBC does not set the job specifications, but contractors are limited by the outcome. PBC uses lump sum fixed price and applies incentives and disincentives in the payment mechanism. With the mechanism as mentioned above, PCB diverts a significant risk to the contractor, **FIGURE 1** shows the allocation of risks in various contract strategies for the project road maintenance work.

Issue	Client to manage risk				Contractor to manage risk	
	Type of contract	Hourly rates	Single activity	Grouped activity	Performance based (short term)	Performance based (long term)
Payment method	Cost reimbursable	Target cost	Price based (schedule of rates)	Price based (admeasure)	Price based (Lump sum)	
Term of contract	Short term				Long term	
Packaging	Many small contracts				Few large contracts	

Note: No comparison of relative risk can be made from the table between different issues

Source: [2]

**FIGURE 1. Contracting Strategies and Allocation of Risk**

### 3. Risk Allocation In Indonesia's Standard Bidding Documents For PBC Road Maintenance Project

In this study, the risk of road maintenance work projects under PBC scheme is defined as uncertain events or conditions which have a negative impact on project objectives, that is increased cost of the project. List of the risks obtained through literature study of various references. Some previous researchers have conducted a study on risk identification on Performance Based Contracts [3], [4], [8], [9], [10], [14], [15], [16]. **TABLE 1** shows a list of the various risks that could potentially occur at PBC road work projects.

**TABLE 1 Risk Identification On Performance Based Contract**

No	Risk Event	Code
1	The project stalled due to changes in policy and politics	R1
2	Increasing cost of material and equipment due to inflation	R2
3	Losses due to natural disasters (floods , landslides , etc.)	R3
4	Increased cost caused by design changes by geography and topography	R4
5	Increased costs due to design errors	R5
6	Increased rework to meet the performance standards	R6
7	Increased costs due to the scope and amount of work can not be predicted	R7
8	Delays in the construction process due to incomplete specification	R8
9	Losses due to unavailability of materials, equipment , and labor	R9

No	Risk Event	Code
10	Increased costs due to fluctuations in currency exchange rates	R10
11	Disputes due to the weak ability of supervisors	R11
12	Schedule delayed due to weather conditions	R12
13	Losses due to work accident	R13
14	The dispute caused by lack of understanding of the contractual agreement	R14
15	Late payments to contractors	R15
16	The increasing volume of traffic and overloading	R16
17	The delay in the project due to the strife caused by the unclear legal framework	R17
18	Cessation of the project due to conflicts related to the legality	R18
19	Losses due to price estimation error	R19
20	Late payments due to work packages that are not included in the priority handling	R20
21	Late payments due to the budget that are not available or is available but less	R21
22	Contractor's Financial failure	R22
24	Disputes with contractors that have an impact on the delay in the construction process	R23
25	Changes in working methods caused by the lack of environmental documents	R24
26	Costs for security payment	R25
27	Blockage of drainage channels due to market	R26
28	Losses due to price escalation	R27
29	Theft of materials and equipment	R28
30	Cessation of schedule due to strike	R29
31	Rework activities due to the weak ability of subcontractors	R30
32	Disputes due to performance measurement that does not reflect the performance requirements	R31
33	Cessation project occurred due to force majeure	R32

It is important for the parties involved in the contract to understand the risks of what might happen. Contract documents is a tool for allocate risk, there is a clause in the contents of who party bears the risks and how to mitigate those risks. A review of the Indonesia's Standard Bidding Documents for PBC National Road Maintenance Project provides information on how risks allocated show in **TABLE 2**.

**TABLE 2 RISK ALLOCATION THROUGH CONTRACT CLAUSES**

No	Risk Event	Code	Risk Bearer
1	The project stalled due to changes in policy and politics	R1	Owner
2	Increasing cost of material and equipment due to inflation	R2	Contractor and owner
3	Losses due to natural disasters (floods , landslides , etc.)	R3	Contractor and owner



Code	Risk Event	Code	Risk Barrier
R10	Increased cost caused by design changes by geography and topography.	R4	Contractor
R11	Increased costs due to design errors	R5	Contractor
R12	Increased rework to meet the performance standards	R6	Contractor
R13	Increased costs due to the scope and amount of work can not be predicted	R7	Contractor
R14	Delays in the construction process due to incomplete specification	R8	Contractor
R15	Losses due to unavailability of materials, equipment, and labor	R9	Contractor
R17	Increased costs due to fluctuations in currency exchange rates	R10	Contractor
R18	Disputes due to the weak ability of supervisors	R11	
R19	Schedule delayed due to weather conditions	R12	Contractor
R20	Losses due to work accident	R13	Contractor
R21	The dispute caused by lack of understanding of the contractual agreement	R14	Contractor
R22	Late payments to contractors	R15	Contractor
R23	The increasing volume of traffic and overloading	R16	Contractor
R24	The delay in the project due to the strife caused by the unclear legal framework	R17	Contractor and owner
R25	Cessation of the project due to conflicts related to the legality	R18	Contractor and owner
R26	Losses due to price estimation error	R19	Contractor
R27	Late payments due to work packages that are not included in the priority handling	R20	Contractor
R28	Late payments due to the budget that is not available or available but less	R21	Contractor
R29	Contractor's Financial failure	R22	Contractor
R30	Disputes with contractors that have an impact on the delay in the construction process	R23	Contractor and owner
R31	Changes in working methods caused by the lack of environmental documents	R24	Contractor
R32	Costs for security payment	R25	Contractor
R33	Bad road user behavior and improper road side activities such as informal markets	R26	Contractor
R34	Losses due to price escalation	R27	Contractor
R35	Theft of materials and equipment	R28	Contractor
R36	Schedule delay due to strike	R29	Contractor
R37	Rework activities due to the weak ability of subcontractors	R30	Contractor
R38	Disputes due to performance measurement that does not reflect the performance requirements	R31	Contractor
R39	Project termination due to force majeure	R32	Contractor and owner

The result of the analysis shows that contract clauses in PBC contract in Indonesia tend to allocate more risks to contractor. For example contractor has to bear the risk of inflation and exchange

rate fluctuations, which have to be compensated by increasing the bid price. Contractor also has to bear risks beyond his or hers capability to deal with, such as traffic overloading, bad road user behavior and improper road side activities such as informal markets using part of the right of way including drainage channels.

#### 4. CONCLUSION

PBC projects in Indonesia allocates more risk that a significantly affects on the increase in the project cost to the contractor party. For example the contractor has to bear the risk of inflation and exchange rate fluctuations, which have to be compensated by increasing the bid price. The contractor also has to bear risks beyond his or hers capability to deal with, such as traffic overloading, bad road user behavior and improper road side activities such as informal markets using part of the right of way including drainage channels. The road manager doesn't bear much risk that a significantly impacts on increase the project cost, because the payment mechanism used in PBC is lump sum fixed price.

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