

INDONESIA:
**Credit 4204-IND: Third Water Supply and Sanitation for Low Income Communities
Project (WSLIC-3 / PAMSIMAS)**

September 27 - November 19, 2010

Draft Mid-Term Review (MTR) Aide Memoire

I. Introduction

1. A World Bank Mission carried out MTR supervision mission from September 27 to November 19, 2010. The team was led by Mr. George Soraya. The mission started with a kick-off meeting in Jakarta on September 27, 2010, followed by a series of meetings and discussions at central level which were held with key officials from Bappenas, the Ministry of Public Works (Dep. PU), the Ministry of Health (MoH), and the Ministry of Home Affairs (PMD and Bangda). At the provincial and district levels, the mission together with implementing agencies met with PPMUs, DPMUs, the coordination team, the technical team, provincial consultants (PMACs), kabupaten consultants (DMACs), facilitators, and communities. During field supervision, the mission visited 7 provinces, 13 kabupaten/kota, and 41 villages. In addition, the team conducted teleconferences and had discussions with all stakeholders (PPMUs, DPMUs, Satkers, Provincial Trainers, Facilitator Coordinators, Facilitators, and community) from 4 provinces and 4 kabupaten/kota. The team would like to express its gratitude to the Government of Indonesia (GOI) and CPMU for organizing and participating in this mission. A list of mission members and visited villages is attached as Annex 1.

2. **Objectives.** The objectives of the Mid Term Review (MTR) mission are to: (i) review the overall progress of the project, including disbursement, FM, procurement, safeguard; (ii) evaluate the performance of the project in terms of impacts, outcomes, and output against its performance indicators; (iii) assess the project implementation at all levels (central, province, district and village); (iv) assess the need of restructuring based on the implementation experience to date, and if the project does not need restructuring, identify areas to be improved and possible implications in terms of achieving the PDO; and (v) assess remaining works for achievement of the Project Development Objectives, as outlined in the Financing Agreement and Project Appraisal Document (PAD) of Pamsimas.

3. **Outline.** This aide memoire outlines progress achieved, outstanding issues and proposed actions. Its contents will be discussed with the Government at a wrap-up meeting on November 19, 2010. It is divided into fifteen sections with twelve annexes.

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II. Project Background

4. In May 2006, the Executive Directors approved an IDA credit¹ to the amount of US\$137.5 million equivalent to the Government of Indonesia (GoI) in support of the Third Water Supply and Sanitation for Low-Income Communities Project (WSSLIC-3)--better known under its Indonesian acronym: PAMSIMAS (*Penyediaan Air Minum dan Sanitasi Berbasis Masyarakat*). The loan became effective on June 6, 2008. The closing date is June 30, 2013.

5. The project effectiveness was delayed by about two years because some of the effectiveness conditions were not met. There was significant delay between Negotiation and Signed Credit Agreement due to the need of public notary as witness and document keeping for procurement. The problem was insufficient funds to hire a public notary. The Bank could not get a grant for it and the government could not finance it. Eventually, it was agreed that the LKPP act as replacement notary, which was acceptable to the Bank.

6. Another major cause of delay was late submission of the Implementation Manual acceptable to the Bank. The absence of Implementation Advisors for completion of manuals, compounded by lack of coordination between various parties, significantly slowed down the completion of these conditions for effectiveness. In addition, changes of staff that occurred in the Ministry of Public Works added to the learning curve. The delay in effectiveness also caused a

¹ IDA Credit No. 4204-IND.

delay in the selection process of all consultants. CMAC was only mobilized in March 2009 and PMACs were only mobilized completely in December 2009.

7. The Government started the project implementation in early 2008 with mobilization of facilitators and trainers funded from domestic sources. Local Governments' enthusiasm to participate in the project was much higher than expected. About 110 local governments expressed their interest to participate in the project and to provide the required counterpart funds. The Government decided to expand the project coverage to accommodate this request. In the absence of PMACs on the ground, the Government modified some of the functions of trainers as well as facilitators to support the project implementation. This modification was based on the experience of the other CDD projects in MPW. However, this was not fully successful as the quality of the project in 2008 was unsatisfactory.

8. In 2009 the PMACs were mobilized and the project performance began to improve. Modifications had to be made to their TORs to accommodate changes in the scope of the project, as well as learning from the 2008 experience and accommodating other CDD experiences. Despite improvements, some weaknesses remain and PMAC needed a longer learning curve. As a result, despite significant improvement quality of the implementation, the sanitation component was particularly below expectation.

9. Since 2009 the Government has adopted a strict annual target for all programs closely monitored by a special unit under the President. While this is a welcome development in general, it has caused certain problems for CDD type programs where implementation is dependent on the community's capacity. To ensure that such an annual target does not negatively impact upon the project performance, a few design modifications need to be adopted.

10. In 2010 all implementation support systems were fully in place and the project is now operating in over 3,500 villages, 108 local governments and 15 provinces. The Government has decided to use PAMSIMAS as a national program to deliver rural WSS in Indonesia. Despite good progress, some issues remain prevalent in the project such as coordination and low achievements of sanitation.

III. Overall Progress and Performance

11. **Overall Progress.** Overall, progress towards attainment of the PDO and implementation progress (IP) are rated as **Moderately Satisfactory**. As of mid October 2010, the project had been fully implemented in 2,453 (50%) villages and half-way implemented in 1,450 (30%) villages, out of 5,000 targeted villages. The project has facilitated 3,830 community organizations (LKMs) and 2,380 O&M bodies (BP SPAMS). The project has also facilitated 3,600 community action plans. The project has succeeded in improving access of water supply for more than 2.17 million beneficiaries, and improved sanitation access has benefitted 200,000 beneficiaries. More than 1.8 million beneficiaries have been trained on hygiene programs. More than 95% of targeted schools have improved sanitation facilities and adopted hygiene programs. 100% of districts have replicated Pamsimas approach outside targeted communities. About USD 89.8 million (60.7% of total credit) was disbursed by mid October 2010. Overall, most of the

Key Performance Indicators are on target, except for sanitation. The key performance indicators and project output is presented in Annex 2.

12. The project performance is continuously improving. Water supply component is making good progress, although due to limited capacity in some areas the quality is low, especially in some Eastern regions. Sanitation component remains problematic and requires special attention in the next few months. Village targeting process could be improved. While in most cases the project service is required by community, the selection process in some provinces has been problematic, such as in Banjarnegara, Central Java. Capacity building for village level is adequately available through project manuals, technical guidelines and socialization materials, as well as trained facilitators, although ongoing coaching is still limited. Capacity building at district level has not yet fully started. The implementation of village incentives is slightly delayed for a couple of months but will be started at the end of 2010. All CMAC and PMACs are mobilized. MIS is progressing and spot checking by CMAC has started, although both of them still require improvements. Financial Management at all levels has improved and central level, in terms of financial reporting, has also improved and the backlog of pending expenditures has significantly reduced. Table 1 presents the summary of performance rating of Pamsimas.

Tabel 1. Summary of Overall Performance

Performance	Rating at MTR
Overall	Moderately Satisfactory
Project Development Objective	Moderately Satisfactory
Implementation Progress	Moderately Satisfactory
Project Management	Moderately Satisfactory
Counterpart Funding	Satisfactory
Component 1	Moderately Satisfactory
Component 2	Moderately Unsatisfactory
Component 3	Moderately Satisfactory
Component 4	Satisfactory
Component 5	Moderately Satisfactory
Disbursement	Satisfactory
Financial Management	Moderately Satisfactory
Procurement	Moderately Satisfactory
Monitoring and Evaluation	Moderately Satisfactory
Social Safeguards	Satisfactory
Environmental Safeguards	Moderately Satisfactory
Anti Corruption Action Plan	Moderately Satisfactory

IV. Disbursement, Revised Project Cost and Financing Plan

Disbursement

13. Overall, the rating for disbursement is **satisfactory**. Total amount disbursed as of October 25, 2010 was XDR 57.2 million or equivalent to USD 89.8 million (60.7% of total credit). The outstanding Designated Account balance as of Client Connection dated October 25, 2010 was for \$33.98 million. The Bank Statement from Bank Indonesia dated October 1, 2010 only shows \$9.48 million (27.9% of total DA); an additional advance was made by the Bank on October 14,

2010 for \$15 million, thus the total expenditures for the project were \$65.3 million, representing 44.2% of PAMSIMAS allocated credit for XDR 94.1 million, which is equivalent to \$147.8 million as of October 25, 2010. The detailed disbursement can be seen in annex 3.

14. The last application submitted by the project covered the Interim Financial Report for the reporting period of June 30, 2010 accounted for expenditures during the previous quarter amounting to \$4.16 million with an additional advance requested for \$15 million. The IFR was submitted on October 8, 2010. The mission urged the project to submit IFR within 45 days upon each reporting period (quarter) and also to settle the pending items for the ineligible payments of \$ 76,066 and Rp. 5,964,200 (as stated in the Bank's letter dated February 18, 2010).

Revised Project Cost and Financing Plan

15. **Project Cost.** The original project cost was \$275.1 million. So far the project has spent \$139.4 million of which \$89.8 million came from IDA. Fluctuation of the currency and strengthening of the Rupiah lately has caused some changes to the fund available. When the project started in 2008, the currency was IDR 9,300/USD and in 2010 the exchange rate on average was IDR 8900/USD. In between, the exchange rate ranged between Rp9,000 to Rp10500/USD. The project still has to provide support for 1,100 villages in the remaining period of time. The Government was supposed to provide 60% of the technical assistance for 2010 and so far it has allocated only 40%. Based on the current conditions, more implementation support would be required to ensure successful achievement of the development objectives, especially in the regions where the capacity is weak for the sanitation component. All facilitators have been financed by the Government amounting to \$14.7 million. Table 2 presents the new project cost and financing plan based on various changes that need to be introduced.

16. **Credit Reallocation.** Based on the need for the remaining period of the project implementation and to enhance likelihood of objectives achievements, the Credit allocation in each of the categories needs some adjustments. The reasons for these adjustments are: need of stronger capacity building, additional technical assistance funding for additional implementation support and the availability of the AUSAID Trust Funds which could be utilized for some components of the project. Also, based on the calculation, there are savings of IDA credit. The Governments intends to use these saving to strengthen the achievements, sustainability and additional coverage. Furthermore, the Government intends to assist community covered during FY 2008, which was deprived from the latest learning and development in PAMSIMAS. Table 2 provides details of project estimated expenditure

Table 2. Project Estimated Expenditure and Financing Plan (US\$)

No.	Component	Original (PAD)		After SDR Fluctuation		Revised		Difference \$ million
		Bank	Total Cost	Bank	Total Cost	Bank	Total Cost	
		\$ million	\$ million	\$ million	\$ million	\$ million	\$ million	
1	Community Empowerment & Local Institutional Development	4.2	8.7	4.6	9.1	4.2	8.7	0.4
2	Improving Hygiene and Sanitation Behavior Services	13.4	25.2	14.5	26.3	13.4	25.2	1.1
3	Water Supply & Public Sanitation Infrastructure	102.5	182.7	110.8	191	105.84	151.2	4.96
4	District & Village Incentives Grants		5.1		5.1		10.6	0
5	Implementation Support & Project Management	16.1	52.1	17.4	53.4	17.4	60.48	0
6	Unallocated	1.3	1.3	1.4	1.4			1.4

V. Overall Key Issues

Project Design Improvement

17. **Key performance Indicators (KPI) of Pamsimas.** Most definitions of Pamsimas KPI have been agreed and understood by stakeholders of Pamsimas, although some KPIs need elaboration to have better understanding and perception of it. During the MTR mission, the team conducted discussion regarding the KPI of local government and health components:

- (i) On KPI of *Capacity building plan to support the adoption and mainstreaming of the PAMSIMAS approach, and progress towards achieving its objectives.* It is agreed to understand this as a WSS strategic plan owned and developed by local government.
- (ii) On KPI of *percentage of target communities free of open defecation.* It is agreed to use dusun instead of desa as unit to measure the achievement of ODF. Although in the facilitation, instead of dusun, desa is still be used as entity for ODF declaration. The achievement of ODF is measured by number of ODF dusun versus total dusun that get pamsimas facilitation
- (iii) On KPI of *percentage of target communities adopting hand washing programs.* To have consistency with the ODF measurement, this KPI will also use dusun as basis for measuring its achievement.
- (iv) On KPI of *Number of additional people with sustainable access to improved sanitation facilities, differentiated by socioeconomic status.* It is agreed that improved sanitation in this KPI is referred to the Joint Monitoring Program for Water Supply and Sanitation (JMP) definition. The report type of improved sanitation is (i) Flush/pour flush to: piped sewer system, septic tank, and pit latrine, (ii) Ventilated improved pit (VIP) latrine, (iii) Pit latrine with slab, and (iv) Composting toilet. Types of unimproved sanitation are (i) Flush/Pour flush to elsewhere, (ii) Pit latrine without slab/open pit, (iii) bucket, (iv) Hanging toilet/hanging latrine, and (v) No facilities, bush or field. It is recognized that GoI in its MDG report 2004 refers to the basic sanitation instead of improved sanitation. However, in its MDG report 2010,

GoI used term Improved Basic Sanitation which is closer to the understanding of Improved Sanitation. In addition, it is agreed that shared / public toilet will be counted into improved sanitation

The remaining definitions and data sources of Pamsimas' KPI can be found in annex 4.

18. **Project Cycle.** As currently being implemented, support to a targeted village lasts for one year whereas support to the local government lasts for three years. From experience in the last 2 years, one year intervention is insufficient to ensure ownership and understanding of the community to the program. In addition, pressure to disburse the funds at the end of year has compromised the time for community facilitation. Based on discussion with the Executing Agency, the project cycle should be modified to allow for better facilitation. This modification includes approaching the PAMSIMAS cycle as part of larger WSS national program, and re-designing the facilitation to the community process for a longer period of time. Beginning FY 2011, every village will receive support for 3 years. For the first 12 months a team of three facilitators will support 3 villages, and in the remaining 24 months a team of three facilitators will support all villages under a local government. Similar to the field level, the program approach does not work effectively at the central level. Attention is only given for implementation of annual plans instead of effectiveness of the overall program. To achieve the WSS MDG target of 74% water supply coverage and 77% sanitation coverage, the government should not only focus on the annual achievements, but also sustainability of the existing investments and post construction monitoring and support. It was agreed that this new arrangement will be fully in place for 2011 implementation.

19. **Selection of Villages and Kabupaten.** Overall, the areas visited were well targeted and were in need of improved access to water and sanitation. However, in some of the areas targeting process was not transparent and below standard. For example, in kab. Kota Baru, South Kalimantan the water is only used for short periods in the year; in kab. Boalemo, Gorontalo, the village already had water access and PAMSIMAS fund was used to increase capacity and time of service. The initial finding of baseline survey shows that the indication of mis-targeting might have taken place in some areas. The access to clean water and sanitation in the Pamsimas villages is quite high, as can be seen in table 3 below. Dissemination of the selection criteria was limited in some places visited. There are two key criteria: need for water and sanitation service and poverty targeting. In 2008 the selection was not properly done but improved in 2009 and 2010. The selection in 2008 was led by local governments without involving PMAC and DMAC for their review. Selection is particularly poor in kab. Banjarnegara, kab. Ogan Hilir, and some kabupaten in NTT. To move forward several steps should be taken:

- a. Review the priority local government list based on the latest national statistic (BPS) on rural water and sanitation service. Some local governments, such as kab. Boalemo, have exhausted villages that need support for basic needs and thus they could be removed from additional support. In some local governments the need is more than 45 and thus they could receive additional villages as required.
- b. CMAC reviews the manual of selection process to ensure inclusion of DMAC in the selection process and to develop a socialization strategy to ensure that information reaches all stakeholders.

- c. CMAC should prepare a check list for selection criteria and randomly check selection of villages, especially in high risk areas.
- d. DMAC is to facilitate completion of a long list of target villages, and selection for 2011 and 2012 by November 30, 2010. This selection must be endorsed and verified by DMAC and PMAC.

Table 3. Household Characteristic in Treatment and Control Areas

Characteristic	Treatment		Control	
	2008	2009	2008	2009
Access to clean water	70.07	80.19	71.43	80.76
Access to sanitation	50.35	73.70	49.80	76.97
Diarrhea	59.12	64.79	62.78	67.61

Source: initial findings from pamsimas baseline survey

20. **Requirement of ODF prior to Water Supply investment.** The original project design that requires community to reach Open Defection Free (ODF) prior to the implementation of the water supply was ineffective. Time constraints compounded with unavailability of water made it difficult for facilitators to achieve the level of awareness required for ODF. Furthermore, the fact that the project requires the annual budget be spent before December put pressure on the Government to spend the money. Time required to reach ODF is unpredictable and the community in most cases refused to have a toilet without having water first. In 2009, CPMU decided to carry out the ODF process and provision of Water Supply as a parallel process. While this approach is a sound step, it was not accompanied with proper strategy for post water construction support in the village, and as a result follow-up on the ODF initiative was completely left to the Sanitarian in the Kecamatan without sufficient project monitoring. To move forward CPMU needs:

- (i) To revisit 2008 and 2009 villages in order to re-conduct ODF triggering and monitor the ODF achievement
- (ii) To facilitate the enabling environment (village regulation on ODF, and supply increasing, not only focused on demand creation).

21. **Local Government counterpart.** Local Governments under the project are expected to provide 10% of the fund prior to disbursement of the IDA. However, due to the incompatible budget cycle and, in some cases local political dynamics, such funding has been delayed. As a result, project implementation has been delayed in some areas. To rectify this, the Government has agreed to change the order of the disbursement by making Local Government tranches flexible according to their time availability. It is agreed that the disbursement of local government counterpart is required before the disbursement of tranche 3 of village grant. Otherwise, the rest of grant will not be disbursed.

22. **Community cash contribution.** In general there has been no significant problem on the ground. There have been no reports of community being dropped from the project because of

unavailability of 4% cash contribution. In some cases the contribution is provided only by a certain segment of the population, mainly the rich, and as a result, provided them with opportunity for cooptation of service. In other instances, community contribution was provided from other village sources and not from collection of funds from community. These kinds of cases could have been avoided if sufficient time for community consensus building and awareness had been allocated.

23. **Allocation per village.** There is a tendency for facilitators and village community to plan for a fixed allocation of Rp275 million per village irrespective of the need. In some places this caused over design or under design of WSS construction and/or under coverage of population. Project original design allows for adjustment of village allocation according to the actual need. For 2011 the mechanism needs to be established to allow Local Governments, with assistance of DMC and PMAC, to allocate the funds according to the actual need. The final allocation should be decided after every village has completed their RKMs, which is approximately six months of intervention. CMAC, with assistance of PMAC, will monitor the village allocation and will provide support as required. If certain areas, due to the condition, require significantly more funding than allocated in kabupaten, special additional budget should be made at Central Satker to meet this need; it is expected this would not be more than 5% of the total annual budget. All villages that require additional funding from central will need prior approval of CMAC. The detailed mechanism can be seen in annex 5. It is expected that this new arrangement be implemented in 2012.

Project Management

24. **Project Management.** Over the period of implementation, overall project management has continuously improved. At the central level, the understanding of the CPMU on large scale CDD operations has significantly strengthened. CPMU has also been strengthened by new staff and a deputy CPMU. The main area that needs to be strengthened in Central and Provincial Satker is the capacity to conduct procurement for consultants. Major delays have been continuously taking place on the contract management. The delay in contract process has occurred for the following consultants: evaluation consultant, individual consultants for implementation, capacity building, local government, health, and PMAC amendment. Overall, the Satkers need capacity building of contract management and program management. A training package needs to be developed annually at the beginning of the calendar year. In order to ensure continuity of the implementation, all Satkers must be appointed on the basis of multi year. This is now allowed under a new regulation recently issued. The team will seek confirmation in the pre wrap-up meeting on feasibility of this.

25. **DPMU.** DPMU have been modified to include other agencies and overall their functioning has improved. However, coordination and collaboration remains low. PAMSIMAS has objectives for water and sanitation access improvements, and to improve health behaviors of the targeted villages. Such objectives cannot be achieved without close cooperation with other agencies, specially PMD and Dinas Kesehatan at central and local level. So far the DPMU is still very MPW focused. Overhead funds for DPMU are used by Dinas PU without clear distribution to the other agencies. There is a need for clear guidance to the local government on distribution

of the overhead allocation. Bangda will need to issue guidelines on the use of BOP of DPMU by November 30, 2010.

26. **Management Information System.** Overall MIS project performance is improving but there is a need to sustain the achievements thus far. The web based MIS of Pamsimas has gradually completed the wide range of important data and information, such as quick status, online submission SP2D, complaint handling among others. The challenge faced by MIS is to provide complete and reliable data. It was found that two KPI data on health component were mostly unfilled, which led to misinformation to the stakeholders. The data on number of improved sanitation built by community was only filled by 35 facilitators in 2008 and none of them in 2009. To rectify this situation, CPMU needs to assign sustainability facilitators to update all data of 2008 and 2009 villages in the first couple of months. The updated MIS data is expected to be ready on the website by December 15, 2010.

27. **Consultants of Health & Hygiene Component.** In almost all areas visited the consultants (Health Expert) were not meeting the required performance quality. In most cases the people recruited were not able to deliver the service required and the relative slow achievements of this component could be attributed to this problem. In many instances the capacity of consultants was lower than facilitators whom they are supposed to guide. Another issue is the level of ownership of the Dinas Kesehatan and sense of belonging of consultants to Dinas Kesehatan remains poor. CPMU must clearly inform the PMAC to ensure that all consultants performance related to health component will have their accountability to, and will be evaluated by, Dinas Kesehatan. CPMU, together with Dinas Kesehatan and PMAC team leaders need to review all staff and personnel of health consultants of PMACs and replace those non performing ones by November 30, 2010.

28. **Nusa Tenggara Timur.** This area has the highest need of the project, but unfortunately the quality of program management at all levels is poor. This is compounded by very poor performance of PMAC. NTT disbursements should be withheld until significant improvement be made by PMAC. In NTT the problems found are: mis-targeting, lack of transparency in selection and fund utilization, and poor quality control. The disbursement should not be made until PMAC NTT: (i) has prepared follow-up action on the findings together with the deadline on strategy to handle the shortcomings in the areas of village selection, in-cash contribution, community procurement, block grant eligibility, capacity of consultant, consultant management, and etc. The following actions should be also conducted together with DPMUs and PPMU; (ii) has conducted significant improvement based on above strategy.

29. **Period of Facilitator Assignment.** Based on the above new project cycle (para. 8) the Government needs to reconfigure the assignment of facilitators, including period of service. Village intervention requires 3 facilitators for 12 months. This means for 2011 there is a need for 1,100 facilitators for new villages. At the same time existing villages need further support to reach the level of sustainability for another 24 months. For every local government, three experienced facilitators, selected from the existing facilitators in Kabupaten, will be assigned to help the villages to carry out the remaining program and to reach a sustainable level of operations. Diagram 1 shows the division of work by facilitators. For 2011 and 2012 the following numbers of facilitators need to be budgeted as shown in table 5.

Diagram 1: The Division of Works of Facilitators

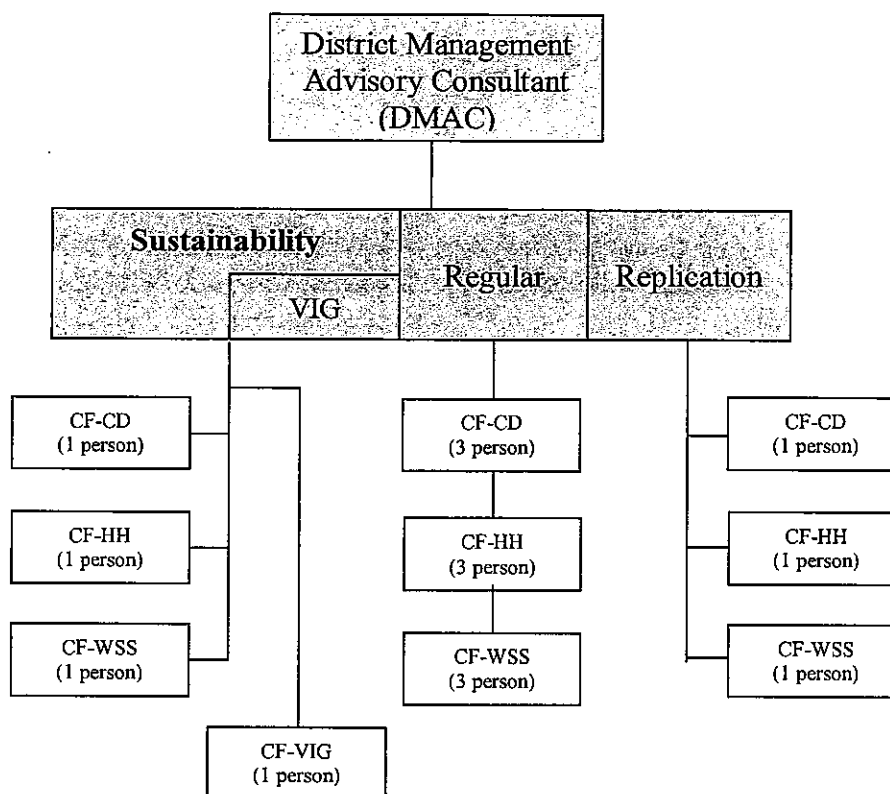


Table 5. Required Facilitators in FY 2011 and 2012

Year	Type of Facilitator	Number	Requirement	Months
2011	Regular Facilitators	1100	1 facilitator * 1100 villages	12
	VIG Facilitators	116	1 facilitator * 116 villages	12
	Sustainability Facilitators	330	3 facilitator * 110 districts	12
2012	Regular Facilitators	500	1 facilitator * 500 villages	12
	VIG Facilitators	116	1 facilitator * 116 villages	6
	Sustainability Facilitators	330	3 facilitator * 110 districts	12
TOTAL				

30. **Facilitator Transportation Allowance.** This needs immediate adjustment. Some facilitators need extra ordinary cost of operations. A standard amount has been allocated for all facilitators. All PMAC must provide a special report for 2011 for areas of extreme conditions. A budget should be provided by Provincial Satkers to allow for additional allowance for special areas.

31. **AusAID.** The Government of Australia has agreed to provide some additional Grant funds to support PAMSIMAS program. Two Grants have been provided. The first one is amount to A\$10 million (Grant Phase 1) and second Grant of AUSS\$ 22.5 million (Phase 2) under WSI program. Administrative Agreement between AUSAID and The Bank for the Phase 1 Grant was signed in May 2009, and about A\$ 8 million has been dedicated for Government Executed. This Grant supports capacity building and Village Incentive Grants of PAMSIMAS. The

Administrative Agreement of the Phase 2 Grant was approved in June 2010, of which A\$20 million is dedicated for Government Executed program. The aim of the fund was to expand the coverage of PAMSIMAS to additional 600 villages, including providing additional fund for implementation support. The Grant Agreement between the Bank and GOI for WSI is expected to be signed in November 30, 2010. It is expected that all program will be implemented in 2011 and 2012.

32. The activities funded by AusAID 1 (US\$ 5.6 million) begin to make good progress. Several workshops and trainings funded by AusAid have been conducted: road-show for local government in 4 clusters , training for provincial satkers and DPMU in 4 clusters , regional coordination meeting in 4 clusters, TOT and training for VIG and sustainability facilitators at central and each provinces, and review manual and guidelines . The village incentive grant scheme also has started in 30 villages out of 116 planned villages. CPMU has issued approval on selected 30 villages; as well 30 VIG facilitators have been mobilized to the field. It is expected that all VIG funds for 30 villages will be totally disbursed before end of 2010. CPMU also has hired 30 facilitators for VIG and 330 sustainability facilitators using AusAID funds. The sustainability facilitators will be hired for 18 months up to June 2012. CPMU is expected to have separate monitoring for AusAID fund activities and submit AusAID annual report, as well expedite the signing process of GA for second AusAID fund. The detailed description on AusAID phase 2 up to June 2010 can be seen in annex 6.

Sustainability

33. **Sustainability Stage.** Although from the visited areas the water supply systems are functioning, in certain areas there is serious risk of non-sustainability of investments, especially those built in 2008 where the facilitation was minimal. To enhance the sustainability, the Government has taken a good initiative to mobilize special facilitators to assist all villages post construction. The selected facilitators are those best performing in each of the kabupaten. However, there is a need to have special arrangements for transportation allowance as they have to regularly visit at least 30 villages. CMAC, with assistance of CPMU advisor, have prepared a TOR for the facilitators and performance criteria as well as accountability mechanisms. MIS should be able to provide information of basic elements of the program. Funding allocation also needs to be provided either in PMAC or in Satker for community training and capacity building, and to support the facilitators operations.

34. **Association of BP SPAMS.** The sustainability of BP SPAM necessitates establishment of an association in each Kabupaten. The objective of the association is to enable the members to pool their resources to improve quality of service, technical support as well as allowing them to jointly discuss with the local government in case there is a need for some regulatory support and mediation (inter village water resources). The Association should fund operations from its members which should be included as part of a tariff. For this purpose the Sustainability Facilitators (SF) should be given responsibility to facilitate the formation of the Association. All kabupatens should have Association formed before closing of the project in December 2012. It is very important that the formations are not based on a formula, rather through a process of awareness raising through a series of FDG with BPSAM. Training materials for BPSAM

should include the introduction of the Association. Local Government (PMD) should be actively involved in the facilitation of this formation.

VI. Component 1: Community Empowerment and Local Institutional Development (US\$ 8.6 million)

35. **Objectives.** The objectives of this Component are: (i) to enable PAMSIMAS communities to organize, plan, manage and sustain their water, sanitation and hygiene (WSH) improvement programs; (ii) to enhance the capacity of Local Government institutions for quality program management, and (iii) to build the commitment and capacities of central, provincial and district government agencies to mainstream and scale up PAMSIMAS for replication in and beyond the immediate project target areas.

36. **Overall Performance.** The overall performance of this component is **moderately satisfactory** due to most of the key performances having either met or exceeding the target. However, some of the features are not fully in place yet. The target of enabling communities to develop and implement the community action plan (RKM) and the number of districts that are replicating Pamsimas approach exceeds the target. However, the number of districts that have capacity building plan to support the adoption and mainstreaming of the community-based WSS approach is slightly below target and the magnitude of increased annual district expenditure as a result of the strategic plan implementation is not yet available. The detailed description of the overall performance of sub-components under component 1 can be found in annex 7.

37. **Achievement.** At the community level, as of mid of October 2010, the project has enabled the community to develop and implement community action plans in 3,629 villages while the KPI is targeting for 2,550 villages up to this year. At the district level, 33 out of 110 districts and 6 out of 15 provinces have established an inter-agency forum of WSS (or Pokja AMPL), while 37 out 110 districts and 6 provinces have issued a Strategic Plan (Renstra) of community based WSS. In addition, 210 villages in 83 districts have carried out replication of PAMSIMAS approach on provision of the village water supply and sanitation facilities. As a result, the districts contribute of \$8.2 million (or 19 % of the estimated cost as written in PAD) for replication of Pamsimas approach and cost-sharing or counterpart fund.

38. **Key Issues and recommendations.** The key elements for implementing CDD process at community level are adequately available; for instance project manuals, technical guidelines and socialization materials, as well as trained facilitator. However, some improvements are needed in the following areas:

- *CDD process at community level.* The optimal process has been hindered by management issues, such as insufficient budget for training facilitators, lack of coaching to facilitators from PMAC, insufficient budget to travel to districts frequently, limited time for post-construction support, insufficient facilitation period and lack of strategy for broader post construction support. Overall, socialization activities have been limited to workshops and printed media only. Media and socialization events are not yet formulated to strengthen health and WSS issues. Socialization for post-construction phase is not yet prepared. CPMU needs to: (i) request CMAC to submit the training evaluation regularly and conduct training

rectification when necessary; (ii) transfer training budget to PMAC contract, and (iii) expedite PMACs' amendment process to enable them to conduct regular coaching for facilitators.

- Local and Provincial institutions capacity building (CB). There is a lack of support for this sub component. The CB Specialist at CMAC, only one person, has been assigned for overall capacity building activities, which is unrealistic for such a large program. The technical guidelines distributed for CB at local and provincial level without other required printed media has been produced. CPMU needs to: (i) expedite the process of CB Expert/Advisor recruitment who will formulate the capacity building strategy/framework together with CMAC, (ii) adjust the TOR of Participatory Development specialist to reflect the responsibilities on CB and (iii) adjust CMAC structure to have a sound CB team.
- Scaling up And Mainstreaming Community Driven WSS progress has been behind schedule. The role and function of Pokja AMPL is limited to a coordinating body and does not have local policy-making function. This has resulted in difficulties in incorporating WSS strategic plan (Renstra AMPL) into district annual planning and budgeting process. In most of the visited provinces and districts, the Local Water and Sanitation Strategic Plans (Renstra) have not been updated since issued in 2008. Despite regular annual workshops for executives and legislators being carried by Bangda annually, their capacity for expanding community-based WSS program is still limited. To rectify the situation CPMU (led by Bangda) needs to: (i) enhance the role and function of Pokja AMPL in leading local WSS Policy-Making to be able to carry the following mandates in initiating local regulation, carrying out consultative dialogue and so on, (ii) ensure incorporation of WSS Plan into district annual planning and budgeting process; for districts that already have Renstra AMPL, carry out a review for translating it into annual planning and budgeting process, such as RPIJM and RKPD, is a must; for districts without Renstra, AMPL shall develop a comprehensive WSS plan, (iii) review the effectiveness of the regional workshops of mainstreaming PAMSIMAS approach to local legislator and executive and develop strategy for socialization or media development (advocacy tools) for local legislative and executive.

VII. Component 2: Improving Hygiene and Sanitation Behaviour and Services (US\$ 24.7 million)

39. **The objective** of this component is to ensure targeted community households gain access to improved sanitation of their choices, are using improved WSS infrastructure effectively, and are progressively adopting key hygiene practices. The following are key performance indicators for this component: % of target communities free of open defecation, % of target communities adopting hand washing programs, % of targeted schools that have improved sanitation facilities and hygiene programs. This component is also a main contributor to overall project outcome indicators for an additional 6-10 million people with sustainable access to improved sanitation, differentiated by socioeconomic status.

40. **Overall performance is moderately unsatisfactory.** Despite achievements in two out of three key performance indicators i.e. on (i) hand washing programs and improved school hygiene programs and (ii) counterpart of the Ministry of Health are satisfactory, the overall

access to improved sanitation is very low. The detailed explanation on component 2 can be found in annex 8.

41. **Achievement.** The achievement of component 2 is measured using MIS data and MOH database. Based on Pamsimas' MoH database, additional people having access to improved sanitation facilities from the project are up 200,000 people out of 2-3 million targeted people. However, due to the lack of understanding, MIS only records 15,000 people. Meanwhile, 633 communities (dusun) have been declared as ODF communities out of 8,979 overall number of dusun in Pamsimas villages, which represents an ODF rate of 7%. The achievement of hand washing program and improved sanitation facilities and hygiene programs in schools are 47% and 51% respectively.

42. **Key Issues.** Uneven implementers' capacity, such as community facilitators, district health consultants, sanitarians, and midwives as front liners of this component who have to facilitate and communicate face to face with community during triggering is one factor that has differentiated progress of this indicator from one district to another. In Boalemo five out of twelve "2009 villages" have been declared ODF. Even in Bukit Karya village of Boalemo, before Pamsimas arrived only 4 families had latrine which increased to about 180 families as a direct result of Pamsimas aid. However, a different case is evident in Kota Baru. Out of five triggered villages, four of them did respond at all, and only a couple of families in another village responded and were willing to change their behaviour by constructing and using a latrine for defecation. The results are mirrored in Banten too.

- **Lack of enabling environment.** So far this component has only focused on demand creation aspect for community to receive better sanitation service by implementing capacity programs, such as trainings for triggering facilitation skill (basic CLTS approach). In order to fill the gap between current project achievement and project target as mentioned in PDO, this component has to work in two other areas beside demand creation: increase supply and, most importantly, enable environment, such as in the case of Bukit Karya village. One factor contributing to the success of increased access is the village office issued village regulations regarding open defecation that enabled community to place more concern on environmental health issues, in addition to the high support and attention from Dinas Kesehatan. MoH, supported by CPMU and CMAC, need to develop an advocacy package and incentive mechanism for local governments in order to increase district ownership, as well as to establish training/capacity and activities in relation to increasing supply side issues by December 15, 2010.
- **Lack of Coordination and Technical Assistance.** Coordination between Dinas Kesehatan and project consultants in most of the places is growing well. Partnership in delivering CLTS training and triggering in villages is evidenced. However, district teams for component-2 need more intensive coordination and guidance both at central and provincial level. As mandated in PAD, the Pamsimas districts need to develop Total Sanitation Campaign (TSC) strategy. One of the rationale behind it is as KPI in Component-2 is more to behaviour change rather than construction of infrastructure, a

strategy that structures activities to promote community willingness to change behaviour is needed. It should cover activities that bind stakeholder to commit, involve and to endorse consistency on implementation the Community Led Total Sanitation (plus Sanitation Marketing) approach, etcetera. MoH, supported by CPMU and CMAC, needs to develop detailed activities, implementation strategies, and good quality control for activities under component-2. Provincial CLTS Trainers, Total Sanitation Adviser and Specialist also need to be mobilized as soon as possible at central level.

- **Poor Integration of Capacity Building activities under component 2.** All activities under component-2 were comprehensively designed and structured to develop enabling environment at district level to achieve the key performance indicators. This covers advocacy to policy makers and other relevant stakeholders, capacity building for implementer, commitment building both to individual and institutions, sharing learning, and strategy development among others. However, the implementation of most of the above activities mentioned in the cost tab is poorly executed. The ToR of the events is not well prepared, and the needed skill to deliver the program does not exist in the triggering strategy for health stakeholders (consultants, sanitarians, midwives, and others). MoH, supported by CPMU and CMAC, needs to review the list of capacity building under component 2 and relate that with the achievement of component 2, by December 15, 2010.

VIII. Component 3: Water Supply and Public Sanitation Infrastructure (US\$ 181.7 million)

43. **The objectives** of Water Supply and Public Sanitation Infrastructure are (i) to increase sustainable access to safe water for low income rural communities, (ii) to increase sustainable access to safe water and sanitation in rural schools, and (iii) to establish or improve communal sanitation facilities in poor peri-urban areas. The first two objectives are mostly addressed in the CAP of communities; however, the third objective is not due to the poor facilitation by project stakeholders. It was commonly found that the water supply establishment is proposed in CAP, which overlaps with existing service from PDAM.

44. **Overall Performance.** The overall performance of Water Supply and Sanitation Infrastructure Project is rated as **moderately satisfactory**. The achievement of a number of beneficiaries with sustainable access to improved water facilities has exceeded the target. Most WSS construction in villages 2008 and 2009 are in good condition and well utilized. The O&M bodies are established in all villages of 2008 and 2009. However, some key performances are not yet up to the standard. The quality of WSS planning and designing needs improvement. The systemic problems are still found in some locations on calculation of water/debit, pipe diameter design, technical drawing, proper cost estimate, and operation and maintenance plan. The detailed explanation of WSS quality in the visited villages can be seen in annex 9.

45. **Achievement.** The project has increased sustainable access of improved water facilities for more than 2 million beneficiaries, as well sustainable access to safe water and sanitation in 3,700 rural schools. Up to now, the project has built 1,289 spring water sources, 497 surface

water source, 2,567 deep wells and/or boreholes, 4,328 shallow wells, and 197 rain harvesting systems. The establishment and improvement of sanitation facilities in peri-urban areas are not well targeted due to poor facilitation. Based on improvements included in training, the manual and the consultant presence, it appears that the villages of 2010 will have better performance in terms of quality and service to the communities.

46. **Key issues and Recommendation.** Most elements to develop capacity of community for better managing WSS are in place, such as a menu of technical options for rural WSS, technical guidelines, the facilitation from technical facilitators, and technical assistance from the Consultants (CMAC, PMAC and DMAC) for system design, construction and maintenance. However, some improvements are needed in the following areas:

- **Peri-Urban Sanitation.** The construction of public toilets in the peri-urban areas is not well implemented. Instead of constructing public toilets, water supply facilities are built in peri-urban areas overlapped with PDAM. This case occurred in all locations in capital provinces. As stated in the Project Appraisal Document, the Project will only provide communities with infrastructure for water supply at the village, and to a lesser extent peri-urban level and public sanitation facilities at the peri-urban level. CPMU should ensure that in 2011 Pamsimas only works on public sanitation facilities in the peri-urban areas. All PPMUs and DPMUs should be informed of this by December 15, 2010.
- **Quality of WSS construction.** In all visited villages, most WSS infrastructure is functioning and is effective. The communities find the WSS infrastructure built is satisfactory and benefits them significantly. However, in some locations the aspects which relate to the planning, design, and oversight of construction remain problematic. The proposed WSS construction in Community Action Plan (CAPs) in some locations is not seriously evaluated and verified by CAP Evaluation Committee. In kab. Serang, for example, the building was overdesigned, notably a 16mm iron frame was used for a building 6m in height and a water tower which supports a reservoir of 5m³ capacities. The construction quality oversight by consultants and technical team remains weak. In many places, the minor problem of WSS construction is not addressed. For example, pipes were left unburied; PVC pipes were exposed; there was no sewerage (SPAL); and instead of welding the pipes, inappropriate materials were used. Also, the pipes were not secured to a concrete shaft which causes the pipes to hang. CPMU needs to ensure that CAP (including DED and cost estimates) be first evaluated by DMAC team before being evaluated by the Evaluation Team at the district level. The quality of facilitators' technical skill needs to be improved. CPMU needs to distribute the book "Learning from Experience" which elaborates some basic technical problems and solutions in construction of WSS. In addition, a video is under preparation to disseminate various technical issues to all facilitators and KLM. The production of these would be done under TF AUSAID.
- **Post-Construction Stage.** At this stage, facilitators conduct on-the-job training of operation and maintenance for BP SPAMS (O&M bodies), composed of the water user groups/members and other community members interested in operation and maintenance. The performance of BP SPAMS varies significantly between areas. In central Java and West

Sumatra BPSPAMS visited function relatively well. Although training has been provided, the BP SPAMS are not yet fully effective in some areas., For example in Kab. Serang, Banten, in the most villages of 2008 and 2009, the performance of BP SPAMS is very poor. The pipes, public taps, hydrants, and school sanitation facilities are not well functioning and some are damaged. In most villages visited, a water tariff has been agreed upon. But in many visited villages in Kabupaten Serang, the tariff is not yet set up and applied, except at Pasir Tanjung village (Kab. Lebak) where the BP SPAM was established and functioning well. The BP SPAMS are not only working for maintenance, but also have extended the service coverage by adding distribution pipes and public hydrants in their village. This could be done due to the carefully planned water tariff set up by the BP SPAM as well as the discipline of community in paying the agreed tariff.

- **Transition from implementing unit (LKMs) and operating unit in the village (BP SPAMS).** Based on the field findings there is a systemic problem due to lack of understanding regarding this transition. In West Sumatra BPSPAM is formed after the work is completed and the transfer does not take place until it is endorsed by local government. As a result, the BP SPAMS only operates after the facilitators leave the areas. In effect, BP SPAMS was operating without proper guidance. Furthermore, not all tariffs are applied immediately after the system is operating; rather it was applied only after 3 months. In some areas the tariff setting was not fully agreed beforehand, thus creating confusions after implementation. There have been some improvements in 2010. CMAC through PMACs must ensure that all BP SPAM are formed and begin their work before last tranches of funding are implemented.

IX. Component 4: District and Village Incentives Grant (US\$ 5,0 million)

47. **Objectives.** The component will provide incentives to participating districts and villages to meet project development objectives, particularly with respect to scaling up and sustainability. The district grant is to be awarded to districts that have demonstrated good practice in their support of CDD WSS and exceeded implementation targets on expansion and sustainability of WSS program in their districts. There is still need for water and sanitation facilities. Meanwhile, the village grant is to be awarded to villages that have demonstrated good practice and exceeded some key performance targets.

48. **AusAID financing.** This component is partly financed by AusAID for its village part. AusAID provides a full block grant for 116 villages, including hiring the VIG facilitators. District incentive grants will be financed through APBN.

49. **Overall Performance.** The performance of village incentives grant (VIG) is rated as **satisfactory**. Although the implementation of this component is slightly delayed, the preparation is well done. The selection criteria and mechanism are well developed in guidelines. The provincial and districts stakeholders have been informed on the principle of this component. The facilitators for VIG have been recruited and trained and are ready to mobilize.

50. **Key Issues and recommendation.** The village incentive grant obtains positive response from stakeholders at provincial, district, and village levels. It is expected that 20 districts and 500

villages will receive additional grants. The enthusiasm to obtain this grant is high because it is associated with the success of district stakeholders in managing pamsimas. In order to keep up the performance of this component, some following steps needs to be fulfilled: (i) as this scheme is competitive based, fairness should be first priority; (ii) the selection process should be very transparent to avoid misunderstanding and curiosity from other stakeholders; (iii) the socialization on the result of selection should be widely published; (iv) random checking should be conducted by CMAC to ensure that there is indeed need for WSS additional facilities in the village incentive grants.

X. Component 5: Implementation Support and Project Management (US\$ 51.1 million)

51. **Objectives.** The objectives of this component are: (i) to provide project management support to the implementation of the project at various levels of government by the participating government agencies; (ii) provide technical support (component 1 and 2) to the implementing agencies for technical, hygiene and sanitation and community development (iii) provide for implementation oversight and quality control; (iv) provide financial and technical monitoring and reporting of project components; and (v) provide monitoring and evaluation, (vi) provide widespread dissemination of project progress and outcomes through PAMSIMAS Website news.

52. **Overall Performance.** This component is rated as **marginally satisfactory** due to the long selection time of consultants. The main problem was regional governments' capacity, which managed the selection and contracts, is generally low, especially in conducting the evaluation process in order to expedite the process.

53. **Achievement to date.** As of today, CMAC, PMACs, DMACs, and facilitators are in place. The MIS shows that project monitoring and tools provide regular information and project implementation quality from 100% targeted districts. Most consultants have been selected, contracted and deployed in the field. To ensure transparency, all consultant contracts and firm invoicing have been published on the web. There were many consultant personnel replaced for many reasons. Now the contracts of all PMAC will be amended by adding a Local Government Capacity Building Expert to strengthen respective Local Government, some experts and team Leader replacement, and additional project-related travel. The respective provincial satkers should actively monitor performance of the consultants and propose replacements if needed.

54. **Central Management Advisory Consultant (CMAC).** The consultants started with relatively poor performance, poor internal management and a very long learning curve. However, there have been some improvements in the last few months after changes on the team. The consultants were responsive for improvement. Also, facilities have improved significantly. Nevertheless, performance is not yet satisfactory. The quality of reporting is poor. The annual report (English) has not been received as required in the TOR. Random checks have not been properly implemented. Recently, CMAC has not been functioning well in conducting their main responsibilities to address strategic issues at national level and monitor the performance of projects. This is due to the series of activities at regional level that require most of their time. CPMU must remind CMAC to improve its performance and accompany the PMACs to ensure there is quality works on the ground.

55. **Project Management Advisory Consultants (PMACs).** The performance is mixed but in general is below expectation. Input to enhance the quality of facilitators has been below expectation. From field visits it is clear that added value of their existence beyond administrative matters has been minimal due to poor quality of staff and /or poor facilities provided. PT AHT, in joint venture with Rifa Bestari in NTT, performed very poorly and the Government needs either to terminate the contract or request immediate replacement of team and improvements. The Company has not been able to meet the minimum standard of TOR requirement. Quality of office and staff provided are unacceptable. The company has not been able to provide the required invoices and has not been able to receive payment for quite some time. CPMU should request Satker to terminate the contract as soon as possible and prepare a new selection process, or provide a period of 3 months for improvements with a strict performance monitoring. Should they fail, the contract should be terminated.

56. **Facilitators - Quality of Works.** Project performance is significantly due to the dedicated work of the facilitators. In most areas the quality of their work has been admirable considering the limited support they receive from PMACs and CMAC. In some cases, their situations have been difficult through late payment of their salary and a lack of clarity of contracts and facilities provided for their work. This condition has improved in 2010.

57. **Facilitators - Scope of Works.** Sometimes the facilitators' scope of work is unrealistic. A facilitator team consists of 3 members who operate in 3 villages for a year. However, when the physical work in a village is carried-over to the subsequent year, their scope of work doubles without any additional resources. In South Kalimantan, 15 facilitators have to handle 30 villages, two times more than standard. This is unacceptable and the program should have been suspended under the circumstances until the situation is rectified. CMAC should have detected such a situation and suspended the operations until adequate capacities are developed in the area. CMAC should review all areas and ensure that all facilitators have an adequate scope of work that is realistic. This exercise must be completed by November 30, 2010. For those areas where the scopes of work are unrealistic, the disbursement must be withheld until adequate implementation supports are in place.

58. **Facilitator - Transportation Allowance.** This needs immediate adjustment. Some facilitators need extra ordinary cost of operations. A standard amount has been allocated for all facilitators. All PMACs must provide a special report for 2011 for areas of extreme conditions. Budget should be provided by Provincial Satkers to allow for additional allowance for special areas. The team seeks confirmation for this extra budget be made available for 2011 at provincial level.

MIS, Monitoring, and Evaluation

59. **Overall Performance.** The project monitoring is rated **moderately satisfactory**. It has developed Web-based MIS application to monitor the progress in the villages. The information is gathered systematically from the village level by facilitator team to the national level through the data validation and verification mechanism to ensure data quality. The information is regularly updated, is timely, and is published on the project website. The project monitoring also has developed Quick Status (QS) application to provide faster information on the progress status.

Currently, the project is developing an application for online submission of payment certificates. The application objective is to provide timely financial management reports and to reduce backlogs in the disbursement process. This application should be effectively running by February 2011.

60. **Achievement to date.** As of end of October 2010, the web-based MIS application and other supporting applications such as QS and Complaint Handling (CH) application are already in place, equipped with the SOP and MIS Glossary and covered 3,904 villages in 110 Kota/Kabupaten from 2008 until 2010. Average MIS data completeness for 2008, 2009 and 2010 is 82% (98% for 2008 and 2009 villages and 49 % for 2010 villages). The Project website is running.

61. **Key Issues & Recommendation.** Despite the performances above, there are some issues in the implementation of the MIS. Although the MIS applications and supporting equipment are in place, the implementation has not been conducted properly and has affected the data quality provided. The awareness of the stakeholders of the importance of the MIS data and minimum usage for project monitoring also added to the problem. The project website is not fully functioning yet as the center of information and communication of the project because it is not user friendly and not regularly updated. CH application is not well running yet at provincial level - it might weaken the project complaint handling mechanism. There are several actions to improve the performance of MIS: (i) strengthen the implementation and monitoring of the MIS accordance to its SOP; better understanding of MIS glossary, and conduct MIS day more effectively with a clear agenda and output; (ii) develop clear sanctions for the data manipulation actions to ensure the quality of MIS data, including sub project photos published on the website; (iii) generate needs of MIS data and project website by conducting proper coaching to all stakeholders such as Satker, consultants and CFT on the concept of MIS, and its utilization for each stakeholders; (iv) redevelop the project website to be more user friendly with better structure and enriched with better quality information, is timely, well updated and accurate; and (v) strengthen the implementation and monitoring of the CH application in PMAC to enhance its activity to be more effective and quickly respond to the community.

62. **Baseline Data Quality.** The revisit of Pamsimas Baseline Survey conducted from June - August was successful. The initial survey had to be rejected due to poor performance of consultants. The revisit has significantly decreased missing and inconsistent data. The households were selected by an appropriate sampling method. The enumerator training also ran well. However, the data entry result was not as good as data collection. Many errors in typing, especially in consumption data, were found by manually comparing data entry and questionnaires. The firm conducting the study had good motivation and willingness for good quality work. However, the firm was not supported by a good team researcher. As an example, the coding data has not been finished until now because of bad work attitude and planning. Data entry activity ran longer than it should have and gave a bad result because none of the researcher team managed the activity and checked the result. There was also no strategy or planning of the work timing. CPMU with assistance of baseline consultant by November 30, 2010, should ensure the quality of baseline data through conducting (i) a full second entry for consumption data, (ii) a full second entry for one bad entry puncher, and (iii) data coding. The final report of baseline data should be submitted to the Bank by December 31, 2010.

XI. Procurement

63. **Overall Progress.** Overall, the project rating is **moderately satisfactory**. It is indicated that some consultant selection processes were delayed due to unclear arrangement of procurement responsibility and lack of understanding of the Bank's guideline. The remaining procurement works are one package of consultant firm (package C18: Baseline Survey), some individual consultants at central and provincial levels, and amendment of PMACs contracts. CPMU is requested to expedite that procurement process and avoid further delay.

64. A Central Management Advisory Consultant (CMAC) and 13 Provincial Management Advisory Consultants (PMACs) have been contracted and deployed in the field. In addition to CMAC and PMACs, the project also includes recruitment of some individual consultants such as Project Management Advisor, Program Development Specialist, and Local Government Capacity Building Specialist which are still in progress. The detailed existing and upcoming consultant packages is attached in Annex 10.

65. The procurement ex-post review has been conducted by The State Financial and Development Supervisory Board (Badan Pengawas Keuangan dan Pembangunan -BPKP) for fiscal year 2009. According to the report, the internal control system, particularly for the implementation for the project activities in village, was adequately designed. However, there were some weaknesses in some aspects such as community procurement and lack of project monitoring from related parties such as facilitators and PMAC.

66. To improve performance during project implementation, CPMU needs to: (i) expedite the selection process for the remaining packages; (ii) evaluate performance of consultant in order to monitor and review the performance of CMAC and PMAC, and (iii) ensure that individual consultants are expected to assist CPMU in implementing the project, so that the quality of project implementation can be improved.

Community Procurement

67. In general, community procurement at village level was conducted according to the Project Operation Manual by using price comparison to achieve efficiency and transparency. The procurement plan has been updated as needed. CPMU is yet to monitor closely the implementation of the contracts, ensure timely payment, and maintain a tight schedule for all consultants.

68. **Issues & Recommendations.** Some administration processes have not been followed properly. Procurement documents in some villages are missing. In other areas no procurement plan was found. . In some villages, most of the contracts were awarded to the suppliers from outside the village or district. This may be accepted if none of the local suppliers can meet the requirement. However, local suppliers should be prioritized. Facilitators have no deep understanding of the procedure of community procurement based on guidelines. There is lack of coordination among CPMU, PPMU, DPMU, consultants and facilitators. In order to assure that the community procurement is carried out according to the procedure, CPMU needs to: (i) ensure

supports from related parties (facilitator, consultant and local government) to guide the local community in carrying out the procurement process; (ii) the local suppliers/contractors need to be involved in order to empower and develop local supplier/contractor, except if there is no qualified supplier/contractor in the district; (iii) the procurement documents always be complete, correct, and consistent; and (iv) conduct procurement training on community procurement, especially for facilitators and local government who will closely work with local community.

XII. Financial Management

69. **Overall Progress.** The ratings given are based on the result of the supervision mission. Overall, the mission has rated the project as **moderately satisfactory**.

70. Regardless of similar findings to previous missions, the project showed some significant improvements. The project now submits draft IFR on time, there is a decrease in IFR backlog items (especially for long outstanding since 2008), and FM consultants at provincial level were hired in 2009. A revised manual with FM performance indicator measurement was distributed in May 2010. The audit report for FY 2009 was submitted to the Bank on time with clean opinion. Findings have been partly followed up and uploaded onto the website. CPMU should monitor follow up actions taken at district and province level and ensure that a clearance letter received from BPKP regional offices be responded to the Bank not later than the due date of 31 November, 2010.

71. Although the project has prepared IFR on a timely basis, due to a problem in using e-signature, the last IFR was delayed for almost two months. CPMU needs to submit the draft IFR as soon as the quarter ends and monitor the process of formal submission in the Ministry of Finance to avoid delay in the replenishment process.

72. Training for facilitators (including newly recruits) has been conducted, focused on bookkeeping and only a short time dedicated for FM performance indicator tools. This explained common findings of cash management and reporting problems. Facilitators still need training to understand correctly how to use the tools. Random checks by DMAC have not been conducted on a regular basis. Hence, there is no verification of facilitators indicators reports and no follow up either if the ratings were different. Random checks by DMAC and provincial consultants have been only partially done due to partial unavailability of funds. Once the fund is available, PMACs and DMACs must conduct the random checks.

73. Report of villages FM performance from measurement tool has mostly been uploaded for 2009 villages. Measurement of 2010 villages has been done by facilitators but not yet uploaded onto the project website. Adequate training on the use of village FM performance measurement tool should be provided to facilitators. The measurement result done by facilitators should be reviewed and verified by district as well as provincial consultants on a sample basis. Any difference in the result compared to facilitators' report should be followed up immediately. Verification by DMAC should be done on a more regular basis, e.g. monthly or bi-monthly. A full report of village FM performance from measurement tool is expected to be completely uploaded onto the website by 30 November, 2010.

74. In general, minimum bookkeeping was available in villages visited. This is an improvement compared to the beginning phase of the project. Some weaknesses related to financial reporting, incomplete and insufficient supporting documents and cash management are still found. Lack of in-cash and in-kind contribution records, reports and records were prepared by facilitator, and unavailability of RPD were also noted. Other findings noted were unavailability of in-cash contribution from the community, tranche disbursement without following procedures, and payments made for ineligible expenditures. Details of mission findings and recommendations are available in annex 11.

XIII. Safeguard

Social Safeguard

75. **Overall.** Based on the progress and achievement of environmental and social safeguards implementation, the project is rated **satisfactory**. The project implementation at the community level has generally implemented most of the requirements set out in the guidelines. Environmental and social impacts at the community level remain insignificant and site specific, and were managed locally by beneficiaries. Women's participation level in community meetings is on average more than 35% of the total participants. Furthermore, women participation in project management at the village and community level, such as in the LKM and facilitator team members, was reported about 30% and 44% respectively. Despite this encouraging achievement, project sustainability should be strengthened by CPMU and CMAC through: (i) Ensuring that environmental and social safeguards documentation at the community level (LKM) and MIS are improved; (ii) Updating and socializing project's technical guidelines to PMAC, DMAC, facilitators and LKM members to (a) include the requirements and format for willing-buyer willing-seller through direct negotiation, (b) develop approaches and requirements for spring water utilization and management for common public purpose (including neighboring villages), and, (c) manage deep well utilization; (iii) providing hands-on training for facilitators and LKM members for managing environmental and social impacts, together with DMAC as well as Team Coordination at provincial and 'kabupaten' levels; (iv) including the cost for getting raw water resources from the spring and deep well as part of the water tariff component; and (v) hiring an environmental and social safeguard specialist(s) in each PMAC.

76. **Land Acquisition.** All of the 41 visited villages acquired a small size of land for their subprojects, ranging from 4 – 20m², for brown capturing, water reservoir, public water tap, distribution pipes, as well as land for securing water springs or deep wells. The team noted that most land for these facilities was contribution from beneficiaries; however, in a few cases land was obtained through direct negotiation between the community beneficiaries (represented by LKM) and land owners. The team observed that some subprojects are using village land and state-owned company's land. It also noted that all subprojects requiring land have documentation in the form of '*surat hibah*' or '*surat jual beli*' for the contributed land or purchased land respectively, which are included in the RKM or as a separate document. Although it varied across the reviewed documents, there was some missing information, such as location and size of the contributed land, the map, date of the signing, and signatures of the witnesses. Furthermore, information on land required by subprojects has not been fully included in the MIS. DPMU and DMAC will have to ensure that *surat hibah* or *surat jual beli* for the FY 2010 and 2011

subprojects have complete information as required by the technical guidelines. The CPMU and CMAC are requested to complete information on land acquired by the 2009 and 2010 subprojects in the MIS by the end of December 2010.

77. Awareness and understanding of the LKM and facilitators on the importance of environmental and social safeguards management will have to be continuously improved through an update of the project technical guidelines and training, which includes the requirements and format of willing-buyer and willing-seller through direct negotiation, as well as requirements and approaches for acquiring land for springs that are for public use beyond the community beneficiaries. The bank recommends that by mid November 2010, the CPMU, CMAC and DMAC, as well as Team Coordination at provincial and 'kabupaten' levels, provide hands-on training for facilitators and LKM members for managing environmental and social impacts.

78. The bank noted that as of to date, environmental and social safeguards issues are taken care by the technical /infrastructure experts of the DMAC and technical/infrastructure facilitators. Given the importance of environmental and social safeguards management in this nation-wide project, the Bank suggests CPMU hire an environmental and social safeguards expert(s) to be based at each province as part of the PMAC team to oversee and guide the technical experts of DMAC and technical facilitators. The Terms of Reference for this assignment will be prepared by the CPMU and approved by the Bank by November 12, 2010.

79. **Women involvement.** The mission team noted that women participation in community meetings is quite high and meets the participation level as required in the technical guideline. Attendance of women in community meetings is recorded about 35% on average, which is higher than the required proportion of 30% set in the technical guideline. There were also women focus group meetings in some of the villages. In terms of pro activity in the discussions during the meetings, we were informed that it varied across villages. Minutes and list of attendees of all meetings are recorded in the RKM, though there was no detailed information showing the extent to which women pro actively contributed during the meetings.

80. Referring to the Gender Action Plan (GAP) of the PAD, gender balance is quite good in the project management at the village level while at the kabupaten and provincial levels it is quite low. The proportion of women members in the LKM of the FY 2008, 2009, and 2010 participating villages on average is slightly more than 30%. Women facilitators in FY 2010 are about 44% of the total facilitators. Gender balance within sub-disciplines facilitators is as follows: 38.3% for community development, 60% for health and hygiene, and 33% for water and sanitation. Except for health and hygiene facilitators, proportion of women of the other two groups of facilitators is below the expected level of 50% as specified in the GAP of the PAD.

81. About 26.3% of the DMAC consultants are women. This is slightly lower than the expected proportion of 30% set in the GAP of the PAD. Furthermore, the proportion of women in the PMAC and trainers consultants is only 6.4% and 6.3% respectively. These figures are far below the expected minimum of 30% set in the GAP of the PAD. At present, there is no woman technical consultant at the PMACs and only 18.5 % women technical consultants at the DMACs, while the PAD expected that proportion of women technical consultants in the PMACs and DMACs is 30% each. The lower than expected proportion of women technical consultants at the PMACs and DMACs, as well as trainers, reflects the unavailability of qualified women in the

market, although the recruitment process was widely announced in newspapers as well as on the website. The current GAP set gender balance standard quite high which does not reflect the country context and reality on the ground. The project's GAP of the PAD is revised (see annex 12) to reflect a more reasonable gender balance.

82. **Indigenous Peoples.** In the 41 visited villages in seven provinces (refer to annex 12), the mission team did not find any indigenous peoples community in the project area as characterized by the Bank's policy.

Environmental Safeguard

83. **Overall.** Based on status progress implementation, the environmental safeguard of the project is rated **moderately satisfactory**. In most of the targeted villages, communities have been provided with access to clean water/drinking water. Signs of improvement also have been shown in terms of sanitation and hygiene with a slowly increasing number of villages with ODF status and lack of maintenance of CTPS facilities in local school. Even though there has been some improvement in the program implementation, unfortunately knowledge of safeguard among facilitators and consultants is relatively limited and is likely to be treated as fulfillment of administration requirement.

84. **Consultant for Safeguard.** There is a need to ensure application of safeguard requirement starting from preparation phase in the village level until operation phase. Villagers also need to be educated during selection of the proper location for their subproject site. The safeguard framework, in particular environmental safeguard, was introduced to provide general policies and guidelines to serve *inter alia* and protect human health, prevent environmental degradation, enhance positive environmental outcome, and avoid or minimize adverse environmental impacts. Various technical guidelines and manuals have been prepared by the project in response to the safeguard issues including *Information Catalog for Options for Sanitation Facilities and for Drinking Water* as well as the relevant technical manual. CPMU needs to designate safeguard specialists as project staff to help facilitators on safeguards issue which need to be considered during preparation as well as in the operation phase . In addition to the need to raise awareness of safeguards issues, CPMU/DPMU need to ensure relevant publication (i.e manual and guidelines on PAMSIMAS program) is being distributed through to village level.

85. **Quality of water.** In general, people are aware of the safe distance between septic tank and the water source. Unfortunately, in some areas/villages, the mission still found that wells /deep wells are located next to the septic tank (e.g in Kabupaten Lebak). This situation might cause contamination of the water source. In the meantime, while testing of the water quality is required before being used by the community, in many areas the water still hse not been tested in the laboratory due to lack of budget². Special attention needs to be made by the DPMU [through facilitator] to ensure this testing and follow up the laboratory result. It was reported that the quality of the water in many villages (e.g in Kabupaten Lebak) do not meet the standard quality for drinking water set up under the Health Minister Decree no

²The mission was informed that Ministry of Health has provided annual budget for water testing for all Kabupaten (through Dinas Kesehatan) . Therefore this information need to be socialized.

907/Menkes/SK/VII/2002. In case it is impossible to find an alternative source of water, some measures need to be made to avoid potential health problems for communities in the future, for example through application of appropriate technology. To ensure good quality drinking water, facilitators in collaboration with sanitarians, must enforce (laboratory tests for all samples of water before deciding on subproject sites after the facility is in operation . Moreover, to ensure sustainability of the project, further is required if the option chosen is a deep well. The facilitators need to consult with the local government (Mining or Environmental Agency) on this particular option. Depending on geological structure/condition, some areas oblige special permits for wells beyond 40 m and/or 100m.

86. **Protection of Spring Water.** Certain villages with spring water sources have started establishing their own PERDES (Peraturan Desa) to protect the springs to maintain the quantity and quality of the water. If upstream areas are not part of the villages, the facilitators need to ensure that condition of the upstream/ water catchment areas is safe and well protected. This good practice needs to be shared with other villages.

XIV. Anti Corruption Action Plan (ACAP)

87. **Overall.** Pamsimas is rated **moderately satisfactory** in the FY10 review of Anti Corruption Action Plans (ACAP). The review underlines improvement in measures to disclose information and to resolve complaints, though at the same time the review also notes the need to address the cases of funds misuse through effective application of sanctions.

88. **Transparency.** Information is communicated mainly to beneficiaries through meetings at various levels, notice boards, posters, banners, and website (www.pamsimas.org). The previous aide memoire prescribed the need to upload contact information, USK reports, contract resume and monthly reports in the website – which have been implemented. Summary of invoices are even available on the web. The enhanced disclosure of salient information is critical to verify and monitor validity of information, thus mitigating the risk of fraudulent behavior.

89. **Media.** The use of notice boards and banners, and quality of public meetings vary across provinces. Central Java districts are doing better in making sure that Pamsimas villages are displaying banners, posters, and information is posted on notice boards, but this is not the case of other provinces such as Banten. The project requires records of public meetings to be maintained, but minutes of the meetings or at least primary decisions taken in the meetings have not been displayed on the notice boards. CPMU needs to ensure information is displayed on notice boards, and posters and/or banners with contact information are posted.

90. **Complaints Handling.** Although provisions in the manual stipulate the need to communicate contact information through banners and posters – this is often not practiced, thus there is little record regarding questions or complaints received. The low number of complaints does not reflect the number of issues or cases found in the field, as indicated in the summarized report in the website. As of September 2010, complaint handling reporting on the website recorded 148 complaints, (6 resolved, 142 in process), whereby 15 of them related to misuse of funds (3 resolved, 12 in process). The report, however, does not indicate categories, or status and actions taken to resolve them – making it difficult to analyze trends. BPKP findings have not been registered in the complaints resolution system as issues to be addressed. CPMU needs to

improve recording and resolution of complaints by: better communicating contact information for complaints, designating categories to allow better analysis, improving recording status of referrals and actions taken, disseminating lessons learned from serious cases of misuse through website and meetings, and including BPKP findings and media report as part of issues to be resolved in complaints handling

91. **Sanctions and Remedies.** Actions are taken against facilitators and villages in breach of procedures. However, as the paragraph on complaints handling indicates, there is no database of actions taken and dissemination of lessons learned to create deterrence. Only 4.73% of estimated funds misused have been returned through the project’s administrative sanctions mechanism so clearly there is a need for the project to escalate the unresolved, serious cases to the subsequent level as specified in the guidelines. Serious, unresolved cases are to be elevated to the subsequent level as specified in the manual.

XV. Summary of Follow-Up Actions

No	Issue	Follow-Up Action	Agency	Deadline
IV. Disbursement, Revised Project Cost and Financing Plan				
14	Disbursement	to submit IFR within 45 days upon each reporting period (quarter) and also to settle the pending items for the ineligible payments of \$ 76,066 and Rp. 5,964,200.	CPMU	
V. Overall Key Issues				
19	Selection of Villages and Kabupaten	<ul style="list-style-type: none"> to review the list of priority local government list based on the latest national statistic (BPS) on rural water and sanitation service to review the manual of selection process to ensure inclusion of DMAC in the selection process and to develop a socialization strategy ensure that information reaches all stakeholders to prepare a check list for selection criteria and randomly check selection of village, especially in high risk areas to facilitate completion of long list of target villages, and selection for 2011 and 2012 	CPMU CMAC CMAC DMAC	
20	Requirement of ODF prior to Water Supply investment	<ul style="list-style-type: none"> to revisit 2008 and 2009 villages in order to re-conduct ODF triggering as well monitoring the ODF achievement to facilitate the enabling environment (village regulation on ODF), and supply increasing, not only focus on demand creation 	MOH MOH	
23	Allocation per village	To establish mechanism to allow Local Governments, with assistance of DMAC and PMAC, to allocate the funds according to the actual need	CPMU	
24	Project Management	to develop annual capacity building program for Satker	CPMU	
25	DPMU	to issue guidelines on the use of BOP of DPMU	Bangda	

No	Issue	Follow-Up Action	Agency	Deadline
27	Management Information System	to assign sustainability facilitators to up-date all data of 2008 and 2009 villages in the first couple of months to be uploaded in the website	CPMU	
28	Consultants of Health & Hygiene Component	to review all staff and personnel of health, consultants of PMACs and replace those non performing ones	CPMU, Dinas Kesehatan, TL PMAC	
29	NTT – withhold disbursement	<ul style="list-style-type: none"> to prepare follow-up action on the findings together with the deadline on strategy to handle the shortcoming in the area of village selection, in-cash contribution, community procurement, block grant eligibility, capacity of consultant, consultant management, and etc to conduct significant improvement based on above strategy 	CPMU CPMU, PPMU, DPMU	
31	Facilitator Transportation Allowance	<ul style="list-style-type: none"> to provide special report for 2011 for areas of extreme conditions. to provide budget at Provincial Satkers to allow for additional allowance for special areas 	PMAC CPMU	
32	AusAID	<ul style="list-style-type: none"> to have separate monitoring for AusAID fund activities and submit AusAID annual report, to expedite the signing process of GA for second AusAID fund 	CPMU	
34	Association of BP SPAMS	<ul style="list-style-type: none"> to form Association of BP SPAMS by closing of the project to include the introduction of the Association in training materials for BPSPAM 	DPMU CMAC	
VI. Component 1: Community Empowerment and Local Institutional Development				
38	CDD Process at community level	<ul style="list-style-type: none"> To request CMAC to submit the training evaluation regularly and conduct training rectification when necessary To transfer training budget to PMAC contract To expedite PMACs' amendment process to enable them to conduct regular coaching for facilitators 	CPMU	
	Strengthening capacities for program management	<ul style="list-style-type: none"> To expedite the process of CB Expert/Advisor recruitment To adjust the TOR of Participatory Development specialist to reflect the responsibilities on CB To adjust CMAC structure to have sounds CB team 	CPMU	
	Strengthening capacities for program sustainability, mainstreaming and scaling up	<ul style="list-style-type: none"> To enhance the role and function of Pokja AMPL in leading local WSS Policy-Making To ensure incorporation of WSS Plan into 	Bangda	

No	Issue	Follow-Up Action	Agency	Deadline
		<p>district annual planning and budgeting process,</p> <ul style="list-style-type: none"> To carry out a review of Renstra AMPL for translating it into annual planning and budgeting process, or develop a comprehensive WSS plan for districts that do not have Renstra AMPL To review the effectiveness of the regional workshops of mainstreaming PAMSIMAS approach to local legislative and executive To develop strategy for socialization or media development (advocacy tools) for local legislative and executive 		
VII. Component 2: Improving Hygiene and Sanitation Behaviour and Services				
42	Lack of enabling environment	<ul style="list-style-type: none"> to develop an advocacy package and incentive mechanism for local governments in order to increase district ownership, as well to establish training/capacity and activities in relation to increase supply side 	MOH	
	Lack of Coordination and Technical Assistance	<ul style="list-style-type: none"> to develop detailed activities, implementation strategies, and good quality control for activities under component-2. to mobilize Provincial CLTS Trainers, Total Sanitation Adviser and Specialist as soon as possible 	MOH CPMU & MOH	
	Poor Integration of Capacity Building activities under component 2	<ul style="list-style-type: none"> to conduct specific regular coaching and coordination meeting for health component issue, and improvement of CLTS training quality 	CMAC	
VIII. Component 3: Water Supply and Public Sanitation Infrastructure				
46	Peri-Urban Sanitation	To ensure that in 2011, Pamsimas only works on public sanitation facilities in the peri-urban areas	CPMU	
	Quality of WSS construction	to distribute the book "Learning from Experience" which elaborates some of basic technical problems and solution in construction of WSS	CPMU	
	Transition from implementing unit (LKM) and operating unit in the village (BP SPAMS)	To ensure that all BP SPAMS are formed and begin their work before last tranches of funding are implemented	CMAC	
IX. Component 4: District and Village Incentives Grant				
50	Key Issues and recommendation	<ul style="list-style-type: none"> To ensure that fairness be the first priority in selecting villages To ensure that selection process be very transparent to avoid misunderstanding and curiosity from other stakeholders To widely publish the socialization on the result of selection To conduct random checking to ensure that there is need for WSS additional facilities in the village incentive grants 	CPMU CPMU CPMU CMAC	
X. Component 5: Implementation Support and Project Management				
54	Central Management	To remind CMAC to improve their performance	CPMU	

No	Issue	Follow-Up Action	Agency	Deadline
	Advisory Consultant (CMAC)	and accompanying the PMAC to ensure quality works on the ground		
55	Project Management Advisory Consultants (PMACs)	To request Satker to terminate the contract as soon as possible and prepare a new selection process, or provide a 3 months time for improvements with a strict performance monitoring. Should they fail, the contract should be terminated	CPMU	
57	Facilitators - Scope of Works	To review all areas and ensures that all facilitators have an adequate scope of works that is realistic	CMAC	
61	MIS, Monitoring, and Evaluation	<ul style="list-style-type: none"> • to strengthen the implementation and monitoring of the MIS accordance to its SOP; better understanding of MIS glossary and conduct MIS day more effective with clear agenda and output • to develop clear sanction for the data manipulation actions to ensure the quality of MIS data, including sub project photos which published in the website • to generate needs of MIS data and project website by conducting proper coaching to each stakeholders such as Satker, consultants and CFT on the concept of MIS, and its utilization for each stakeholders • to redevelop the project website to be more user friendly with better structure and enriched with better quality of information; timely, well updated and accurate • to strengthen the implementation and monitoring of the CH application in PMAC to enhance its activity to be more effective and quick response to the community 	CMAC	
XI. Procurement				
67	Consultant Procurement	<ul style="list-style-type: none"> • To expedite the selection process for the remaining packages • To have set of evaluation performance to monitor and review the performance of CMAC and PMAC • To ensure that individual consultants are expected to assist CPMU in implementing the project, so that the quality of project implementation can be improved 	CPMU	
68	Community Procurement	<ul style="list-style-type: none"> • To ensure supports from related parties (facilitator, consultant and local government) to guide the local community in carrying out the procurement process • To include local suppliers/contractors need to be involved in order to empower and develop them, except if there is no qualified supplier/contractor in the district • To ensure that procurement documents be kept completely, correctly, and consistent • To conduct procurement training on 	CPMU	

No	Issue	Follow-Up Action	Agency	Deadline
		community procurement, especially for facilitators and local government who will closely work with local community		
XII. Financial Management				
71	IFR	To submit the draft IFR earlier as soon as the quarter ends and monitor the process of formal submission in Ministry of Finance to avoid delay in replenishment process	CPMU	
72	Random Checks	To conduct random checks to verify on facilitators indicators reports and follow up the result	PMAC & DMAC	
73	Villages FM Performance	To upload the full report of village FM performance from measurement tool to the website	CMAC	
XIII. Social and Environmental Safeguard				
75	Overall	<ul style="list-style-type: none"> To ensure that environmental and social safeguards documentation at the community level (LKM) and MIS are improved To update and socialize project's technical guidelines to PMAC, DMAC, facilitators and LKM members to (a) include the requirements and format for willing-buyer willing-seller through direct negotiation, (b) develop approaches and requirements for spring water utilization and management for common public purpose (including with neighboring villages), and, (c) manage deep well utilization To provide hands-on training for facilitators and LKM members for managing environmental and social impacts, together with DMAC as well as Team Coordination at provincial and kabupaten levels To include the cost for getting raw water resources from the spring and deep well as part of the water tariff component To hiring an environmental and social safeguard specialist(s) in each PMAC 	CPMU & CMAC	
76	Land Acquisition	To ensure that <i>surat hibah</i> or <i>surat jual beli</i> for the FY 2010 and 2011 subprojects have complete information as required by the technical guidelines. to complete information on land acquired by the 2009 and 2010 subprojects in the MIS	CMAC	
85	Quality of water	<ul style="list-style-type: none"> To enforce (laboratory) test for all sample of water before deciding on subproject sites and after the facility in operation To consult with the local government (Mining or Environmental Agency) on this deep well option. Depending on geological structure/condition, some areas oblige special permit 	DMAC	
86	Protection of Spring Water	<ul style="list-style-type: none"> to ensure that condition of the upstream/ water catchment areas is safe and well 	DMAC	

No	Issue	Follow-Up Action	Agency	Deadline
		protected if upstream area are not part of the villages <ul style="list-style-type: none"> • to share the good practice of issuing Perdes to other villages 		
XIV. Anti Corruption Action Plan (ACAP)				
89	Media	to ensure information is displayed at notice boards, and posters and/or banners with contact information are posted	CPMU	
90	Complaint Handling	to improve recording and resolution of complaints by: better communicate contact information for complaints, designating categories to allow better analysis, improve recording status of referrals and actions taken, disseminate lessons learned from serious cases of misuse through website and meetings, and include BPKP findings and media report as part of issues to be resolved in complaints handling	CPMU	

Annex1. List of Visited Villages and Participants

Table 1a. List of Visited Villages and Participants

No	Province	District	Sub-district	Village	Year	Date	Participants
1	NTT	Alor	Alor Barat Laut	Alor Kecil	2010	04-08 Oktober 2010	<ul style="list-style-type: none"> • WB: Trimo Pamudji, Djumadi Achmad, Sri Pamungkas • KemenPU: Diah Suyaningtyas • Kemenkes: Calvin Wattimena • Kemdagri (PMD): Syamsu • Kemdagri (PMD): Syamsu • CMAC: Endang Turyana, Hendra
			Alor Barat Laut	Dulolong	2010		
			Teluk Mutiara	Teluk Kenari	2010		
			Alor Selatan	Manmas	2009		
			Alor Selatan	Subo	2009		
			Kabola	Kabola	2008		
2	Central Java	Wonosobo	Kejajar	Kreo	2010	04-08 Oktober 2010	<ul style="list-style-type: none"> • WB: Dea Widyastuti, Christina Donna, Kusumo Bambang, Kumalasari • KemenPU: Dibyo, Singgih Raharja, Darwanto • Kemenkes: Roeberji, Yulita • PMD: Fernando Siagian • Bappenas: Dendra • CMAC: Syawaludin
			Kejajar	Parikesit	2008		
			Wadaslintang	Kalidadap	2009		
		Banjarnegara	Pagentan	Pagentan	2010		
			Punggelan	Bondohardjo (replikasi)	2010		
			Banjarmangu	Beji	2009		
3	South Kalimantan	Kota Baru	Kelumpang Barat	Bungkukan	2009	04-08 Oktober 2010	<ul style="list-style-type: none"> • WB: Deviariandy Setiawan, Patricia Sonata, • KemenPU: Lily, Rizka, • Kemenkes: Trisno • Bangda: Veronika • CMAC: Saiful
			Tanah Bumbu	Sungai Loban	Sungai Dua Laut		
				Kusan Ilir	Pulau Salak		
4	Banten	Serang	Baros	Sinar Mukti	2010	11-04 Oktober 2010	<ul style="list-style-type: none"> • WB: Trimo Pamudji, Djumadi Achmad, Kusumo Bambang, Ina Pranoto, Ninin Kania, Dayu Nirma • KemenPU: Diah • Kemenkes: Roeberji • CMAC: Kukuh Pranandana
			Binuang	Lamara	2009		
			Binuang	Suka Mampir	2009		
			Carenang	Mandaya	2008		
			Manca	Sangiang	2010		
		Lebak	Cikukur	Cigoong Selatan	2010		
Rangkas Bitung	Pasir Tanjung		2009				
5	South Sumatera	Ogan Ilir	Simpang	Bungin Campang	2010	11-15 Oktober	<ul style="list-style-type: none"> • WB: Purnomo

No	Province	District	Sub-district	Village	Year	Date	Participants
		OKU Selatan	Pulau Beringin	Tanjung Kari	2009	2010	<ul style="list-style-type: none"> Sutanty, Listiani Hermanto, KemenPU: Lulu, Kemenkes: Yulita, PMD: Fernando Siagian
			Buay Tunjung	Negeri Batin Baru	2008		
			Pemulutan Selatan	Sungai Keli	2010		
			Rantau Alai	Sukananti Baru	2009		
			Kandis	Kandis	2008		
			Sungai Pinang	Talang Dukun	2008		
6	Gorontalo	Boalemo	Paguyaman Pantai	Bukit Karya	2009	11-15 Oktober 2010	<ul style="list-style-type: none"> WB: Jana Uno, Patricia Sonata AusAID: Christiana Dewi KemenPU: Lily, Darwanto, Somba Tambing Kemenkes: Calvin Wattimena Bappenas: Firmansyah CMAC: Hendra
			Wonosari	Raharja	2010		
			Paguyaman	Bongo Tua	2008		
		Pohuwato	Taluditi	Tirto Asri	2010		
			Dengilo	Karangetan	2009		
7	West Sumatera	Pasaman Barat	Pasaman	Lembah Binuang	2009	11-15 Oktober 2010	<ul style="list-style-type: none"> WB: George Soraya, Indira Dharmapatni, Arip Syaman, KemenPU: Sutamto Kemenkes: Yon Ferry PMD: Siswantoro CMAC: Endang Turyana, Syawaludin
				Radi Jonggor, Nagari Rabi Jonggor	2010		
		Pasaman	Dua Koto	Sentoso	2009		
			Lubuk Sikaping	Lembah Bukit	2008		
		Agam	Bunuhampu	Jrg. Karatau Parabek, Nagari Ladang Laweh	2009		
			Sungai Pua	Jrg. Simpang Nagari Batagak	2010		
		Padang Pariaman	VII Koto Sungai Sarik	Tanjung Balik	2008		
8	South Sulawesi	Sidrap	Panca Lautan	Lise			<ul style="list-style-type: none"> WB: Jana, Trimo, Lina, Afi, Dea, Djumadi, Kusumo, Ina Pranoto KemenPU: Diah Suryaningtyas Kemenkes: Yulita, Roeberji CMAC: Kukuh Pranandada, Syawaludin
9	Riau	Kuantan Singingi		LKM Lubuk Abacang		01 Oktober 2010 (Teleconference at WBOJ)	
10	Central	Morowali		Keruea	2008		

No	Province	District	Sub-district	Village	Year	Date	Participants
	Sulawesi						
11	West Java	Sumedang		Pajagan			
				Citersik			

Annex 2. Key Performance Indicators and Project Outputs

Table 2a. Key Performance Indicators (as of October 20, 2010)

No	Project Outcome Indicators	Target PAD Y-2 (2009)	Achievement up to 2009	Target PAD Y-3 (2010)	Achievement up to 2010
1	Number of additional people with sustainable access to improved water facilities, differentiated by socioeconomic status	1 - 2 million	2,170,756	2 - 3 million	2,170,756
2	Number of additional people with sustainable access to improved sanitation facilities, differentiated by socioeconomic status	2 - 3 million		3 - 5 million	200,000
3	Number of villages developing community action plans	1,350	2,453	2,550	3,629
4	Capacity building plan to support the adoption and mainstreaming of the PAMSIMAS approach, and progress towards achieving its objectives	50%	52.86%	-	52.86%
5	Actual Project District WSS expenditure as a percentage of the budget needed to achieve MDG goals	50%	Not available	-	Not available
6	No of districts that are replicating the PAMSIMAS approach outside targeted communities	20 of 70	13	30 of 70	83
7	% of target communities free open defecation	20%	8.02%	40%	9.29%
8	% of target communities adopting hand washing programs	20%	33.55%	40%	47.67%
9	% of targeted schools that have improved sanitation facilities and hygiene programs	20%	49.36%	51%	51.97%
10	% of villages with improved water supply systems that are functioning to the satisfaction of the majority of targeted community	90%	N/A (Survey)	90%	N/A (Survey)
11	% of villages with improved water supply systems that are effectively managed and financed	90%	48.39%	90%	48.39%
12	Number of villages & districts exceeding project performance criteria and receiving supplementary grants	100-200 villages / 5 Districts	Not Yet Due	250-500 villages / 5 Districts	47
13	Project monitoring structure and tools (IMIS, M&E) provides regular information on project implementation quality	100% districts engaged	100.00%	100% districts engaged	81.63%

1) Not Real data, it is approximately in projection 5,000 target villages

2) Based on Ministry of Health database

3) Based on WASPOLA data - 37 (out of 70) districts have developed Strategic Plan for WSS

Table 2b. Project Outputs (as of October 20, 2010)

NO	OUTPUT	UNIT	2008 Village	2009 Village	2010 Village	TOTAL
I	No of Villages	# Village	882	1,571	1,451	3,904
	Community/Village Block Grant (BLM): APBN Ceiling	Rp	169,785,000,000	302,417,500,000	252,303,639,799	724,506,139,799
II	Total Disbursement of Community Block Grant (BLM) - APBN	Rp	164,790,029,669	286,614,084,015	37,003,618,933	451,404,113,684
	% from ceiling		97.06%	94.77%	14.67%	62.31%
2.1	Trench I	Rp	31,538,672,233	59,308,605,310	34,308,618,933	90,847,277,543
	Trench I - # LKM received BLM	# LKM	882	1,547	901	2,429
2.2	Trench II	Rp	62,121,309,587	116,575,914,029	2,695,000,000	178,697,223,615
	Trench II - # LKM received BLM	# LKM	882	1,525	36	2,407
2.3	Trench III	Rp	71,130,047,849	110,729,564,677	-	181,859,612,525
	Trench III - # LKM received BLM	# LKM	882	1,446	-	2,328
III	Total Use Community Block Grant (BLM) - APBN	Rp	154,366,372,344	276,238,189,374	-	430,604,561,718
	% total implemented vs disbursement		93.67%	96.38%	0.00%	95.39%
3.1	Use of Community block grant (BLM) for Water Supply System	Rp	136,418,767,584	251,347,427,344	-	387,766,194,928
	% BLM for water supply system vs Total use of BLM - APBN	%	88.37%	90.99%	0.00%	90.05%
3.2	Use of Community block grant (BLM) for Sanitation facility	Rp	6,805,006,675	9,371,434,308	-	16,176,440,983
	% BLM for sanitation facility vs Total use of BLM - APBN	%	4.41%	3.39%	0.00%	3.76%
3.3	Use of Community block grant (BLM) for community training	Rp	11,142,598,085	15,519,327,722	-	26,661,925,806
	% BLM for community training vs Total use of BLM - APBN	%	7.22%	5.62%	0.00%	6.19%
IV	Total Community Contribution (in-cash & in-kind)	Rp	196,429,597,061	349,259,845,552	-	545,689,442,613
4.1	Use of Community contribution for water supply system	Rp	175,755,751,779	319,984,160,974	-	495,739,912,753
	% from total community contribution	%	89.48%	91.62%	0.00%	90.85%
4.2	Use of Community contribution for sanitation facility	Rp	7,756,088,971	11,305,695,545	-	19,061,784,516
	% from total community contribution	%	3.95%	3.24%	0.00%	3.49%
4.3	Use of Community contribution for community training	Rp	12,917,756,311	17,969,989,033	-	30,887,745,343
	% from total community contribution	%	6.58%	5.15%	0.00%	5.66%
V	Total use of Community contribution (in-cash & in-kind)	Rp	42,063,224,717	73,021,656,178	-	115,084,880,895
	% To the Total of use BLM - APBN and community contribution (in-cash & in-kind)		21.41%	20.91%	0.00%	21.09%
5.1	Use of BLM - APBN and community contribution for water supply	Rp	39,336,984,195	68,636,733,630	-	107,973,717,825
	% to Total BLM - APBN and community contribution	%	93.52%	94.00%	0.00%	93.82%
5.2	Use of BLM - APBN and community contribution for sanitation facility	Rp	951,082,297	1,934,261,237	-	2,885,343,533
	% to Total BLM - APBN and community contribution	%	2.26%	2.65%	0.00%	2.51%
5.3	Use of BLM - APBN and community contribution for community training	Rp	1,775,158,226	2,450,661,311	-	4,225,819,537
	% to Total BLM - APBN and community contribution	%	4.22%	3.36%	0.00%	3.67%
VI	Realization of Total BLM (APBN-APBD-Community contribution)					
VI.1	Volume					
6.1.1	Total Water Supply System - Non-piping	Unit	2,652	6,136	-	8,788
	Water Supply System - Spring	Unit	138	1,151	-	1,289
	Water Supply System - Surface Water	Unit	147	350	-	497
	Water Supply System - Deep Well/Borehole/Artesis	Unit	638	1,929	-	2,567
	Water Supply System - Dug Well	Unit	1,631	2,607	-	4,238
	Water Supply System - Rain water collection	Unit	98	99	-	197
	Water Supply System - Piping	Meter	2,434,386	2,708,945	-	5,143,331
6.1.2	Sanitation facility - Non hand washing	Unit	8,861	10,336	-	19,197
	Sanitation facility - Hand washing	Unit	67,532	119,622	-	187,154
6.1.3	Community Training	Unit	3,329	5,761	-	9,090
VI.2	Beneficiaries					
6.2.1	Beneficiaries - Water Supply System	KK	739,923	1,430,833	-	2,170,756
6.2.2	Beneficiaries - Sanitation Facility	KK	42,893	104,485	-	147,378
	Beneficiaries - Hand washing	People	106,139	337,931	-	444,070
6.2.3	Beneficiaries - Community training	People	393,547	683,673	-	1,077,220
6.2.4	Number of School	School	1,494	2,232	-	3,726
VII	Community-Based Organization (LKM)					
7.1	Number of elected LKM	unit	882	1,571	1,385	3,838
7.2	Member of LKM	People	7,868	14,071	8,679	30,618
7.3	Member of LKM - Women	People	2,536	4,342	2,632	9,510

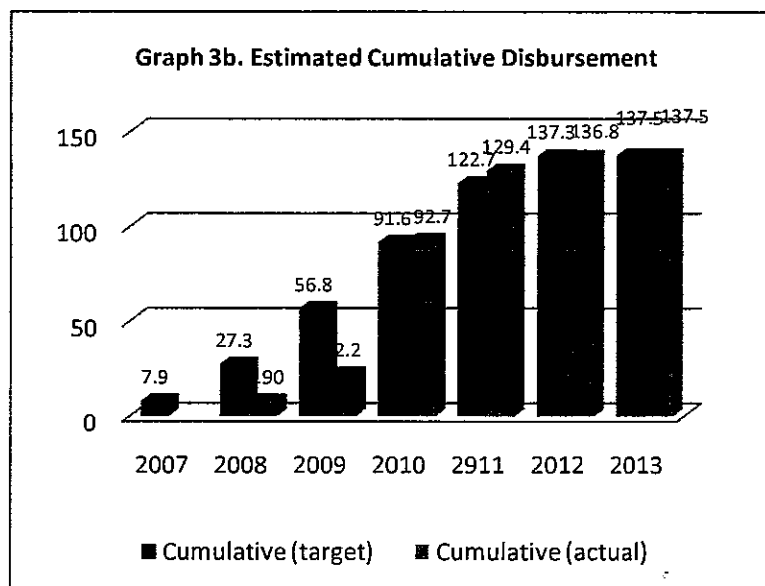
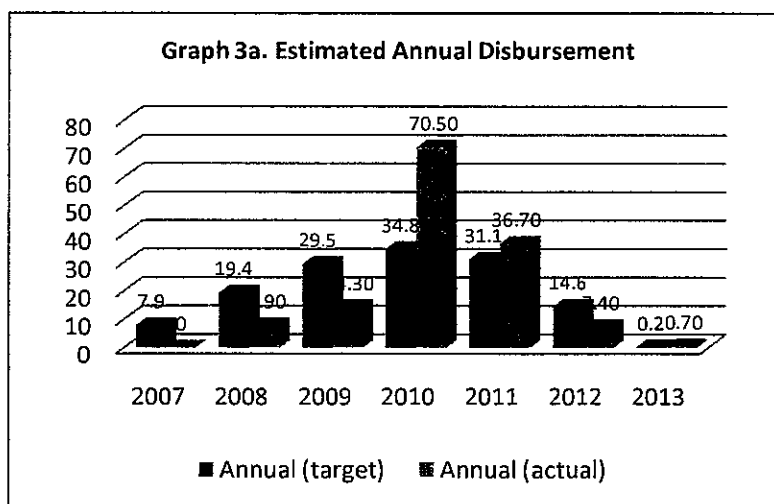
Table 2b. Summary of Project Output as of October 20, 2010 (contd)

NO	OUTPUT	UNIT	2008 Village	2009 Village	2010 Village	TOTAL
VIII	LKM Election Process					
8.1	Number of adult voter in village	People	54,636	127,372	113,723	295,731
8.2	% number of adult voter vs total adult population in village	%	4.60%	5.59%	5.05%	5.17%
8.3	% number of women voter vs total voter in village	%	36.80%	36.15%	36.88%	36.55%
IX	Water User Group/Badan Pengelola (BP)					
9.1	Number of elected BP	unit	882	1,506	-	2,388
9.2	Member of Badan Pengelola	People	7,214	13,505	-	20,719
9.3	Member of Badan Pengelola - Women	People	2,020	3,596	-	5,616
X	Proposed Community Action Plan (RKM)					
	Total proposed RKM being verified	Proposal	8,592	15,757	N/A	24,349
	Total proposed RKM being implemented	Proposal	8,478	15,176	N/A	23,654
10.1	Proposed RKM for Water Supply System					
	Number of proposed RKM being verified	Proposal	3,581	6,603	N/A	10,184
	Number of proposed RKM being implemented	Proposal	3,540	6,457	N/A	9,997
10.2	Proposed RKM for Sanitation Facility					
	Number of proposed RKM being verified	Proposal	1,301	2,295	N/A	3,596
	Number of proposed RKM being implemented	Proposal	1,291	2,216	N/A	3,507
10.3	Proposed RKM for Community Training					
	Number of proposed RKM being verified	Proposal	3,710	6,859	N/A	10,569
	Number of proposed RKM being implemented	Proposal	3,647	6,503	N/A	10,150

Annex 3. Detailed Disbursement

Table 3a. Project Cost

Original Target							
Annual (target)	7.9	19.4	29.5	34.8	31.1	14.6	0.2
Cumulative	7.9	27.3	56.8	91.6	122.7	137.3	137.5
Realization							
Annual (actual)	-	7.9	14.3	70.5	36.7	7.4	0.7
Cumulative		7.90	22.20	92.70	129.40	136.80	137.50



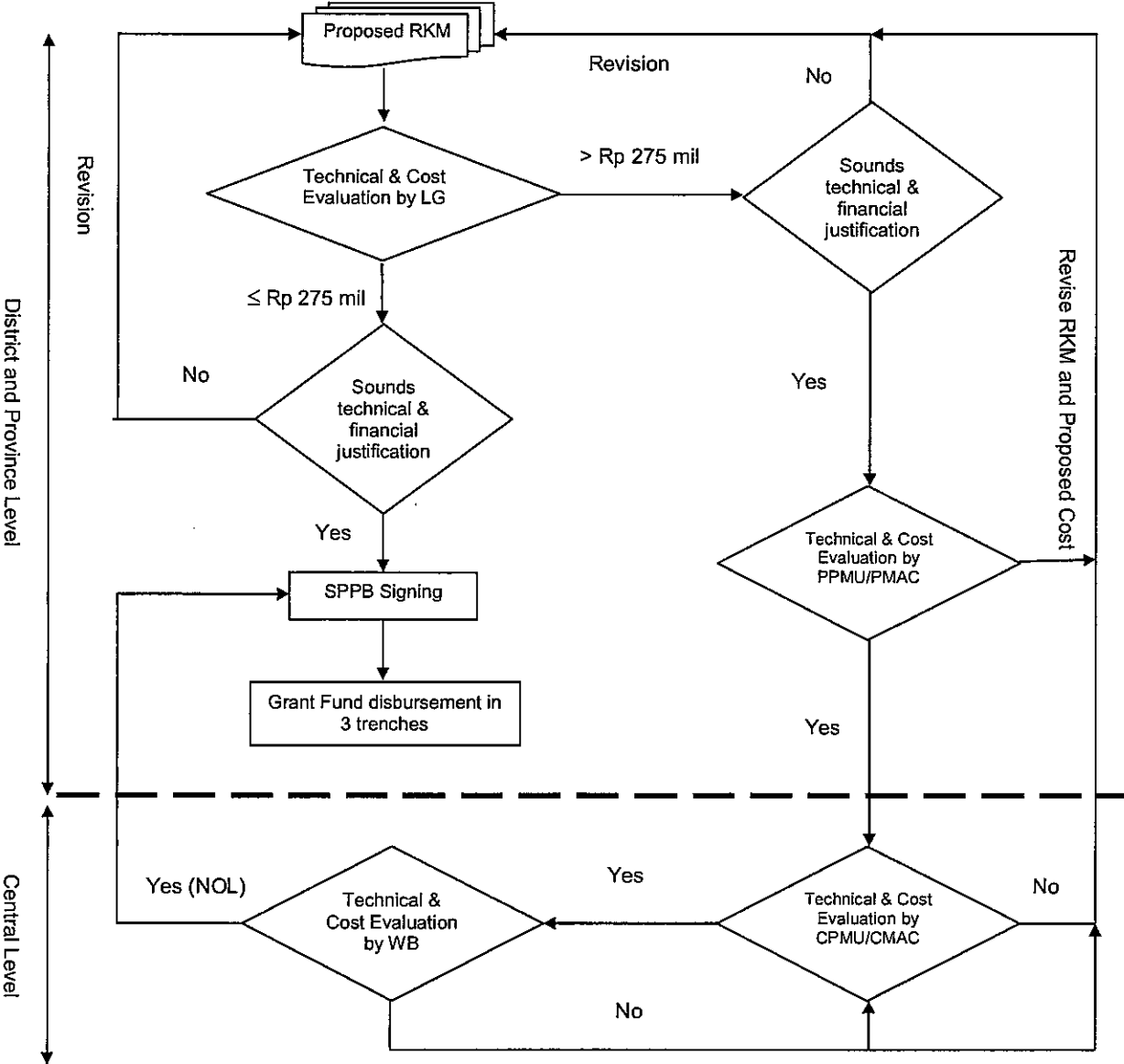
Annex 4. Definition and Data Source of Key Performance Indicators

Table 4a. Definition and Data Source of KPIs

No.	Key Performance Indicators	Source of Data	Component of Data	Level
1	Number of additional people with sustainable access to improved water facilities, differentiated by socioeconomic status	MIS data (module 4) and Household survey	Total number of people accessing improved water supply facilities	Village
2	Number of additional people with sustainable access to improved sanitation facilities, differentiated by socioeconomic status	MIS data (module 4) and Household survey	Total number of people accessing improved sanitation facilities Note: improved sanitation following JMP/MDG Indonesia criteria	Village
3	Number of villages developing community action plans (RKM)	MIS data (module 2)	Number of villages developing community action plans (RKM)	Village
4	Capacity building plan to support the adoption and mainstreaming of the PAMSIMAS approach, and progress towards achieving its objectives	MIS data (module 6)	Number of districts that have developed strategic plan for WSS to achieve MDG goal, covers both institutional and CDD/Pamsimas approach	District
5	Actual Project District WSS expenditure as a percentage of the budget needed to achieve MDG goals	MIS data (module 6)	District WSS actual expenditure as a percentage of the budget needed for implementing WSS strategic plan	District
6	No of districts that are replicating the PAMSIMAS approach outside targeted communities	MIS data (module 6)	No of districts that are replicating the PAMSIMAS approach	District
7	% of target communities free of open defecation (ODF)	MIS data (module 2) and Sanitarian monitoring data	Number of sub-villages that already free of open defecation	Sub-Village
8	% of target communities adopting hand washing programs (CTPS)	MIS data (module 2) and Sanitarian monitoring data	Number of sub-villages that adopting hand washing programs (CTPS)	Sub-Village
9	% of targeted schools that have improved sanitation facilities and hygiene programs	MIS data (module 4)	Number of schools that have improved sanitation facilities and hygiene programs	Village
10	% of villages with improved water supply systems that are functioning to the satisfaction of the majority of targeted community	Household survey	Number of villages with improved water supply systems that are functioning to the satisfaction of the	Village

No.	Key Performance Indicators	Source of Data	Component of Data	Level
			majority of beneficiaries	
11	% of villages with improved water supply systems that are effectively managed and financed	MIS data (module 4)	Number of WSS management group (BP SPAMS) that are applying tariff mechanism	Village
12	Number of villages & districts exceeding project performance criteria and receiving supplementary grants	MIS data (module 4)	Number of villages receiving supplementary grants (VIG) Number of districts receiving supplementary grants (DIC)	Village / District
13	Project monitoring structure and tools (IMIS, M&E) provides regular information on project implementation quality	Completeness of MIS	Number of districts that have completed the MIS data	District

Annex 5. Proposed Grant Allocations Mechanism



Annex 6. AusAID Financed Activities

The Governments of Australia and Indonesia signed a grant agreement for the AUS\$8.6 million additional financing on September 2009, with a closing date of 31 December 2012. On 18 May 2009, GoA had already signed an Administrative Agreement with the Bank, which specifies its roles and responsibilities as PTF administrator. GoA will reimburse the costs of the Bank for administering the PTF, which are estimated at US\$799,400.

1. Activities completed during the current reporting period (18 May 2009–30 June 2010)

Planned activities

The grant agreement identifies three recipient-executed activities:

- Community Empowerment and Local Institutional Development. Through PAMSIMAS, the Ministry of Public Works employs a large number of community facilitators, who are crucial importance to the success of the project. The PTF would finance the training of a cadre of trainers at central and provincial level, as well as capacity building for the use of two methodologies that are relatively new to Indonesia: MPA/PHAST (Methodology for Participatory Assessment / Participatory Hygiene and Sanitation Transformation) and CLTS (Community Led Total Sanitation).
- Village Incentives Grants. PAMSIMAS finances grants for investments in community-based water and sanitation infrastructure. The PTF would increase the grant amount, allowing eligible villages to undertake additional activities.
- Implementation Support and Program Management. The PTF would strengthen this component by financing an implementation adviser for the above activities.

The Administrative Agreement for the PTF stipulates that the Bank would be responsible for:

- PTF Administration
- Supervision
- The implementation of an MIS and Evaluation Study

Actual activities

During the reporting period, the Bank has utilized approximately US\$184,000, or about 23% of the total available budget for PTF administration (Table 1). Most of these funds were allocated to finance salaries, travel expenses and other supervision activities. As of 30 June 2010, CPMU had not spent any of the US\$700,000 advance payment it had received from PTF in early 2010, so that the entire grant amount of US\$5.6 million equivalent remains available for the period July 2010-December 2012.

Table 6a. Budgeted vs. Actual Spending of PAMSIMAS Trust Fund Resources
(US\$ '000 equivalent)

Component	Total Budget	Actual, Year 1	% Budget Used, Yr 1	Budget Remaining
GOI-executed Activities				
1. Community Empowerment and Local Institutional Dev.	593	–	0%	593
2. Village Incentive Grants	2,450	–	0%	2,450
3. Implementation Support and Project Management	2,557	–	0%	2,557
TOTAL	5,600	–	0%	5,600
Bank-executed Activities				
1. PTF Administration	50	–	0%	50
2. Bank Supervision	352	173	49%	179
3. MIS and Evaluation Study	397	11	3%	386
TOTAL	799	184	23%	615

Source: World Bank (2010)

Reasons for low disbursement rate

CPMU informed the Bank that it was unable to disburse any of the grant amount during the reporting period for the following reasons:

- Late issuance of a circular letter by MoF. According to Indonesian regulations, the procedure for the disbursement of an individual foreign loan or grant must be stipulated in decree by the Director-General of Treasury (PerDirJen). This letter was issued at the end of July 2010, about one month after the end of the reporting period. CPMU has indicated that the delay was caused by an internal reorganization of the Ministry of Finance.
- Late revision of the required budget document. Foreign grants need to be registered in an Indonesian budget document known as DIPA (which stands for *Daftar Isian Pelaksanaan Anggaran* or Budget Implementation List). The PAMSIMAS grant was first registered in August 2010, also after the end of the reporting period. This delay was apparently caused by a change to decentralized procurement regulations.
- Limited capacity to execute the Trust Fund. CPMU staff appeared to have limited capacity to implement the Bank's procurement regulations, which caused delays in the preparation of tender documents for consultant recruitment.

2. Activities planned for the next reporting period (1 July 2010–30 June 2011)

In spite of the delays experienced during the first reporting period, the Bank remains confident that the PAMSIMAS Trust Fund will be able to disburse the full grant amount by December 2012, as originally scheduled. This is because the most of the underlying causes of the delays have been removed:

- MoF has issued the PerDirjen for the channeling of the grant (which is only required once),

- CPMU now has experience with decentralized procurement (which caused a delay in the revision to the DIPA),
- CPMU has recruited experienced consultants to assist with the implementation of the grant, thereby increasing the capacity of CPMU to execute the PTF effectively

As shown in Table 6b, PTF expects to spend almost the equivalent of almost US\$2.4 million in the next reporting period (July 2010-June 2011), or 43% of the available grant amount. As of 30 September 2010, the PTF had already financed the training for 350 provincial and district-level project officials and policy and program orientation to 1,000 provincial and district government leaders and many others of workshops and trainings. By the end of 2010, the recruitment of 18 consultants will be completed and 30 villages are scheduled to receive grants for community-based water supply and sanitation facilities.

Table 6b. Budgeted Expenditure of PAMSIMAS Trust Fund in Bank Fiscal Year 2011

(US\$ '000 equivalent)

Component	Jul-Sep 2010	Oct-Dec 2010	Jan-Mar 2011	Apr-Jun 2011	TOTAL
1. Community Empowerment and Local Institutional Development	100	247	97	125	569
2. Village Incentive Grants	–	450	450	–	900
3. Implementation Support and Project Management	–	382	269	269	920
TOTAL	100	1079	816	394	2,389

Source: World Bank (2010)

Annex 7. Detailed Description of Component 1: Community Empowerment and Local Institutional Development

- Objectives.** The objectives of this Component are: (i) to enable PAMSIMAS communities to organize, plan, manage and sustain their water, sanitation and hygiene (WSH) improvement programs; (ii) to enhance the capacity of Local Government institutions for quality program management and (iii) to build the commitment and capacities of central, provincial and district government agencies to mainstream and scale up PAMSIMAS for replication in and beyond the immediate project target areas.
- Overall Performance.** The overall performance of this component is **Moderately Satisfactory** due to most of the key performances have either met or exceeded the target, however some of key features have not in placed yet. The target of enabling communities to develop and implement the community action plan (RKM) and number of district that are replicating Pamsimas approach are exceeding the target. However, numbers of districts that have capacity building plan to support the adoption and mainstreaming of the community-based WSS approach is slightly below the target and the magnitude of increased annual district expenditure as result of the strategic plan implementation is not yet available. While, institutional assessment using MPA tool to assess LG agencies performance and policy environment, development of knowledge management plan for ensuring dissemination of lessons learned and good practice. The details description on the overall performance of sub-components under component 1 can be found in the annex.
- Achievement up to date.** Up to date, the project has enabled the community to develop and implement community action plans in 3,629 villages while the KPI is targeting for 2,550 villages up to this year. The key elements for **implementing CDD process at community level** are adequately available, for instance project manuals, technical guidelines and socialization materials, as well as trained facilitator. Capacity building for facilitator is done through training and coaching. Facilitator training is conducted annually for new facilitator and refreshing training for the rest. Nevertheless, ongoing coaching and mentoring from DMAC and PMAC to facilitator is still limited.
- Some of the key elements for **developing mechanisms and capacities of provincial, district and sub-district institutions for quality program management** are in place, for instance project manuals, technical guidelines, socialization materials, generic TORs, master curriculum and modules for all trainings. In addition, annual program of workshop, training, skills transfer and website self-based learning are also have regularly been conducted. However, synchronize similar capacity building activities that are implemented by different IAs for different target audiences still has to be improved.
- In the effort to **develop mechanisms and capacities of provincial and district institutions for scaling up and mainstreaming community driven WSS**, as of today, 33 out of 110 districts and 6 out of 15 provinces have established an inter-agencies forum of WSS (or Pokja AMPL), while 37 out 110 districts and 6 provinces have issued Strategic Plan (Renstra) of community based WSS. In addition, 210 villages in 83 districts (of 15 provinces) have carried out replication of PAMSIMAS approach on provision the village water supply and sanitation facilities. As a result, the districts contribute of USD 8.2 million

(or 19 % of the estimated cost as written in PAD) for replication of Pamsimas approach and cost-sharing or counterpart fund. However, magnitude of increased annual district expenditure as result of the strategic plan implementation is not yet available. The details description on the achievements up to date of sub-components under component 1 can be found in the annex.

6. **Key Issues. In implementing CDD process at community level** the following key issues need to be addressed: (i) facilitator training management and monitoring, based on observation the implementation of facilitator training could be deviated due to insufficient budget or careless judgment from budget holder authority (Satker), and it's worsening by limited monitoring from central level, which put the facilitator training quality at risk, (ii) coaching to facilitator from PMAC is continued to be lacking due insufficient budget to travel to districts frequently, and (iii) post-construction support is limited, as the BPS only receives limited capacity building intervention due to insufficient facilitation period and strategy for broader post construction support is not yet available.
7. The key issues in **developing mechanisms and capacities of provincial, district and sub-district institutions for quality program management** are as follows: (i) up to now the project does not has a capacity building strategy/framework that is needed to allocate specific resources, responsibilities and accountabilities at each level, (ii) by design there is no Capacity Building specialist at CMAC, currently Participatory Development specialist took over the overall capacity building activities, with current resources it is difficult to maintain the quality, (iii) institutional assessment using MPA tools to assess LG agencies performance in managing and implementing program as well as policy assessment for enabling environment has not been conducted, and (iv) dissemination of lessons learnt and good practice, particularly to LG stakeholders, has not effective yet, as although the media is currently available (project website) however the use is limited.
8. The key issues in **scaling up and mainstreaming community driven WSS** are as follows: (i) the role and function of Pokja AMPL is limited to coordinating body does not have local policy-making function, (ii) incorporating WSS strategic plan (Renstra AMPL) into district annual planning and budgeting process has been has been limited, and in most of the visited provinces and districts, the Renstra is issued in 2008 and never been reviewed, (iii) lack of guidance to incorporate PJM Pro-Aksi into RPJM Desa, although the project technical guideline has give some reference but LG stakeholder feels it is necessary to have MOHA guidance concerning incorporation such plans into the RPJM Desa, (iv) despite the workshop for executive and legislative that has been implemented by Bangda annually, the legislative capacity on expansion of local community-based WSS program is still limited, and (v) selection process of LG Consultants at National and Provincial levels is very slow, which delaying the intervention to LG in scaling up and mainstreaming community driven WSS. The mapping of Pokja AMPL and Renstra in Pamsimas location can be found in the table below.

Table 7a. Number of Provincial and District with and without Pokja and Renstra AMPL

	POKJA		RENSTRA			POKJA		RENSTRA	
	Yes	No	Yes	No		Yes	No	Yes	No
West Sumatera					East Nusa Tenggara				
Province	1		1		Province	1		1	
Districts	6	10	6	10	District	5	6	5	6
Riau					South Kalimantan				
Province		1		1	Province		1		1
District		7		7	District		8		8
South Sumatera					Central Sulawesi				
Province		1		1	Province		1		1
District	1	6	1	6	District		7		7
West Java					South Sulawesi				
Province		1		1	Province	1		1	
District	1	4	1	4	District	4	3	5	2
Central Java					Gorontalo				
Province	1		1		Province	1		1	
District	11	19	11	19	District	3		3	
Banten					West Sulawesi				
Province	1		1		Province		1		1
District	2		2		District		3		3
Maluku					North Maluku				
Province		1		1	Province		1		1
District		1		1	District		2		2
Papua									
Province		1		1					
District		1		1					

Source: WASPOLA data of September 2010

Remarks:

Provincial and District Pokja

Number of Provinces with Pokja AMPL	6
Number of Provinces without Pokja AMPL	9
Number of Districts with Pokja AMPL	33
Number of Districts without Pokja AMPL	77

Provincial and District Renstra

Number of Provinces with Renstra AMPL	6
Number of Provinces without Renstra AMPL	9
Number of Districts with Renstra AMPL	37
Number of Districts without Renstra AMPL	73

9. **Recommendation.** The following are recommendation to address key issues in **implementing CDD process at community level:** (i) since facilitator training is critical, CPMU should require CMAC to submit the training evaluation regularly and conduct training rectification when necessary, in addition, to enable CMAC function in managing and assuring quality of facilitator training the budget for training suggested to be transferred to PMAC contract, (ii) as coaching to facilitator is critical for continuous improvement of facilitator, CPMU should expedite the PMAC amendment process to enable PMAC to

conduct regular coaching for facilitators, and (iii) for ensuring sustainability of water supply and sanitation services and hygiene behavior change, CPMU should ensure the sustainability facilitator is recruited, trained and mobilized in due course, in addition, CPMU should also provide assistance to DPMU in establishing associations of WSS management group.

10. To address the key issues in **development of mechanisms and capacities of provincial, district and sub-district institutions for quality program management**, CPMU is recommended to: (i) expedite the process of CB Expert/Advisor recruitment, who will be formulated the capacity building strategy/framework together with CMAC, (ii) adjust the TOR of Participatory Development specialist to reflects the responsibilities on CB and adjust CMAC structure to have sounds CB team, (iii) to conduct performance assessment of district agencies annually (lead by PMD) and policy environment assessment at provincial level in the mid term (lead by Bangda), as it is critical to assess whether local institution has sufficient capacity and policy environment for scaling up further, and (iv) massively socialize the function of website as a media for sharing project lessons learnt and good practice to LG and other stakeholders, and consider other medias that are accessible by LG.
11. To address the key issues in **scaling up and mainstreaming community driven WSS**, CPMU (lead by Bangda) is recommended to: (i) enhance the role and function of Pokja AMPL in leading local WSS Policy-Making to be able to carry the following mandates in initiating local regulation, carrying out consultative dialogue and so on, (ii) ensure incorporation of WSS Plan into district annual planning and budgeting process, for districts that already have Renstra AMPL carry out a review for translating it into annual planning and budgeting process, such as RPIJM and RKPD, is a must; for districts without Renstra AMPL shall develop a comprehensive WSS plan, (iii) discuss an action plan to incorporate all plans, including PJM Pro-Aksi, into RPJM Desa, (iv) review the effectiveness of the regional workshops of mainstreaming PAMSIMAS approach to local legislative and executive and develop strategy for socialization or media development (advocacy tools) for local legislative and executive, and (v) finalize selection of LG Consultants at National and Provincial Levels by October 31, 2010 and PMAC LG shall be mobilized by November 7, 2010.

Table 7b. List of Training, Workshop and Capacity Building Activities at All Level

1. Capacity Building for Program Implementation							
1.1. National Level							
1.1.1	TOT for Training Provider for Sustainability Monitoring and Multi Stakeholder Assessment	Training providers from provincial level and central level stakeholder	Central	1x during project period	2nd Year of the Program	3 days	PMD
1.1.2	Pamsimas Socialization/Roadshow to DPRD & LG	DPR members (Provincial DPRD from each province), Local Government Staff (PU, Health, PMD, Bappeda) from each province	Regional	1x annually	Q2 (Apr-Jun)	2 days	Bangda
1.1.3	TOT for Teacher Training on School Hygiene/ Health Sanitation Program	Program stakeholder at central level	Central	1x during project period	1st Year of the Program	4 days	MoH
1.1.4	TOT for Training Provider for CLTS and Multi Stakeholder Assessment	Training providers from provincial level and central level stakeholder	Central	1x during project period	1st Year of the Program	4 days	MoH
1.1.5	Workshop of Sanitation and Hygiene Marketing	Program stakeholder at central level	Central	2x during project period	1st and Mid-year of the Program	3 days	MoH
1.1.6	TOT on MPA/PHAST related to H&S marketing program	Provincial health office staffs	Central	2x during project period	1st and Mid-year of the Program	3 days	MoH
1.1.7	Workshop for developing school hygiene/ health curricula	Program stakeholder at central level	Central	2x during project period	1st and Mid-year of the Program	3 days	MoH
1.1.8	Workshop for developing school hygiene/ health manuals	Program stakeholder at central level	Central	2x during project period	1st and Mid-year of the Program	3 days	MoH
1.1.9	Orientation MPA/PHAST for WSS Sustainability	15 Provincial and 110 Districts (relevant Dinases)	Regional	2x during project period	1st and Mid-year of the Program	6 days	PMD
1.1.10	Orientation on Monitoring of Community Based Total Sanitation (STBM) Implementation	Central and provincial health office staff	Central	1x during project period	1st Year of the Program	3 days	MoH
1.1.11	TOT for PMAC Trainer	PMAC Training Team	Central	1x annually	Q1 (Jan-Feb)	5 days	CMAC
1.1.12	Training for PMAC	PMAC Team (TL, Trainer, FMS, Asmandat)	Central	1x during project period	1st Year of the Program	5 days	CMAC
1.1.13	Expert Meeting	PMAC Team (Trainer, FMS, Asmandat)	Central	3x annually	Q1, Q3, Q4	3 days	CMAC
1.1.14	Training for VIG Facilitator	VIG Facilitator	Central	1x annually	Q1 (Jan-Mar)	8 days	CPMU
1.1.15	Training for Prov/Dist Satker	Prov/Dist Satker	Regional	1x annually	Q2 (Apr-Jun)	5 days	CPMU
1.1.16	Training for Provincial Consultant/GOI Staff in Sustainability Monitoring	Provincial and Districts Relevant Dinases and PMAC	Regional	2x during project period	1st and Mid-year of the Program	5 days	PMD

1.1.17	Workshop for Government Personnel to enhance quality of Project Management (Planning, Financial, Monitoring, and Reporting)	PPMUs dan DPMUs	Regional	1x annually	Q2-Q3 (May-Agt)	5 days	PMD
1.1.18	Workshop for Establishment and Used of Sustainability Monitoring	Provincial and Districts Relevant Dinases and PMAC	Regional	1x annually	Q1 (Jan-Mar)	3 days	PMD
1.1.19	National workshop on CLTS	Program stakeholder at central level	Central	2x during project period	1st and Mid-year of the Program	3 days	MoH
1.1.20	Workshop on Sanitation Clinic	Program stakeholder at central level	Central	1x during project period	1st Year of the Program	3 days	MoH
1.1.21	Workshop to Review and Evaluate H&S School Program	Program stakeholder at central level	Central	2x during project period	1st, mid, and final-year of the Program	3 days	MoH
1.1.22	Workshop for Design Impact of environment health and hygiene promotion	Program stakeholder at central level	Central	1x during project period	Mid-year of the Program	3 days	MoH
1.1.23	Advocacy Meeting of Community Based Total Sanitation (STBM)	Program stakeholder at central, provincial, and district level	Regional	1x annually	Q2 (Apr-Jun)	3 days	MoH
1.1.24	Advocacy Workshop for executive and legislative	Member of Provincial DPRD and local government (PU, Health, Bappeda, PMD)	Regional	1x during project period	Q3 (Jul-Sept)	3 days	Bangda
1.2 Provincial Level							
1.2.1	Training for Sustainability Facilitator	New Sustainability Facilitator	Province/Regional	1x annually	Q1 (Jan-Feb)	10 days	PMAC
1.2.2	Refresher/Upgrade Training for Sustainability Facilitator	Existing Sustainability Facilitator	Province	1x annually	Q1 (Jan-Feb)	5 days	CPMU, PMAC
1.2.3	New CFT Training	New Community Facilitator	Province	1x annually	Q1 (Jan-Feb)	14 days	CPMU, PMAC
1.2.4	Refresher/Upgrade Training for CFT	Existing Community Facilitator	Province	1x annually	Q1 (Jan-Feb)	5 days	CPMU, PMAC
1.2.5	CLTS Advocacy workshop	Provincial stakeholder	Province	1x annually	Q2 (Apr-Jun)	1 day	MoH
1.2.6	Advocacy workshop for sanitation marketing approach	Provincial stakeholder	Province	1x annually	Q2 (Apr-Jun)	1 day	MoH
1.2.7	Training on Monitoring of Community Based Total Sanitation (STBM) Implementation	District Health Office Staff	Province	1x during project period	1st Year of the Program	3 days	MoH
1.2.8	CLTS Training for Provincial and District staff	Provincial and District Health Office staff	Province	2x during project period	1st and Mid-year of the Program	4 days	MoH
1.2.9	Workshop of Specific Sanitation Option and CLTS	Provincial and District Health Office staff	Province	2x during project period	1st and Mid-year of the Program	2 days	MoH

1.2.10	Workshop for Marketing Approach and Hygiene Promotion	Provincial and District Health Office staff	Province	2x during project period	1st and Mid-year of the Program	2 days	MoH
1.2.11	Promotional events for supplier and consumer on STBM supply chain and bussiness development	Provincial and District Health Office staff, sanitation supplier, LKMs	Province	1x during project period	Pertengahan Program	1 day	MoH
1.2.12	Training of MPA/PHAST related to hygiene and sanitation marketing program	Provincial and District Health Office staff	Province	2x during project period	1st and Mid-year of the Program	4 days	MoH
1.2.13	Workshop for Sanitation Clinic	Provincial and District Health Office staff	Province	2x during project period	1st and Mid-year of the Program	2 days	MoH
1.2.14	Workshop for School Program	Provincial and District Health Office staff	Province	1x annually	Q1 (Jan-Mar)	2 days	MoH
1.2.15	Training for Teacher on School Hygiene/ Health Sanitation Program	Teacher representatives, District Health Office Staff	Province	2x during project period	1st and Mid-year of the Program	3 days	MoH
1.2.16	Training for Monitoring of H&S School Program	Teacher representatives, District Health Office Staff	Province	1x annually	Q3 (Jul-Sept)	2 days	MoH
1.2.17	Training and Workshop for environment health and hygiene promotion	Provincial and District Health Office staff	Province	1x annually	Q2 (Apr-Jun)	2 days	MoH
1.2.18	Workshop for monitoring MDGs Target	Provincial and District Health Office staff	Province	1x annually	Q2 (Apr-Jun)	2 days	MoH
1.2.19	Training for District Staff on sanitation and hygiene program performance and access	Sub-district health office staff and village midwives	Province	1x annually	Q2 (Apr-Jun)	3 days	MoH
1.2.20	Workshop TNA and Training Plan for H&S School Program	District Health Office Staff	Province	1x annually	Q1 (Jan-Mar)	3 days	MoH
1.2.21	Workshop/Training for Water Quality Surveilance	District health office staffs	Province	1x during project period	1st Year of the Program	3 days	MoH
1.2.22	Training for CAP Evaluation Team	District CAP Evaluation Team	Province	1x annually	Q2 (Apr-Jun)	3 days	DPMU
1.3. District Level							
1.3.1	Orientation MPA/PHAST and Sustainable WSS	TKK and Sub-district staff	District	2x during project period	1st and Mid-year of the Program	6 days	PMD
1.3.2	CLTS Advocacy workshop	District stakeholder	District	1x annually	Q2 (Apr-Jun)	1 day	MoH
1.3.3	Advocacy workshop for sanitation marketing approach	District stakeholder	District	1x annually	Q2 (Apr-Jun)	1 day	MoH
1.3.4	MPA Stakeholder Assessment to assess performance in local government service delivery using CDD approach	TKK, Sub-district and village representatives	District	2x during project period	1st and Mid-year of the Program	3 days	PMD
1.3.5	Training of CLTS for Sub-district and Village Teams	Sub-district CLTS Team	District	1x annually	Q2 (Apr-Jun)	4 days	MoH

1.3.6	Training of MPA/PHAST related to hygiene and sanitation marketing program	Sub-district Health Office staff	Province	2x during project period	1st and Mid-year of the Program	4 days	MoH
1.3.7	Workshop on Sanitation Clinic	Sub-district Health Office staff	District	2x during project period	1st and Mid-year of the Program	2 days	MoH
1.3.8	Workshop for Inserting H&S in Curricula	District stakeholder	District	2x during project period	1st and Mid-year of the Program	2 days	MoH
1.3.9	Training for Teacher on School Hygiene/ Health Sanitation Program	Elementary School Teachers	District	1x annually	Q2 (Apr-Jun)	2 days	MoH
1.3.10	Workshop on CLTS Implementation	District stakeholder	District	2x during project period	1st and Mid-year of the Program	3 days	MoH
1.4. Village Level							
1.4.1	Pamsimas Socialization	Community	Village	1x annually	Q3 (Jul-Sept)	1 day	DPMU, Village Gov.
1.4.2	MPA/PHAST implementation and CAP preparation	Community	Village	During implementation at village level	Q1 (Feb-Apr)	as required	DPMU, DMAC, CFT, LKM
1.4.3	VIT (LKM & Satlak) establishment	Community	Village	During implementation at village level	Q1 (Feb-Apr)	as required	DPMU, Village Gov.
1.4.4	Village level training on pre implementation	Community/Satlak Pamsimas/LKM	Village	During implementation at village level	Q2 (Jun-Jul)	as required	LKM, Satlak Pamsimas
1.4.5	Village level training for implementation and post construction	Community/BPSPAMS/LKM	Village	During implementation at village level	Q3-Q4 (Agt-Nov)	as required	LKM, Satlak Pamsimas
1.4.6	Public sanitation awareness and Hygiene Promotion Campaign	Community	Village	During implementation at village level	Q2-Q4 (Mar-Dec)	as required	MoH
2. Strengthening Scaling-up and Mainstreaming Program							
2.1. National Level							
2.1.1	Action Planning Workshop for Institutionalization Plan at Provincial and District Level	TKP and TKK	Jakarta	3x during project period	3rd, 4th and final-year of the Program	5 days	Bangda
2.1.2	Meeting of Development and review scaling up strategy	TKP and TKK	Jakarta	3x during project period	2nd, 3rd, and 4th Year of the Program	3 days	Bangda
2.1.3	Workshop review of the regulatory framework and planning for CDD WSS at provincial and district level	TKP and TKK	Jakarta	3x during project period	1st, 2nd, and 3rd Year of the Program	3 days	Bangda
2.2. Provincial Level							

2.2.1	Post Construction Workshop	TKP and TKK	Province	4x during project period	2nd - final year of the Program	3 days	PMD
2.2.2	MPA Stakeholder Policy Level Assessment	TKP	Province	3x during project period	2nd, 3rd, and 4th Year of the Program	2 days	Bangda
2.2.3	Training for Water Management Groups	WMG members	Province	3x during project period	2nd, 3rd, and 4th Year of the Program	5 days	PPMU
2.3. District Level							
2.3.1	Post Construction Workshop	TKK	10 selected districts	4x during project period	2nd - final year of the Program	3 days	PMD
2.3.2	Workshop/ Meeting of Water Management Group Forum	Member of WMG	District	4x during project period	2nd - final year of the Program	3 days	PMD
2.3.3	Establish and Train multi stakeholder group (Pokja) for scaling up of Pamsimas	District multi stakeholders	District	4x during project period	2nd - final year of the Program	3 days	PMD
2.3.4	Learning and Cross Sharing Experience on Hygiene and Sanitation	Community/ WMG members	District	1x annually	Q2 (Apr-Jun)	3 days	MoH
2.4. Village Level							
2.4.1	Establish Water Management Unit	Community	Village	During implementation at village level	Q4 (Oct-Dec)	as required	LKM
2.4.2	Action Planning Meeting (FGD/Pleno) on achieving PJM Pro-AKSi	Community	Village	1x post project	Q1 (Jan-Mar)	as required	LKM
2.4.3	Synchronization of PJM Pro-AKSi with Village Development Plan		Village	1x post project	Q1 (Jan-Mar)	as required	LKM
2.4.4	Strengthening the capacity of LKM on partnership&channeling		Village	1x post project	Q1 (Jan-Mar)	as required	LKM

Table 7c. List of Project Manuals, Technical Guidelines and Socialization Materials

No	Pedoman/Petunjuk Teknis	Topik/Siklus	Target Audience
1.	Pedoman Pengelolaa Program Pamsimas (PMM)	Desain Proyek, KPI, Proses & Pendekatan	Government
2.	Pedoman Pelaksanaan Pamsimas di Tingkat Masyarakat (VIM)	Semua siklus	Government, Community, Fasilitator
3.	Petunjuk Teknis Perencanaan Kegiatan Pamsimas Tingkat Masyarakat	IMAS Pemicuan CLTS & CTPS Pembentukan LKM PJM proaksi & Opsi Penyusunan RKM Evaluasi & persetujuan RKM	Community, Fasilitator
4.	Petunjuk Teknis Pelaksanaan Kegiatan Pamsimas Tingkat Masyarakat	Pencairan Dana Jenis Kegiatan Administrasi & Pembukuan Penyelesaian Pelaksanaan Kegiatan	Community, Fasilitator
5.	Petunjuk Teknis Pemeliharaan & Keberlanjutan	Pengoperasian & Pemeliharaan Keberlanjutan	Community, Fasilitator
6.	Buku Kumpulan Format	Semua Format yg harus diisi LKM	Community, Fasilitator
7.	Petunjuk Teknis Pengadaan Barang dan Jasa		Community, Fasilitator
8.	Petunjuk Teknis Pengamanan Lingkungan dan Sosial		Community, Fasilitator
9.	Petunjuk Teknis Pemantauan dan Evaluasi		Government, Community, Fasilitator
10.	Petunjuk Teknis Pengelolaan Keuangan		Government
11.	Petunjuk Teknis Pengarusutamaan Kegiatan Pamsimas dalam Pembangunan AMPL di Daerah		Government

Table 7d. Communication and Socialization Media

No	Communication & Socialization Media	Type of Media	Contents	Objective	Audience/ Distribution
1.	Dana Bantuan Langsung Masyarakat (BLM) segera cair	Poster	Information on requirements and procedures of block grant (BLM) disbursement	Increase community awareness & understanding on requirements & procedures of block grant (BLM) disbursement	Main:Community/Village level Limited: DPMU/Satker (Kab), DMAC and PMAC
2.	Dana Bantuan Langsung Masyarakat Sudah Cair, Yuuk... Kita Awasi Pemanfaatan dan Pengelolaannya	Street Banner	Informing that block grant has disbursed and requesting community to oversee	Increase community participation in overseeing block grant usage and management	Community/ Village level
3.	Pastikan Konstruksi Sarana Air Minum dan Sanitasi sesuai Standar PU	Poster	Informing that construction of infrastructure should be followed MPW standard, and also requesting community to participate in overseeing	Increase community participation in overseeing construction of infrastructure, to ensure following standard	Main:Community/Village level Limited: DPMU/Satker (Kab), DMAC and PMAC
4.	Jangan Lupa Iurannya ya....!	Poster	Information on the importance of paying the water tariff and costs will be covered from collected tariff	Increase community awareness & understanding on the importance of paying water tariff	Main:Community/Village level Limited: DPMU/Satker (Kab), DMAC and PMAC
5.	Pengelolaan Keuangan Baik dan Terbuka Cerminan Badan Pengelola (BP) Terpercaya	Poster	Information on the importance of having transparent financial management	Increase transparency & accountability by encouraging community to participate in overseeing financial management	Main:Community/Village level Limited: DPMU/Satker (Kab), DMAC and PMAC
6.	Sulit Air.....? Jangan sampai terjadi Lagi	Poster	Illustration of condition before the program; requesting community to maintain the infrastructure and conserve water resources and environment	Encourage community to participate in maintaining the built infrastructure and conserve water resources and environment	Main:Community/Village level Limited: DPMU/Satker (Kab), DMAC and PMAC
7.	Kita Berbeda didalam Pamsimas	Poster	Informing that Pamsimas is different due to	Increasing Pamsimas stakeholder awareness and understanding on	Community/ Village level

No	Communication & Socialization Media	Type of Media	Contents	Objective	Audience/ Distribution
			zero tolerant to misused of fund	zero tolerant to misused of fund	DPMU, Satker/ District level, Province level (all level)
8.	Pengadaan Jangam Mengada-Ada	Poster	Informing about principles of community procurement	Increasing community understanding and awareness on the objective and principles of community procurement	Main:Community/Village level Limited: DPMU/Satker (Kab), DMAC and PMAC
9.	Pengadaan Barang & Jasa di Tingkat Masyarakat	Leaflet	Informing about objective, principles, methods and procedures of community procurement	Handy information to inform community on the method and key procedures of community procurement	Community/ Village level DPMU, Satker/ District level

Annex 8. Detailed Description of Component 2: Improving Hygiene and Sanitation Behavior and Services

1. Objective of this component is to ensure targeted community households gain access to improved sanitation of their choices, are using improved WSS infrastructure effectively and are progressively adopting key hygiene practices. Following are key performance indicators for this component:

- % of target communities free of open defecation,
- % of target communities adopting hand washing programs,
- % of targeted schools that have improved sanitation facilities and hygiene programs.

This component is also as main contributor to overall project outcome indicators for additional 6-10 millions of people with sustainable access to improved sanitation, differentiated by socioeconomic status.

2. Overall performance of this indicator is moderately unsatisfactory. Even though achievements in two out of three key performance indicators (% of target communities adopting hand washing programs and % of targeted schools that have improved sanitation facilities and hygiene programs) are relatively satisfactory and Ministry of Health is one among implementing unit that has allocated counterpart budget as expected, contribution of this component in increasing access to improved sanitation is very low.
3. Out of 1,643,042 numbers of families in 2,453 Pamsimas villages (2008 and 2009), 584,509 families (35.5%) are still defecate in the open. The data is about similar with the Joint Monitoring Program WHO-Unicef for Indonesia that has 36% open defecation rate for rural area in year 2008, decrease from 48% in 1990 or approximately decrease 0.67 percent per year.
4. According to Pamsimas's MIS data, total numbers of latrines constructed by community are 21,956 units or average 8.95 units per Pamsimas village. It increased from 2008 rate, which is 7.47 units latrine constructed per village (6,586 units in 882 villages) to 11.4 units per village in 2009 (15,369 units in 1,350 villages). If per constructed latrine is used by 1-2 families, total additional people have access to improved sanitation facilities from the project are 102,314 to 204,630. This number is representing coverage increased of only 1.6-3.2% during two years cycle of project implementation or slightly improve (about twice as much) to the national trend since the past of 18 years.
5. It is expected that the project can benefit to additional 2-3 millions people to have access to improved sanitation in its second year of implementation. The current achievement represents only 5.1-6.8% of the project target. On the other hand, it is required 15-20 times more than current project impact to achieve the target as expected by the project development objective (PDO).
6. Another indicator used as KPI in this component is percentage of Open Defecation Free (ODF) community. According to Ministry of Health report, currently 633 communities (dusun) have declared as ODF community out of 8,979, overall number of dusun in Pamsimas

villages. It is representing 7% of ODF rate. Disparity between ODF percentage rate and coverage increase percentage is due to disparity of baseline access to improved sanitation among villages before the project intervention. Even, often villages where the project intervention given has had 100% access to improved sanitation and no families practicing open defecation. For example out of 633 ODF communities, 150 of them are place in Kota of Makassar that expected has ODF even before the project.

Table 8a. Data of Health Component

		Households	Houses	Practicing OD	Natural Leaders	Constructed latrines
Number of People	6,481,692	3.95	4.66	NA	NA	NA
Households	1,643,042		1.18	0.356	NA	0.014
Houses	1,391,716			0.42	NA	0.016
Practicing OD	584,509				46.6	0.038
Natural Leaders	12,553					1.75
Constructed latrines	21,956					

7. Uneven of Implementers' Capacity. Uneven of implementers' capacity such as community facilitator, district health consultant, sanitarian, and midwife as front liners of this component who have to facilitate and face to face with community during triggering is one factor that has made the progress of this indicator from one district to others is much different. In Boalemo five out of twelve "2009 village" have declared ODF. Even in Bukit Karya village of Boalemo, before Pamsimas only 4 families have latrine increase to about 180 families due to Pamsimas. However different case is evidence in Kota Baru. Out of five triggered village, four of them were not responding at all, and only couple families in another village is responding and willing to change their behaviour by constructing and using latrine for defecation. As in Kota Baru, in Banten is almost no result from the triggering activity in all 2008 and 2009 villages.
8. Lack of enabling environment. So far this component is only focus in demand creation aspect for community to get better sanitation service by implementing capacity program such as trainings for triggering facilitation skill (basic CLTS approach). To get better result so that able to fill the gap between project current achievement and project target as mentioned in PDO, this component has to work in two other areas, beside demand creation, they are: increase supply and most importantly enabling environment¹.
9. Learning from Boalemo, especially the case of Bukit Karya village, one factor contribute to the success in increasing the access is; the village office issued village regulation regarding open defecation that enable community to put more concern on their environmental health issues, beside the high support and attention from the Dinas Kesehatan. This is an example where enabling environment contribute significantly to the success of this component. However, the given example is more as a local initiative rather than result from project effort as a whole. Lack of enabling environment has been implicating to poor implementation of

¹Component of enabling environment in the TSSM project consist of: i) Policy, Strategy, and Direction, ii) Institutional Arrangement, iii) Program Methodology, iv) Implementation Capacity, v) Availability products, tools, and information, vi) Financing and incentives, vii) Cost effective implementation, viii) Monitoring and evaluation

this component such as: unavailability of budget for staff (sanitarians) to monitor the progress in the field regularly, unavailability of policy, strategy, and direction from district authority on their own target in increasing access to sanitation, unavailability of incentives mechanism both for ODF villages and officers champions, etcetera.

10. Example from Total Sanitation and Sanitation Marketing project² that implement three elements as a whole (demand creation, increase supply, and enabling environment) to increase the access, it has been able to increase 23% coverage in the project area at the rate of ten times faster than the national average with 44% ODF rate. The project has been leveraging both local government and community to invest in increasing access to sanitation. Overall, the project has contributed 15 percent of the total investment³, compared to 9 percent by local government, and the remaining 76 percent by private households. In supply side, where Sanitation Marketing approach is the key, couple sanitation entrepreneurs have emerged to fill market demand. Even more, a sanitation entrepreneur has been offered and got credit from commercial bank (BRI through Kredit Usaha Rakyat-KUR). It indicates that the rural sanitation has potential to grow. In Pamsimas, both enabling environment and supply side (sanitation marketing) have not been developed in more structured way.
11. Coordination and Technical Assistance. Coordination between Dinas Kesehatan and project's consultant in most of the places are growing well. Partnership in delivering CLTS training and triggering in villages is evidenced. However district team for component-2 needs more intensive coordination and guidance both from central and provincial level. As mandated in PAD, the Pamsimas districts need to develop Total Sanitation Campaign (TSC) strategy. One of the rational behind it; as KPI in Component-2 is more to behaviour change rather than construction of infrastructure, a strategy that structure activities to promote community willing to change behaviour is needed. It should cover activities that bind: stakeholder to commit, involve and to endorse, consistency on implementation the Community Led Total Sanitation (plus Sanitation Marketing) approach, etcetera. However, none of the district is aware on this critical requirement to achieve the project target, due to:
 - Lack of understanding on the PAD from the PIU and all level of project consultant (CMAC, PMAC, District consultant, as well as facilitators).
 - Ministry of Health as PIU is not provided with necessary technical assistance.
 - Even though it is clearly mentioned in the job description of health district consultant that their main output is the strategic plan of component-2 implementation, no one is aware or developing it.
 - Even worst, most of the health provincial trainers do not have enough experience and skill on the CLTS approach
12. All activities under component-2 were comprehensively designed and structured to develop enabling environment in district level to achieve the key performance indicators. This covers: advocacy to policy makers and other relevant stakeholders, capacity building for implementer, commitment building both to individual and institutional, learning sharing,

² Implemented in 29 districts in East java province from 2007 up to 2010

³ Project cost includes: professional staff cost from WSP, limited resources for training and triggering, resources agency that provide each district with one district facilitator, two training specialist for five districts, and one sanitation marketing specialist for five district, all for seven months intervention.

strategy development and others. However, the implementations on most of above activities mentioned in the cost tab are poorly executed. The ToR of the events is not well prepared, and the needed skill to deliver the program is not existed.

13. Recommendation

On Implementers' capacity:

- Dinas Kesehatan to lead the team of Component-2 implementers consists of district health consultant, community health facilitators, sanitarians, midwife and other interested stakeholders. The team should cooperate and develop triggering strategy that considers strength and weakness of each team member. This will require more flexible arrangement on the community facilitator team who normally has been assigned to numbers of particular villages. This effort expects can cope with the various skills on the triggering facilitation.
- Specific regular coaching and coordination meeting for health component issue need to be initiated. This meeting should be used as participatory learning to share on the progress and constraint of specific achievement in health component. This meeting should be attended and facilitated by senior facilitator/mentor. Output of this meeting should be: increase level of confidence of facilitator for further community facilitation process, specific action plan for particular communities including work plan for the team.
- Improving CLTS training quality for new facilitator and refresh training for old facilitators.

On developing enabling environment and supply side:

- Ministry of Health supported by CMAC need to develop advocacy package for district government and revisit their strategy for enabling environment and supply side (sanitation marketing) components.
- One critical area in the enabling environment to be enhanced is district ownership (District Coordination Team, in particular Dinas Kesehatan) to the project to increase community access to sanitation so that they are willing to commit and allocate necessary budget and political support.
- Ministry of Health to develop incentive mechanism for well performing and disincentive for poor performing district.
- Develop comprehensive term of reference and conduct well preparation including to procure necessary skill for delivery training as capacity building event and workshop as commitment building events.
- Activity in relation to increase supply side to be initiated.

Coordination and Technical Assistance:

- Technical assistance is critically needed to help MoH developing detail design and implementation strategies on activities under component-2.
- Quality control is needed, so that each implemented activities/events have effective results.
- Procurement of Provincial CLTS Trainers and Total Sanitation Adviser + Specialist in central level to be accelerated.

Annex 9. Quality of Infrastructures

Table 9a. Quality of Infrastructure Ratings

1	NTT	Alor	Alor Selatan	Manmas	2009	Moderate	Moderate	pipe exposed, pipe too shallow, reservoir was not good, selection of pumps and generator set
2	NTT	Alor	Alor Selatan	Subo	2009	Moderate	Moderate	pipe exposed, pipe too shallow, reservoir was not good, selection of pumps and generator set
3	NTT	Alor	Kabola	Kabola	2008	Moderate	not visited	well managed by BP, no SPAL, design of pipe too small
4	Jawa Tengah	Wonosobo	Kejajar	Parikesit	2008	Good	not visited	often broken because of landslides
5	Jawa Tengah	Wonosobo	Wadaslintang	Kalidadap	2009	Good	Moderate	Hand washing facility in the school does not have drainage outlet (SPAL)
6	Jawa Tengah	Banjarnegara	Banjarmangu	Beji	2009	Moderate	Moderate	
7	Kalimantan Selatan	Kota Baru	Kelumpang Barat	Bungkukan	2009	moderate	moderate	no SPAL, installation of water tap ease to broke, PVC pipe exposed
8	Kalimantan Selatan	Tanah Bumbu	Sungai Loban	Sungai Dua Laut	2008	moderate	not visited	no SPAL, installation of water tap ease to broke, PVC pipe exposed and no support
9	Kalimantan Selatan	Tanah Bumbu	Kusan Ilir	Pulau Salak	2009	moderate	moderate	no SPAL, installation of water tap ease to broke, PVC pipe exposed and no support
10	Banten	Serang	Baros	Sinar Mukti	2010	under construction	under construction	over design for reinforcement for foundation (iron wire dia. 16mm)
11	Banten	Serang	Binuang	Lamara	2009	Poor	Poor	all WSS facilities in school was broken: water taps (tugu kran), no SPAL, door of latrine
12	Banten	Serang	Binuang	Suka Mampir	2009	Moderate	not visited	Well managed by BP, low water pressure, public water tap was broken, bookkeeping was not good
13	Banten	Serang	Carenang	Mandaya	2008	Poor	Not visited	Reverse osmosis ~ not following the technical option guidelines
20	Banten	Serang	Manca	Sangiang	2010	not yet done	not yet done	under procurement process
21	Banten	Lebak	Cikulus	Cigoong Selatan	2010	Good	Good	Under construction: good quality of facilities
22	Banten	Lebak	Rangkas Bitung	Pasir Tanjung	2009	Good	Good	Well managed by BP, facilities will add new borehole, public hydrant and house connection

24	Sumatera Selatan	Ogan Ilir	Pulau Beringin	Tanjung Kari	2009	Good	Moderate	water taps in school was broken and no replaced, one toilet never utilized
25	Sumatera Selatan	Ogan Ilir	Buay Tunjung	Negeri Batin Baru	2008	Moderate	NA	dug/shallow wells was good but for borehole just for special event
27	Sumatera Selatan	OKU Selatan	Rantau Alai	Sukananti Baru	2009	Good	Moderate	door toilets broken and not fixed yet and not utilized
28	Sumatera Selatan	OKU Selatan	Kandis	Kandis	2008	Moderate	Good	25 of 30 shallow wells are not good quality of water
29	Sumatera Selatan	OKU Selatan	Sungai Pinang	Talang Dukun	2008	Good	Not Visited	
30	Gorontalo	Boalemo	Paguyaman Pantai	Bukit Karya	2009	Good	Good	
32	Gorontalo	Boalemo	Paguyaman	Bongo Tua	2008	Good	Good	
34	Gorontalo	Pohuwato	Dengilo	Karangetan	2009	Good	Good	
35	Sumatera Barat	Pasaman Barat	Pasaman	Lembah Binuang	2009	Good	Good	
36	Sumatera Barat	Pasaman Barat	Nagari Rabi Jonggor	Radi Jonggor,	2010	Good	Good	
37	Sumatera Barat	Pasaman	Dua Koto	Sentoso	2009	Good	Good	
38	Sumatera Barat	Pasaman	Lubuk Sikaping	Lembah Bukit	2008	Good	Good	
39	Sumatera Barat	Agam	Banuhampu, Nagari Ladang Laweh	Jrg. Karatau Parabek,	2009	Moderate	Moderate	No manhole on top of reservoir
40	Sumatera Barat	Agam	Sungai Pua	Jrg. Simpang Nagari Batagak	2010	Moderate	Moderate	Exposed Pipe
41	Sumatera Barat	Padang Pariaman	VII Koto Sungai Sarik	Tanjung Balik	2008	Good	Good	Broken water tap

Rating criteria:

<ul style="list-style-type: none"> a. Good physical condition and appropriate to design, b. The completeness of the facilities (eg, faucets/water taps, cover manhole, SPAL) was good, c. The functioning was optimum: quantity, quality and adequate water pressure, d. Following technical specifications and requirements (quality of material, size, dimensions, depth of pipe installation), e. The facilities followed of designation and usefulness 	<ul style="list-style-type: none"> a. The physical condition of the facilities suffered small damage but easily to repair, b. The completeness of the facilities (eg, faucets/water taps, cover manhole, SPAL, accessories, etc) is less but still functioning, c. The functioning was not optimum, need to improved, d. The violations of the technical specification and requirements much findings, such as: PVC pipe exposed, depth of pipe too shallow, pipe connections burned, concreting PVC pipe, etc. e. The facilities followed designation, but not usefulness (such as put in wrong place) 	<ul style="list-style-type: none"> a. The facilities was damaged or missing in some part, b. Un-completeness of the facilities (eg, faucets/water taps, SPAL, no accessories, no fittings, etc), c. The facility is not working, d. The quality of facilities is poor, not followed the technical specification and requirements (quality of material, size, dimensions, depth of pipe installation), e. The facilities were not followed of designation and utilized.
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Annex 10. Existing and Upcoming Consultant Contract Packages

Table 10a. Existing Contract Packages of Pamsimas

1	2	3	4	5	6	7	8	9
1	Implementation Support and Project Management - 5.1	C3 CMAC	PT.Lenggogeni in association with GHD Pty Ltd	1	45,346,794,200.00	5,016,238	2-Mar-09	2-Feb-12
2	Implementation Support and Project Management - 5.2	C5 PMAC Sumbar 1	PT.Arkonin Engineering Manggala Pratama in Joint Venture with PT.Gfa Multi	1	12,063,270,000.00	1,334,433	29-Dec-08	29-Dec-10
3	Implementation Support and Project Management - 5.2	C6 PMAC Sumbar 2	PT. Tridarma Fifita in Joint Venture with PT. Amurwa International	1	17,031,051,000.00	1,883,966	23-Feb-09	23-Feb-11
4	Implementation Support and Project Management - 5.2	C7 PMAC Riau	P. Intersys Kelola Maju	1	10,523,493,600.00	1,164,103	17-Dec-08	17-Dec-10
5	Implementation Support and Project Management - 5.2	C8 PMAC Sumsel	PT. Rifa Bestari in Joint Venture with PT. Tridarma Fifita	1	15,480,976,000.00	1,712,497	20-Mar-09	20-Feb-11
6	Implementation Support and Project Management - 5.2	C9 PMAC Jabar Banten	PT. Perentjana Djaya	1	14,036,006,998.00	1,552,656	-	-
7	Implementation Support and Project Management - 5.2	C10 PMAC Jateng 1	PT. Indomas Mulya	1	14,024,906,000.00	1,551,428	24-Dec-08	24-Dec-10
8	Implementation Support and Project Management - 5.2	C11 PMAC Jateng 2	PT. Yodya Karya (Persero)	1	11,800,136,000.00	1,305,325	24-Dec-08	24-Dec-10
9	Implementation Support and Project Management - 5.2	C12 PMAC Jateng 3	PT. Widha Konsultan	1	17,508,457,800.00	1,936,776	24-Dec-08	24-Dec-10
10	Implementation Support and Project Management - 5.2	C13 PMAC Kalsel	PT. Amurwa International	1	14,337,940,800.00	1,586,055	9-Jan-09	9-Jan-11
11	Implementation Support and Project Management - 5.2	C14 PMAC NTT	AHT in Joint Venture with PT. Rifa Bestari	1	20,144,106,687.00	2,228,330		
12	Implementation Support and Project Management - 5.2	C15 PMAC Sulteng	PT. Perentjana Djaya	1	12,773,121,000.00	1,412,956	29-Dec-08	29-Dec-10
13	Implementation Support and Project Management - 5.2	C16 PMAC Sulsel Sulbar	PT. Surya Abadi Konsultan	1	18,656,229,600.00	2,063,742	23-Feb-09	23-Feb-11
14	Implementation Support and Project Management - 5.2	C17 PMAC Gorontalo, Maluku, Maluku Utara, Papua Barat	PT. Kogas Driyap Konsultan	1	18,490,943,596.00	2,045,458		
15	DMAC-Facilitator/Coordinator	Individual Contract	Hiring under provincial salkers	110	31,680,000,000.00	3,504,425		
	Total				273,897,433,281	30,298,389		

Table 10b. Upcoming Contract Packages of Pamsimas

1	2	3	4	5	6	7	8	9	10
1	Amendment of PMAC	C5-C17	TA for provincial monitoring consultant	13		Time based	60,000,000,000	6,637,168	Prior
2	Independent Project Monitoring Evaluation - 5.3	C18 Baseline Survey	TA for conducting the baseline survey of the	1	QBS	Time based	2,500,000,000	276,549	Prior
3	Project Management Advisor	C19.1	To advise, facilitate and assist the CPMU as appropriate in carrying out PAMSIMAS project management and holding the coordination roles and responsibilities between stakeholder and implementing agencies	1	Individual Consultant	Time Based	6,000,000,000	638,298	Prior
4	Program Development Specialist	C19.2	To assist CPMU to undertake a regular review of the program	1	Individual Consultant	Time Based	1,788,000,000	190,213	Prior
5	Local Government Capacity Building Specialist	C19.3	To assist CPMU to ensure achievement of the component 1 of Local Government in PAMSIMAS	1	Individual Consultant	Time Based	1,188,200,000	126,404	Prior
6	CLTS Specialist	C19.4	To assist CPMU to ensure achievement of the component 2 of Health and Hygiene in PAMSIMAS, especially on sanitation	1	Individual Consultant	Time Based	181,600,000	19,319	Post
7	CLTS Provincial Trainers in 15 provinces	C19.5	To assist PPMU and DPMU to ensure the achievements of Component 2 indicators of sanitation and key hygiene practice in PAMSIMAS in the respective location	11	Individual Consultant	Time Based	910,800,000	96,894	Post
8	Total Sanitation Advisor	C19.6	To assist CPMU to ensure achievement of the component 2 of Health and Hygiene in PAMSIMAS, especially on sanitation	1	Individual Consultant	Time Based	1,788,000,000	190,213	Prior
9	Marketing Specialist / Assistant to Total Sanitation Advisor	C19.7	To help CPTS Specialist in achieving the Component 2 indicators of sanitation and key hygiene practise	1	Individual Consultant	Time Based	181,600,000	19,319	Post
Total Cost Estimate							74,538,200,000	8,194,376	

Annex 11. Detailed Findings on Financial Management

Interim Financial Report

After having problem in preparing IFR previously, the project now submitted IFR on timely basis. Due to problem in using e-signature, submission of IFR for Q2 2010 was delayed for almost 2 months. The Bank received IFR for Q2 on 8 October 2010, while IFR for Q1 2010 was received on 27 May 2010. Delay in submission of IFR will cause delay in replenishment process and will affect the project implementation. *The mission advised that CPMU should maintain to submit the IFR within 45 days after the quarter ends. To anticipate problems, it is advised that the project submit the draft IFR earlier as soon as the quarter ends and monitor the process of submission in Ministry of Finance.*

The mission noted that the project has successfully decreased long outstanding IFR backlog items since 2008. Backlog amount as reported in IFR for Q2 2010 is USD 1,013,673, consists of SP2D not yet available (USD 515,725), and amount has been reduced/rejected by the Bank due to incorrect financing percentage, etc (USD 637,239) and incorrect inputs (minus USD 139,290). Incorrect inputs have been identified and the eligible amount will be reported by the project in the following period IFR. *CPMU should follow up the backlog items and also discuss with Disbursement Unit to solve on the issues of amount being reduced/rejected. CPMU should follow up with other implementing agencies to follow up on backlog from 2008 SP2Ds.*

The project will implement SP2D online which will start in November 2010. *FMS in CMAC needs to ensure the quality of the data and maintain the monthly progress. SP2D online is expected to ease the collection process and to minimize the backlog amount in the upcoming IFRs*

Budgeting

Central government budget (DIPA) 2010 is available to cover 1,312 villages (2010 villages). While some 2009 villages that were not covered due to unavailability of DIPA (used to cover 2008 villages in 2009), the budget is made available through DIPA Revision.

The mission noted that in 2010, from 110 districts, most districts have provided allocation in their budget. Budget from local government (APBD) for 2010 was delayed or not yet available in several areas visited, such as in Tanah Bumbu and Gorontalo districts. Other issues with APBD were insufficient budget and incorrect budgeting. In Pohuwato and OKU Selatan districts incorrectly put their portion of community grants under capital expenditure category which is subject for tax. Tax imposed will reduce the amount received by each community group by Rp3 million. *The project needs to follow up and ensure that the budget is revised to put the grant under social expenditure. The mission recommends CPMU, PPMU and DPMU to improve internal coordination related with processing of budget and ensuring the accuracy and on-time availability of APBN and APBD budget 2010. Budget preparation for 2011 must be prepared as soon as possible to evade under budget.*

The project requirement to have local government portion of community grant disbursed prior to disbursement of central government portion has caused some issues in the past. Delay of availability of local government budget (APBD) had caused delay of disbursement of local government portion and eventually central government portion. One of the implications was cases of acceleration in transferring central government portion tranches to avoid obsolescence of central government budget (APBN) at the end of fiscal year. The acceleration neglected the agreed procedures of community fund disbursement. This issue has also caused delay in the project implementation. Other cases also noted where APBD was not available, hence central government portion was disbursed first. Therefore, this requirement has been changed, now local government portion can be disbursed after first and second tranches of central

government portion disbursement. However, local government portion has to be disbursed prior to disbursement of final tranche.

FM Consultant Performance

Regardless of similar findings to previous missions, the project showed some improvements. The project now submitted IFR on timely basis, there is a decrease in IFR backlog items (especially for long outstanding since 2008), and FM consultants at provincial level were hired in 2009. Revised manual with FM performance indicator measurement have been distributed in May 2010.

To address the FM issues, it was recommended in the last supervision that the project shall (1) conduct refreshment training to individual consultants together with new recruited, (2) review and verification on random basis by DMAC and provincial consultants of financial performance measurement done by facilitators on monthly basis, and (3) report of all village financial management performance generated from measurement tool should be uploaded to the website on monthly basis.

Based on current development, training for facilitators (including newly recruits) has been conducted. The mission noted that the trainings were focused on bookkeeping and only short time dedicated for FM performance indicator tools. This explained the most common findings of cash management and reporting problems. Facilitators still need training to understand correctly how to use the tools. In addition to that, random checks by DMAC have not been conducted on regular basis. Hence there is no verification on facilitators indicators reports and no follow up either should the ratings were different. Random checks by DMAC and provincial consultants have been only partially done, due to unavailability of fund for some.

Report of villages FM performance from measurement tool has been uploaded mostly for village disbursement in 2009. Measurement to 2010 villages have been done by facilitators but not yet uploaded to the project website.

The mission recommends the following:

- *Adequate training on use of village FM performance measurement tool should be provided to facilitators;*
- *The measurement result done by facilitators should be reviewed and verified by district as well as provincial consultant on sample basis. Any difference on the result compared to facilitators' report should be followed up immediately;*
- *Verification by DMAC should be done on more regular basis, e.g. monthly or bi-monthly; and*
- *Full report of village FM performance from measurement tool is expected to be completely uploaded to the website by end of October 2010.*

Financial Management Performance at Community Level

In general, minimum bookkeeping were available in villages visited. This has been an improvement compared to the beginning phase of the project. The mission still noted weaknesses that need improvements related to financial reporting, incomplete and insufficient supporting documents and cash management. Lack of in-cash and in-kind contribution records, use of fund reports, report and record were prepared by facilitator, and unavailability of RPD were also noted. Other findings noted are unavailability of in-cash contribution from the community, tranche disbursement without following procedures and payments made for ineligible expenditures. Details of mission findings and recommendations are available in Transactions Review part. The mission noted that facilitators' lack of understanding on FM guidelines has contributed to these findings. Training and coaching especially related to FM performance indicator has not been provided adequately. Unavailability of FM facilitators

in certain areas also contributed to weaknesses in community's bookkeeping, due to lack of coaching and monitoring.

The mission recommends that cases of unavailability of FM facilitators should be temporarily covered by the district consultant, while in the process of recruiting the replacements, to ensure continuous monitoring and assistance. LKM should be assisted and monitored adequately to ensure the accountability.

Project External Audit

The Bank received the project's audit report for FY 2009 on time in June 2010 with clean opinion. Findings found by BPKP among others are internal control systems need to be improved particularly in the areas of project management, construction completion, payment verification and compliance to the project guidelines, whereby the auditor noted fund disbursement and payments were made without following the guidelines and adequate supporting documents. The report also noted some findings from FY 2008 audit that have not been followed up yet. The Bank sent a letter to the project requesting information on the follow up actions taken by the project and controls improvement within the project to prevent such weaknesses in the future.

The project has put some of the follow up actions in the website, but have not yet completed. *The mission reiterates that CPMU should monitor follow up actions taken at districts and provinces level and ensure that clearance letter received from BPKP regional offices and should respond the Bank letter not later than the due date on 31 October 2010.*

Transactions Review

The mission reviewed some sample of payment verification and documentation at LKM levels. In general, LKM (especially the new ones) now keep books and records. The mission still found weaknesses in financial reporting, records, supporting documents and cash management at LKM level. There was lack of understanding that cash in hand should not be more than IDR 2 million at all times even among facilitators. Cases also found where after project implementation completed, LKM documents were not kept properly and could not be provided for review.

The mission received information from DMAC and PMAC about misuse of fund in Desa Mentewe (not visited), Tanah Bumbu district, South Kalimantan. The chief of the village were allegedly took the BLM and in-cash money approximately IDR 20 million. DPMU Kab. Tanah Bumbu will follow up this issue immediately. This should be included in Complain Handling system and monitor by the consultants. *The project should inform the Bank about the follow up status not later than 30 November 2010.*

Recommendations:

- *The mission recommends to respective LKM to update their records and file the supporting documents properly. LKM should record the transactions and file the supporting documentation on the same day they were occurred. Payments should not be made in lump sum.*
- *All transactions at community level under project should be properly supported with adequate accounting evidence of transactions, as required in the project manual. These cases of weak evidence weaken document trails and could create the risk of fraudulent transactions. The mission recommends that LKM should be given understanding – through intense coaching and mentoring - that no payments should be made unless adequate supporting documents were available to support valid transactions that have been taken place. For the specific cases noted in the Table 1, proper accounting documents and evidence should be obtained, otherwise those transactions will be*

considered as ineligible expenses and the money should be refunded to the community bank accounts not later than 30 November 2010.

- LKM should minimize cash on hand to prevent theft and fraudulent practice. Cash on hand should not be more than daily needs, such as transportation and photocopy for LKM purposes. For cash on hand more than Rp2 million should be deposited to the community bank account by 15 November 2010.
- For ineligible expenses, the amount should be returned to community's bank account not later than 15 November 2010.
- After project implementation completed and BPS established, all LKM documents including financial documents should be kept and should be available for future review purposes.
- CPMU should follow up with DPMUs and submit the follow up status to the Bank not later than 15 December 2010.

A summary of the findings from the sample shows in the below table.

Table 11a. Transactions Review Findings

District	Village	Findings/Notes
Wonosobo	Kreo (2010)	<ul style="list-style-type: none"> • Cash in hand was more than IDR 2 million for several times – while in the FM performance indicator it was marked not more than IDR 2 million
Wonosobo	Kalidadap (2009)	<ul style="list-style-type: none"> • Fund disbursed without following procedures. Tranche 3 was received on 11 December 2009, while tranche 2 was received on 7 December 2009. Tranche 3 was received when tranche 2 is still intact in the LKM's bank account. However, no indication of misuse of fund.
Wonosobo	Parikesit (2008)	<ul style="list-style-type: none"> • Cash and bank book and supporting documents are available, but LPD is not available for review. • BPS records were not available for review
Banjarnegara	Masaran (2009)	<ul style="list-style-type: none"> • LPD is not available for review, only cash and bank book and supporting documents available.
Banjarnegara	Pagentan (2010)	<ul style="list-style-type: none"> • During the visit, cash in hand was more than IDR 2 million. This has occurred several times previously. • No special session to train facilitator on how to conduct FM performance indicator assessment • Cash and bank book was in different format – only cash book, no details on bank transactions.
Kalimantan Selatan/ Kab Kota Baru	Desa Bungkukan (2009)	<ul style="list-style-type: none"> • In -cash contribution list was not available for review • Material book was not prepared • RAB and RPD were not available for review • LPDs were not prepared, due to lack of mentoring by facilitators
Kalimantan Selatan/ Kab Tanah Bumbu	Sungai Dua Laut (2008)	<ul style="list-style-type: none"> • No material findings
Kalimantan Selatan/ Kab Tanah Bumbu	Desa Pulau Salak (2009)	<ul style="list-style-type: none"> • Summary of LPD was not prepared yet • No material findings
NTT/ Kab Alor	Desa Teluk Kenari (2010)	<ul style="list-style-type: none"> • In-cash contribution has been deposited in community bank account, but not yet recorded in the community books
NTT/ Kab Alor	Desa Dulolong (2010)	<ul style="list-style-type: none"> • In-cash contribution has been deposited in community bank account, but not yet recorded in the community books
NTT/	Kab Alor /	<ul style="list-style-type: none"> • In-cash contribution has been deposited in community bank account,

Province	Village	Findings
Kab Alor	Desa Alor Kecil (2010)	<ul style="list-style-type: none"> but not yet recorded in the community books Part of in-cash contribution amounted to IDR 9 million was donation from the village chief
NTT/ Kab Alor	Desa Manmas (2009)	<ul style="list-style-type: none"> In-cash contribution has been deposited in community bank account, but not yet recorded in the community books Community bank statements for period from March to September 2010 have not been printed yet The facilitator position was vacant for the period March to June 2010
NTT/ Kab Alor	Desa Subo (2009)	<ul style="list-style-type: none"> In-cash contribution has been deposited in community bank account, but not yet recorded in the community books Community bank statements for period from March to September 2010 have not been printed yet The facilitator position was vacant for the period from March to June 2010
Gorontalo/ Kab Boalemo	Desa Bukit Karya (2009)	<ul style="list-style-type: none"> No detail for transportation expenses totaling IDR 1.2 million. Supporting documents in general are available
Gorontalo/ Kab Boalemo	Desa Bongo Tua (2008)	<ul style="list-style-type: none"> No detail for training and meals expenses totaling IDR 950,000. Expenses for uniform amounted of IDR 900,000.
Gorontalo/ Kab Boalemo	Desa Raharja (2010)	<ul style="list-style-type: none"> RPDs were prepared for several withdrawals upfront, prior to the actual withdrawals Cash in hand was IDR 11million to be used by the next two weeks for training purposes
Gorontalo/ Kab Boalemo	Desa Tutulo (2010)	<ul style="list-style-type: none"> No material findings
Gorontalo/ Kab Pohuwato	Desa Tirto Asri (2010)	<ul style="list-style-type: none"> Local government portion received by community groups was Rp24.5 million for each village, instead of IDR 27.5 million. Cash in hand was IDR 6million to be used by the next two weeks for training purposes.
Gorontalo/ Kab Pohuwato	Desa Karangetang (2009)	<ul style="list-style-type: none"> No material findings
West Java/ Kab Serang	Desa Sinar Mukti (2010)	<ul style="list-style-type: none"> Performance indicator has not been done yet for 2010. Cash book is not updated Cash in hand totaling Rp23 million cannot be shown during the visit
West Java/ Kab Serang	Desa Sangiang (2010)	<ul style="list-style-type: none"> Performance indicator has not done yet for 2010. Stamp duty expense totaling IDR 518,000 cannot be substantiated
West Java/ Kab Serang	Desa Lamaran(2009)	<ul style="list-style-type: none"> LKM reports has not been displayed in public places No material findings
West Java/ Kab Serang	Desa Sukamampir (2009)	<ul style="list-style-type: none"> No material findings
West Java/ Kab Serang	Desa Mandaya (2008)	<ul style="list-style-type: none"> BPS book is not updated
West Java/ Kab Lebak	Desa.Cigoong (2010)	<ul style="list-style-type: none"> RPD I and RPD II were combined without date of preparation
West Java/ Kab Lebak	Desa Pasir (2009)	<ul style="list-style-type: none"> No material findings
West Sumatra/ Pasaman Barat	Lembah Binuang (2009)	<ul style="list-style-type: none"> Bookkeeping and LPD were prepared by facilitator LPD and General Ledger shows incorrect ending balances throughout

District	Village	Findings/Notes
		FY2010 for cash in hand due to error in calculation formula <ul style="list-style-type: none"> • Records of in-kind contribution are not available • Wages payments were not supported with timesheets (HOK) and signed by only a representative. • Procurement above Rp15 million is conducted by direct appointment and Head of village is also head of procurement committee
West Sumatra / Pasaman Barat	Rabi Jonggor (2010)	<ul style="list-style-type: none"> • LPD were not prepared for August and September 2010, LKM treasurer is not capable of preparing LPD • LPD were not displayed in public places • Material book is not prepared • Financial indicator tool is prepared but does not reflect the actual conditions • Two sampled transactions are wrongly recorded for example ref# Pel-06 and #SAM-01 were under-recorded.
West Sumatra / Pasaman	Pagan Santosa (2009)	<ul style="list-style-type: none"> • LKM paid in total of IDR 700.000 to DPMU for processing APBD and APBN tranche payments (receipts no. ref#10, #45, and #51). • LKM paid in total of IDR 150.000 to sanitarian from Puskesmas for monitoring visits (ref#34) • In-cash contribution was partially contributed by a member of the local parliament. This is caused by village's difficulty in collecting cash contribution due to economic reason. • Two transactions are without supporting documents (ref#022) consist of transport to bank IDR 150,000 and photocopy IDR 75,000 • Some receipts are issued and signed by either Head of LKM or the treasury instead of the actual payee for example payments for photocopy IDR 250,000 (ref #28), payment for technical drawing IDR1,200,000 (ref#81), etc. • Material book is not prepared • In-kind contribution records are not available
West Sumatra/ Pasaman	Lembah Bukit (2010)	<ul style="list-style-type: none"> • LPDs were displayed in public places • There are no invoices and receipts for joined LKM training on finance, technical, and health totaling IDR 4,552,000 • Some invoices and receipts are issued by LKM instead of third parties • Detailed information is not written in some invoices and receipts for example IDR1.7 million for preparing payments of APBD and APBN tranche does not explain types of costs such as photocopies, printing, etc.
West Sumatra/ Agam	Sari Bulan (2009)	<ul style="list-style-type: none"> • Some receipts are prepared and signed by a member of LKM instead of the actual payee for example payments for casual labors, procurement of materials, and photocopies. • One sampled transaction is over-recorded by IDR 50,000 ref.#04/C/XI/2009.
West Sumatra /Padang Pariaman	Tanjung Balik (2008)	<ul style="list-style-type: none"> • In-kind contribution record was not available for review.
South Sumatra/ OKU Selatan	Bungin Campang (2010)	<ul style="list-style-type: none"> • Record of in-cash contribution was not available for review. • Cash on hand was consistently above Rp2 million. • Bookkeeping 2010 was not closed at 25th July-August, just starting in September 2010. • Expenses explanation in Cash Book was too detail (recording all items

District	Village	Finding Note
		<p>purchased).</p> <ul style="list-style-type: none"> • FM Performance indicator was prepared for September 2010, however, certain items did not reflect the actual condition • No signature of DMAC for RPD first bank withdrawal IDR 27.5 million • Total detail RPD was IDR 27,400,000 while bank withdrawal was IDR 27,5000,000.
South Sumatra / OKU Selatan	Tanjung Kari (2009)	<ul style="list-style-type: none"> • No record of receipt of in-cash and in-kind contributions, bank interest and bank admin fees. • Bank account book and final report (LP2K, LP3K) is not available for review. • Cash balance reported in LPD I and LPD II was not matched with cash balance showed in financial report. • Financial report was not closed at 25th each month and was not signed by Head of LKM, Treasurer and Facilitator. • Financial report was prepared by Head of LKM instead of Treasurer. • Summing up per category of receipt and disbursement were never prepared. • Expenses explanation in Cash Book was too detail (recording all items purchased). • Cash on hand was consistently above Rp 2 million. • Total Pamsimas fund was Rp274,650,000 and APBD fund was reduced to Rp22,465,000 (proportional of total Pamsimas fund and deducted by PPh due to APBD stated as "Belanja Modal" not "Belanja Sosial"). • Performance indicator Feb-April 2010 was reported cash as of 27 January 2010 while bookkeeping showed transactions until March 2010. This indicates that performance indicator was incorrectly prepared. • Score of performance indicator April 2010 of 11 is not matched with score showed in website (12). This represents weak data validity before uploading information into website. • BPS's bookkeeping and monthly fee collection is good.
South Sumatra / OKU Selatan	Negeri Batin Baru (2008)	<ul style="list-style-type: none"> • Total grant was only Rp135 million.
South Sumatra / Ogan Ilir	Desa Sungai Keli/ (2010)	<ul style="list-style-type: none"> • SPPB 1 (APBD fund) was finalized, however, not yet received in LKM's bank account due to incorrect bank account number. At this moment, the problem is already fixed by informing the correct bank account to KPPN • Bookkeeping is prepared by LKM Head instead of Treasurer. • No financial report posted on the notice board. • RKM budgeted in-cash contribution for operational Satlak and LKM and bore well construction. This related with misunderstanding that in-cash contribution could not be utilized before LKM receive APBD fund. As the result, no training to community conducted until time of visit.
South Sumatra / Ogan Ilir	Desa Sukamananti Baru (2009)	<ul style="list-style-type: none"> • Financial report was prepared twice with the second version splitting goods procurement above Rp1 million into one or more documents. This was following BPKP auditor's advice that LKM will be subject to tax penalty if they procured goods above Rp1 million from non-NPWP suppliers.

District	Village	Findings Note
		<ul style="list-style-type: none"> • LKM only kept new expenditures supporting documents. They are filed based on activity report and they did not have reference number so that it is difficult to trace financial report with supporting documents. • In-kind contribution recorded on 5 November 2009 amounting to Rp44 million, however, detail record of in-kind contribution is not available for review. • Financial report was not closed at 25th each month and was not signed by Head of LKM, Treasurer and Facilitator. • Cash balance was not provided since 25 November 2009 and summing up per category of receipt and disbursement were never prepared. • No reference number in financial report. • LKM did not have a copy of FM performance indicator (prepared by Health Facilitator Oct-Dec 2009 in absence of Empowerment Facilitator since Oct 2009). • Bank withdrawal was taken amounting to total of each tranche. As a result, cash balance was consistently above Rp2 million. • LPD final, final report (LP2K, SP3K) and a copy of APBD & APBN disbursement documents were not available for review. • BPS do not prepare bookkeeping for monthly fee contribution (Rp3,000/ family)
South Sumatra/ Kab Ogan Ilir	Desa Talang Dukun (2008)	<ul style="list-style-type: none"> • BPS's Treasurer was not at the site, so BPS bookkeeping cannot be reviewed. • No BPS financial report posted on information board • All financial report of LKM was borrowed by BPKP auditor for 2008 purpose (in 2009) and not yet returned until the time of visit
South Sumatra/ Kab Ogan Ilir	Desa Kandis (2008)	<ul style="list-style-type: none"> • LKM and BPS staff were not at location at time of visit

Annex 12. Detailed Findings on Safeguard

Table 12a. Revised Gender Action Plan

No	Activities	Original Measures	Proposed Measures
1	Selection of consultants	<ul style="list-style-type: none"> Requirement that contractors should actively seek women for positions and demonstrate their efforts to do so as part of their tender proposal. Require gender balance among provincial and district technical consultant teams (minimum 30% female or male) 	<ul style="list-style-type: none"> Requirement that contractors should actively seek women for positions and demonstrate their efforts to do so as part of their tender proposal. Require gender balance among provincial and district technical consultant teams (minimum 20% female or male)
2	Selection of community facilitators	<ul style="list-style-type: none"> PPMU to include a statement in advertisements that women are actively encouraged to apply and make efforts to ensure applications from women At least one community facilitator per team must be a women or man 50% gender balance within sub-disciplines of community facilitators (i.e. technical, community development, health) is required 	<ul style="list-style-type: none"> PPMU to include a statement in advertisements that women are actively encouraged to apply and make efforts to ensure applications from women At least one community facilitator per team must be a women or man 50% gender balance of community facilitators is required
3	Training service providers	<ul style="list-style-type: none"> Requirement that all training teams must have a minimum of 30% female or male trainers All training programs assessed by the national or provincial CD/Social Inclusion consultants on gender equity content prior to delivery 	<ul style="list-style-type: none"> Requirement that all training teams must be trained on gender responsive approach All training programs assessed by the national or provincial CD/Social Inclusion consultants on gender equity content prior to delivery

Note: proposed changes are highlighted

Table 12b. Safeguard Detailed Findings

1	South Sumatera	<ul style="list-style-type: none"> Letter of land contribution (surat Hibah) is available and following the guideline, and also completed with map to illustrate where the contributed land is located.
2	NTT	<ul style="list-style-type: none"> The document and information on required land for WSS infrastructure development is not available Data on negative list checking is not available Involvement of women and poor is not well documented, which is questionable In selecting location for public tap/hydrant and piping line has not fully considered the need or technical requirement Information and project info boards are not available, shows that transparency has not been applied License and agreement on spring and deep well extraction are not available
3	Central Java	<p>Social Safeguards</p> <ul style="list-style-type: none"> Both in Wonosobo and Banjarnegara, the LKM properly recorded the documents and included in the RKM or separate documents. The land donation or buying

		<p>documents are well recorded with the signature of the head of village where the spring is located, the owner, LKM and the PAMSIMAS Village.</p> <ul style="list-style-type: none"> • Mostly, the LKMs obtained land donation or buying documents only for a specific size of broncapturing (3x3 meters) whereas spring catchment area is not included. Therefore in the future, there will be a potential issue of wáter sustainability. • Land donation for public taps and piping system was recorded as in-kind contribution. <p>Environmental Safeguards</p> <ul style="list-style-type: none"> • Sustainability of the use of spring. The villages are provided with a statement letter from the land-owner where the spring located concerning the use of spring for unlimited period of time. This letter is signed by the head of village, LKM, the owner, LKM and the PAMSIMAS Village. • All visited villages have house connection, however most of the villages do not have proper waste-wáter system.
4	Banten	<p>Social Safeguard</p> <ul style="list-style-type: none"> • The <i>surat hibah</i> (letter of land contribution) in the RKMs were not available at the sites, but the LKMs are already aware of the importance • There are still important informations missing in almost all <i>surat hibah</i>, such as the dates of signing and clear land boundaries. • No issues on indigenous peoples are raised. No vulnerable and no needs specific treatment in dealing with Pamsimas program. • Women involvement in all visited villages was reported high. The presence of women as facilitators is important to easily encourage women villagers participating in the program. <p>Environmental Safeguard</p> <ul style="list-style-type: none"> • The source of water are wells with depth various between 40 to 120 meter (the options are deepwell/boreholes). No permit is required for operating the deep wells in the village as the mission was informed of guidance from local agency for mining (Dinas Pertambangan) that no permit is needed for wells less than 100meter as it consider as household consumption used. • Regarding site selection for the wells, the wells is located very close to the septic tank (less than 10meter). This caused concern by the team of potential contamination from the septic tank. For this, regular monitoring of water quality is necessary. • Quality of the water is important, the laboratory report shows many of water sample taken from the project sites are not meeting the standard quality for drinking water under Permenkes. • There are not clear from the report of detail parameter which not meeting the standard (chemical and bacteriology). No available report received from Kabupaten Serang. However it is suggested the same action to be made related to ensure the water quality meet the health standard. • The understanding on safeguards issue (environment and social) among facilitator and consultant are relatively limited.
5	South Kalimantan	<ul style="list-style-type: none"> • Letter of land contribution is available for land that used for water supply facilitates and public hydrant • Water test quality needs to include microbiological test , the dinas kesehatan does not have the equipment
6	West Sumatera	<p>Social Safeguards</p> <ul style="list-style-type: none"> • Most land for facilities were contribution from beneficiaries, however, in few cases land were obtained through willing-buyer willing-seller through direct negotiation

		<p>between the community beneficiaries (represented by LKM) and land owners.</p> <ul style="list-style-type: none"> • The subprojects are using village land and state-owned company's land, requiring land have documentation in the form of '<i>surat hibah</i>' or '<i>surat jual beli</i>' for the contributed land or purchased land, respectively, which are included in the RKM or as a separate document. • There are some missing information, such as location and size of the contributed land, map, date of the signing, and, signatures of the witnesses. Furthermore, information on land required by subprojects has not fully included in the MIS. • Women participation in community meetings is quite high and meet the participation level as required in the technical guideline.
7	Gorontalo	<ul style="list-style-type: none"> • Letter of land contribution (Surat hibah) is completed and following the guideline, but map/sketch of contributed land location is missing. • No coordination with local mining agency or other relevant agencies on permit to extract water from deep well • Water quality testing is done on sampling basis due insufficient budget in DIPA of Province health agency
