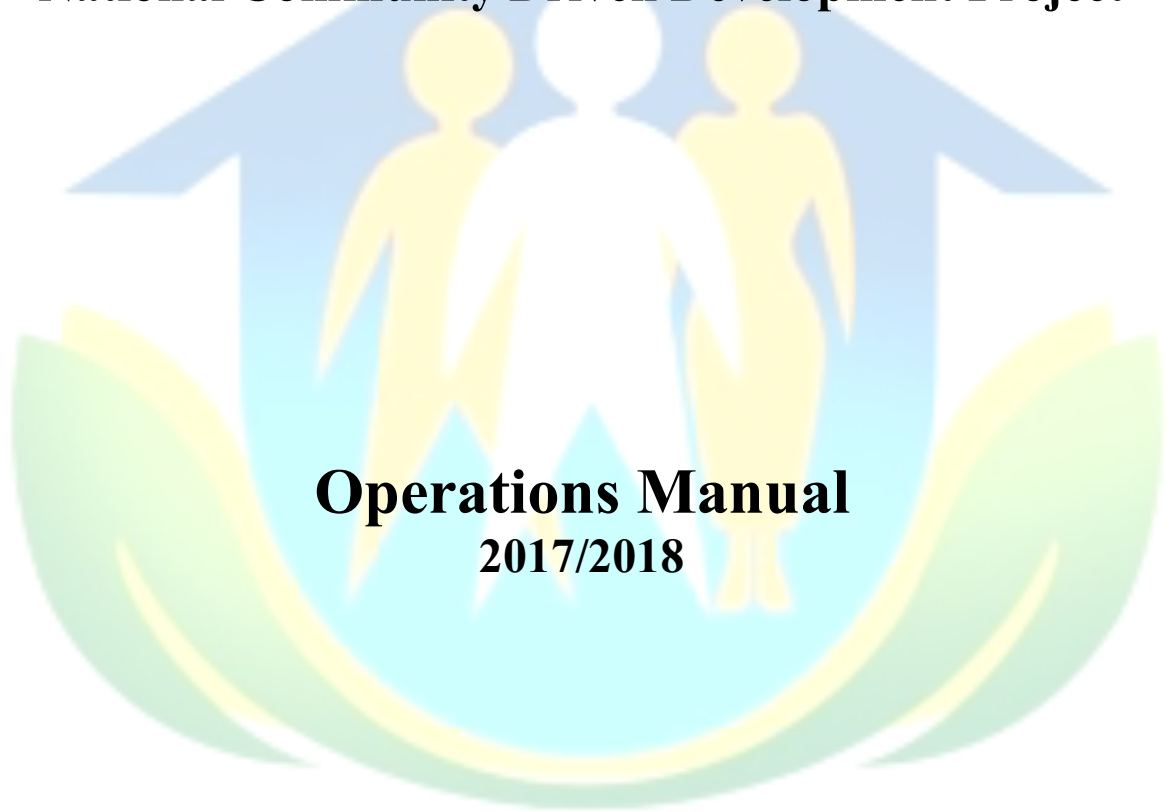


Government of the Republic of the Union of Myanmar



National Community Driven Development Project



Operations Manual
2017/2018

February 2018

TABLE OF CONTENTS

Chapter 1 : Project Information

1	Introduction	1
2	Structure of the Project Operations Manual	2
3	Project Summary	3
3.1	Components	3
3.2	Fund Flow	3
3.3	Geographic Coverage	3
3.4	Institutional Arrangements	3
4	Township Selection Process	7
5	Block Grants	9
5.1	Calculation and Use	9
5.2	Disbursement of Block Grants	11
6	Community Planning	12
6.1	Village Development Plan	12
7	Community Committees	12
7.1	Village Tract Project Support Committee and Finance Sub-Committee	12
7.2	Village Tract Grievance Committee	13
7.3	Village Project Support Committee and Sub-Committees	13
7.4	Finance Clerk and Village Volunteers	14
7.5	Grievance Focal Points	14
8	Social Inclusion Aspects	14
8.1	Gender Aspects	14
8.2	Ethnic and/or Religious Groups	15
8.3	Disability	16
9	Project Management Information System	16
10	Reporting	17
11	Grievance and Accountability	17
11.1	Code of Conduct	17
11.2	Sanctions	18
12	Knowledge and Learning	19
12.1	Communications	19
12.2	Multi-Stakeholder Review	19
12.3	Exchange Visits	20
13	Disclosure	20

Chapter 2 : Community Project Cycle

1	Preparation	26
1.1	First Village Meeting	26
1.2	Election of Village Volunteers	28
1.3	Participatory Social Assessment	28
2	Planning	30
2.1	Second Village Meeting	30
2.2	Village Development Plan	31
2.3	Election of Village Committee and Sub-Committees	36
2.4	Subsequent Village Development Plans	37
2.5	Village Tract Project Support Committee Meetings	39
2.6	Township Planning and Implementation Committee Review and Endorsement	40
2.7	Third Village Meeting	41
2.8	Subsequent Village Tract Development Plans	42
3	Sub-project Preparation	43
3.1	Village Sub-project Preparation	43
3.2	Environmental Codes of Practice And Environmental Management Plans	45
3.2.1	Environmental Codes of Practice	46
3.2.2	Environmental Management Plan	47
3.2.3	Physical Cultural Resources (PCR) Management	47
3.3	Voluntary Land/Asset Donation	49
4	Sub-project Consultation and Proposal Review	50
4.1	Fourth Village Meeting (at Sub-project Site)	50
4.2	Village Tract Project Support Committee Review of Sub-project Proposals	51
5	Sub-project Implementation	52
5.1	Community Procurement	52
5.1.1	Procurement Sub-Committee and Its Responsibilities	52
5.1.2	Procurement Methods	53
5.1.3	Procurement Steps	53
5.1.4	Community Force Account	55
5.1.5	Contracting	55
5.1.6	Disclosure/Transparency Arrangements	56
5.2	Financial Management	56
5.3	Monitoring and Supervision	58
6	Sub-project Closing	59
6.1	Successful Completion of Sub-project Activities	59
6.2	Suspension and Termination of Sub-project Activities	60
7	Social Audit	61
8	Operations and Maintenance	63
9	Disaster Risk Management	65
9.1	Disaster Risk Reduction	65
9.2	Post-Disaster Emergency and Response	65
10	Feedback, Grievance and Accountability Mechanism	66
10.1	Principles	66
10.2	Process	68
10.3	Code of Conduct	71
10.4	Sanctions	73
11	Communications	75
12	List of Key Reference Documents	75

Chapter 3 : Forms

1	Community Project Cycle MIS Forms (PC 1 -9)	78
2	Community Project Cycle Non-MIS Forms (PC 10 -20)	94
3	Disaster Damage Assessment Forms (I 1-2)	111
4	Training and Capacity Building (T1)	113
5	Human Resources Forms (HR 1-2)	116
6	Finance Forms (F 1-10)	118
7	Procurement Forms (P 1-7)	128
8	TA Reporting (TA 1 2)	143

Chapter 4 : Terms of Reference

1	Union Level	149
1.1	The Steering Committee	150
1.2	The Department of Rural Development	150
1.3	NCDDP Secretariat	152
1.4	Union Technical Assistance	152
2	Region/State Level	152
2.1	Regional NCDDP Secretariat	152
3	District Level	154
4	Township Level	154
4.1	Township NCDDP Secretariat	155
4.2	Township Planning and Implementation Committee	156
4.3	Township Technical Assistance	156
5	Village Tract Level	160
5.1	Village Tract Project Support Committee	161
5.2	Finance Sub-Committee	162
5.3	Grievance Committee	162
6	Village Level	162
6.1	Village Project Support Committee	162
6.2	Monitoring and Evaluation Sub-Committee	162
6.3	Procurement Sub-Committee	163
6.4	Operation and Maintenance Sub-Committee	163
6.5	Village Volunteers	164
6.6	Grievance Focal Points	164
6.7	Finance Clerks	164

Chapter 5 : Environmental Codes of Practice

1	Introduction	167
2	Process of Environmental Codes of Practice	167
3	Environmental Codes of Practice Guidelines	168
3.1	General Guidelines	168
3.2	Technical Guidelines	170
3.2.1	Buildings	170

3.2.2	Rural Roads, Bridges and Jetties	171
3.2.3	Rural Water Supply	172
3.2.4	Rural Electrification	174
3.2.5	Small-scale Irrigation	175
3.2.6	Sanitation Facilities	175
4	Environmental Codes of Practice Attachments	176

Chapter 6 : Financial Management

1	Introduction	190
2	Organization	190
2.1	Financial Management Function	190
2.2	Accounting System	191
3	Budget Preparation	192
3.1	Budget Spread by Month	193
3.2	Budget Approval	193
4	Receipt of Block Grant	193
5	Payment of Expenditure	194
5.1	Payment by Check or Money Order for Suppliers and Contractors	194
5.2	Payment for Community Force Account Work	194
5.3	Payment by Cash	195
5.3.1	Cash Withdrawals	195
5.4	Petty Cash	196
5.4.1	Petty Cash Control	196
6	Accounting Records & Controls	196
6.1	Month End Accounting Routines	197
6.2	Recording of Community Contributions	197
7	Sub-project Closure	197

Annexes

Annex 1 : Financial Management and Administration Manual (FAM)

Annex 2 : Project Management Information System (PMIS)

Annex 3 : Township Procurement Manual

Annex 4: Operations and Maintenance Manual

Abbreviations and Acronyms

CF	Community Facilitator
DRD	Department of Rural Development
DA	Designated Account
ESMF	Environmental and Social Management Framework
ECoP	Environmental Codes of Practice
EMP	Environmental Management Plan
FSC	Finance Sub-Committee
GHM	Grievance Handling Mechanism
MIS	Management Information System
M&E	Monitoring and Evaluation
MSC	Monitoring Sub-Committee
MSR	Multi-Stakeholder Review
NCDDP	National Community Driven Development Project
NOL	No Objection Letter
NGO	Non-Governmental Organization
O&M	Operations and maintenance
OM	Operations Manual
PRA	Participatory Rural Appraisal
PSA	Participatory Social Assessment
PSC	Procurement Sub-Committee
TF	Technical Facilitator
TTA	Township-level Technical Assistance
TPIC	Township Planning and Implementation Committee
UTA	Union-level Technical Assistance
VDP	Village Development Plan
VPSC	Village Project Support Committee
VTDP	Village Tract Development Plan
VTDSC	Village Tract Development Support Committee
VTGC	Village Tract Grievance Committee
VTPSC	Village Tract Project Support Committee



National Community Driven Development Project

Operations Manual

Chapter 1 Project Information

Chapter 1 : Table of Contents

1	Introduction	1
2	Structure of the Project Operations Manual	2
3	Project Summary	3
	3.1 Components	3
	3.2 Fund Flow	3
	3.3 Geographic Coverage	3
	3.4 Institutional Arrangements	3
4	Township Selection Process	7
5	Block Grants	9
	5.1 Calculation and Use	9
	5.2 Disbursement of Block Grants	11
6	Community Planning	12
	6.1 Village Development Plan	12
7	Community Committees	12
	7.1 Village Tract Project Support Committee and Finance Sub-Committee	12
	7.2 Village Tract Grievance Committee	13
	7.3 Village Project Support Committee and Sub-Committees	13
	7.4 Finance Clerk and Village Volunteers	14
	7.5 Grievance Focal Points	14
8	Social Inclusion Aspects	14
	8.1 Gender Aspects	14
	8.2 Ethnic and/or Religious Groups	15
	8.3 Disability	16
9	Project Management Information System	16
10	Reporting	17
11	Grievance and Accountability	17
	11.1 Code of Conduct	17
	11.2 Sanctions	18
12	Knowledge and Learning	19
	12.1 Communications	19
	12.2 Multi-Stakeholder Review	19
	12.3 Exchange Visits	20
13	Disclosure	20
Table 1-1:	Population (x '000) of NCDDP Townships	7
Table 1-2 :	Block Grant Allocation Method	9
Figure 1-1 :	Map of Project Areas	5
Figure 1-2:	Institutional Structure	6

CHAPTER 1 PROJECT INFORMATION

1 INTRODUCTION

1. Since its launch in 2013, the National Community Driven Development Project (NCDDP) has created a new government platform for expanding access to basic infrastructure and services in Myanmar's rural areas. Implemented by the Department of Rural Development (DRD), the project provides grants to village tracts to finance community-level infrastructure, coupled with facilitation and capacity building to help communities make choices in an inclusive, informed and transparent manner. During the first three community cycles, the program financed over 5,400 sub-projects identified and implemented by communities, improving schools, health centers, foot paths, jetties and other critical community infrastructure serving about three million people. Over the next two years the program will expand to cover at least 63 townships across the country, home to an estimated seven million people.
2. The NCDDP's objective is to enable poor rural communities to benefit from improved access to and use of basic infrastructure and services through a people-centered approach and to enhance the government's capacity to respond promptly and effectively to an eligible crisis or emergency. The project's objective will be achieved through: (i) financing community-identified rural infrastructure investments; (ii) strengthening the capacity of communities in partnership with local authorities to effectively identify, plan and implement their development priorities; and (iii) facilitating the participation of the poor and vulnerable, both women and men throughout the project cycle at the community level.
3. The project is implemented by the DRD under the Ministry of Agriculture, Livestock and Irrigation of the Government of the Republic of the Union of Myanmar. Financing for the NCDDP is provided by the Government of Myanmar, the World Bank, the Government of Italy, with \$532 million in financing committed to the program, which is scheduled to run until November 2021.
4. This Operations Manual (OM) explains the processes for project implementation and the rights, roles and responsibilities of those involved in implementing the project. The target audience includes township level staff of DRD and technical assistance teams, as well as the program's community and technical facilitators, and community committees at the village and village tract level. The OM complements the World Bank's Project Paper¹, which offers a broader description of the program, and the Environmental and Social Management Framework (ESMF), which provides policies and procedures to ensure that the program is implemented in an environmentally and socially sustainable manner.
5. DRD consulted other project stakeholders (including local and international non-governmental organizations, civil society groups, ethnic authorities and development partners) during the preparation of the OM, and has updated it based on lessons learned during the program's implementation, following the union-level multi-stakeholder reviews in August 2014, August 2015, and September 2016. This Operations Manual is issued by the

¹ Available online at www.worldbank.org/myanmar.

DRD union office, with the no objection of the World Bank. Any changes made in policies and mandated procedures will be issued formally in writing by the DRD union office.

6. The OM provides guidance to those involved in project implementation so that implementation is consistent across the participating townships. A comprehensive training program with materials based on the OM form an integral part of program implementation. However, the OM cannot address every eventuality and project implementers need to use their experience and judgment to apply this guidance to a particular situation or context. The DRD will document adaptations to a specific township context, with substantive changes requiring a no objection from the World Bank.

7. In townships affected by conflict, the project will consider additional adaptations in consultation with local stakeholders to ensure that the project operates in a conflict-sensitive manner and is adapted to the local context as well as the safety of its staff. Before the inclusion of townships in the project, the World Bank and DRD will conduct a conflict assessment. For townships found to be affected by conflict, necessary adaptations will be considered and documented and receive a separate no objection from the World Bank, before being made publicly available on the project's website. Adaptations may include the use of third party monitoring mechanisms, consultative bodies at the township level, and additional measures to ensure the safety of project staff.

8. In townships affected by natural disasters, the project will consider possible support for emergency response, in accordance with Government disaster response plans. Specific disaster responses will be agreed on a case by case basis and receive a separate no objection from the World Bank.

2 STRUCTURE OF THE PROJECT OPERATIONS MANUAL

9. This Operations Manual consists of six chapters and [two] annexes:

Chapter 1 provides information on general project matters, including those that set the context for the community project cycle, the main element of the program.

Chapter 2 explains the community project cycle in detail. The cycle contains six stages: (i) preparation; (ii) planning; (iii) sub-project preparation; (iv) sub-project consultation and review; (v) sub-project implementation; and (vi) sub-project closing. Other topics covered in the chapter include transparency measures and operations and maintenance.

Chapter 3 presents the forms to be used during project implementation.

Chapter 4 summarizes the terms of reference for various positions and offices involved in project implementation.

Chapter 5 describes the Environmental Codes of Practice for mitigating potential negative impacts of sub-projects.

Chapter 6 contains the procedures for financial management at the community level.

Annexes: 1) Financial Management and Administration Manual and 2) Project Management Information System 3) Procurement Manual (township level).

3 PROJECT SUMMARY

3.1 COMPONENTS

10. The project consists of five components. Each component includes specific activities that seek a gender balance as well as the empowerment of women.

Component 1: Community Block Grants, to provide at least four annual cycles of block grants to all village tracts in at least 63 townships across the country for priority community level infrastructure. Block grants are allocated to finance sub-projects identified through a participatory planning process covering all villages within a village tract.

Component 2: Facilitation and Capacity Development, to finance technical assistance and institutional support at the union and township levels, including the hiring of Community Facilitators. This component also supports capacity development at all levels to support effective project implementation.

Component 3: Knowledge and Learning, to support community representatives and government staff by learning from community-based implemented in Myanmar and beyond. Additional activities will include social audits, multi-stakeholder reviews, and monitoring and evaluation activities and thematic studies.

Component 4: Implementation Support, to support project management at the union and township levels as well as third-party financial and technical audits.

Component 5: Emergency Contingency Response, to allow for the rapid reallocation of financing from other components in order to provide preparedness and rapid response support to disaster, emergency and/or catastrophic events, as needed.

3.2 FUND FLOW

11. Funds for community block grants will flow directly from DRD at the union level to village tract bank accounts. Funds for state/region and township level operations will be disbursed to DRD state/region and township offices based on the submission of quarterly approved budgets. Donor financing received from donors in support of the NCDDP will be held in designated accounts by DRD, in accordance with the respective Financing Agreements.

3.3 GEOGRAPHIC COVERAGE

11. The project will operate in at least 63 townships across the country. The process for selecting the participating townships is explained in Section 4 of this chapter. (See Figure 1-1)

3.4 INSTITUTIONAL ARRANGEMENTS

13. ***Village and village tract levels.*** The main decision-making authority for the community block grants lies with Village Tract Project Support Committees (VTPSCs). Village Project Support Committees (VPSCs) are responsible for the implementation of individual sub-projects. Community Facilitators (CFs), Technical Facilitators (TFs), and

village volunteers assist the VTPSCs and the VPSCs in all aspects of sub-project implementation. The Grievance Committee is formed at village tract level with one male and one female grievance focal point of each village in the village tract.

14. ***Township level.*** The main responsibility at this level rests with the township level DRD, which provides technical support to communities and ensures coordination with other government departments through the Township Planning and Implementation Committees (TPICs). In carrying out these functions, each DRD township office will be supported by a Township-level Technical Assistance (TTA) team in the first years of the project's operations to complement and build the capacity of the township DRD team.

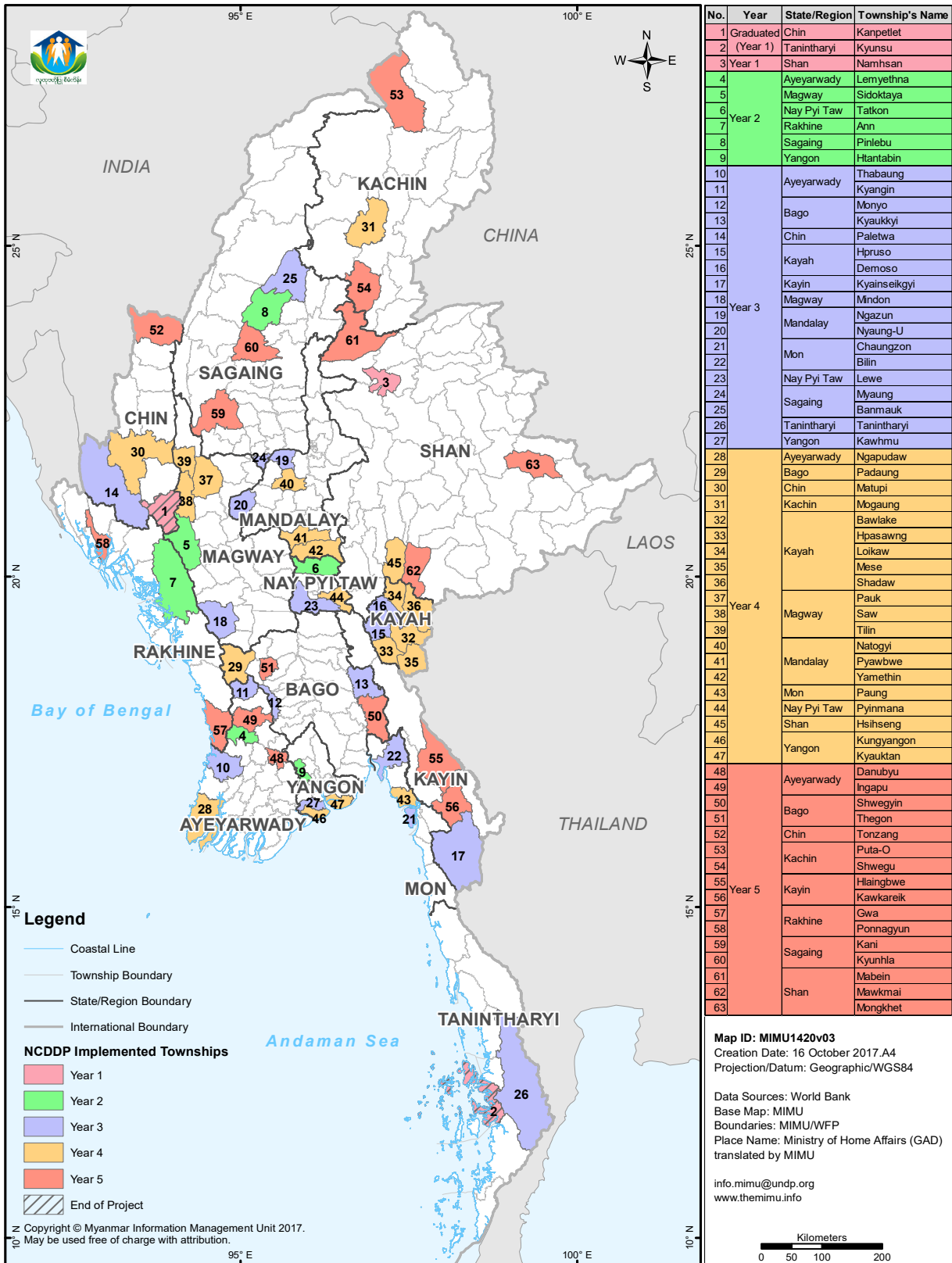
15. ***District level.*** The DRD district level offices are responsible for coordination between departments, agencies, and organizations, support for site visits as needed, monitoring and

Figure 1-1 : Map of Project Areas



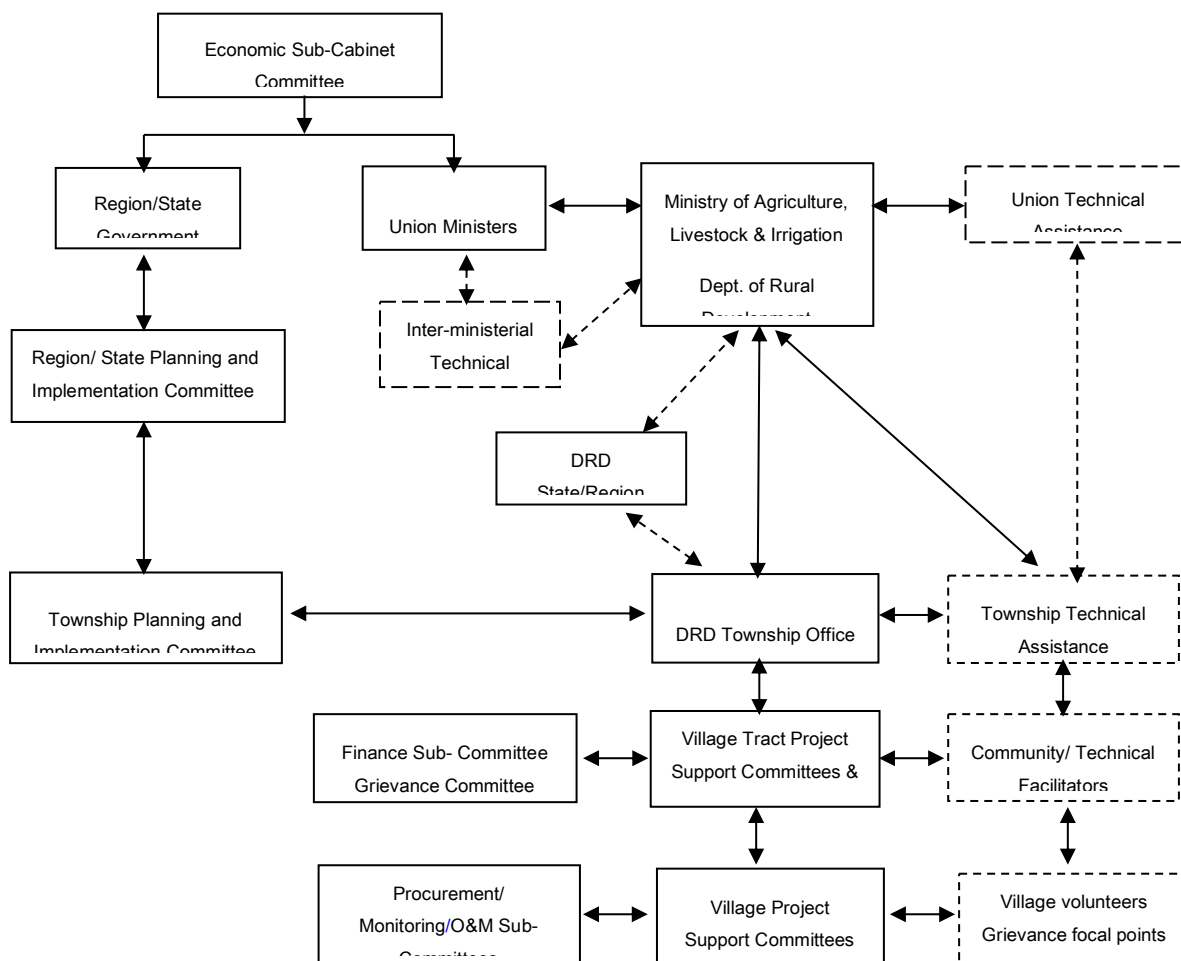
Myanmar Information Management Unit

Myanmar National Community Driven Development Project



Disclaimer: The names shown and the boundaries used on this map do not imply official endorsement or acceptance by the United Nations.

Figure 1-2: Institutional Structure



reporting to the region/state level. They may provide technical and management support to project townships where requested by the union level.

16. **Region/State level.** The state/regional NCDDP secretariats will act as a cooperation body with state/region level departments, and provide technical support to township offices including on infrastructure, monitoring and evaluation, and other issues. They will also facilitate aggregated reporting to the union level. The region/state governments and line ministries monitor the implementation of the sub-projects in participating townships and support TPICs to resolve any implementation issues that cannot be addressed at the township level.

17. **Union level.** At the union level, DRD has established a secretariat staffed by DRD to manage program implementation. Responsibilities of the NCDDP secretariat include: (i) helping to set the overall strategic direction of the project; (ii) ensuring overall compliance with the provisions of the OM; (iii) the procurement of consultancy services for technical assistance and institutional support; (iv) communications and outreach; (v) training capacity development of all project stakeholders; and (vi) monitoring and evaluation, including

consolidated reporting. DRD is assisted by a Union-level Technical Assistance (UTA) team in these responsibilities.

18. An *inter-ministerial technical committee* may be established at the union level to review project implementation progress, discuss and resolve technical issues raised at the township and union levels, and coordinate the support of the various government departments to the project. The Economic Sub-Cabinet *Committee* will serve as the project's steering committee and provides general oversight over the project.

4 TOWNSHIP SELECTION PROCESS

19. The project will be implemented in at least 63 townships across the country. The rollout has proceeded on a gradual basis, with three townships starting in the first year, followed by the addition of six, eighteen and twenty townships in the second, third and fourth years respectively².

20. In Year 4 (2016/17), NCDDP expanded to 20 new townships, bringing the total of participating townships to 47. In the 2017/18 cycle of Year 5, 16 additional townships will be added, as shown in Table 1-1 below. With two first year townships (Kanpetlet and Kyunsu) exiting the program after four cycles, there will be a total of 61 active townships in Year 5.

Table 1-1: Population (x '000) of NCDDP Townships

YEAR 1 (2013-2014)			YEAR 3 (2015-2016)		
Township	State/Region	Population (X '000)	Township	State/Region	Population (X '000)
Kanpetlet	Chin	18.4	Paletwa	Chin	97.5
Namhsan	Shan	71.7	Tanintharyi	Tanintharyi	81.2
Kyunsu	Tanintharyi	134.7	Myaung	Sagaing	94.1
			Banmauk	Sagaing	89.6
			Thabaung	Ayeyarwady	142.9
YEAR 2 (2014-2015)					
Township	State/Region	Population (X '000)	Kyangin	Ayeyarwady	73,86
Lemyethna	Ayeyarwaddy	95.4	Mindon	Magway	56.7
Sidoktaya	Magway	38.8	Kawhmu	Yangon	121.4
Pinlebu	Sagaing	102.9	Lewe	NPT	252.3
Ann	Rakhine	94.2	Ngazun	Mandalay	129.3
Htantabin	Yangon	113.4	Nyaung-U	Mandalay	189.7
Tatkone	NPT	177.9	Monyo	Bago	119.2
			Kyaukkyi	Bago	103.6
			Chaungzon	Mon	14.4
			Bilin	Mon	162.7
			Hpruso	Kayah	24.7
			Demoso	Kayah	75.6
			KyainSeikgyi	Kayin	204.9
YEAR 4 (2016-2017)			YEAR 5 (2017-2018)		
Township	State/Region	Population (X '000)	Township	State/Region	Population (X '000)

² Data source: GAD population data. Population above includes rural population only.

Moegaung	Kachin	103.8	Shwegu	Kachin	65.7
Hpasaung	Kayah	16.4	Putao	Kachin	50.0
Bawlakhe	Kayah	4.5	Tonzan	Chin	27.2
Liokaw	Kayah	59.6	Thegon	Bago	103.4
Shadaw	Kayah	5.1	Shwegyin	Bago	71,571
Mese	Kayah	4.0	Ponnagyun	Rakhine	125.0
Madupi	Chin	55.9	Gwa	Rakhine	49.7
Padaung	Bago	127.8	Danubyu	Ayeyarwady	166.4
Saw	Magway	69.6	Ingapu	Ayeyarwady	206.3
Tilin	Magway	45.4	Hlaingbwe	Kayin	290.1
Pauk	Magway	167.0	Kawkareik	Kayin	193.6
Pyawbwe	Mandalay	238.9	Kyunhla	Sagaing	82.6
Natogyi	Mandalay	187.1	Kani	Sagaing	137.0
Yamethin	Mandalay	227.9	Maukmai	Shan	29.4
Paung	Mon	191.7	Mabein	Shan	35.3
Kungyangon	Yangon	104.7	Mongkhet	Shan	21.0
Kyauktan	Yangon	121.3			
Hsisaing	Shan	126.0			
Ngapudaw	Ayeyarwady	325.4			
Pyinmana	NPT	103.5			

21. **Criteria for Township Selection.** Poverty level is the primary criterion for selecting the participating townships. Additional criteria are: (i) the absence of external funding for similar activities; (ii) willingness and capability of the township authorities to implement the project; (iii) a minimum level of peace and stability in the township to allow for safe implementation and supervision of the project; and (iv) a minimum level of logistical access to and within the township.

22. Using the criteria above, DRD organized a transparent and participatory process for selecting the participating townships. This process consisted of the following three steps:

Step 1: The DRD union office, with the help of the Ministry of Planning and Finance and other available sources, prepared a table and a map using available economic, social and food security data for all townships in the Regions/States. The data included Gross Domestic Product (GDP) per capita as well as selected food security, education and health indicators. This information was made available to participants at the consultations.

Step 2: The DRD union office organized a public consultation in each region/state, chaired by the Chief Minister. Participants included local authorities, representatives of ethnic groups present in the state/region, non-governmental organizations (NGOs) and development partners with existing projects in the region/state, and local civil society groups and community members. The purpose of the consultations was to prioritize between three and five townships per region/state that best met the selection criteria. The list of proposed townships was submitted to the Chief Minister for validation against the selection criteria.

Step 3: The Chief Minister sent the list of prioritized townships to the Ministry of Agriculture, Livestock and Irrigation, for confirmation, whereupon the Economic Sub-Cabinet Committee selected townships for participation in the NCDDP. Each year, the final list of townships selected for entry to the project was sent to the World Bank for its no objection.

23. For the fifth year of implementation, the remaining townships will be selected using the same criteria, complemented by operational considerations, for example the potential of geographic clustering to enhance project implementation.

24. In the event that additional resources become available in the course of the project implementation, the same criteria will be used to identify townships for participation in the NCDDP.

5 BLOCK GRANTS

5.1 CALCULATION AND USE

25. Block grant allocations are based on the population of village tracts as follows:

Table 1-2 : Block Grant Allocation Method

VILLAGE TRACT POPULATION	Village numbers ³	AMOUNT (Myanmar Kyat)
< 3,000	1-10	22,000,000kyat
	11-15	30,000,000 kyat
	16-20	40,000,000 kyat
	> 20	50,000,000 kyat
3,001 to 5,000	1-20	44,000,000 kyat
	21-25	50,000,000 kyat
	> 25	60,000,000 kyat
5, 001 to 9,000	1-30	60,000,000kyat
	> 30	70,000,000 kyat
9,001 to 13,000	1-60	120,000,000 kyat
	> 60	150,000,000 kyat
> 13,000	1-40	150,000,000 kyat
	> 40	200,000,000 kyat

Village tracts with large numbers of villages.: The allocation in bold font are the basic allocations for each band. When the village tract has large numbers of villages and the per village allocation becomes smaller than 2,000,000 MMK (minimum sub-project size), the village tract will receive a larger block grant allocation as indicated in the above table. The maximum allocation per village is 110,000,000 kyat, i.e the same as the per sub-project ceiling (see para 26 below). The DRD and the World Bank will review the allocation formula at the end of each project cycle and revise it as necessary.

In the first cycle of any township, VT population will be based on numbers obtained from township GAD through DRD township office. If during the first cycle a VT reports that actual

³ Use the officially registered number of villages in the first year, actual numbers in subsequent years.

population is different to the GAD figures, sufficient to move it into a different Block Grant band, it should request validation of the difference in population from the DRD township office in order to change its Block Grant allocation for the following cycles. The population for the VT must match the total population reported in PC 1 for all villages in the VT. Only one such increase change will be accepted over four cycles.

26. **Minimum and maximum size of sub-projects :** There is no minimum size for a village sub-project in the first cycle in any township. In the second and subsequent cycles, the minimum amount for a village sub-project is 2,000,000 kyat. No sub-project can cost more than 110,000,000 kyat, including the funds from the village tract block grant, voluntary community contributions and/or any other sources. Any sub-project that is estimated to cost 40,000,000 kyat or more must be approved by the DRD union office and receive a no objection from the World Bank prior to implementation.

27. **Budget overruns.** Any cost overrun amounts are covered by and subtracted from the following year's block grant allocation for the relevant village tract, as per the provisions below. No overruns will be approved in the last cycle of the program. The DRD union office must be informed immediately of any overruns so that the funds needed by villages due to approved overruns can be transferred to the village tract bank account in a timely manner. All overruns must be reported in the DRD union office's quarterly reports.

- (a) Overruns up to 15 percent must be justified and require exceptional authorization from the DRD union office.
- (b) Any overruns greater than fifteen percent must be justified by the DRD union office and require a prior World Bank no objection letter(NOL).

28. **Budget underruns/excess funds.** Each VTPSC should plan for the full use of the annual block grant allocation in its Village Tract Development Plan (VTDP), but actual sub-project costs must be at least 80% of the block grant. At the end of each annual cycle, any excess funds or materials remaining after sub-project completion will be kept in the village and can be used in one of the following ways:

- (a) For operations and maintenance (for equipment, fuel, tools, spare parts, etc.);
- (b) To extend or upgrade an existing NCDDP sub-project;
- (c) For use in the next community cycle.

Excess funds and materials (granted to a village or collected from the village itself for the sub-project(s) in question) and their use must be accounted for, documented, and disclosed publicly.

29. **Excess materials.** Excess materials that are left over after the sub-project completion should be inventoried by the Procurement Sub-Committee and utilized/disposed of in the following manner:

- (a) To be used for operations and maintenance under the responsibility of the Operations and Maintenance(O&M) Sub-Committee;
- (b) To be sold in a transparent process by the Procurement Sub-Committee (PSC), with associated financial information documented and receipts of sales by the Finance Clerk. The use of the proceeds of such sales would be decided by the VTPSC. The VTPSC may either add such proceeds to the Village Tract block grant allocation or leave it with the initial village for a sub-project in the next cycle;
- (c) To be disposed in a manner in accordance with applicable Environmental Codes of Practice (ECoP) and Environmental Management Plans (EMPs) where applicable.

30. **Administrative expenses.** The VTPSC is entitled to use up to four percent of the annual block grant allocation per year to cover incidental/administrative expenses incurred by project committees for managing block grants.

- (a) The Finance Sub-Committee(FSC) prepares a budget for incidental/administrative expenses. The VTPSC includes funds for VPSC activities from this amount, to the extent needed and possible.
- (b) The VTPSC keeps separate records for the use of these incidental/administrative expenses.
- (c) The expenses are subject to spot audits by DRD and the Office of the Auditor-General.
- (d) The FSC posts monthly summary statements of the incidental/administrative expenses at the village tract and on village notice boards.
- (e) The VTPSC may increase the amount for incidental/administrative expenses to up to six percent of the annual block grant amount under exceptional circumstances, subject to documentation and prior approval from the DRD union office. These exceptions must be recorded and reported quarterly by the DRD union office. Unspent administrative budget will integrate into the unspent Block Grants.

31. **Misuse of funds.** If any of the block grant funds are found to be misused, the party responsible for the misuse of the funds shall refund the amount in full and is liable to additional sanctions (See sections later in this chapter on Code of Conduct and Sanctions). DRD at the township and union levels will be responsible for following up on cases of the misuse.

5.2 DISBURSEMENT OF BLOCK GRANTS

32. The DRD union office disburses the annual community block grant in full to the bank account of the VTPSC when all of the following steps have been completed.

- (a) All VPSCs in the village tract and the VTPSC have been established and staffed as required.
- (b) The VTPSC's FSC has been set up and trained.
- (c) The VTPSC has opened a bank account at a local bank (only required for the first disbursement).
- (d) The VTPSC has signed a block grant agreement for the current cycle with the Township DRD office.
- (e) The VTPSC submits a request for disbursement to the DRD union office through the DRD township office, which the DRD township office signs, confirming all conditions (a – d, above) have been fulfilled.

33. The DRD union office transfers the block grant in full to the VTPSC bank account within about 12 days of receiving the request for disbursement and informs the DRD township office and the VTPSC of such a transfer within two working days thereof. The DRD township finance officer and township finance consultant should closely monitor the bank account balance.

34. Until the selected sub-projects for the cycle are approved by the TPIC, only administrative operational funds can be withdrawn from the bank account. Withdrawing infrastructure funds prior to the approval of sub-projects for the cycle by the TPIC may result in sanctions of the village tract in question.

35. Funds are withdrawn by the finance sub-committee for the implementation of sub-projects as needed. There is no pre-determined number of withdrawals. Funds can be withdrawn once, twice, three times or more. The number of withdrawals may vary depending on the need, distances to the bank, transport costs, etc. Each VPSC, based on its sub-project implementation schedule, procurement plan and construction progress, will agree on a schedule with the VTPSC and its FSC.

36. Withdrawals must carefully balance time and cost considerations with the need for funds and the security of the cash on hand. It is recommended that cash be handled by a trusted villager, agreed by the community at large, in a manner and place where it is as secure as possible. The risks and responsibilities must be explained to the selected trusted person and also understood by the community at large. If funds have been withdrawn but then plans change and those funds can no longer be immediately utilized, funds can be kept in hand for up to 7 days, after which they should be deposited back into the VT bank account.

37. In general, funds withdrawn from the bank should be expended as soon as possible. For example, funds should be paid to supplier(s) right after withdrawal instead of carrying the funds back to a village and then transporting them back to the township to pay suppliers. The VPSC and its finance clerk can request assistance of the VTPSC to make payment on behalf of the village, to reduce the amount of cash on hand.

6 COMMUNITY PLANNING

6.1 VILLAGE DEVELOPMENT PLAN

38. Community planning activities start with creation of a Village Development Plan (VDP), representing the community's holistic vision and priorities for development in all sectors. (Chapter 2, Sections 2.1 – 2.2) . The VDP is created in the first cycle (if one does not already exist), followed by annual review and update in subsequent cycles. Key parts of the VDP are included in the MIS (PC 3), while the full VDP is retained at village level in the form of a book for community reference.

7 COMMUNITY COMMITTEES

7.1 VILLAGE TRACT PROJECT SUPPORT COMMITTEE AND FINANCE SUB-COMMITTEE

39. **There are two main committees at the village tract level:** the Village Tract Project Support Committee (VTPSC), which reviews Village Development Plans and makes decisions around block grant allocations, and the Finance Sub-Committee (FSC) which is responsible for managing finances, including withdrawals from the village tract bank account. Both of these committees are described below. Their formation and functions in the community cycle are detailed in Chapter 2 of this manual.

40. **Village Tract Project Support Committee.** This is the main committee for the program at the village tract level. The VTPSC reviews Village Development Plans and sub-projects proposed for funding, makes decisions on block grant allocations, and prepares a village tract development plan for submission to the TPIC. When the VTPSC convenes for

the first time, members elect two heads (one man and one woman) from amongst themselves, with the support of the Community Facilitator.

41. **Finance Sub-Committee.** The Finance Sub-Committee (FSC) is responsible for managing the finances for the village tract, including withdrawals from the village tract bank account. At its first meeting, the VTPSC selects three of its members for the “core” village tract FSC, of which one is designated as the accountant, and elects the head of the FSC. In addition to these three members, the elected finance clerks from each village in the village tract will also be members of the FSC. Chairs of the VTPSC cannot be on the FSC.

42. **Eligibility.** The VPSC heads are members of VTPSC. The village tract administrator will become advisor and s/he shall join VTPSC meetings regularly. Committee members are required to step down in case of misconduct or lack of acceptable performance (as attested by villagers, as evaluated during the annual social audit, etc.).

43. **Decision-making.** Two-thirds of its members constitute the quorum for meetings of the VTPSC, and two-thirds of the “core” FSC constitute a quorum for FSC meetings. The VTPSC and FSC take decisions by consensus.

44. VTPSC members do not receive remuneration for their committee work. Travel and meal allowances for VTPSC work can be provided from the administrative budget (normally up to four percent of the block grant).

7.2 VILLAGE TRACT GRIEVANCE COMMITTEE

45. **Grievance Committee.** The Village Tract Grievance Committee (VTGC) serves as the body for reviewing grievances addressed to the village tract. The VTGC is composed of the two grievance focal points (one man and one woman) from each village. This committee is independent from the VTPSC (e.g. members of the Grievance Committee cannot also be members of the VTPSC). The Grievance Committee will be supported in its work by the Community Facilitators.

7.3 VILLAGE PROJECT SUPPORT COMMITTEE AND SUB-COMMITTEES

46. **Village Project Support Committee.** The main program body at the village level is the Village Project Support Committee (VPSC), which prepares the Village Development Plan and identifies funding priorities. The formation of the VPSC and its functions in the community cycle are described in detail in Chapter 2. The VPSC is composed of 50 percent men and 50 percent women and elects, from among its members, two heads: one man and one woman. The two chairmen of each VPSC will represent the village in the VTPSC.

47. **Sub-Committees.** The VPSC will form three sub-committees, each composed of two or three of its members, for (i) procurement (approving purchases and contracts); (ii) monitoring and evaluation (to oversee sub-project implementation); and (iii) operations and maintenance. Each sub-committee must include one or more women. Each sub-committee elects one person as its Head.

48. **Eligibility.** Anyone 18 years or older and willing to perform the required duties can stand for election for the above committee roles, except the village leader. The chairmen of the VPSC (one male and one female) cannot be members of any sub-committee. The chairmen of the VPSC automatically become members of the VTPSC. Members are required

to step down in case of misconduct (code of conduct and sanctions) or lack of performance (as attested by the villagers etc.). New elections for committees should be held at least every two years, with serving members remaining eligible for re-election.

49. **Decision-making.** Two thirds of members constitute the quorum for meetings of the VPSC and its sub-committees. The VPSC and its sub-committees can vote on matters (secret ballot) or take decisions by consensus, as appropriate. If applicable, the participation of hamlets or associated small villages in the quorum and decision-making needs to be ensured.

50. Members of the VPSC and its sub-committees, volunteers, finance clerks and grievance focals should serve their communities voluntarily, without remuneration.

51. **Inter-village sub-project committees.** If a sub-project benefits two or more villages, the village-level sub-project committees will consist of representatives of participating villages on a proportionate basis.

7.4 FINANCE CLERK AND VILLAGE VOLUNTEERS

52. To support the work of the VPSC, each village will identify a finance clerk (who acts as cashier, makes payments, and represents the village on the village tract finance subcommittee), and two village volunteers (one man and one woman). Village volunteers cannot serve on the village project support committee.

7.5 GRIEVANCE FOCAL POINTS

53. To ensure transparency and provide a point of contact for community members with concerns about the project, each village elects two grievance focal points, one man and one woman. Village grievance focal points must be independent from the VPSC, and must be fair, respectful and able to keep confidentiality. Grievance focal points will be part of the Village Tract Grievance Committee.

8 SOCIAL INCLUSION ASPECTS

8.1 GENDER ASPECTS

54. The project contains a range of activities to increase gender equality and empower women during the community project cycle. Community Facilitators (CFs), Technical Facilitators (TF) and village volunteers will work to ensure women's participation throughout the community project cycle, including community monitoring, grievance handling, and social audits.

55. Measures to ensure that gender equality is fully mainstreamed include:

- (a) Staff involved in project implementation receive gender training and refresher training throughout the project's duration to ensure project activities are carried out in ways that increase gender equality and empower women and that project staff understand the rationale for the involvement of women and ways to support the active participation of women.

At the first village meeting in which there is a village quorum, CFs provide information about the roles and responsibilities of all positions and share information

about the NCDDP's concepts of participation, gender and inclusion. The CF facilitates the selection of at least one woman and one male village volunteer.

- (b) CFs and village volunteers organize separate meetings with women and men to identify their respective needs and priorities for the Village Development Plan (VDP) and keep a record of the needs and priorities of each group, which is included in the project's management information system (MIS). It is important that this separate meeting include poor and vulnerable men and women, including for example women headed households, the elderly, people living with disabilities, as well as landless households and marginalized groups.
- (c) If there are hamlets to be grouped with a village for the purpose of an NCDDP sub-project, the CF and village volunteers will also organize the same meetings at the hamlet level.

At the second village meeting, if the quorum is met, the election of the VPSC and its sub-committees is undertaken. The CFs ensure that (i) VTPSC and VPSC are gender balanced (ii) each sub-committee includes at least one or more female members, and (iii) each VPSC and each VTPSC includes one woman as one of its chairmen in one of the sub-committees. Sub-projects can be identified by men, by women or by men and women together. The VTPSC must agree to fund at least one sub-project identified as a priority by women in the village tract each year.

- (d) Progress and challenges on gender and inclusion will be discussed as part of regular project management meetings, and are reported on as part of the project's results framework.
- (e) In undertaking the environmental and social safeguards screening for each sub-project, the VPSC pays particular attention to both positive and negative impacts of the village sub-project on women, children, persons with disabilities and elderly people and where needed proposes mitigation measures to eliminate any negative impacts.
- (f) If a village sub-project requires an EMP, the CF/TF includes specific actions in the plan as needed to ensure that the interests of both women and men are equally protected.
- (g) Any villager who wishes to work can work on a sub-project. Announcements of the required skilled and unskilled labor for sub-projects will be displayed in public places. Women and men both have equal opportunities to work on sub-projects and will be paid equally for equal work. This requirement will also be applied to contractors used for the sub-projects. The Village Monitoring and Evaluation (M&E) Sub-Committee documents the wages paid in their monitoring reports.

8.2 ETHNIC AND/OR RELIGIOUS GROUPS

56. The project contains a range of activities to allow all ethnic and religious groups, the poor and other marginalized groups (including the disabled, for example) to fully participate throughout the community project cycle and enjoy project benefits equitably.

- (a) All villages in a village tract are eligible to participate in the project, regardless of whether they are officially registered by the General Administration Department or not.
- (b) All ethnic groups living in a village are entitled to participate in sub-project monitoring activities.
- (c) If ethnic and/or religious groups are not already included in the Village M&E Sub-Committee, the CF and village volunteers facilitate a meeting with them and the VPSC to discuss and agree on arrangements whereby representatives of these groups participate in sub-project monitoring activities. This might involve special community monitoring of the process and sub-projects by ethnic minorities where

- they reside.
- (d) The village tract representatives of each village, together with the CF and village volunteers, carry out free, prior and informed consultations in the villages to explain the Village Tract Development Plan (VTDP) and verify broad community support for the VTDP by the ethnic and or religious groups present in the village.
 - (e) If ethnic and/or religious groups raise a complaint/concern in writing regarding the priorities of village sub-projects at any time during the planning phase and prior to the approval of sub-projects by the TPIC, the VTPSC will reassess the priorities and submit a revised VTDP to the township for endorsement, as needed.
 - (f) The CF and village volunteers undertake open and informed consultations with ethnic and/or religious groups for the preparation of the Village Development Plans (VDPs) prior to the approval of village sub-projects and keep a record of the needs and priorities of each group.
 - (g) The VTPSC ensures the needs and priorities of ethnic and/or religious groups are adequately reflected in the VTDP, based on the consultations during the preparation for the VDPs.
 - (h) Village and village tract meetings as well as meetings of the VPSC and VTPSC are held in the predominant local language. The VTPSC and VPSC members and village volunteers ensure that all villagers have a full understanding of the discussion at these meetings through the use of effective group facilitation techniques. Additional training will be provided on facilitation skills and community mobilization as well as on information dissemination techniques and transparency in all townships (in line with requirements of the Environmental and Social Management Framework).
 - (i) All necessary written information related to the project is made publicly available at the village and village tract level in local languages.

8.3 DISABILITY

57. Together with ethnic groups and women, disabled persons are another vulnerable group. In keeping with NCDDP's social inclusion policy, it is important that disabled persons should a) be encouraged to participate in village planning and committee work, and that b) have a chance to discuss special requirements in terms of infrastructure design with TFs at the sub-project design stage where this may significantly affect their access to benefits.

9 PROJECT MANAGEMENT INFORMATION SYSTEM

58. The purpose of the project's monitoring and evaluation (M&E) system is to assess progress and evaluate if the project is meeting its stated objectives. The monitoring and evaluation of the project has the following four components:

- (a) *Operations* – tracking physical and financial progress of implementation;
- (b) *Learning* – this focuses on documenting and communicating lessons learned from each community project cycle as input for the next cycle;
- (c) *Results* – covering outcome/impact indicators in the Project Results Framework;
- (d) *Evaluation* – including qualitative studies/reviews on specific topics (e.g. gender), technical, financial and social evaluations and audits, safeguards, and findings from supervision missions.

59. The main tool of M&E is the overall project management information system (PMIS). The PMIS is the complete network of information (project cycle, financial, procurement, social accountability information etc) required to assist project management to make timely

decisions, to track progress, and to assess the degree of realisation of the indicators in the Results Matrix.

60. A sub-set of the overall PMIS is referred to as the “MIS.” The MIS includes selected data from every village, which is entered into the project database so that key performance indicators can be aggregated by township and whole project levels. Village level data is entered by CFs into tablets, and then transferred to township PCs. After validation, this data is then uploaded weekly via the Internet to the central SQL server, which stores the project database, and is accessible to the public at www.ncddmis.com.

61. A more detailed description of the PMIS is provided in Annex 2 while Chapter 3 shows the full range of data collection and reporting forms.

62. The UTA is responsible for assisting DRD in maintaining the PMIS.

10 REPORTING

63. To effectively monitor and evaluate program implementation and performance, - townships and state/region offices will prepare regular reports on implementation progress, including any challenges that require resolution. In addition, the union level will provide regular reporting both to the project’s Steering Committee, the World Bank, and external donors. The reporting schedule and requirements are detailed in Annex 2.

11 GRIEVANCE AND ACCOUNTABILITY

64. Transparency and accountability are core components of the NCDDP. To this end, the project has established a grievance handling mechanism (GHM). The goal of the GHM is to strengthen accountability to beneficiaries and provide channels for input by project stakeholders at all levels. It provides a mechanism that allows for the identification and resolution of issues affecting the project, including misconduct of staff, misuse of funds, abuse of power, and other improper behaviour. By increasing transparency and accountability, the GHM helps reduce the risk of corruption and serves as an important feedback and learning mechanism for project management.

65. The GHM established under the NCDDP is accessible to all, including ethnic, religious, and other special groups. The mechanism focuses not only receiving and recording complaints but also on how complaints are resolved. The GHM is supported by an information campaign and training program. Respected and trusted grievance focal points (one male and one female) are elected in each village, who together form the Village Tract Grievance Committee, and dedicated staff are assigned to handle grievances in each township, state/region and at the union level. Details on the GHM are provided in Chapter 2.

11.1 CODE OF CONDUCT

66. All persons involved in project implementation, including the DRD union and township project staff, Union, state/region and township-level TA staff, independent technical consultants, VTPSC members, VPSC members, community and technical facilitators, independent construction contractors, village volunteers, and finance clerks, have an obligation to perform their duties honestly and constructively. They sign and agree to abide by a code of conduct to:

- (a) Observe the laws of the Republic of the Union of Myanmar;
- (b) Honor the rights of project stakeholders (Grievance and Accountability);
- (c) Ensure women, the poor, ethnic and religious groups present in the project locations participate actively in and benefit from the project;
- (d) Refrain from any corrupt or fraudulent activities including patronage/nepotism, conflict of interest, diversion and/or embezzlement of funds, bribes, kick-backs, and short-changing of village sub-project value;
- (e) Report suspected cases of fraud and corruption;
- (f) Respect local cultures and customary laws prevalent in project locations;
- (g) Follow the provisions of the operations manual with diligence and efficacy;
- (h) Report any problems arising from the work to the direct supervisor or next higher level of authority.

67. In addition to the above, a separate Code of Conduct specific for construction contractors is included in P6, the contract for works. A simplified Code of Conduct, based on the above, which is more readily understood by villagers, has been prepared with “5 Do’s and 5 Don’ts.” This is utilized in the village orientation meetings. The following is the simplified Code of Conduct:

Do’s

1. Be honest and responsible in your job.
2. Be open and transparent in your actions.
3. Observe the laws of Myanmar.
4. Observe the rights of everyone.
5. Respect the community and engage equally all women, men, disabled persons, the poor, and any ethnic or religious groups.

Don’ts

1. Don’t take bribes or gifts, money, goods, materials for personal use.
2. Don’t falsify documents.
3. Don’t give contracts to friends or relatives.
4. Don’t use or abuse the project for personal gain.
5. Don’t hire children under 15 years of age for sub-project construction. And don’t exploit labor.

11.2 SANCTIONS

68. Anyone involved in project implementation, who is found to be in breach of the code of conduct, is subject to disciplinary action, to be determined by DRD. Sanctions may be imposed on individuals, groups (such as VTPSC and VPSC) and private contractors. Detailed sanctions procedures are outlined in Chapter 2.

69. Failure to report a suspected case of misuse of funds or authority constitutes a breach of the code of conduct. Sanctions will not be enacted on the whole village for an individual’s wrongdoing or the whole village tract for a village’s misconduct. CFs and TFs are responsible for ensuring that villagers are aware that they will not be penalized for filing a complaint. Filing a complaint does not mean a village tract or village will lose its grant.

12 KNOWLEDGE AND LEARNING

12.1 COMMUNICATIONS

70. The DRD with assistance from the UTA:
- (a) Plans, designs and executes a communication strategy for the project to inform stakeholders about how the project operates and their rights and responsibilities under the project; it is aimed at different parts of the project structure (e.g. village, village tract, township and union level) and different issues related to the project (e.g. transparency and grievance handling, social and environmental safeguards, gender provisions, etc);
 - (b) Initiates and maintains relationships with key internal and external stakeholders;
 - (c) Identifies opportunities for and forges partnerships to improve multi-stakeholder dialogue and outreach and to strengthen the project's overall effectiveness;
 - (d) Monitors and analyzes media-stories relating to the project;
 - (e) Identifies and, as appropriate, responds to news and developments that may impact the project;
 - (f) Ensures quality translation of English documents into Myanmar language (and other local languages as appropriate) and vice versa.
71. Township-level communication initiatives to complement the union-level strategy are encouraged as long as agreed by the DRD union office. Funds for such activities can be requested as part of the township-level activity-based budgeting process.

12.2 MULTI-STAKEHOLDER REVIEW

72. **Township-Level MSR.** At or near the end of each annual block grant cycle, the DRD township office organizes a multi-stakeholder review (MSR) in each project township. The goal of the MSR is to bring together project stakeholders at the township level to share experiences from implementation of the previous community cycle and to discuss ways to improve the project's implementation for the next cycle. Participants include government officials, community members, village tract administrators, the TTA as well as interested NGOs, local civil society groups and development partners active in the township.

73. At the meeting, the DRD township office presents an annual township project implementation report. Participants reflect on the annual report, the results of the social audits (see Chapter 2 on Social Audits) as well as on the findings of any village sub-project technical and financial audits undertaken in the township. Proceedings of the meeting are public and open to all.

74. Following the meeting, the DRD township office summarizes the main discussion points, suggestions and recommendations in a short report. This report is submitted by the DRD township office to the DRD union office. In addition, VTPSCs post the report in local language(s) on village and village tract notice boards.

75. **Union-Level MSR.** The DRD union office organizes a union-level MSR once a majority of township-level MSRs are completed. Similar to the township-level MSRs, the union level MSR serves to share experiences from the previous cycle across all project townships and discuss ways to improve the project's implementation for the next cycle. Participants include government officials from the union and township levels, project staff of all levels, community members, union and township-level TA teams, as well as interested NGOs, civil society groups, and development partners.

76. At the union-level MSR, DRD presents highlights of project implementation during the previous cycle, including the findings of technical, financial and social audits. Participants reflect on the project's implementation progress and opportunities for improvement in the coming cycle.

77. Following the union-level MSR, the DRD union office summarizes the main discussion points, suggestions and recommendations in a short report. The report is disseminated widely, including on the DRD website, through township offices, and other channels. VTPSCs will make the report available in local language(s) by posting it on notice boards and discussing its findings and recommendations in village and village tract meetings.

78. Following the union-level MSR, the DRD union office also updates the Operations Manual in advance of the subsequent cycle to reflect key suggestions and agreements that emerge from the MSR.

12.3 EXCHANGE VISITS

79. As part of the NCDDP's ongoing commitment to learning, DRD will organize regular exchange visits, both between townships in Myanmar and by project teams to other countries implementing similar programs. These visits aim to disseminate good practices and build the capacity of project teams to implement the NCDDP effectively.

13 DISCLOSURE

80. Key documents related to the project will be disclosed publicly. This includes the findings of the financial, technical and social audits, procurement documents, as well as other documents as indicated in this Operations Manual. The project's website (www.cdd.drdmyanmar.org) is the key place for disclosing project-related documents. In addition, project related documents are made publicly available in the participating communities, as feasible. Documents that should be disclosed and posted locally on notice boards are specified in this Operations Manual.

81. The documents below, prepared in Myanmar language, are available at village and village tract offices. As appropriate, short summaries of these documents are prepared in Myanmar and the predominant local language(s) and are posted on village and village tract notice boards. The DRD township office retains copies of these documents and makes them available to the public.

- (a) Annual list of sub-project locations and the block grant allocations by village tract in a given township
- (b) A copy of the Environmental and Social Management Framework (ESMF)
- (c) A copy of the project's Operations Manual
- (d) Annual project financial audit report
- (e) Annual township level multi-stakeholder review report
- (f) Environmental Management Plans and Voluntary Donation Forms for all sub-projects in a township.

82. The documents below, prepared in Myanmar language, are available at the DRD union level and on the project website:

- (a) Annual list of project locations (village tracts) and their block grant allocations

- (b) Annual project financial audit report
- (c) Annual project implementation report
- (d) Annual social audit report summary
- (e) Annual multi-stakeholder review report
- (f) Operations Manual
- (g) ESMF



National Community Driven Development Project

Operations Manual

Chapter 2 Community Project Cycle

Chapter 2 Table of Contents

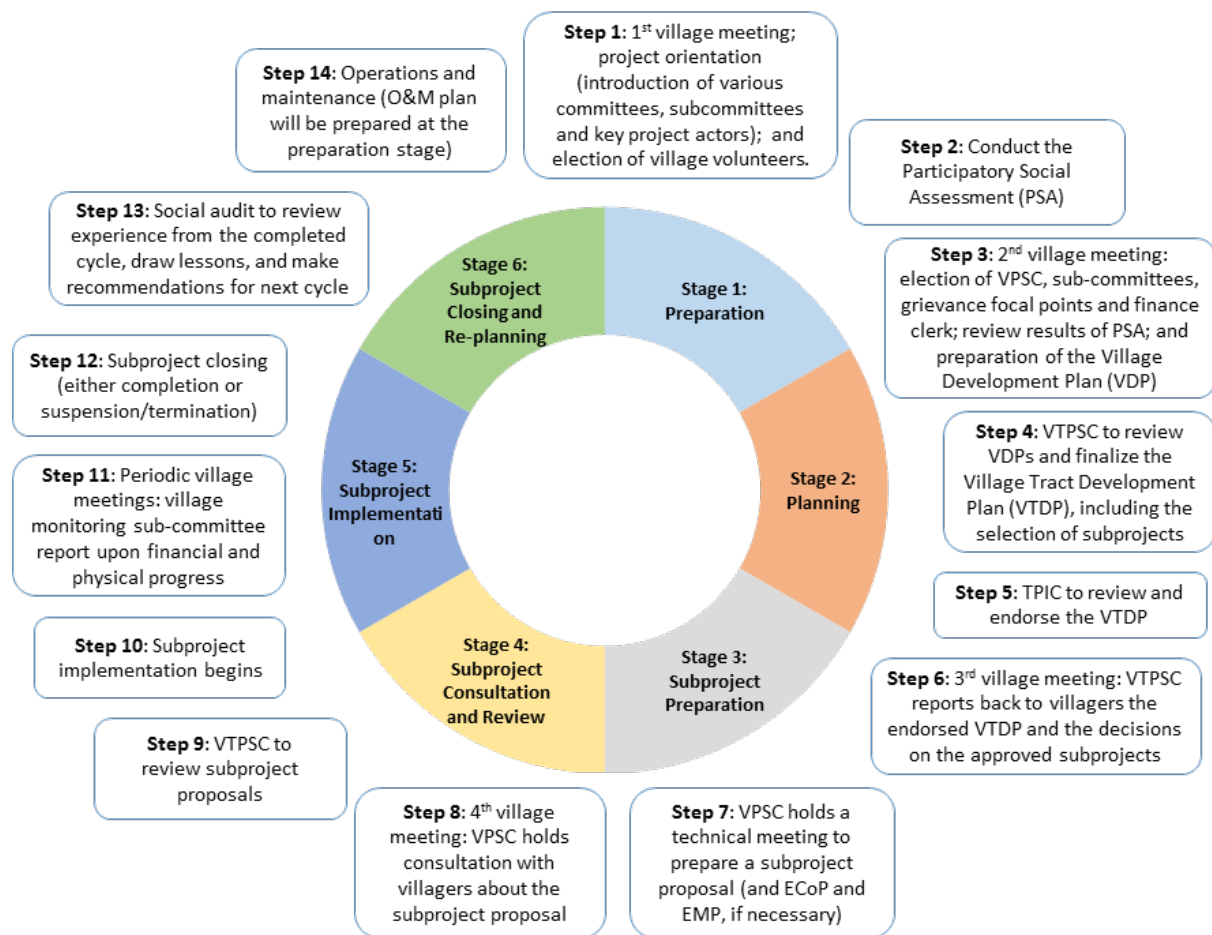
1	Preparation	26
1.1	First Village Meeting	26
1.2	Election of Village Volunteers	28
1.3	Participatory Social Assessment	28
2	Planning	30
2.1	Second Village Meeting	30
2.2	Village Development Plan	31
2.3	Election of Villlage Committee and Sub-Committees	36
2.4	Subsequent Village Development Plans	37
2.5	Village Tract Project Support Committee Meetings	39
2.6	Township Planning & Implementation Committee Review & Endorsement	40
2.7	Third Village Meeting	41
2.8	Subsequent Village Tract Development Plans	42
3	Sub-project Preparation	43
3.1	Village Sub-project Preparation	43
3.2	Environmental Codes of Practice and Environmental Management Plans	45
3.2.1	Environmental Codes of Practice	46
3.2.2	Environmental Management Plan	47
3.2.3	Physical Cultural Resources (PCR) Management	47
3.3	Voluntary Land/Asset Donation	49
4	Sub-project Consultation and Proposal Review	50
4.1	Fourth Village Meeting (at Sub-project Site)	50
4.2	Village Tract Project Support Committee Review of Sub-project Proposals	51
5	Sub-project Implementation	52
5.1	Community Procurement	52
5.1.1	Procurement Sub-Committee and Its Responsibilities	52
5.1.2	Procurement Methods	53
5.1.3	Procurement Steps	53
5.1.4	Community Force Account	55
5.1.5	Contracting	55
5.1.6	Disclosure/Transparency Arrangements	56
5.2	Financial Management	56
5.3	Monitoring and Supervision	58
6	Sub-project Closing	59
6.1	Successful Completion of Sub-project Activities	59
6.2	Suspension and Termination of Sub-project Activities	60
7	Social Audit	61
8	Operations and Maintenance	63
9	Disaster Risk Management	65
9.1	Disaster Risk Reduction	65
9.2	Post-Disaster Emergency and Response	65
10	Feedback, Grievance and Accountability Mechanism	66
10.1	Principles	66
10.2	Process	68
10.3	Code of Conduct	71

10.4	Sanctions	73
11	Communications	75
12	List of Key Reference Documents	75
Table 2-1 :	First Year Eligible Sub-Projects (Positive List)	34
Table 2-2 :	Sub-projects not Eligible for Funding under NCDDP (Negative List)	35
Table 2-3 :	Steps for ECoP Preparation and Implementation	46
Figure 2.1:	Community Project Cycle (Stages and Steps)	25
Figure 2-2:	Indicative Procedure for Chance Find	48

CHAPTER 2 COMMUNITY PROJECT CYCLE

83. The community project cycle has six stages, consisting of 14 steps. This includes at least five village meetings (including the social audit meeting) that require the full participation of as many community members as possible: men, women, persons with disabilities, elderly and youth, ethnic minority groups, poor, rich, etc. Key community decisions related to the project are to be discussed and made publicly at these meetings. There will be some meetings of the project committees and sub-committees between the full village meetings. Community Facilitators (CFs), Technical Facilitators (CFs), and Township-level Technical Assistance partners and DRD township staff will support the process as necessary.

Figure 2.1: Community Project Cycle (Stages and Steps)



84. The VTPSC is entitled to use up to four percent of the annual block grant amount per year to cover the expenses referred above for managing the block grant. The VTPSC may increase the amount for administrative expenses to up to six percent of the annual block grant amount under exceptional circumstances, subject to documentation and prior approval from the DRD union office. These exceptions must be recorded and reported quarterly by the DRD union office. Unspent administrative budget will be integrated into the unspent Block Grants or the VTPSC can decide to add to next year's administrative cost.

85. The cost of village meetings (travel, refreshments, stationery etc.) will be covered out of the administrative provision in the Block Grant, with the exception of (i) the social audit meeting (which is financed from the township DRD budget), and (ii) costs for communities in their first cycle who have not yet received project funds in their VT bank accounts.

1 PREPARATION

1.1 FIRST VILLAGE MEETING

86. The project will provide at least three days of advance notice to villages before holding the orientation meeting with the help of the village tract and the village head. The CF and TF will facilitate the first village meeting, and will encourage as many villagers as possible to participate.

87. **Objectives.** The purpose of the first village meeting is to:

- (a) Explain the principles of community-driven development and of the NCDDP;
- (b) Familiarize villagers with the project, the community project cycle and project procedures and regulations, including how gender and social inclusion are integrated in the NCDDP;
- (c) Explain the roles of the various NCDDP actors: 1) Village Project Support Committee (VPSC) and Village Tract Project Support Committee (VTPSC) with sub-committees; 2) village volunteers, CFs and TFs, grievance focal points and finance clerk; 3) village and village tract leaders; 4) township officials and Township-level Technical Assistance (TTA) NGOs/firms; and 5) DRD union office, Union-level Technical Assistance (UTA) NGO/firm and World Bank.
- (d) Elect 2 Village Volunteers (1m+1f); if the number of households in the village is greater than 200, then ensure at least one (1) additional VV from every additional 100 households. If there are existing Village Volunteers (VVs), they should work with the CFs/TFs.
- (e) Begin a Participatory Social Assessment. Depending upon the readiness level of the community, the participatory social assessment may be completed during the first village meeting or continue on after the first meeting as needed during the week.

88. A Village Development Plan (VDP) Guide issued by the Union Secretariat provides further guidance on the first village meeting, social assessment, elections and second village meeting. As part of the preparation, the Training of Facilitators Course Part1 (TOF1) is provided on these subjects at the township level. The VDP Guide serves as the relevant training material.

89. **Participants.** CFs and TFs will facilitate the meeting. All villagers are invited, including the village administrator. The meeting must have a quorum of: (i) at least 50% of the households⁴ resident in the village at the time of the meeting (ii) at least 50% of the ethnic group households in the village at the time of the meeting; and (iii) at least 50% of attendees

⁴ For the purposes of the project's operations, the NCDDP considers the term "household" (HH) in the Myanmar context to mean a family of relatives or group of people living together, but not necessarily under the same roof (i.e. physical house) at the same time, and who acknowledge the authority of a man or woman who is the head of household.

should be women. Facilitators should also encourage elderly, persons with disabilities, youth and, where they exist, villagers from remote hamlets to attend the meetings. Other development partners such as committee members from other projects or NGOs working in the village are also welcome to attend.

90. **Duration.** Minimum half a day

91. **Clustering of Villages with fewer than 20 Households.** In the case of very small villages (<20 households) in the same village tract, those villages should cluster together to form a minimum of 20 households or consolidate with a larger neighboring village in the same village tract for orientation and planning purposes in the NCDDP. This clustering would allow planning to be more efficient and at scale, and ensure a sufficient number of committee members so that there are no conflicts of interest. In case of doubt, the smaller villages should be allowed to decide for themselves with which other village to join. A cluster can propose more than one sub-project in the same year for one, or for the group, of villages in the cluster. This will be decided by the VTPSC at the meeting where the VTPSC makes the VTDP.⁵

92. **Process.** The Community Facilitator (CF) and Technical Facilitator (TF) organize the first meeting in a village. In organizing the meeting, the facilitators can be assisted by the village tract administrator, the village head, the village 100 household leader, the DRD township office, and/or existing committee members and volunteers from other projects. (ref. paragraphs 87 & 89).

93. The village orientation meeting is announced a few days (no less than 3 days) in advance in relevant local language(s). A reader-friendly brochure, Chapter 2 of Ops Manual, project movie, leaflet or other materials containing basic project information should be prepared and distributed in advance by the facilitators, as appropriate and feasible, to help villagers prepare for the meeting.

94. A date/time and place is set that is convenient for female and male villagers. Every effort is made to ensure that as many villagers as possible attend the meeting. (See para 89 above for Quorum requirements). When conducting mixed group meetings, the CFs need to ensure that seating arrangements allow women and men equal status and understanding, and that the proceedings allow and encourage women and minority or vulnerable groups to speak up.

95. The meeting quotas and quorum requirements described in para 89 above are to ensure that the project process is as participatory and transparent as possible, and that the meetings are well attended, especially by the poor and marginalized. If the VPSC includes more than one (1) village (including hamlets), then there should be present at least one (1) VV from every village or hamlet. If the village is more than 200 HHs, at least one (1) VV should be present from every group of 100 HHs. The VV cannot become a committee member.

⁵ The Village Tract Development Plan (VTDP) describes the vision, needs and development priorities of the villages in the Village Tract.

1.2 ELECTION OF VILLAGE VOLUNTEERS

96. During the first village meeting, villagers elect one female and one male village volunteer by secret ballot. Anyone over the age of 18 years can be a village volunteer. Where villages group together, e.g. in case they are very small, alternatives for VV selection are given in para 87.d above. Any villager above the age of 18 is eligible to nominate themselves for this function.

97. The functions of a Village Volunteer (VV) are to:

- (a) Assist the CF/TF with orienting the community regarding the project;
- (b) Help in organizing project meetings and focus group discussions with various groups in the village (elders, youth, ethnic groups, women, and committee members of other projects, etc.);
- (c) Help CF/TF in project activities including monitoring, reporting, grievance handling, and sub-project completion;
- (d) Support information campaigns together with grievance focal points and help CF in organizing the village check (Social Audit);
- (e) Participate in village exchange visits;
- (f) Share information and knowledge about the project with communities, and committee members of other projects.

1.3 PARTICIPATORY SOCIAL ASSESSMENT

98. **Objective.** The purpose of the Participatory Social Assessment (PSA) is to assess the village development situation and needs, and begin to articulate a vision for village development in the future.

99. **Participants.** CFs and village volunteers will facilitate the meeting and discussions with the support of TFs. All villagers are invited. Separate focus group discussions are held with women, ethnic groups and vulnerable groups (i.e., elderly, persons with disabilities).

100. **Duration.** The PSA using Participatory Rural Appraisal (PRA) techniques can begin during the first village meeting and continue thereafter during the week. Estimated time is 2-3 days for the PSA/PRA exercise depending upon the time availability of villagers and their capabilities

101. **Process.** At the first village meeting, the CF explains the purpose of a PSA and ascertains from villagers whether or not an assessment and/or Village Development Plan (VDP) was already undertaken within the past three years. Scenarios for Cycle 1 townships are given below.

Scenario 1

102. If the village has already undertaken a PSA or produced a VDP, the CFs/TFs with village leaders review for the following criteria:

- (a) percentage of total village HHs attending: were at least 50% households involved in the PSA and formulation of VDPs?
- (b) percentage of total village women attending: did women participate earlier?

- (c) Did other vulnerable groups (ethnic minorities, elderly, disabled) participate?
- (d) Group confirmation of sufficient transparency: was a full and transparent discussion held on the village's needs and investment priorities.

103. If all answers to the above are positive, then the village can use the previous PSA and/or VDP and undertake the following two steps:

- (a) The CF and TF holds free, prior and informed meetings with ethnic and religious groups present in the village to confirm the existing assessment and the appropriateness of the plan to their needs and priorities.
- (b) If the groups agree to use the existing plan, the CF records the use of the existing PSA and/or VDP in the minutes of the meeting.

104. If one or more criteria in para 101 above are not satisfied, the village can decide whether to prepare a completely new VDP, or revise the aborted one after criteria are fulfilled (e.g., after re-doing a committee election or sub-project selection process that was not transparent).

Scenario 2

105. If no PSA and/or VDP exist or if villagers wish to update their plans, the CF and TF continues with the activities outlined below.

106. **Participatory Planning Process: PRA Tools and Process.** The Village Development Planning process should ensure that all villagers have an opportunity to participate in assessing the current situation of the village and identifying village priorities for development. PRA tools emphasize local knowledge and enable villagers to make their own appraisal, analysis and plans. The PRA process helps communities articulate their current development situation, aspirations, vision and proposed interventions for overall village development. All tools are explained to villagers before their use. The following PRA tools are used (see the VDP Guide for the full list of tools):

- (a) Social and Resource Mapping
- (b) Well-Being Ranking
- (c) Gender #1: Asset Analysis
- (d) Gender #2: Cobweb
- (e) Seasonal Calendar
- (f) Venn Diagram
- (g) Visioning

107. Using PRA techniques, the CF, TF and village volunteers organize village meetings and focus group discussions to generate information for Village Development Planning. Focus group discussions should be held with:

- (a) Village leaders (formal and informal);
- (b) Women;
- (c) Occupational groups (farmers, fishermen, laborers, etc.);
- (d) Most vulnerable and poorest groups (e.g., disabled, elderly, landless);
- (e) Other groups present in the village, including any ethnic and or religious groups.
Where appropriate, CFs are encouraged to conduct discussions separately for men and women of such groups.

108. The CF/TF and village volunteers ensure that the poor, youth, women, elderly, ethnic minority, and religious groups present in the village are consulted in a free, prior and informed manner.

109. The CF/TF should help villagers analyze and think through the causes of poverty in their village and what would be effective and sustainable ways of addressing their development challenges. The final decisions, however, should rest with the communities. Following the analysis, each FGD should prepare a report highlighting the following: 1) Village vision, 2) PRA tools used, 3) proposed sub-project/ development activities.

110. **Secondary data.** For the village level meetings, the CFs/TFs will gather information from the townships about community-level investments planned and budgeted in the fiscal year in question. They should also gather relevant information about health, education, water, electricity and road services for that village.

111. The village and focus group meetings serve to:

- (a) Examine the village's history and social composition;
- (b) Assess the current state of development in the village, including:
 - (1) Livelihoods and poverty
 - (2) Availability of basic services(e.g., education, health, transport, water, electricity, etc.)
 - (3) Environment and natural resources
 - (4) Obstacles to development. Villagers identify problems that are encountered frequently and cause (parts of) the community to be poor.
- (c) Vision of what men and women's groups want for their village in the future. Villagers jointly draw a vision of their village, how they like their village and family situations to look like in four to five years and identify what strengths and assets they may have for working towards that vision (visioning exercise).

112. Ideas should be helpful to the very poor and poor, and be sustainable. Ideas should not be limited to public service delivery and infrastructure, but instead identify all elements that villagers would consider relevant (e.g., administrative constraints, land, livelihoods, access to justice, etc.). It is important that villagers identify all issues affecting their community. The CF and TF ensure that women and men, ethnic minorities and vulnerable groups are given the space to express their ideas and helps to make sure they do so.

113. The CF and TF, with the support of VVs, help villagers to summarize the findings of the group discussions, PRA sessions and local decisions. These documents will form the main part of the VDP with its lists of priority activities to be finalized at the second all-village meeting (see section below).

2 PLANNING

2.1 SECOND VILLAGE MEETING

114. **Objective.** The purpose of the second village meeting is to: (i) prepare the VDP; and (ii) elect the focal points and committee members.

115. **Participants.** CFs and TFs will facilitate the meeting, with assistance from VVs. All villagers are invited including the village administrator. The meeting must have a quorum of: (i) at least 50% of the households* in the village (i.e. of those present in the village at the time of the meeting); (ii) at least 50% of the ethnic group households in the village (again, of those present in the village at the time of the meeting); and (iii) at least 50% of attendees should be women. (iv) representation from committee members from other projects, if any. Facilitators should also encourage villagers from remote hamlets to attend the meetings.

116. **Duration.** At least half a day. Further, each FGD will select a reporter and present their group's Vision on village development/ activities.

117. **Process.** It is expected that for first cycle townships, CFs will spend 3-4 days in the field to undertake the first village meeting, the PSA/PRA exercise, and the second village meeting (VDP).

2.2 VILLAGE DEVELOPMENT PLAN

118. Using the information provided during the PSA and PRA process described above, CFs and TFs will assist villagers to prepare a Village Development Plan (VDP) for four years. The purpose of a VDP is to describe briefly the village's current situation, development challenges, vision, and proposed interventions to improve their socio-economic conditions. Villagers should bear in mind that VDPs remain a valuable tool to inform all future village development activities.

119. The CF/TF together with the village volunteers compile the results of the social assessment and the PRA exercise into one VDP document, of maximum 50 pages, including:

- (a) Cover page;
- (b) Table of Contents;
- (c) Village Profile and basic description of village. (Form PC1)
- (d) Summary of the PSA and PRA process;
- (e) Obstacles according to men and women's group; (Form PC3 Box A)
- (f) Village vision (result from visioning exercise); (Form PC 3, Box B)
- (g) List of priority activities for the next four years (infrastructure, livelihood, education, social protection etc.), agreed upon by both men and women; (Form PC 3, Boxes C & D)
- (h) Annexes:
 - (1) Please include as desired by villagers (e.g., Photo documentation of the social assessment and PRA process [as feasible]; including maps, well-being rankings, Venn diagrams etc.);
 - (2) Copy of the minutes of VDP meeting;

120. The Village Development Plan should :

- (a) Be prepared in the predominant language with a summary in either Myanmar language if prepared in local language or local language(s) if prepared in Myanmar language.
- (b) Describe priority development needs for the village over the next four years regardless of funding source (not just NCDDP). Other activities proposed for government and other donor sources (e.g., livelihoods, health, etc.) should be included in the VDP so that external partners

will be aware of what are the overall village development needs, and perhaps can fund those activities in the future.

Template for Village Development Plan

1. Cover page (including name of village, township, and date)
2. Table of Contents
3. Township Map
4. Village Map
5. Village Basic Data: (summarized from the Village Profile Form, Form PC1)
 - How old is the village (including its history)?
 - Population (male, female) and number of households
 - Population of ethnic groups
 - Population of vulnerable households (e.g. elderly, landless, disabled)
 - Facilities available in the village (health center, school, etc)
 - Main economic activities of villagers (agriculture, crops, etc.)
 - Major assets in the village, land area, natural resources.
 - Any other relevant information for the village
6. Summary of the Participatory Social Assessment (PSA) and Participatory Rural Appraisal (PRA) process. Include:
 - Review of each PRA tool used in VDP
 - Photos (include max. 3) of committee member selection process and PSA process
 - Main points of discussion at the meeting,
7. PC 1 Form : Village Basic Data
8. PC 2 Form : Project Cycle Timetable). Sufficient to include up to VDP meeting
9. PC 3 Form, Boxes A & B: Obstacles, Vision
10. PC 3 Form: Boxes C & D: Priority activities for different areas for the next four years (infrastructure, livelihood, education, social protection etc.), agreed upon by men, women and ethnic groups. ALL activities should be discussed, not just those funded by NCDDP.
11. Annexes:
 - Supplementary materials relating to the topics above can be inserted into the main VDP or attached as an annex.
 - Do not include meeting attendance lists

NOTE: VDP should not exceed 50 pages maximum. This includes photos and products of PSA/PRA exercise. The aim is to make the VDP concise while also documenting adequately the results of the village planning exercise.

121. **Project Activities Identified in the VDP for Eligible Funding under NCDDP.** The CF and TF will help the villages identify which project activities in the VDP are eligible for NCDDP funding.

122. The block grant is allocated to support specific sub-projects within a given village tract. Every village may not get a sub-project every year, and this must be explained and discussed with villagers during the first village meeting and subsequent planning meetings. Villages can collaborate on one joint sub-project, and very small villages are encouraged to cluster or collaborate with a larger nearby village in the same village tract. All villages in participating townships are encouraged to participate in at least 2 cycles of sub-projects.

123. **Minimum and Maximum Sizes for NCDDP Sub-projects.** There is no minimum size for a village sub-project in the first cycle in any township. In the second and subsequent cycles, the minimum size for a sub-project is 2,000,000 kyat. No one sub-project can cost more than either the annual village tract block grant allocation or 110,000,000 kyat, including funding from the village tract block grant, voluntary community contributions or from another funding source. Any sub-project costing 40,000,000 kyat or more must be approved by the DRD union office and receive a no objection from the World Bank. An exception of the maximum size of sub-projects can be sought from DRD with no objection from the World Bank in cases where two village tracts wish to work jointly on one sub-project.

124. For joint sub-projects implemented by more than one village, the villages will form one Inter Village Committee, with members from both villages, as well as the needed sub-committees. There should be equal representation from all villages, to manage the joint sub-project. The type of sub-project will influence this decision. The CFs and TFs should advise the villages on the pros and cons of joint sub-projects.

125. **Criteria for prioritization.** Criteria for prioritization of sub-projects include:

- (a) Number of beneficiaries (breadth of impact);
- (b) Number of poor and marginalized who will benefit;
- (c) Poverty impact including through local paid labor;
- (d) Urgency and immediacy of need;
- (e) Village capacity to implement the sub-project;
- (f) Village capacity to operate and maintain the infrastructure.

126. Villages are encouraged to contribute to the costs of their priority sub-projects, though it is understood that villages are poor and contributions may necessarily be limited. Contributions are voluntary. Under no circumstances should involuntary or forced labor be used. Donations can also be in-kind, such as labor, material, land, transportation services, etc. All in-kind contributions are to be documented carefully in form PC 4 and F6, Chapter 3. Any voluntary land donations must be recorded in Form PC 14, Chapter 3.

127. In the identification of sub-projects, other possible sources of funding should be taken into consideration, and care taken to make information available from the township as early as possible in the process regarding plans and budgets in order to avoid overlap, duplication or delays.

128. Sub-projects can be initially identified and proposed by men or women or men and women groups together. For sub-project selection, secret ballot will be used. Villagers should ensure that proposals originating from women are discussed fully. CFs and TFs must take special care to ensure this happens. Township-level Technical Assistance (TTA)'s reports will include information on gender and sub-projects identified by women and those that are funded.

129. Only eligible sub-projects (please see positive and negative lists below) included in the VDP can be funded by NCDDP. Others should be documented in the VDP to be considered for funding from other sources. For any township in its second or later cycle of NCDDP, the menu is open for all priority community infrastructure sub-projects as long as they are not on the negative list below.

130. Villagers should be encouraged to use the grievance handling system for any concerns, suggestions or complaints about the proposed village sub-projects.

131. **Free, prior and informed consultation.** If there is more than one ethnic and/or religious group present in the village, the CF conducts a free, prior and informed consultation to establish broad community support for the VDP and sub-projects to be proposed to the VTPSC. If one or more groups disagree with the proposed village sub-project(s), the CF and village volunteers will work with the village to revise the VDP or organize another village meeting to re-prioritize the proposals, as required. Disagreements and their resolution will be documented. Both the positive list and negative list of possible sub-projects should be consulted in this process. The CF prepares minutes of the consultation meeting and submits the minutes and final VDP to the VTPSC.

First Year Eligible Sub-projects (“Positive list”)

132. For communities in Cycle 1, sub-projects funded through NCDDP are limited to rehabilitation and renovation:

Table 2-1 : First Year Eligible Sub-Projects (Positive List)

Eligible Sub-project Categories		Clarifications and Limitations on Eligible Categories
1	Rural health centers	Rehabilitation or minor extension of existing facilities
2	School buildings	Rehabilitation or minor extension of existing facilities
3	Rural roads (roads connecting villages, and between villages and township)	Rehabilitation or maintenance of existing footpaths and roads within existing alignment; Rehabilitation or maintenance of small bridges and culverts
4	Rural water supply systems	Rehabilitation or minor extension of wells; rainwater harvesting; installation of minor pipelines from natural springs or surface water sources, which are not located on the mainstream of the Ayeyarwady River or on or along the Maykha and Malikha tributaries.
5	Rural electrification	Solar panel and charge station, pico hydro (<30kW), solar street lighting, biogas charge station, diesel generator (<20 kilovolt-amps), biomass generator (<15 kilovolt-amps), extending lamppost (road electrification)
6	Community recreation centers	Rehabilitation or minor extension of existing facilities, including for child care and telecommunications
7	Rural markets	Rehabilitation or minor extension of existing facilities
8	Small scale irrigation	Rehabilitation (<25 hectares, 62 acres)
9	Sanitation facility	Rehabilitation, minor extension or construction of public latrines, small scale wastewater treatment and waste disposal facilities, etc.
10	Jetty	Rehabilitation or minor extension of existing public facilities

Sub-projects not Eligible for Funding under NCDDP (“Negative List”)

133. During the second year of operation in a township, any type of community infrastructure sub-project is eligible for funding except in the following situations/conditions:

Table 2-2 : Sub-projects not Eligible for Funding under NCDDP (Negative List)

Sub-projects Not Eligible for Funding by NCDDP	
1	Sub-projects which are not included in the village tract development plan endorsed by the TPIC.
2	Sub-projects which exclude the poor, marginalized or otherwise vulnerable population groups.
3	Sub-projects which do not provide equal pay for equal work for women and men.
4	Sub-projects which require physical relocation or displacement of any villagers.
5	Sub-projects which include the payment of compensation for land or assets loss from the proceeds of the World Bank financing or other government sources.
6	Sub-projects which finance private goods, private livelihood activities, government offices or religious buildings.
7	Sub-projects which do not meet the required technical and quality specifications.
8	Sub-projects which have negative environmental or social impacts that are irreversible, create cumulative impacts and/or cannot be adequately mitigated.
9	Sub-projects which are financed, or scheduled to be financed, by the government or other development partners.
10	Sub-projects which contain the purchase or use of drugs, military equipment or other potentially dangerous materials and equipment, including chainsaws, pesticides; insecticides; herbicides; asbestos (including asbestos-containing materials); or other investments detrimental to the environment and livelihoods, including cultural resources.
11	Sub-projects which involve activities that cause or lead to child abuse, child labor exploitation or human trafficking. * No child under the age of 15 should work on the construction, rehabilitation or maintenance of a sub-project.
12	Sub-projects which involve activities that use forced labor
12	Sub-projects which finance the construction of any new dams or the rehabilitation of dams including structural and/or operational changes.
13	Sub-projects which use water from international waterways, including activities, such as community water supply, small-scale irrigation or pico-hydropower generation facilities, on the mainstream of the Ayeyarwaddy River. The project also will not finance community water supply and small-scale irrigation on or along the Maykha and Malikha tributaries of the Ayeyarwaddy River.
14	Any new construction and/or rehabilitation in protected areas, reserve forests (or proposed protected areas) or other natural habitats or areas of high national conservation level that could have the potential to cause significant conservation (loss) or degradation of such natural habitats unless specified as planned investments as part of the respective protected area management plan (where such a plan exists). Note: rehabilitation of existing infrastructure, which has been already developed (e.g. existing paths or tracks for tourism purposes) is possible if the respective sub-project is in line with the park development management plan, and subject to agreement of Union DRD .
16	Sub-projects which involve development of new settlements or expansion of existing settlements in critical habitats, protected areas or areas proposed for the national protection (e.g. reserved forest).

Sub-projects Not Eligible for Funding by NCDDP

Note: Where settlements already exist, proposals for funding should be in compliance with any local regulations on land management and other provisions of the protected area management plan.
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2.3 ELECTION OF VILLAGE COMMITTEE AND SUB-COMMITTEES

134. During the second village meeting, the CF and TF will explain again the roles of the: 1) Village Project Support Committee (VPSC), Village Tract Project Support Committee (VTPSC), and sub-committees and; 2) Village Volunteers, grievance focal points, and finance clerk. The CFs and TFs will also carefully explain the Code of Conduct (CoC) in Section 9.3, para. 330.

135. The key body at the village level is the VPSC. The VPSC is composed in equal parts of men and women and elects, from among its members, two chairpersons: one man and one woman. The two chairpersons of each VPSC will represent the village in the VTPSC. Villagers elect members of a VPSC, with equal membership between women and men. Secret ballot is the only method of election to be used, whether for establishing the VPSC or replacing members who have resigned or are no longer active.

136. For the information of all project stakeholders, the VTDSC (a government entity, not a NCDDP entity) was dissolved in June 2016.

137. Members of the VPSC and its sub-committees and village volunteers serve the community in a voluntary capacity. Therefore, they do not receive remuneration for their work. In addition, they must meet the following requirements and rules.

- (a) Members must have a high degree of integrity.
- (b) They must properly understand, sign and follow the Code of Conduct.
- (c) At least one of the members of each sub-committee should be able to read, write and numerate, as should the finance clerk.
- (d) At least one of the members of each sub-committee must be a woman
- (e) The chairpersons of the VPSC cannot be members of any sub-committee.
- (f) The chairpersons of the VPSC should be one man and one woman.

138. In Cycle 2 and subsequent cycles, the VPSCs do not necessarily need to be reconstituted. However, performance should be evaluated and members be replaced, if needed, based on feedback from the social audit each year. Committee members who choose to resign from their function should also be replaced.

139. In addition to electing the VPSC, villagers select one female and one male grievance focal point (who will serve as a point of contact for project-related grievances and serve on the village tract grievance committee) and a volunteer finance clerk (who will handle payments for sub-projects and serve on the village tract Finance Sub-Committee).

140. Villagers elect the finance clerk and grievance focal points by secret ballot.

141. Qualifications for grievance focal points and volunteer finance clerk include:

- (a) Anyone over the age of 18 years can be the village finance clerk or grievance focal point;
- (b) Village volunteers cannot be grievance focal points or the finance clerk;
- (c) It is an advantage if the volunteers, finance clerk, and grievance focal points are fluent in Myanmar language and in the predominant local language, though not required;
- (d) Village volunteers and grievance focal points as well as the finance clerk should be able to read and to write. It is important that the village finance clerk also be numerate.

142. Grievance focal points and finance clerks receive special training on their role in the community project cycle from the CF and the DRD township office.

143. Village volunteers, grievance focal points, and finance clerks do not receive remuneration for their work. However, they are supplied with the means to undertake the activities (e.g., stationary, simple equipment, etc.). Long-term motivation is in skills training, the use of simple equipment, and the opportunity for cross-visit to other project sites.

2.4 SUBSEQUENT VILLAGE DEVELOPMENT PLANS

144. **Objective.** The objective of the village meetings after the first cycle is to validate the contents of the VDP and assess if the VDP needs to be updated or changed. Villagers also confirm or re-elect committee members.

145. **Participants.** CFs will facilitate the meeting with the support of TFs and VVs. All villagers are invited including the village administrator. The meeting must have a quorum of: (i) at least 50% of the households resident in the village; (ii) at least 50% of ethnic group households resident in the village; and (iii) at least 50% representation from women. Facilitators should also encourage villagers from remote hamlets to attend the meetings. Where relevant, community members who are committee members on other projects should be encouraged to participate in the meeting.

146. **Duration.** Minimum half a day.

147. **Process:** At the beginning of a new annual cycle, the CF, TF and village volunteers organize a village meeting and focus group discussions as needed with:

- 1 Village leaders (formal and informal);
- 2 Women;
- 3 Occupational groups (farmers, fishermen, laborers, etc.);
- 4 Most vulnerable and poorest groups (e.g., disabled, elderly, landless);
- 5 Other groups present in the village, including any ethnic and or religious groups (separated by male and female if appropriate);
- 6 Committees of other project/programs should also be invited (e.g., MSY, SMU, etc).

148. The CF/TF and village volunteers ensure that the poor, ethnic and religious groups present in the village and young and elderly villagers are consulted in a free, prior and informed manner.

149. Villages are free to implement the PRA process again in subsequent cycles, contingent upon a community hand vote, in order to deepen the analysis and community engagement leading to an updated VDP.

150. Based on the existing VDP, the experience of the previous cycle, as well as the findings from the social audit and any technical and/or financial audits, the CF, TF and village volunteers:

- (a) Review the current VDP and Village Tract Development Plans (VTDP, see below);
- (b) Re-assess the current state of development in the village to see if the VDP and VTDP need updating as compared to the previous year. For example, if some earlier identified projects have already been supported through other resources (government or other), it should be noted in the new VDP. Also if natural disasters occurred during the year and impacted the prioritization of village needs, that change should also be taken into consideration;
- (c) Re-prioritize village sub-project proposals (with estimates of rehabilitation/investment and annualized operations and maintenance costs for a four-year period), as required.

151. **Criteria for Prioritization.** Criteria for prioritization are the same as the first cycle.

- (a) Number of beneficiaries (breadth of impact);
- (b) Number of those poor and marginalized who will benefit;
- (c) Poverty impact including through local paid labor;
- (d) Urgency and immediacy of need;
- (e) Village capacity to implement the sub-projects and operate and maintain the infrastructure.

152. If there are changes to the VDP, the CF conducts a free, prior and informed consultation with ethnic and/or religious groups in the village to establish their broad community support to revised priority issues, the revised VDP and sub-projects to be proposed to the VTPSC. If one or more groups disagree with the revised village sub-projects, the CF and village volunteers will work with the villagers to further revise the VDP or organize another village meeting to re-prioritize the proposals, as required.

153. The format of the updated VDP remains the same as in the first cycle. If another PRA process takes place, the updated supporting documents (maps, Venn diagrams, wealth rankings) should be attached to the VDP.

154. **Reconfirmation of Committee Members.** In Cycle 2 and subsequent cycles, VPSCs do not necessarily need to be reconstituted but performance should be evaluated and members replaced if necessary based on feedback from the previous cycle's social audit. The procedure for replacement of committee members is the same as for the initial election.

155. The CF prepares minutes of the meeting, assists the VPSC to finalize the updated VDP based on the agreement reached at the village meeting, and submits the minutes and updated VDP to the VTPSC.

2.5 VILLAGE TRACT PROJECT SUPPORT COMMITTEE MEETINGS

156. **Objective.** The purpose of the Village Tract Project Support Committee (VTPSC) meeting is to produce a Village Tract Development Plan (VTDP), which describes the vision, needs and development priorities of the villages in the Village Tract; and undertake a number of measures related to the VTDP as detailed below.

157. **Participants:** CFs and TFs, VTPSC members. All villages must be represented at the meeting by one man and one woman respectively. Committee members of other projects/programs should also be invited.

158. **Duration.** Half day to one day.

159. The VTPSC is the key project body at the village tract level. The VTPSC is composed of Village Project Support Committee (VPSC) heads.

160. The VTPSC will form a Finance Sub-Committee (FSC) to manage finances for the village tract, including the village tract bank account.

161. At its first meeting, the VTPSC elects two heads (one woman and one man) by secret ballot from among its members. In addition, at its first meeting the VTPSC forms a FSC, selecting from among its members three people (including at least one woman) to serve as the “core” FSC. The full FSC consists of this core plus the elected finance clerks from each village. The new block grant will be disbursed only after all sub-projects and social audits in a village tract are completely finished.

162. In the case where a Village Tract consists of only one village, the VPSC will be expanded to include the functions of the VTPSC.

163. **Formation of the FSC**

- (a) FSC members must have a high degree of integrity;
- (b) The Finance Clerk must be able to read, write, and be numerate;
- (c) The head of the VTPSC cannot be a member of the FSC.

164. Once the VTPSC has received the Village Development Plans (VDPs) from all villages in the tract, it meets, assisted by the CF, TF/engineer and village volunteers, to:

- (a) Review the VDPs;
- (b) Assess the village tract’s state of development, social composition, needs and priorities;
- (c) Agree on a four-year VTDP with a list of prioritized village sub-projects (with estimates of rehabilitation and annualized operations and maintenance costs for at least four years);
- (d) Review information provided on township plans and budgeted activities;
- (e) Ensure that its plan and the list of ranked sub-projects include eligible sub-projects to fully utilize the funding envelope available under NCDDP
- (f) Decide on the indicative allocation of the NCDDP block grant across sub-projects, recognizing that the total budget for all proposed priority sub-projects will usually exceed the annual block grant amount;

- (g) Address the needs of women, the poor, and ethnic and religious groups present in the village tract during the review of the VDPs;
- (h) Achieve synergy and economies of scale by consolidating inter-related or similar village level sub-projects so that one sub-project may cover more than one village within the village tract so long as the VTPSCs and the villages have agreed. The size of a joint sub-project of two village tracts cannot exceed 110,000,000 kyat in size, and any sub-project larger than 40,000,000 kyat must have the prior approval of the DRD union office and a NOL from the World Bank;
- (i) Ensure that sensitive matters related to prioritized sub-projects, such as voluntary land donations and environmental and social impacts, for example, are discussed and in order;
- (j) Estimate budgets for incidental expenses;
- (k) Each sub-project must be completed in one cycle. Sub-projects in future cycles can complement earlier sub-project types.

165. The CF and TF assist with the drafting of the VTDP based on the results of the VTPSC meeting and submit it to the VTPSC for review and approval. The VTDP includes:

- (a) Form PC4: Sub-project Selection Form, which lists all the sub-projects/villages to be funded out of NCDDP;
- (b) Village Development Plans for villages in the village tract (see earlier format).

2.6 TOWNSHIP PLANNING AND IMPLEMENTATION COMMITTEE REVIEW AND ENDORSEMENT

166. The VTPSC reviews and approves the VTDP and submits it to the Township Planning and Implementation Committees (TPIC) for endorsement for funding by NCDDP. The VTPSC also highlights to the TPIC other project activities, which are not eligible for funding by NCDDP but could be funded by other government programs or sources.

167. Any NCDDP sub-projects can be implemented with two or more funding sources as long as the implementation process is aligned with NCDDP guidelines/ processes. The TPIC will be requested to identify where possible other financing resources if any, including government budgets, for non-CDD activities proposed in VDPs.

168. The TPIC does one final review of the VTDP in relation existing sector plans and other known assistance from government and/or development partners to ensure that there is no duplication, overlap or contradictions with existing sector plans in the village tract. If agreeable, the TPIC endorses the VTDP.

169. In the case that there are prioritized sub-projects, which are already funded from other sources, the village sub-project(s) is excluded from NCDDP block grant funding and the next sub-project(s) on the prioritized list is then funded, subject to available funds in the block grant. Sub-projects can be implemented using two or more funding sources, but the implementation process should be in accordance with NCDDP guidelines/ processes.

170. In endorsing the VTDP, the TPIC also officially commits to covering the portion of operations and maintenance costs assigned to the township administration.

171. Following approval from the TPIC, the DRD township office informs the DRD union office regarding approved sub-projects. TPIC and DRD township office has the main responsibility to ensure that appropriate sectoral departments are aware of the operations and maintenance (O&M) implications of these village sub-projects. In the case of schools or health facility sub-projects, the relevant line ministries will be made explicitly aware to ensure service provision (e.g., teachers for schools and nurses/doctors for health facilities). If requested by the DRD township office, DRD union office can also assist to ensure that needed support for O&M is provided.

172. The DRD township CDD team should initiate a workshop with TPIC and other relevant township level agencies to discuss the necessary coordination and follow-up actions arising out of the development plans from all the villages.

173. The DRD township CDD team summarizes the VTDP in the township as input for planning by line departments and region/state governments. The VTPSC is informed about those sub-projects that can receive funding from other sources and informs the villages concerned. The DRD township CDD team also explains to the VTPSC the reasons for not prioritizing or not funding certain village sub-project proposals.

2.7 THIRD VILLAGE MEETING

174. **Objective.** The purpose of the third village meeting is for the VPSC to report back to villagers the endorsed VTDP and the decisions made about approved sub-projects funded through this year's block grant. The information will be posted publicly. Villagers are encouraged to hold a short meeting to inform directly to the households.

175. **Participants.** The VPSC will facilitate the meeting. All villagers are invited. The VPSC and village volunteers should encourage women, ethnic group households and villagers from remote hamlets to attend these meetings.

176. **Duration.** One to two hours.

177. **Process.** The VTPSC representatives of each village explain to villagers the decisions made at the village tract and TPIC levels. They explain which sub-projects were approved for funding this year. The reasons for not prioritizing or not funding certain village sub-project proposals are also explained. The VTPSC representatives verify support for the VTDP from women, ethnic and/or religious groups present in the village.

178. If serious complaints or concerns are raised at the meeting by villagers, ethnic minority groups or other vulnerable groups regarding the priority village sub-projects, the VTPSC will re-assess the priorities and can submit a revised Village Tract Development Plan to the TPIC for review and endorsement. Participants will be encouraged to register any concerns through the grievance handling mechanism in the event that there is not enough time or opportunity to raise concerns during this meeting.

179. Copies of the final VTDP, with indicative funding allocations and the block grant agreement, are made publicly available in Myanmar and relevant local language(s) at the

village tract office. A list of other sub-projects that are funded from other sources is also publicly displayed.

180. The VTPSC also prepares a summary of the endorsed VTDP in relevant local language(s), including the list of approved sub-projects with estimated budgets, for display on notice boards in all villages.

181. **Signing Block Grant Agreement.** The VTPSC members sign a block grant agreement with the DRD township office to commit to the fiduciary, safeguards and governance standards that apply to the implementation of all sub-projects. This step does not necessarily need to take place at a village meeting.

2.8 SUBSEQUENT VILLAGE TRACT DEVELOPMENT PLANS

182. **Objective.** The purpose of the VTPSC meetings after the First Cycle is to validate the contents of the VDPs/VTDPs and assess if they need to be updated or changed.

183. **Participants.** CFs/TFs. VTPSC members. All villages must be represented at the meeting by one man and one woman.

184. **Duration.** Half day to one day.

185. **Process.** For future cycles, once the VTPSC has received the revised VDPs from all villages in the village tract, with updated sub-project priorities, the VTPSC meets, assisted by CFs and TFs to review the revised VDPs.

186. Criteria and considerations for review are the same as for the First Cycle (see above sections).

187. The VTPSC approves the revised VTDP and submits it to the TPIC, indicating whether there are any changes, only minor changes or significant changes to the previous VTDP. A change in the sequence of village sub-projects is considered minor. Significant changes (e.g. a completely new sub-projects are included that were not in the previous VTDP) need to be explained and endorsed by the VTPSC.

188. The TPIC reviews the revised VTDP against existing sector plans and other known assistance from government and/or development partners. If there are no changes or the changes are minor, the TPIC will receive the VTDP for information only. If changes are significant, the TPIC will need to endorse the updated VTDP. In either case, the VTDP's introduction should indicate whether it reflects minor or significant changes compared to the previous plan, and explain any changes.

189. In endorsing the VTDP, the TPIC also commits to covering the portion of operations and maintenance costs assigned to the township administration.

190. The VTPSC reports back to villagers on any changes following review by the TPIC.

191. A new block grant cannot be disbursed to a VT in its second and subsequent cycles until: a) 80% of the money in the previous year's block grant was allocated to and spent on

approved sub-projects and b) all sub-projects and social audits within the VT from the previous year have been completed. Exceptions to these block grant disbursement conditions must be justified by township DRD, and require the endorsement of the Union DRD office. All such exceptions would have to be reported in township and Union progress reports.

3 SUB-PROJECT PREPARATION

3.1 VILLAGE SUB-PROJECT PREPARATION

192. Once the VTDP with its list of priority sub-projects is endorsed by the TPIC, the village can begin preparing its endorsed sub-project.

193. The VPSC holds a technical meeting with the CFs, TFs, village volunteers and township engineer.

For villages in their first cycle of Project implementation:

- (a) For a village sub-project in the first VTDP: confirm eligibility of the village sub-project (see lists of eligible village sub-project and lists of non-eligible village sub-projects in paragraphs 134 and 135 above) .
- (b) Adopt as necessary the relevant safeguard tool: Environmental Codes of Practice (ECoP) or Environmental Management Plan (EMP).
- (c) For sub-projects in Cycle 1, identify/verify 1) the number of beneficiaries, 2) a rough cost estimate for rehabilitation and operations and maintenance, and 3) the expected impact (including land/asset acquisition and local paid unskilled employment generation which should be maximized). All land and asset donations are voluntary. In the very unlikely case that involuntary acquisition of land or assets might be needed, the DRD union office must be informed and must inform the World Bank and seek advice prior to the sub-project being approved.
- (d) The TFs and the DRD township engineer schedule the survey and assist the community with the preparation of the proposal (design, budget etc.) for the sub-project.
- (e) Outline a work plan for implementing the village sub-project.

For villages in their 2nd cycle of Project implementation onwards:

- (a) Confirm that none of the criteria for disqualifying a village sub-project apply (see negative list, paragraph 135 above), and adopt if applicable the relevant ECoP or EMP.
- (b) All land and asset donations are voluntary. In the very unlikely case that involuntary acquisition of land or assets might be needed, the DRD union office must be informed and the DRD Union office must in turn inform the World Bank and seek advice prior to the sub-project being approved.
- (c) Discuss the design and options to implement the village sub-project(s) as well as 1) the number of beneficiaries, 2) a rough cost estimate (rehabilitation / investment and operations and maintenance), and 3) the expected impacts (including land / asset acquisition and local paid unskilled employment generation which should be maximized).

- (d) The TFs and the DRD township engineer schedule the survey and assist the community with the preparation of the proposal (design, budget etc.) for the sub-project.
- (e) Outline a work plan for implementing the village sub-project.

194. The CF records the conclusions in minutes of the meeting, which the head of the VPSC and the CF both sign.

195. The VPSC completes any required and applicable safeguards screening form with help from the TF and village volunteers (see safeguards screening form PC 13, Chapter 3). The TF along with the DRD township engineer ensures safeguards have been properly screened and mitigation measures planned, as needed.

196. The TF in consultation with the VPSC and village volunteers prepares an ECoP or EMP, as applicable.

197. The VPSC, village representative of the VTPSC and CFs/TFs discuss land/asset acquisition and any other impact on livelihoods with affected households, if applicable. The village sub-project is designed in such a way to avoid or minimize land/ asset acquisition and any other negative livelihood impacts.

198. The TF assists the VPSC to prepare the technical design and cost estimate of the village sub-project. Cost estimates should include local voluntary community contributions, including in-kind or cash. Current township unit cost tables (updated by TFs working with the DRD township engineer) are made available to assist with the preparation of the sub-project budget. After the completion of SP, revised estimates must be calculated, using the actual market price/costs, if the estimates are different from original detailed design and estimates. It should also reflect the actual/final community contribution and provide justification of any differences. It should be done before the Social Audit.

199. The TF and village volunteers prepare the sub-project proposal using the sub-project proposal format, including a design, bill of quantities, budget, procurement plan, etc., in accordance with (reference relevant forms)

200. The TF assists the community to prepare and collate the village sub-project proposal documentation.

201. Sub-project proposals should include the following items as attachments:

- (a) Safeguards screening form;
- (b) Voluntary land/asset donation letter, if applicable;
- (c) Procurement plan;
- (d) Civil works documents (bill of quantities, etc.);
- (e) Engineering and technical design, including any environmental and social survey/database/assessment, if available;
- (f) Labor (skilled and unskilled), machinery, material and tools requirements;
- (g) Implementation schedule and technical supervision plan;

- (h) Operation and maintenance (O&M) plan, including itemized and costed O&M inputs over three years; and
- (i) Sub-project budget.

202. The project has made standard designs available for sub-projects, and it is recommended these be used to the extent possible with necessary adjustment to local conditions.

203. Labor contributions on NCDDP sub-projects are paid from block grant resources. Villagers can also donate labor if they choose to do so. Men and women receive equal pay for equal work on all sub-projects financed by NCDDP (whether CFA or contracted out). Anyone in the village who wants to work on the sub-project can, as long as he or she is at least 15 years old. If many people want to work, the work needs to be spread among all who wish to work in a transparent and equitable manner that is publicly documented by the VPSC. Committee members and volunteers can work on sub-project construction and be paid for this work the same as other villagers. In special cases, such as when skilled labor(ers) is not available in the village, skilled labor(ers) can be hired from elsewhere and paid the local market wage rate. This must be included in the plan and budget of the sub-project. Hiring of skilled laborers and their wage payments must be overseen by the VPSC and its Procurement Sub-committee. Payments for labor should be made by the village finance clerk.

3.2 ENVIRONMENTAL CODES OF PRACTICE AND ENVIRONMENTAL MANAGEMENT PLANS

204. The project applies the Environmental Codes of Practice (ECoP) as the main environmental management tool to manage and mitigate potential negative environmental impacts for all sub-projects; the project also requires preparation and implementation of Environmental Management Plans (EMPs), as applicable for specific investments (details below). The ECoP and EMPs contain the specific, detailed and tangible measures to mitigate the potential impacts of each type of eligible sub-project. Additionally, the EMPs include selective feasible monitoring activities to observe the efficiency of the applied mitigation measures and ultimately the sustainability of investments. The ECoP and EMPs cover rehabilitation and minor extension works as well as new construction. The ECoP and EMP formats are specified in Chapter 3.

205. The ECoPs are utilized for all sub-projects with the exception of the below, which require preparation of an EMP with the assistance of TTA and/or DRD township CDD offices:

- (a) Any sub-projects that trigger the need for an EMP in the safeguards screening form (see PC13, Chapter 3);
- (b) Any bridges longer than ten (10) meters;
- (c) Any new construction of a deep well water,⁶ irrigation, water supply network, small-scale wastewater treatment facility or small scale solid waste management (including health waste) facility;
- (d) Any rehabilitation of historical buildings or infrastructure with cultural property;
- (e) Any sub-projects in protected areas;

⁶Deep wells are located at minimum 200 ft

- (f) Any sub-projects greater in value than MMK40,000,000 (including community contribution and/or other sources of financing).

3.2.1 ENVIRONMENTAL CODES OF PRACTICE

206. The Environmental Codes of Practice (ECoP) are prepared as follows:

- (a) The TF assists with the integration of the relevant code (environmental and social specifications) into the technical design of the respective sub-project.
- (b) S/he also focuses on explaining the use of ECoP to the VTPSC and VPSC and who is responsible for the adoption of the relevant code at the beginning of sub-project preparation.
- (c) The VPSC with the help of the TFs is responsible for ensuring that ECoP measures are implemented for each sub-project as agreed.
- (d) The DRD state and region as well as union offices monitor and support the application of the ECoP as necessary.

The ECoP are used throughout the project cycle as follows:

Table 2-3 : Steps for ECoP Preparation and Implementation

Steps	ECoP preparation, adoption, and implementation
Second Village Planning Meeting	When sub-projects begin to develop at the village level, the TF will introduce the ECoP as a “mitigation” tool (that is, a tool which will prevent negative environmental impacts of proposed sub-projects).
Sub-project Preparation	To strengthen the sub-project designs, the TF will ensure that the relevant sections of the ECoP are applied to the sub-project technical designs.
Sub-project Implementation	The TF, assisted by the DRD township engineer, will ensure the ECoP sections are followed by the CFA method or the Contractor. If by CFA, the community with the help of the TF is responsible for implementation of the ECoP plans. If by contractor, the contractor is responsible for the ECoP plan. The contract will specify the relevant tasks and responsibilities. Supervision of the ECoP plan will be done by the VPSC, with the help of the TF and the DRD township Engineer.
Operations and Maintenance (O&M)	The TF and the DRD township engineer will provide support to the village O&M Sub-Committee to closely follow the ECoP once works on the sub-projects are finalized. Relevant line agencies (Ministry of Health; Ministry of Environmental Conservation and Forestry) will provide support as required in accordance with national legislation.

207. The DRD township office monitors the implementation of ECoP and reports on this in its quarterly progress report for inclusion in the MIS.

208. Social audits and technical audits review the implementation of the ECoP.

209. The DRD union office reports on the adoption and implementation of the ECoP in its annual progress report. This report contains an analysis of the application of this environmental management tool, including issue(s) that have arisen and/or problem(s) encountered and measures or actions undertaken in solving the problem(s).

210. The DRD union office updates the list of eligible sub-projects in the ECoP to cover any additional types of sub-projects, as required.

3.2.2 ENVIRONMENTAL MANAGEMENT PLAN

211. An Environmental Management Plan (EMP) is prepared, if required in accordance with paragraphs 206-7 above, and includes the following information (see EMP format):

- (a) Potential adverse impacts: identify and summarize the anticipated adverse effects;
- (b) Mitigation measures: describe each measure with reference to the impact(s) it is intended to deal with. As needed, describe detailed plans, designs, equipment descriptions, and operating procedures;
- (c) Monitoring activities: identify what information (environmental impact indicator) will be collected, how, where and how often in order to identify any adverse impacts during and/or after sub-project implementation; determine how effective the mitigation measures are, and if better mitigation or additional investigation of effects may be needed. These activities use simple methods (visual observations and/or tests) that the villagers can undertake themselves;
- (d) Responsibilities: define the people/groups who will carry out the mitigation and monitoring activities, as well as to whom they report;
- (e) Implementation schedule: specify the timing, frequency and duration of monitoring activities, and links these to the implementation schedule of the sub-project. Also indicate if there is need of training to carry out EMP responsibilities, equipment or supplies;
- (f) Cost estimate: specify the estimated cost for the mitigation measures and monitoring activities. Funds to implement the EMP may come from the sub-project grant, the community, or both.

212. The DRD township office monitors the implementation of any EMP in its quarterly progress report for inclusion in the MIS.

213. Social audits and technical audits review the implementation of any EMP.

214. The DRD union office reports on the implementation of EMP in its annual progress report. The report contains an analysis of the application of this environmental management tool, including issue(s) or problem(s) in the field and measures or actions undertaken in solving the problem(s).

3.2.3 PHYSICAL CULTURAL RESOURCES (PCR) MANAGEMENT PLAN

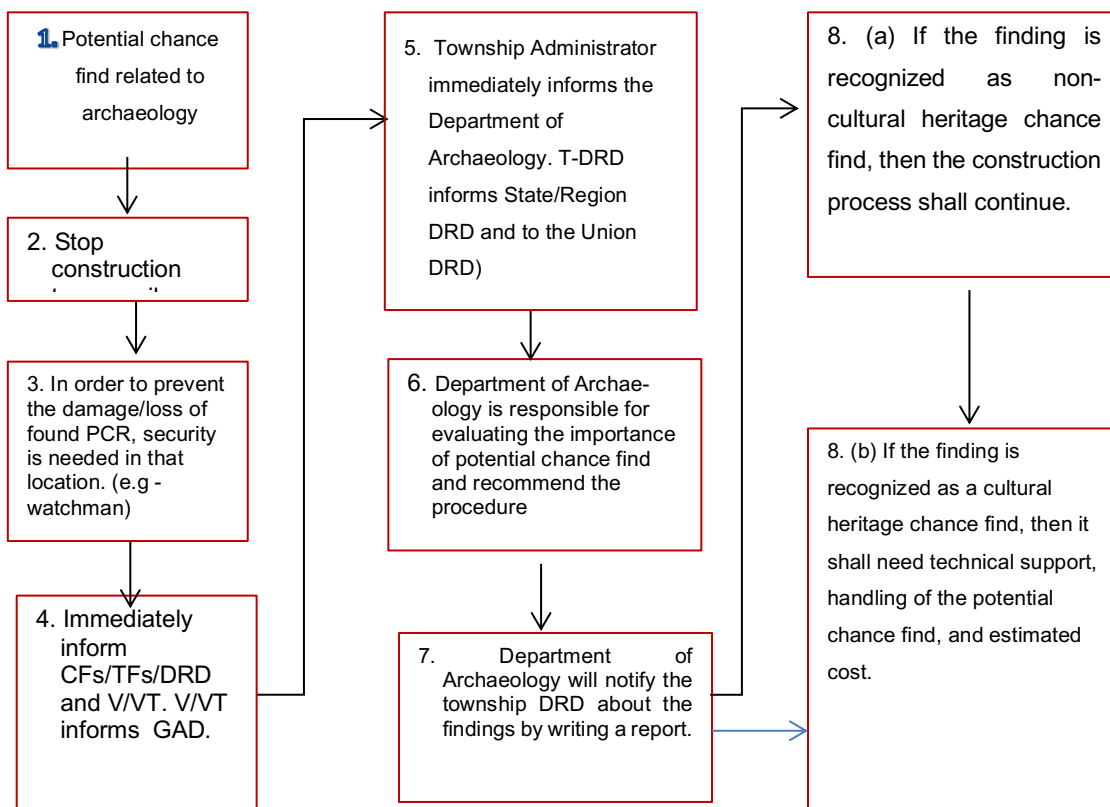
215. In Myanmar, 47 cultural regions through the whole country have been identified by the Ministry of Culture. If NCDDP is operating in one of those cultural regions, the potential impact of sub-projects implementation on ancient cultural heritages needs to be considered, and addressed in a PCR management plan. List of sub-projects within protected/ ancient/

cultural zone have to be submitted to concerned government authorities (Archaeology Department under the Ministry of Culture; in Myanmar) before sub-project implementation, and letters of permission to go ahead need to be received. DRD and TTA team also need to follow the rules and regulations specified by authorized department, laws and bylaws, as well as periodic instructions through the implementation period.

216. Technical Facilitators need to use environmental assessment (EA) or equivalent process to identify PCR and prevent, minimize or compensate for adverse impacts, and enhance positive impacts on PCR through site selection and design. As part of EA, field based surveys should be conducted as appropriate with the help of qualified specialists.

217. Chance find: For materials that may be discovered during project implementation, provide for the use of “chance find” procedures in the context of the PCR Management Plan (see Figure 1 below). For preparing the PCR Management Plan, the existing Environmental Management Plan (EMP) template can be used.

Figure 2-2: Indicative Procedure for Chance Find



3.3 VOLUNTARY LAND/ASSET DONATION

218. Community members who benefit from a sub-project may donate land and other private assets to the sub-project voluntarily without compensation. Voluntary donation is an act of informed consent and affected people must not be forced to donate land or other assets with coercion or under duress, or be misled to believe that they are obliged to do so.

219. If during the first step of sub-project preparation, the VPSC confirms that the village sub-project requires acquisition of land or assets, the VPSC, village representative of the VTPSC, CFs/TFs and village volunteers meet the affected household(s) to:

- (a) Inform the husband and wife that part of their land or other asset would need to be acquired for the sub-project;
- (b) Inform them that they have the right to refuse to donate and may instead receive compensation at replacement cost though compensation cannot be paid from the block grant or by the Government;
- (c) Inform them that a grievance handling system is available to them through which they can also express their unwillingness to donate;
- (d) Discuss measures to avoid or minimize impact through adjusting the village sub-project design;
- (e) Ask them whether they willingly agree to donate land or other assets without compensation. If they do not give their consent, confirm that the village is able to compensate with an acceptable amount;
- (f) Confirm with the household that the following criteria are met:
 - (1) The household is a direct beneficiary of the sub-project;
 - (2) If the predominant source of livelihood for the household is land-based (e.g., farming):
 - The total size of productive land owned by the household is more than 300m²;
 - The impact is less than five percent of the total productive land owned by the household;
 - The impact on assets or personal investments (e.g., buildings, barns, standing crops, vegetables, fruit trees, etc.) is less than five percent of the total assets owned or expected income from such investments.
 - (3) If the predominant source of livelihood for the household is non-land based (e.g., trade, commerce, wage labor, etc.):
 - The household owns the land;
 - The remaining land is sufficient for the household to continue to live in the current location or carry out any activities that have been undertaken on the land;
 - The impact on assets or personal investments (e.g. shops, storage, trees, structures, etc.) is less than five percent of the total assets owned or expected income from such investments;

- The household does not have to be physically relocated.

220. If the household agrees to donate land or assets voluntarily, the head of the VPSC and both the husband and wife sign the minutes and voluntary asset donation form in two originals.

- (a) The household keeps one original, signed form.
- (b) The CF ensures that the second original voluntary donation form and minutes are filed.

221. The VTPSC receives sub-project files upon completion of the sub-project and keeps these, including the form for voluntary land/asset donation, for review by DRD and the World Bank.

- (a) Information is also entered into the MIS.
- (b) The DRD township office reviews the first two sub-projects in each village tract (Cycle 1) that require voluntary donations and clears them prior to implementation.

222. Then implementation of the sub-project may commence.

- (a) The Monitoring Sub-Committee consults with the affected household(s) and reports on the implementation of voluntary donations in the monthly progress report.
- (b) As part of its supervision responsibilities, the DRD township as well as state/regional offices interview villagers randomly to verify whether voluntary donations have been carried out properly.
- (c) Any significant shortcomings with the implementation of voluntary donations identified by DRD township offices and/or state/regional offices must be reported in quarterly reports.
- (d) Villagers, committee members and Project staff may also report any shortcomings with the implementation of voluntary donations handled through the grievance handling system.

223. The annual social audit reviews the experience with voluntary donations undertaken during the completed cycle.

4 SUB-PROJECT CONSULTATION AND PROPOSAL REVIEW

4.1 FOURTH VILLAGE MEETING (AT SUB-PROJECT SITE)

224. **Objective.** Consultation with villagers to ensure quality and acceptance of the sub-project before starting construction works

225. **Participants.** The VPSC should organize this meeting with the help of VTPSC, CFs/TFs, and village volunteers. All village members are invited. If the CF/TF cannot present in later community meetings, the VVs should assist the VTPSC/VPSC in preparing the meeting minutes.

226. **Duration.** At least half day.

227. **Process.** The VPSC should organize a consultation at the village sub-project site for villagers, with the VTPSC, CFs/TFs and village volunteers:

- (a) The VPSC presents the final sub-project documentation, including the draft design.
- (b) The VPSC seeks inputs from villagers regarding whether or not all potential negative impacts are adequately covered and mitigated and whether further fine-tuning may be possible to enhance positive benefits.
- (c) The VPSC confirms with villagers that adequate measures are incorporated in the design to meet the special needs of affected people and the poor.
- (d) The VPSC confirms with villagers the voluntary village contributions to the sub-project.
- (e) The VPSC informs the community of estimated O&M costs, including both routine and periodic maintenance, and the scope of the sub-project's positive benefits.
- (f) The VPSC verifies villagers' continued interest in the selected sub-project and commitment to O&M after completion, including the payment of user fees, as necessary.

228. The CF assists the VPSC to prepare minutes of the consultation, which the head of the VPSC and the any representatives of the VTPSC present both sign along with the CF. If the CF cannot be present in later community meetings, the VVs assist the VTPSC/VPSC for preparing of minutes.

229. The VPSC and TF with the help of village volunteers incorporate inputs from villagers in the final village sub-project documentation.

230. The VPSC submits the final sub-project documentation to the VTPSC.

4.2 VILLAGE TRACT PROJECT SUPPORT COMMITTEE REVIEW OF SUB-PROJECT PROPOSALS

231. The VTPSC reviews the village sub-project documentation using the sub-project proposal review form and approves the final sub-project and its budget.

- (a) If the VTPSC considers the documentation incomplete, it requests the VPSC to complete it as needed.
- (b) The VTPSC may request assistance from the relevant line ministry township staff (through the DRD township office) to assess the technical feasibility and appropriateness of the sub-project.
- (c) The CF records the approval of the VTPSC in the minutes of the VTPSC review meeting.

232. The VTPSC may have selected a sub-project from its financing plan and annual block grant allocation that benefits directly more than one of its villages. In this case, the TF prepares the sub-project in consultation with the respective village representatives of the VTPSC, VPSC, and village volunteers. The sub-project preparation steps described above apply, as relevant.

233. A sub-project may cover more than one village tract within the township in exceptional cases. In such cases:

- a) The VTPSCs agree the apportionment of the sub-project cost between their annual tract allocations. No one sub-project can cost more than either the annual village tract block grant allocation or 110,000,000 kyat, including funding from the village tract block grant, voluntary community contributions or from another funding source. Any sub-project costing 40,000,000 kyat or more must be approved by the DRD union office and receive a NOL from the World Bank. An exception of the maximum size of sub-projects can be sought from DRD with no objection from the World Bank in cases where two village tracts wish to work jointly on one sub-project.
- b) In case of a dispute, the TPIC supports the VTPSC in reaching a mutually agreeable solution.
- c) The TFs and village volunteers of all villages involved assist the relevant VPSCs in preparing the sub-project documentation.

234. The CFs and especially the TFs will be assisting villages with procurement and construction supervision. CFs/TFs need to stay overnight in villages and are often “hosted” by local families. This is often necessary and is encouraged. In order to lessen the burden on the CFs/TFs and these host families, a per diem of 3,000 kyat per night is provided to each CF or TF when he or she spends the night outside his or her duty station in a village from which it is not feasible to return to his or her duty station on the same day.

5 SUB-PROJECT IMPLEMENTATION

235. As part of the preparation for the sub-project implementation, the Training of Facilitators Course Part 2 (TOF2) is provided at township level. The TOF2 is followed by a two-day-community training provided to all elected community members. Besides the operations manual, there is a Community Management Team (CMT) training manual that serves as basic training material.

5.1 COMMUNITY PROCUREMENT

236. Community procurement refers to procurement led by communities and includes the purchasing of construction materials, management of the transportation of goods, hiring of labor and/or labor contractor, contracting and contract management, with assistance from CFs and TFs. All of this must be implemented in line with the procurement policy of transparency, fairness, cost effectiveness and collaboration to achieve the project objective of self-implementation by the community at the best price for qualified goods and services. VPSCs should not start sub-project implementation prior to TOF2/CMT, to ensure that NCDDP procurement requirements are understood by VPSCs before procurement activities begin.

5.1.1 PROCUREMENT SUB-COMMITTEE AND ITS RESPONSIBILITIES

240. The PSC should be made up of at least three members, including at least one woman and one man and one head. One committee member, who is able to read and write, should be appointed as record keeper. If one sub-project includes more than one village, there should be

a total of five sub-committee members, with equal representation from each village, but with a single record-keeper and head, and three other members. The responsibilities of the PSC are as follows:

- a) Drafting the procurement plan, taking into account engineer's estimates and assistance from the TF;
- b) Using quotation forms, collect price for goods, evaluate, and select the best;
- c) Procurement of goods, management of goods transportation, hiring of skilled /normal labor and labor contractors, and contractors, and overall contract management ;are original procurement document file after each sub-project completion.
- d) Recording and filing the meeting minutes relating to procurement.
- e) Documentation: i) filing all documents relating to procurement; and ii) sending of copies to head of the DRD township office after completion of each sub-project with assistance of CF; the copy should be kept until 2021.

5.1.2 PROCUREMENT METHODS

2.4.1 The community procurement process falls into three categories :

- a) Procurement of Goods
- b) Community Force Account
- c) Procurement of Contractor

For procuring of construction materials and hiring of services, the PSC must use the shopping method, and direct contracting or single source selection method.

The shopping method involves obtaining at least three (3) price quotations from a supplier (if goods), contractor (if construction), or services contractor, and is suitable for ready made or standard goods, or small construction works.

Direct contracting or single source selection (with no shopping method) involves procuring of goods and materials from one source, and procuring again from that shop or supplier for additional needed goods and materials. The PSC should keep written records of the justification for selecting direct contracting method in those cases. In the case where additional goods of similar type are required, the PSC can make direct purchasing for 10% value of each item, or total cost from the original winning supplier.

5.1.3 PROCUREMENT STEPS

2.4.2 **Meeting minutes of procurement method selection (Form P1)** – Community should collaborate at the procurement method selection meeting and record the meeting minutes.

2.4.3 **Procurement Plan (Form P2)** – The Procurement Plan is simply a plan laying out procedures for correct procurement of goods, contractors, and labor. Village Procurement Committee members must draw up the Procurement Plan with the assistance of township DRD engineers, TFs and CFs. Generally, the PP includes the type or category of skilled labor and goods, estimate of costs, possible commencement date and procurement method. Type, specifications and quantity of goods are obtained from the BoQ calculations done by the engineer. The PP can be updated as needed, depending on the nature of the work and

availability of construction materials, as long as it does not deviate from the engineer's BOQ estimate. It is not permitted to purchase major civil works materials not listed in (Form P2).. The Procurement Plan (Form P2) should be attached to the procurement file.

2.4.4 Invitation for Quotation (Form P3) –Form P3 must include specifications and quantity of goods and services, or specifications of civil works with date of completion and location. It should be based on items from the Procurement Plan, and advertised on the village information boards (2) weeks prior to opening the proposal. If contracting is the agreed procurement method, in addition to specifications there should be attached any drawings of building/ road/ bridge designed by TFs. For procurement of construction materials or services between MMK 10-100 million, the invitation for quotation should be advertised not only on the project information board, but also in the administrative office and DRD information board 2 weeks prior to opening.

The invitation for quotation and associated procurement items are specified in Form P3 and sent to suppliers. Inquiries regarding the price of goods can be made by direct visit to the intended suppliers. At least three (3) suppliers should be invited. If three (3) suppliers cannot be found, invitation can be made directly to a single supplier by keeping a written record of the justification of single sourcing. Suppliers must be informed to submit their quotation before the deadline. Members of PSC or evaluation team are not eligible to provide quotations. The quotation should be advertised on the village information board. The procurement item specification should be generic. It should not refer to brand name, model, country of origin or other specific remarks to favor a specific brand.

2.4.5 Quotation Evaluation (Form P4) – The PSC takes the lead in the opening of the quotation, and invites the committee members and interested persons to attend the opening. The name of each supplier and their quoted prices must be announced. Late submitted or unqualified tenders are not considered.

PSC must evaluate the received quotations with regard to quality and other services in line with project needs. After comparison of proposed prices, the lowest price quotation will be selected.. If the PSC does not choose the lowest priced proposal, the reason for such should be given at item No-3 in Form F4. The winner's data should be entered in the "Purchase Order" Form P5 or "Contract" Form P6. A copy of the Quotation Evaluation record data should be displayed on the village information board.

2.4.6 Purchase Order (Form P5) – The purchase order is a contract for the procurement of goods and services for NCDDP. The PSC must send the purchase order to the winning supplier within a week. The PSC can order the goods included in the quotation form or proposal, but goods not included in the winning proposal cannot be included in the purchase order. If the PSC wants to order the goods in a batch, it should be based on price of each item for the required amount. When the quantity and price of goods in purchase order is approved, the PSC can receive a cash advance from the Finance Sub-Committee if necessary, according to the purchase order's value.

If any cause should arise to decrease the purchase order (e.g. dispute between parties or late distribution by supplier), the PSC may send a letter to the supplier through CFs/TFs, cancelling the purchase order.

Translation of the purchase order into ethnic language Form P5 is to permit easy understanding by local ethnic residents. However, the Myanmar language Form P5 is the legal instrument, and must be signed and affixed with a stamp. PSC must post a copy of the purchase order with affixed stamps on the village information board.

2.4.7 Community Force Account Expenditure Form P7

Community force account expenditure Form P7 includes details of the total value of goods, wages, hiring of machinery and other costs of each sub-project. After completing the form, the chairman of VPSC and PSC have to sign and approve Form P7, and send it to FSC. For transparency, a copy of the form and receipt should be posted on the project information board.

5.1.4 COMMUNITY FORCE ACCOUNT

248. The Community Force Account (CFA) procedure means community management of the whole or parts of sub-project implementation. In CFA, the community takes responsibility for the successful completion of the sub-project and the proper use of funds. The CFA method is encouraged in the NCDDP as much as possible in order to maximize community ownership, community learning, and also generate as many income-generating opportunities as possible for community labor. The DRD township engineer and TF must check the adequacy of construction materials, technical skills, and labor. The DRD township engineer and TFs have to approve and sign Form P1 for completeness of terms and conditions in CFA whenever the community chooses the CFA method.

249. In implementation of the CFA method, the community has the duty of purchasing and collecting construction materials with assistance from the Technical Facilitator. In this activity, the community has to use the shopping method to ensure transparency. Payment vouchers should be kept, and the PSC should work with the Finance Sub-Committee in making preparations for the financial audit. In implementation of CFA method, the PSC has to complete Form P7 for expenditure of goods after finishing the procurement of every item. Since the budget included in the PP is estimated, it will usually differ from the actual expenditure.

5.1.5 CONTRACTING

250. Contracting means that sub-project implementation is done by hiring an outside contractor for a fee, for the whole or part of sub-project implementation. The term contractor means an individual, company, or group of skilled laborers, such as carpenters and masons. Contractors can also choose to employ villagers, where appropriate. The PSC decides the procurement method by comparing the lump sum cost of a small-scale contractor or group of skilled laborers, and daily wages of labor with inputs and assistance from the TF. If the community is not capable of full or partial implementation of sub-project construction, Form P1 must provide details about the contracting option, with cost estimates provided by the engineer and TF

251. For transparency in contracting, the PSC must use the competition system for selection of contractors, using Form P2 and P3. In this system there must be at least three (3) candidate groups/suppliers. However, the competition system can be waived, if there are no candidates for contracting, and the proposed price does not exceed the engineer's estimate or local market price. In this case, the PSC can choose one or more contractors with the

appropriate budget without using the competition system. The reason for using contracting method without competition should be explained in Form P4. Criteria for selection of contractor or skilled labor include relevant work experience, trustworthiness, and technical skills.

252. To procure the qualified contractor and skilled groups, the PSC advertises using Form P3 "Invitation for Quotation" or informs the respective groups. At least one week should be allowed as a deadline to receive all proposals, which have to be evaluated by consensus using Form P4. Criteria for selection of contractor or skilled labor include relevant work experience, trustworthiness, and technical skills.

253. After the evaluation, the PSC has to prepare terms and conditions with guidance from the TF based on the type of sub-project, inform the winner, negotiate the terms and conditions of the agreement, including scope and nature of the work, and sign a contract. The scope of work and quantities agreed in the final contract should not exceed the engineer's estimates. If the contract exceeds the engineer's estimates, the PSC must inform the DRD township office via facilitators and request approval from the DRD NCDDP township engineer.

254. In the case of contracts for small works, Form P6 shall be used. Responsible persons of both parties and each witness have to sign the agreement. If additional information is required for inclusion in the agreement, one or more clauses will be added under the main agreement, or attached as a separate sheet. Members of the PSC or the evaluation team, or any of their relatives, are ineligible to compete in contracting.

Translation of contract Form P5 into an ethnic language Form P5 is only for the purpose of better understanding by local ethnic residents. However, the Myanmar language Form P5 is the legal form, and must signed and affixed with a stamp. PSC must post without fail the copy of contract signed by two parties at the village information board.

5.1.6 DISCLOSURE/TRANSPARENCY ARRANGEMENTS

255. Community procurement and finance activities are subject to the NCDDP principles of transparency and disclosure as follows:

- (a) The FSC posts a) monthly summary statements of the incidental/ administrative expenses on village tract and on village notice boards and b) forms F3, F6, F7.
- (b) The PSC posts:
 - a. details of tender awards, including : i) Form P4 (list of proposals received in order of price, starting with the lowest price; reasons, if any for not selecting lowest prices proposal) ii) procurement meeting minutes with discussion points of participants.
 - b. Copy of contracts with suppliers.
 - c. Copy of written price quotations
 - d. Invoices/vouchers during construction process
- (c) During construction, PSC posts weekly information on CFA labour days and wages.

5.2 FINANCIAL MANAGEMENT

256. The village tract “core” Finance Sub-Committee(FSC) consists of three members: head, bookkeeper, and another member.

- (a) The head and bookkeeper of the FSC should be able to read and write and the bookkeeper must be numerate.
- (b) The head of the FSC is elected by the Village Tract Project Support Committee (VTPSC).
- (c) The bookkeeper is nominated by the VTPSC.
- (d) Each VPSC also selects a financial clerk who can read and write and is trusted by the villagers, and these finance clerks are also members of the FSC.
- (e) The FSC balances the village tract accounts, including transactions on all village sub-projects, monthly.
- (f) The bookkeeper records all transactions on block grants.
- (g) As much as possible, the FSC/village finance clerks make cash payments (e.g., to laborers) on the same day that funds are withdrawn and cash received.
- (h) All cash transactions/payments by the FSC/finance clerks must be witnessed by members of the VTPSC or Village Project Support Committee (VPSC).
- (i) The head of the FSC informs the VTPSC and village tract administrator in advance of large cash transactions.

257. The FSC opens an account at a local bank (Cycle 1 only).

- (a) Authorized signatories are the two heads of the VTPSC, the head of the FSC and one other member of the VTPSC.
- (b) Withdrawals require two out of the four above signatures. .

258. The FSC makes all sub-project related payments to the VPSC and usually to its finance clerk related to village sub-projects.

- (a) Contracts are signed by the head of the VPSC and the head of the Village Procurement Sub-Committee (PSC)
- (b) Contracts include a payment schedule.
- (c) The head of the PSC authorizes payments according to the sub-project plan and any implementation/payment schedule, including for laborers.
 - (1) The finance clerk verifies and makes payments according to the payment schedule and budgeted amounts.
 - (2) If a sub-project benefits directly more than one of the village tract villages, the heads of the VPSCs of the benefiting villages jointly authorize payments.

259. The FSC holds petty cash for incidental expenses (calculation and use block grants).

- (a) The FSC will make arrangements to withdraw the eligible percentage of the block grant in advance.
- (b) It keeps petty cash in a safe place.
- (c) It keeps receipts for all petty cash transactions.

- (d) It does a petty cash count weekly (spot checks of petty cash can be carried out at any time, by the DRD, the TTA team, the Union TA team or the World Bank).

260. The FSC prepares a financial report, and the VTPSC submits it to the DRD township office along with its regular periodic report. The FSC posts a copy of the monthly financial report on the village tract notice board and in other locations in villages, as appropriate.

261. Copies of all supporting planning and sub-project documentation are provided to the DRD township office (through the VTPSC) at the end of each annual cycle. During a cycle only those few documents, which must be approved at the township level before moving to the next step are submitted earlier.

5.3 MONITORING AND SUPERVISION

262. Based on the village sub-project work plan outlined at the initial technical meeting, the Village Monitoring Sub-Committee (MSC) monitors progress in implementing the village sub-project. If a village sub-project benefits directly more than one village or covers more than one village tract within a township, MSCs of the benefiting villages will jointly monitor implementation progress.

263. During construction, the MSC periodically reviews actual vs. planned activities at a sub-project monitoring meeting. Wherever possible, these are attended by the CF and/or TF.

- (a) The MSC also monitors progress in implementing any environmental and social mitigation measures.
- (b) Monitoring reports are publicly displayed on the village notice board.

264. The VTPSC prepares a monthly consolidated report for all village sub-projects under implementation and submits it to the DRD township M&E officer.

265. In addition to the MSC meetings, the MSC should organize a village monitoring meeting with the assistance of the village volunteers about every two months or when major milestones have been achieved.

- (a) Every effort is made to ensure that as many villagers as possible attend these monitoring meetings.
- (b) Grievance focal points should attend all of these meetings.
- (c) The MSC updates villagers on all aspects of implementation progress (procurement activities, percent of works undertaken, number of person days of work and wages paid, expenses to date and cash on hand, women's involvement, safeguards and mitigation measures, etc.).
- (d) Villagers are given the opportunity to discuss progress and raise any concerns they may have regarding village sub-project implementation.

266. The DRD township engineer, DRD state/region engineers, DRD M&E officers, TTA team and NCDDP facilitators regularly monitor sub-projects. The DRD township engineer and DRD township M&E officer undertake regular supervision visits to the village sub-

project sites. They will prepare and post a brief note to the file after completion of every visit, using a standard table/matrix format.

- (a) Visits are scheduled taking account of the village sub-project implementation schedule and work plan.
- (b) Visits serve to review progress in implementing the village sub-project and any environmental and social mitigation measures, and to make recommendations/suggest potential solutions to problems faced.
- (c) The DRD township M&E officer incorporates the findings from the supervision visits into the quarterly township progress report. Brief summary on safeguards management implementation (e.g. on ECoP or EMP supervision) should be included in these quarterly progress reports.
- (d) The DRD township engineer undertakes additional visits to advise the VPSCs on technical issues including safeguards management aspects, as requested.

267. The DRD union office staff and relevant Union-level Technical Assistance (UTA) consultants undertake regular supervision and monitoring visits to townships, village tracts and village sub-project sites.

- (a) Visits serve to assess project implementation progress across the village tracts in a township.
- (b) The DRD union office endeavors to ensure that experiences from other townships are shared in order to enhance implementation quality.
- (c) The DRD union office staff and UTA consultants provide technical support to the DRD township office staff and VTPSCs, as needed.

268. In cases where physical injuries are sustained by community members during construction carried out on NCDDP sub-projects, medical costs can be covered from administrative portion of block grant. Costs above 100,000 MMK are to be reported to the DRD union through the DRD township by the VTPSC, for their awareness and to allow them to top up the block grant if necessary. Any such cases should be reported in the Project's quarterly reports.

6 SUB-PROJECT CLOSING

269. Sub-projects can be closed for two reasons: 1) the successful completion of activities; or 2) the termination of activities due to force majeure or breach of contract. The procedures for sub-project closeout vary accordingly.

6.1 SUCCESSFUL COMPLETION OF SUB-PROJECT ACTIVITIES

270. The VPSC informs the VTPSC immediately upon sub-project completion that the sub-project activities have been carried out. Completion means that the sub-project has been constructed according to the design and the funds allocated have been utilized for this purpose and the appropriate finance (F6) and inspection completion forms (PC6) have been completed and submitted. Though the target is for all sub-projects to be completed by the end of June of each year, there may be delays in some cases, especially when block grants are disbursed later than March and/or in cases of natural disaster or in townships affected by

conflict or insecurity. During village planning and during sub-project preparation and design, villagers must deliberate and decide if they can complete their sub-project before the beginning of the rainy season. Each sub-project proposal includes an implementation schedule.

271. Villagers, who plan to complete construction after the end of the rainy season, can do so without penalty. Townships are allowed flexibility with scheduling. The early steps of the following cycle might have to begin while some villages are still completing its sub-project. No village should feel pressured to carry out construction during the rainy season. Construction during the rainy season involves greater risks to the quality of construction, increased costs for materials, and sometimes even increased safety concerns. A grievance can be filed if it is felt that undue pressure is being exerted to rush sub-project construction.

272. The VPSC, village volunteers, VTPSC and TF conduct a sub-project site visit to verify that all sub-project activities have been carried out as agreed to, in line with the approved design, or amended during the course of the sub-project.

- (a) The MSC completes a sub-project final inspection form upon completion of the meeting.
- (b) The VPSC signs the sub-project final inspection form (PC 6).

273. Within 15 days of the final inspection, the FSC with the village finance clerk and the VPSC prepare a final financial report indicating the total amount of funds received and expended on the sub-project.

274. The VTPSC submits the final financial report and sub-project final inspection form to the DRD township office for the sub-projects constructed in the village tract in the year in question. When all sub-projects are constructed/completed, the village tract can move on to the final steps of the cycle, to the social audit.

- (a) The DRD township finance officer verifies that the funds accounted for by the FSC are consistent with the approved village sub-project budget.
- (b) The DRD township M&E officer enters the sub-project final inspection form into the MIS and includes information in the upcoming implementation progress report.

275. After the union level multi-stakeholder review, at the completion of the cycle, the DRD union office will prepare a hand-over note and send it to all relevant departments with key findings and recommendations.

6.2 SUSPENSION AND TERMINATION OF SUB-PROJECT ACTIVITIES

276. The VTPSC may close a sub-project in exceptional circumstances when a condition of force majeure arises or if a material breach of contract takes place in sub-projects that are contracted out. Procedures and specific actions related to suspension or termination are included in the contract that the VPSC signs with the contractor.

277. If force majeure, deterioration in the security situation, or material breach of contract arises, the VTPSC and VPSC assisted by the TF and village volunteers assist with resolving

the situation, determining the corrective actions needed and a timeframe for resolving the problem.

- (a) The VTPSC consults the township engineer on proposed corrective actions.
- (b) The VTPSC oversees any amendments to the contract, implementation schedule or other sub-project documents.
 - (1) The VPSC completes and the TF co-signs a sub-project amendment.
 - (2) The MSC monitors and reports on the implementation of the corrective actions.

278. If the situation is too severe or the corrective actions are ineffective, the sub-project may be suspended or terminated.

- (a) The VTPSC consults with the Technical Facilitator on whether the objective of the sub-project can still be achieved.
 - (1) VTPSC suspends activities and determines a timeframe within which a decision to resume activities or terminate the sub-project is to be taken.
 - (2) If the objective can no longer be achieved, the VPSC, in consultation with and on the advice of the VTPSC and the TF, terminates the sub-project and attendant contracts.
 - (3) In such an exceptional case, the unspent funds are carried forward into the next year's village tract block grant allocation.

279. The VPSC completes the final sub-project inspection form (PC6) and submits it to the VTPSC which in turn completes the sub-project final financial report (F6) and submits it to the DRD township M&E officer to enter into the MIS.

7 SOCIAL AUDIT

280. **Objective.** The purpose of a social audit is for the village to review experience from the completed cycle, draw lessons, and make recommendations for next cycle.

281. As preparation of the sub-project closure and the social audit, the Training of Facilitators Course Part 3 (TOF 3) is provided at the township level. The relevant training material is a Social Audit Kit issued by the DRD Union Secretariat, which provides further guidance on how to conduct the social audit at the village level.

282. **Participants.** All villagers are invited. VTPSC and VPSC, finance clerk, village volunteers. At least one half of the resident village households is needed for a quorum, ideally with equal attendance by men and women.

283. **Duration:** Sub-project site visit will be around one to two hours, and at least half day for social audit meeting.

284. An open, half-day meeting is held at the end of each annual cycle as soon as the sub-project has been completed. If possible, a social audit meeting should be held in each village where a sub-project has been implemented. If necessary for logistical reasons, villages might be grouped together for a social audit meeting. It brings together villagers and members of

the VTPSC, VPSCs and other key project actors, such as finance clerks and village volunteers.

285. Where possible, prior to the half-day social audit meeting, VPSC should organize a site visit at the completed sub-projects. Village volunteer, CF/TF and VTPSC should support the site visit. All villagers are invited. The purpose of the site visit is for villagers to get better insight in the completed sub-project, quality and appropriateness of the construction, and safeguards questions.

286. The VTPSC, assisted by the VPSCs, CF and village volunteers, organize the social audit meeting well in advance.

- (a) In consultation with the VPSCs, the VTPSC sets a date and time that is most convenient to a diverse range of villagers (men and women from different ethnic and social economic groups) at least 10 days in advance of the meeting.
- (b) Where combined across villages, the location of a social audit should be easily accessible for all villages in the tract or group of villages.
- (c) The VTPSC agrees who should facilitate the meeting. This can be any person in the village tract who is widely respected and has the ability to facilitate a large gathering.
- (d) The VTPSC arranges for meals/refreshments and sanitary facilities. The cost for refreshment and transport for social audits is funded by the DRD township budget.
- (e) The VTPSC can seek assistance from the DRD township office for organizing the meeting, as needed.
- (f) The VTPSC invites the TPIC, community-based groups and non-governmental organizations working in the village tract to attend the open meeting as observers. The meeting date, time and venue will be publicized, and the DRD township office and DRD union office will be provided with this information in advance.

287. Prior to the meeting, the VTPSC, assisted by the CF/TF and village volunteers, prepares a short annual report (using simple table format, and to be submitted to township DRD office), summarizing the activities and achievements during the cycle (what worked well or not so well) against the VTDP. The annual report should include information on sub-projects, a review of any acquisition of land/assets that may have taken place, a report on the involvement of women and ethnic and religious groups, a summary statement of receipts and expenditures, and a summary of problems encountered and grievances received and resolved as well as safeguards and mitigation measures taken (e.g. health and occupational safety concerns), infrastructure quality and functionality, and O&M arrangements.

- (a) The annual report is prepared in the local language(s).
- (b) Copies of the annual report are made available to all villagers attendees upon arrival.

288. The agenda for the meeting includes:

- (a) Presentation by the VTPSC on the preparation process of the VTDP, which includes the selection process of the village sub-projects, activities and achievements, and voluntary land/asset donation;

- (b) Presentations on sub-project implementation, which include an overview by leaders of the VPSC, finances (receipts and expenditures) by the FSC with village finance clerks, procurement on purchase of goods, contracts, hiring of skilled labor etc. by village PSCs, and on grievances and their resolution;
- (c) Discussion and voting on villagers'/committee members' satisfaction ("score card") regarding the project mechanisms, the implementation process, and sub-projects/results. Voting should be by secret ballot;
- (d) Open discussion in which villagers share feedback, make recommendations and voice concerns on any aspect of the community project cycle and the annual report;
- (e) The VTPSC and the CF can decide to discuss any of the issues in greater detail in small group sessions.

289. During the meeting:

- (a) The VTPSC ensures that all population groups participate equally and that no group dominates, with special attention to the active participation by women and ethnic groups.
- (b) The VTPSC, after consultation with the VPSCs, indicates: 1) which recommendations to adopt, why and how; 2) which recommendations not to adopt and why not; and 3) which to forward to the Township or Union level MSRs for consideration.
- (c) The VTPSC indicates the follow-up to any grievances raised.
- (d) The CF and village volunteers take notes (using a standard table/matrix format for taking minutes), in particular to record feedback, grievances, recommendations (those to be adopted in the subsequent annual cycle and those not) and follow-up.

290. After the meeting, the CF assisted by the village volunteers prepares minutes of the open meeting within 10 days of the meeting using the notes taken during the meeting.

- (a) The VTPSC and VPSCs review and clear the draft minutes within 3 days of receipt.
- (b) Once finalized, the head of the VTPSC and the heads of the VPSCs sign the minutes.
- (c) The minutes are publicly displayed on the village notice boards in all villages in the tract in local languages within 15 days of the meeting.
- (d) Copies of the minutes are sent to the DRD township office within 15 days and then to the DRD union office.

8 OPERATIONS AND MAINTENANCE

291. During the village sub-project preparation, the VPSC, assisted by village volunteers and the TF, prepares an operations and maintenance (O&M) plan for each infrastructure item repaired, rehabilitated, or built by the project (See PC 16-20 in Chapter 3 for templates). The O & M Plan does the following:

- (a) Outlines the operations and maintenance activities, inputs, costs and eventual training needs.

- (b) Determines whether operations and maintenance requires any environmental or social mitigation measures.
- (c) Indicates who will be responsible for undertaking operations and maintenance activities and any associated training needs.
- (d) Itemizes specific operations and maintenance works and identifies needed material inputs over 4 years and estimates the annual cost for each work item and material input.
- (e) Spells out how operations and maintenance activities will be financed and determines which work items should be conducted and materials procured by relevant township or line departments and which work items and materials will be the responsibility of the village.
 - (1) Routine operations to run a system will be done by the Villagers (regular clearing of water systems, operating an electric engine).
 - (2) Minor repair will be done by villagers. For example, replacing a tap in a water system, repairing a pump, cleaning of roads and drain etc. with equipment available in the village or Village Tract.
 - (3) Major repairs will be undertaken with support from Sector Agencies or by using Village grants if the village includes them as a priority in the annual planning process.
 - (4) Emergency repair. In case of any damage to a village infrastructure as a result of an act of nature (not man made) community will seek support DRD and other relevant agencies to undertake emergency repair.
 - (5) In any year, the unused balance of the block grant may be used for next year's sub-project, and up to a maximum of 10% of the unused balance may be used for O&M. The cumulative O & M fund should not exceed 10% of the annual block grant in any year. A detailed manual for O & M procedures will be available as Annex 4 of this Operations Manual".

292. CFs and TFs will support O & M Committees with monitoring and facilitation to improve O&M planning, sectoral coordination and standards, resolution of issues etc).

293. The relevant township/government department(s) reviews the O&M plan as a sub-project is being completed or has been completed and then again after a year of operations. Training needs for O&M are also provided, with assistance from the relevant DRD township engineer and relevant government line department(s).

- (a) If the proposed activities, including mitigation measures, are inadequate, technical staff will work with the VPSC to revise the O&M plan.
- (b) The department also reviews its responsibilities and, if agreeable, confirms them by co-signing the O&M plan.
- (c) If the department is not able to accept the responsibilities assigned to it, it brings the issue to the attention of the TPIC.
 - (1) As required, the DRD township office brings the issue to the attention of the district and/or regional/state government through the DRD regional/state offices to seek adequate resources for the relevant department to undertake its operations and maintenance responsibilities.
 - (2) The DRD union office will also coordinate with line departments regarding NCDD sub-projects and O&M requirements.

294. The village O&M Sub-Committee sets up a village O&M fund for the sub-projects supported in the village, depending on the type of sub-project rehabilitated or built.

- (a) The schedule and form of contributions is posted on the village notice board.

- (b) Contributions are discussed and agreed by those benefiting from the sub-project.
- (c) Households need to be able to afford the contributions.
- (d) The VPSC advises and confers with the DRD township office if contributions are insufficient to meet O&M costs.

295. The O&M Sub-Committee oversees the implementation of the O&M plan.

- (a) The O&M Sub-Committee prepares an O&M implementation schedule.
- (b) The O&M implementation schedule should be posted on the village notice board.
- (c) The O & M Sub-Committee should prepare annual monitoring reports with help of CF and TF, who bring these reports to the township office. These reports are aggregated at the township office, and forwarded to the Union Infrastructure Unit.

9 DISASTER RISK MANAGEMENT

9.1 DISASTER RISK REDUCTION

296. In villages which are at a higher risk of disaster impacts (e.g. from floods, fires, landslides or other natural hazards), it is important that infrastructure is constructed to withstand these impacts. Otherwise, there is a risk that the infrastructure may be damaged or destroyed during a hazard event. For all categories of sub-projects under consideration in hazard prone areas, the sub-project design and estimate preparation process needs to:

- 1) Assess the risk of damage from natural hazards to the proposed infrastructure, including considerations of materials and location;
- 2) Identify measures to meet DRD's minimum standards for disaster resistant construction and the costs associated with these measures;
- 3) If the sub-project is already under construction, a safe site for storing construction materials and equipment must be identified.

Further general steps which should be taken to reduce disaster risk include:

- 1) The township DRD and TTA project team should obtain and familiarize itself with any township DRM plan where these are in place;
- 2) The township DRD and TTA team should seek to participate in meetings of the Township Disaster Management Committee (DMC), and be ready to undertake allocated duties from the committee.
- 3) Project staff and village committee members should be assigned individual responsibilities in the chain of disaster preparation and response protocols upon the request of the Township DMC.
- 4) Participate with Township DRD in emergency rescue cases, as well as collection and delivery of supplies and facilities to the villages as necessary.
- 5) Ensure sufficient practice of disaster response routines in the form of trial runs, and participate with township DRD to support skills training to villages to enable emergency responses repairs.

9.2 POST-DISASTER EMERGENCY PREPAREDNESS AND RESPONSE

297. Townships may need support from multiple sources in order to respond rapidly and effectively to disaster, emergency and/or catastrophic events. The following are guidelines for the sequence of steps to be taken by the DRD township office in hazard-prone areas for contingency planning before and after a disaster event:

Preparedness

- 1) Discuss and agree on a protocol for the activation of post-disaster emergency response support from the project with the Township DMC.

Response

- 1) Conduct a meeting immediately after the township authorities advise of a disaster event to form a committee with specified responsibilities. At a minimum, the committee will need to plan for any damage and losses incurred by the project. Responsibilities may additionally include any tasks agreed with the Township DMC.
- 2) Make a detailed assessment of losses and damage to disaster affected sub-projects, including photographic evidence (see forms I.1 and I.2 in Chapter 3 for templates).
- 3) Seek and request additional finance to repair damage and restore sub-project losses by submitting your complete assessment to Union DRD.
- 4) Union DRD to authorize damage repairs on a case by case basis.

10 FEEDBACK, GRIEVANCE AND ACCOUNTABILITY MECHANISMS

298. Transparency and accountability are core principles of the NCDDP. As part of this commitment, the project has established a grievance handling mechanism (GHM). The goal of the GHM is to strengthen accountability to beneficiaries and provide channels for input by project stakeholders at all levels. It provides a mechanism that allows for the identification and resolution of issues affecting the project, including misconduct of staff, misuse of funds, abuse of power, and other improper behavior. By increasing transparency and accountability, the GHM helps reduce the risk of external interference, corruption, social exclusion or mismanagement. It also serves as an important feedback and learning mechanism for project management regarding the strengths and weaknesses of project procedures, implementation processes and implementation mechanisms.

299. The GHM established under the NCDDP is accessible to all project stakeholders, including ethnic, religious, and other special groups. The mechanism focuses not only receiving and recording complaints but also on how complaints are resolved. The GHM is supported by an information campaign and training program. Respected and trusted grievance focal points (one male and one female) are elected in each village, who together form the Village Tract Grievance Committee, and dedicated staff are assigned to handle grievances in each township and at the union level.

10.1 Principles

300. Project stakeholders are those who are likely to be directly or indirectly affected positively or negatively by the project. Project stakeholders have, among others, the following rights under the project:

- (a) Right to information;
- (b) Right against inappropriate intervention by an outside party;
- (c) Right to a project free of fraud and corruption.

301. Any stakeholders (including villagers, contractors, project staff, authorities, and other involved parties) may file a grievance if s/he believes one or more of these rights have been infringed, or if any of the project's principles and procedures has been violated.

302. Information about the grievance handling system, including contact details, is distributed in all participating villages at public meetings through brochures/pamphlets in local languages to the extent possible, posted at the village tract and on village notice boards, and advertised on local radio and TV.

303. The GHM offers a number of different channels for filing grievances, including by letter (using locked mailboxes and pre-addressed envelopes available at signboards in each project village), by phone, email, Facebook and in person. Villagers and stakeholders themselves decide on the best ways to file complaints.

304. Grievances are disclosed publicly, but no one who files a grievance is identified unless they self-identify. The identity of all those who have filed grievances is treated with confidentiality.

305. There is no charge for filing a grievance.

306. The timeframe for responding to a grievance should not exceed 30 days from the time the grievance is originally received. Grievances should be resolved within 90 days of receipt.

307. Grievances are resolved locally, at the lowest level, if possible. If not, they are "escalated" or sent up to a higher level (township, state/region, or Union) within 30 days.

308. Anyone may convey comments or suggestions about any aspect of the project through the grievance handling system. Comments, suggestions, appreciations, or questions should be recorded and submitted to the grievance handling officer of the TTA team to provide an answer in coordination with relevant project staff, ensuring that responses are in line with the Operations Manual.

309. For any other inputs, e.g. reports of misuse of funds, breach of project policies, etc, the following steps are followed.

- (a) The DRD township grievance focal point fills in the Grievance Redress Form (PC12) in the grievance folder.
- (b) Serious grievances, including any allegations related to the misuse of funds, must be reported to the state/region and Union-level Grievance Committee immediately. It does not need to report to the TTA and/or the DRD township office.

- (c) All grievances are treated confidentially. This requires village grievance focal points and members of village tract grievance committees, as well as township, state/region and union level grievance committees to handle all cases with utmost confidentiality. Staff and community members violating this confidentiality are subject to sanctions.
- (d) The union level grievance committee reviews the list of grievances on a monthly basis and decides on whether and how to follow up on them.
- (e) The DRD union/state/region and township data entry staff enters the agreed action in the management information system (MIS) and when and by whom action to resolve the grievance was taken.
- (f) The person assigned to handle grievances interviews the person who filed the complaint. S/he documents the actions taken at the location where the complaint originated and discloses the response or the resolution taken for the case.

10.2 Process

310. The grievance handling process involves five steps: (1) intake, (2) sorting, (3) verification, (4) action, and (5) follow-up.

Step 1: Intake

311. Grievances can be filed by anyone through a variety of means:

- (a) Verbal communication to a village grievance focal point, Community Facilitator and/or township grievance handling officer, DRD township counterpart or any other relevant township officer(s);
- (b) Using a grievance envelope and the suggestion box placed in each village. The village grievance focal points and/or a Community Facilitator open the suggestion box at least every two weeks. Each box is equipped with two locks, with one key held by the CF and the other by the village grievance focal points. Grievance envelopes from the box must be opened in front of at least two people, e.g. one of the village grievance focal points and the Community Facilitator at least once per month;
- (c) Letters to the Village Tract Grievance Committee, DRD union, state/region and township offices, and technical assistance teams at the township and union level;
- (d) At meetings and monitoring visits;
- (e) E-mails to dedicated e-mail addresses of the DRD union office, State/Region office and the Union TA;
- (f) A dedicated phone line for the DRD union, state/region and township offices and the Union TA;
- (g) DRD project website - <http://www.cdd.drdmyanmar.org/>;
- (h) DRD social website - <http://www.facebook.com/groups/cdd.myanmar>.

312. Grievances can be expressed at any time to any level (e.g. grievances can be directed to the village, village tract, township, state/region or union level). If a grievance is related to village and/or village tract, the complainant is encouraged to report to the township level. If a grievance is related to township, state/region or union, it is suggested to report to the union level.

313. At the community level, the grievance focal point is the regular primary point of contact for anyone who wishes to file a grievance. If an individual prefers, s/he can express a grievance also to others involved in the project implementation, such as a village volunteer, Community Facilitator, VPSC member, VTPSC member, or township engineer.

- (a) All involved in project implementation receive dedicated training on how to receive and handle grievances and how to keep them confidential.
- (b) Township level staff receiving grievances complete the grievance form PC 9 and submit it without delay to the assigned Township TA's Grievance Handling Focal point or Township DRD counterpart.
- (c) Union level staff receiving grievances complete the grievance form PC 9 and submit it without delay to the grievance handling officer of the union-level technical assistance team.

Step 2: Sorting

314. The TTA consultant, assigned to handle grievances, sorts grievances into nine categories and enters these into the MIS:

Category 1: General enquiries

Category 2: Grievances regarding violations of policies, guidelines and procedures

Category 3: Grievances regarding contract violations/breach of contract

Category 4: Grievances regarding the misuse of project funds

Category 5: Grievances regarding abuse of power/intervention

Category 6: Reports of force majeure

Category 7: Suggestion

Category 8: Appreciation

315. For grievances received at the union level, the grievance handling specialists of the UTA team records enquiries/grievances/reports of force majeure using these same nine categories.

- (a) If the grievance relates to a village or village tract, the grievance handling specialist of the UTA team forwards it to the respective grievance specialist of the TTA team.
- (b) If the grievance relates to a township, state/region or union issue, the grievance handling specialist of the UTA team submits it to the DRD union office.
- (c) The DRD union office decides on a course of action within 2 weeks of receiving the information.
- (d) In resolving the grievance, the DRD union office follows the steps below.

316. Once a grievance has been received, the DRD township office head and TTA team (team leader and grievance handling officer) decide how to handle it based on the general procedures and processes in this OM.

- (a) They determine the timeframe within which the case should be resolved, with a timeframe not exceeding 90 days.

- (b) The grievance handling specialist of the TTA team records the timeframe and agreed course of action and enters this data into the MIS.
- (c) Grievances relating to a village issue are handled by the VPSC itself, by the respective VTPSC, or by the village tract level grievance committee.
- (d) Grievances relating to a village tract issue are handled by the township level technical assistance team.
- (e) The DRD township office head and TTA team (team leader and grievance handling officer) determine who shall handle the grievance.
- (f) For grievances that are of a serious nature (e.g. all allegations of fraud or corruption, and potentially any grievance in categories 2 through 5), the DRD township office head consults with the Union Grievance Committee for advice on the appropriate action.

317. If the person filing the grievance is known, the grievance focal point communicates the timeframe and course of action to her/him within two weeks of receipt of the grievance.

Step 3: Verification

318. The staff handling the complaint gathers facts and clarifies information in order to generate a clear picture of the circumstances surrounding the grievance.

- (a) Verification normally includes site visits, a review of documents, a meeting with the complainant (if known and willing to engage), VPSC members, and meetings with those who could resolve the issue (including formal and informal village leaders). For grievances related to the misuse of funds, it may also require meetings with suppliers and contractors.
- (b) For serious grievances received at the union level by phone or letter, the Union Grievance Committee decides whether (i) to launch its own investigation; or (ii) instructs the Township Grievance Committee to conduct initial investigation at the location where the grievance/problem occurred. If the grievance cannot be resolved by the Township Grievance Committee, it will be reported back to the Union Grievance Committee for further actions.

319. Within the allotted time frame, the results of the verification are presented for consideration of redress to the Village Tract Grievance Committee (for village issues) or the DRD township office (for village tract issues).

- (a) The grievance handler fills in the grievance form part C and submits it to the grievance handling officer of the TTA team, who enters it into the MIS.

Step 4: Action

320. Though grievances can and should be handled in villages if possible, some will not be able to be resolved at the village level. For village level issues which cannot be resolved quickly at the village level, the Village Tract Grievance Committee reviews these grievances and any grievances addressed to the village tract and determines the action to be taken and the action(s) needed are carried out accordingly, fills in a grievance report and submits it to the township level, where it is entered into the MIS.

321. If the actions cannot be carried out and or if the grievance cannot be satisfactorily resolved in reasonable period of time (less than two months), the VTPSC refers the case to the township level.

- (a) The DRD township office head and TTA (lead specialist and grievance handling officer) review the case and determine the action to be taken.
- (b) Township level M&E or grievance focal has to enter the grievance within seven days of receiving, and serious grievances must be entered immediately.
- (c) Once action to resolve the grievance has been taken, the grievance handling officer of the TTA records the action taken in the MIS.

322. The DRD township office head consults with the DRD union office in case no action can be agreed or no resolution of the grievance is possible.

323. If the complainant is known, the grievance focal point (or person with whom the grievance was filed) communicates the action to her/him. The grievance focal point seeks feedback from the complainant as to whether or not s/he deems the action(s) satisfactory.

- (a) If the action is considered unsatisfactory, the complainant may file a new grievance.
- (b) A new grievance on an existing case is handled at the next higher level from the initial case.

324. The village project support committee communicates the action taken as a result of a grievance to villagers at the next village meeting.

325. The VTPSC also reports on grievances received and resolved during the annual social audit meeting at village tract level.

Step 5: Follow-up

326. During the social audit open meetings, villagers discuss the effectiveness of the grievance handling system and gather suggestions on how to improve it.

327. In its regular supervision visits, the DRD union office and UTA assess the functioning of the grievance handling system and undertake spot checks.

328. The DRD union office uses the MIS to provide a monthly snapshot of the grievance handling system (number and category of grievances received and grievances resolved), including any suggestions received and acted on.

329. The DRD union office uses the MIS to report on grievances in its quarterly implementation progress reports and its annual reports. Reports include information on grievance resolution and trends (number of grievances received, cause of grievance, number of grievances resolved, average time taken to resolve a grievance, percentage of individuals having filed a grievance who are satisfied with the action taken, number of grievances resolved at the lowest applicable level, etc.).

330. The DRD union office and World Bank review grievance monitoring data as part of regular implementation support missions.

331. A review of the grievance handling system (including the feedback of those who have used it) is undertaken during every second year to assess the efficacy of the mechanism and introduce improvements.

Townships exiting NCDDP should send any grievance to the township DRD, who will further submit it to the state/region.

10.3 Code of Conduct

332. All persons involved in project implementation, including the DRD union and township project staff, Union, state/region and Township-level TA staff, independent technical consultants, VTPSC members, VPSC members, community facilitators and technical facilitators, village volunteers, and finance clerks, have an obligation to perform their duties honestly and constructively. They sign and agree to abide by a code of conduct to:

1. Observe the laws of the Republic of the Union of Myanmar;
2. Honor the rights of project stakeholders (Grievance and Accountability);
3. Ensure women, the poor, ethnic and religious groups present in the project locations participate actively in and benefit from the project;
4. Refrain from any corrupt or fraudulent activities including patronage/nepotism, conflict of interest, diversion and/or embezzlement of funds, bribes, kick-backs, and short-changing of village sub-project value;
5. Report suspected cases of fraud and corruption;
6. Respect local cultures and customary laws prevalent in project locations;
7. Follow the provisions of the operations manual with diligence and efficacy;
8. Report any problems arising from the work to the direct supervisor or next higher level of authority.

333. With regard to community level activities, “fraud” is defined as the deliberate creation, falsification, destruction, defacement, misrepresentation or concealment of any account, record or document or any unauthorized use of the name VTPSC or VPSC or misuse of one’s position within the VTPSC or VPSC with the intention of, for instance:

- (a) Obtaining money, assets, services, information or advantage for the individual concerned and/or his immediate family;
- (b) Intentionally causing a loss or damage to the VTPSC, VPSC or another party (for instance, contractor, individual employee, volunteer);
- (c) Prejudicing VTPSC’s or VPSC’s rights, position or reputation, or those of another party;
- (d) Corrupt or dishonest practice in the course of VTPSC or VPSC business (for instance, awarding tenders in return for favors).

334. Furthermore, project implementers adhere to specific obligations:

- (a) VTPSC members: adhere to the obligations of the block grant agreement.
- (b) FSC members: strictly follow the provisions for the financial management of block grants.
- (c) VPSC members: ensure that no sub-project involves forced labor or child labor and that contractors respect basic social rights and working conditions.
- (1) No child under the age of 15 should work on the construction, rehabilitation or maintenance of a sub-project.
- (d) PSC members:
 - (1) Are not allowed to participate in a procurement process if their immediate family member or a close personal contact have any financial or other interest in a contractor being considered for a procurement contract. If this situation arises, another village project support committee member temporarily replaces her/him on the PSC. Village committee members, including grievance focal points, village volunteer, finance clerk, are not allowed to take a contractor job on sub-projects. If they wish to take a job on sub-projects, they must resign from the committees.
 - (2) Must reject quotations from contractors (or terminate orders with them) if it is established that the contractor involved has engaged in corrupt, fraudulent or collusive practices.
 - (3) Must never use their position for personal gain or solicit or accept gratuities, favors or anything of monetary value offered to them by contractors/suppliers.

335. A simplified Code of Conduct, based on the above, which is more readily understood by villagers, has been prepared with “5 Do’s and 5 Don’ts.” This is utilized in the village orientation meetings. The following is the simplified Code of Conduct:

Do’s

1. Be honest and responsible in your job.
2. Be open and transparent in your actions.
3. Observe the laws of Myanmar.
4. Observe the rights of everyone.
5. Respect the community and engage equally all women, men, disabled persons, the poor, and any ethnic or religious groups.

Don’ts

1. Don’t take bribes or gifts, money, goods, materials for personal use.
2. Don’t falsify documents.
3. Don’t give contracts to friends or relatives.
4. Don’t use or abuse the project for personal gain.
5. Don’t hire children under 15 years of age for sub-project construction, and don’t exploit labor.

10.4 **Sanctions**

336. Anyone involved in project implementation, who is found to be in breach of the code of conduct, is subject to disciplinary action, to be determined by DRD. Sanctions may be

imposed on individuals, groups (such as village tract project support committee and village project support committees) and private contractors.

337. Any person or organization may use the grievance handling system to report wrongful behavior of a project implementer.

- (a) The entity handling the grievance proposes the appropriate disciplinary action. Possible disciplinary actions include: compromise agreement, warning, public reprimand and dismissal.
- (b) If land or other assets were taken from a household illegally or in violation of the processes established for the purposes of this project, the land or assets should be restituted to the affected household at least in the condition in which they were taken, with following provisos :
 - (1) If restitution is no longer possible, the affected household will receive compensation at replacement cost.
 - (2) The household is not responsible to pay compensation for any improvements made to the asset.
- (c) If project funds were misused, they will be repaid in full, in addition to any additional measures and sanctions that may be taken against those who misuse the funds.
- (d) Any action shall be without prejudice to the penal, civil or administrative sanctions that may be imposed by pertinent laws or guidelines.
- (e) Grievances related to fraud and corruption may also be sent to the World Bank. The World Bank will inform the DRD of reports received and coordinate on resolving them.

Definition of Practices Constituting Fraud and Corruption

- (a) A “corrupt practice” is the offering, giving, receiving or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party.
- (b) A “fraudulent practice” is any act or omission, including a misrepresentation that knowingly or recklessly misleads, or attempts to mislead, a party to obtain a financial or other benefit or to avoid an obligation.
- (c) A “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party.
- (d) A “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party.
- (e) An “obstructive practice” is:
 - Deliberately destroying, falsifying, altering or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive or collusive practice; and/or threatening, harassing or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or

- Acts intended to materially impede the exercise of the Bank's contractual rights of audit or access to information.

Grievances related to fraud and corruption as defined in the guidelines can be sent directly to the World Bank Fraud and Corruption Hotline: 1-704-556-7046 or by email:

Investigationhotline@worldbank.org

Source: World Bank. 2006. On Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants.

338. Upon recommendation by the DRD township office or as a result of its own investigations, the DRD union office may suspend or terminate the right of a VTPSC or a VPSC or an individual or group of individuals to use the proceeds of the block grant upon failure by the VTPSC and VPSC to perform any of its duties (calculation and use of block grants).

339. Failure to report a suspected case of misuse of funds or authority constitutes a breach of the code of conduct. Sanctions will not be enacted on the whole village for an individual's wrong doing or the whole village tract for a village's misconduct. CFs and TFs are responsible for ensuring that villagers are aware that they will not be penalized for filing a complaint. Filing a complaint does not mean a village tract or village will lose its grant.

11 COMMUNICATIONS

340. Key principles of the project's communications strategy at community level include :

1. Transparent disclosure: regular updating of project information on the village notice board, including VDP, sub-project financial and procurement documents, social audit, project related media coverage, training information, O & M Plan.
2. Information campaigns: regular periodic dissemination of project related information through a variety of visibility materials, including pamphlets, workshops, group discussions, networking
3. Learning exchanges: organization of inter townships exchange visits by committee and community members of newer townships to older townships, to observe key processes and social audits. Participants include selected administrators from village tracts and villages, selected members of VTPSC, VPSC, and CMT (Finance Clerk, Village Volunteers, Grievance Focal).

12 LIST OF KEY REFERENCE DOCUMENTS

341. The following reference documents supplement the OM with a greater level of detail on key topics, and are part of NCDDP training materials :

- (a) Village Development Plan (VDP) Guide
- (b) Community Management Team Training Guide
- (c) Social Audit Guide
- (d) Gender Checklist (eng. + mm) ; Gender Manual (mm only)
- (e) ECoP mini-book (for community level)
- (f) Environmental and Social Management Framework
- (g) Infrastructure Checklists (various)



National Community Driven Development Project

Operations Manual

Chapter 3 Forms

Forms Overview

	Form Name	Main Responsibility	Enter into MIS?	
			Yes	No
Community Project Cycle				
A. MIS Forms				
PC 1	Village Profile	VPSC	X	
PC 2	Project Cycle Timetable	CF/TF	X	
PC 3	Village Development Priorities	VPSC	X	
PC 4	Village Tract Sub-project Selection	VTPSC	X	
PC 5	Village Sub-project Implementation Plan	VPSC	X	
PC 6	Final Sub-project Inspection	VPSC	X	
PC 7	Social Audit Summary	VPSC	X	
PC 8	Township Monthly Progress Status	TTA M&E/DRD MIS	X	
PC 9	Grievance Redress	CF/Grievance Focal	X	
B. Non-MIS Forms				
PC 10	Block Grant Agreement	VTPSC/DRD		X
PC 11	Meeting Attendance Sheet	VPSC		X
Infrastructure Forms				
PC 12	Final Sub-project Proposal Review	VPSC		X
PC 13	Safeguards Screening	TF/DRD		X
PC 14	Voluntary Donation	TF/DRD		X
PC 15	Environmental Management Plan	TF/DRD		X
PC 16	O & M Cost Estimation for Work Items	VPSC /TF/CF		X
PC 17	O & M Costs and Responsibilities	VPSC /TF/CF		X
PC 18	O & M Annual Plan for Collection of User Contribution	VPSC /TF/CF		X
PC 19	O & M Financing Arrangement	VPSC /TF/CF		X
PC 20	O & M Work Schedule	VPSC /TF/CF		X
I 1	Disaster Risk Measurement Form	TF		X
I	DRM Sub Project Assessment Sheet	TF		X
Training & Capacity Building				
T 1	Training Report	Trainer (incl. CF/TF)	X	
Human Resources				
HR 1	Project Staff/Consultant Information	M&E/MIS Officers	X	
HR 2	Volunteer, Village or Village Tract Committee Member Information	CF/VPSC/VTPSC members	X	
Finance				
F 1	Bank Book	FSC		X
F 2	Daily Wages Log	VPSC		X
F 3	Administrative Expenditure Log	FSC		X
F 4	Block Grant Disbursement Request	FSC		X
F 5	Payment Voucher	FSC		X
F 6	Sub-project Final Financial Report	FSC	X	
F 7	Cycle Completion Financial Report	FSC	X	
F 8	Community Contribution	FSC		X
F 9	Travel Expenses	FSC		X
F 10	Village Tract Sub-project Budget Table	FSC		X
Procurement				
P 1	Meeting Minutes for Procurement Method Selection	VPSC/PSC		X
P 2	Sub-project Procurement Plan	VPSC/PSC		X
P 3	Invitation for Quotation	VPSC/PSC		X
P 4	Quotation Evaluation Report (Goods & Works)	VPSC/PSC		X
P 5	Purchase Order (Goods)	VPSC/PSC		X
P 6	Sample Contract for Works	VPSC/PSC		X
P 7	Force Account Expenditure	VPSC/PSC	X	
TA Reporting				
TA 1	Gender Monthly Report	CF/TF		X
TA 2	Township TA Quarterly Reporting Format	TTA		X

FORM PC 1: VILLAGE PROFILE

Instruction: At the very first introductory visit to a village, (before or during the Village Orientation Meeting), CF requests Village Leader, assisted by Village volunteer, to collect this information on paper form. The information is checked and verified by the CF at the VDP Meeting, and entered into the MIS.

Name of Village Leader		Phone of Village Leader		Name of Facilitator:	
State/Region:		Township:		Village Tract:	
				Village:	

A. Population

Ethnicity	Households (#)	Religion	Households (#)
Ethnicity 1		Religion 1	
Ethnicity 2		Religion 2	
Ethnicity 3		Religion 3	
Mixed ethnicity		Mixed religion	
	Number (#)		
Disabled persons			
Elderly persons (over 65)			
Internally displaced persons			

	Male (#)	Female (#)
Population		
Ethnic group 1		
Ethnic group 2		
Ethnic group 3		
Head of Household		

B. Facilities

1. Schools		Tick	2. Health		Tick	Religious		Tick
	Pre-school	<input type="checkbox"/>		Station Hospital	<input type="checkbox"/>		Pagoda	<input type="checkbox"/>
	Primary school	<input type="checkbox"/>		Health Centre	<input type="checkbox"/>		Monastery	<input type="checkbox"/>
	Post Primary School	<input type="checkbox"/>		Sub Health Centre	<input type="checkbox"/>		Hindu temple	<input type="checkbox"/>
	Middle School	<input type="checkbox"/>		Clinic/Dispensary	<input type="checkbox"/>		Church	<input type="checkbox"/>
	Post Middle School	<input type="checkbox"/>		Other	<input type="checkbox"/>		Mosque	<input type="checkbox"/>
	High School	<input type="checkbox"/>						
	Other						Other	<input type="checkbox"/>
<i>Remarks:</i>			<i>Remarks:</i>			<i>Remarks:</i>		

C. Registry of Skills (skilled persons residing in or visiting the village)

1. Schools				2. Health				3. Artisans			
		Resident	Visitor			Resident	Visitor			Resident	Visitor

Teacher (primary school)	<input type="checkbox"/>	<input type="checkbox"/>	Doctor	<input type="checkbox"/>	<input type="checkbox"/>	Carpenter	<input type="checkbox"/>	<input type="checkbox"/>
Teacher (high school)	<input type="checkbox"/>	<input type="checkbox"/>	Health Assistant	<input type="checkbox"/>	<input type="checkbox"/>	Mason	<input type="checkbox"/>	<input type="checkbox"/>
Teacher (middle school)	<input type="checkbox"/>	<input type="checkbox"/>	Lady Health Visitor	<input type="checkbox"/>	<input type="checkbox"/>	Electrician	<input type="checkbox"/>	<input type="checkbox"/>
Teacher (pre-school)	<input type="checkbox"/>	<input type="checkbox"/>	Midwife	<input type="checkbox"/>	<input type="checkbox"/>	Plumber	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	Public Health Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	Mechanic/engines	<input type="checkbox"/>	<input type="checkbox"/>
<i>Remarks:</i>			<i>Remarks:</i>			<i>Remarks:</i>		

D. Access What is the access road to this village from its village tract? (Circle)

- Metal surfaced
 Gravel
 Bitumen
 Earth
 Concrete
 Footpath
 Motor cycle way
 Other

E. Village Development Plan

1. Did the village have a development plan before NCDDP know **Circle**
Yes/No/Don't
2. If yes, in what year was this plan prepared? Year _____
Don't know
3. Has it been approved by the township? Yes / No / Don't
know

F. Distance

Miles from this village centre to the centre of village tract? Miles _____
Don't know

1. Travel time to this village from the centre of VT
 Dry season: Hours by htawlargyi/motor cycle/foot/donkey/boat/ other

 Wet season: Hours by htawlargyi/motor cycle/foot/donkey/boat/ other

G. Environmental Hazards : Does this village experience environmental hazards such as flooding?

- No Yes Describe:

H. Village Institutions : Describe any village committee or structure that was present in the village *prior to* NCDDP, either established by government, villagers themselves or by a project.

Village Leader	Name		
	Signature		Date
Community Facilitator	Name		
	Signature		Date

FORM PC 2: PROJECT CYCLE TIMETABLE

<i>Instruction: To be completed by relevant Community or Technical Facilitator after each project cycle step, for village and village tract levels.</i>			
Name of Facilitator/Staff:			
Date:		Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4	
State/Region:	Township:	Village Tract:	Village:

Project Cycle meetings	Dates		Number of Meeting Participants					
	Begin Date	End Date	Number of Men	Number of Women	Number of Households	Number of Participants from Ethnic Groups	Total HH	% of HH Attending
1. Village Orientation meeting								
2. Village Development Plan meeting								
3. Village Tract Selection meeting								
4. TPIC Review meeting			N.A	N.A	N.A	N.A		
5. Report back decision of TPIC to village								
6. Sub-project planning meetings								
6.1 Action Plan								
6.2 Procurement Plan								
6.3 Budget Plan								
6.4 O & M Plan								
7. Sub-project monitoring meetings								
7.1 Sub-project monitoring 1								
7.2 Sub-project monitoring 2								
7.3 Sub-project monitoring 3								
8. Final inspection of sub-project								
9. Social Audit Meeting								

FORM PC 3: VILLAGE DEVELOPMENT PRIORITIES

<i>Instructions: To be completed by the VPSC with the assistance of the Community Facilitator after VDP meeting</i>			
Name of Facilitator/Staff:			
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract:	Village:

A. OBSTACLES– What are the main obstacles for development in this village at present? (Include results from men’s and women’s separate meetings).

		<u>Tick one or both columns</u>	
<u>Obstacles</u>		From Mens Group	From Womens Group
1		<input type="checkbox"/>	<input type="checkbox"/>
2		<input type="checkbox"/>	<input type="checkbox"/>
3		<input type="checkbox"/>	<input type="checkbox"/>
4		<input type="checkbox"/>	<input type="checkbox"/>
5		<input type="checkbox"/>	<input type="checkbox"/>

B. VILLAGE DEVELOPMENT VISION– What are the main goals the village would like to pursue over the next 5 years that will improve village development? (Include results from men’s and women’s separate meetings, covering all sectors)

		<u>Tick one or both columns</u>	
<u>Vision</u>		From Mens Group	From Womens Group
1		<input type="checkbox"/>	<input type="checkbox"/>
2		<input type="checkbox"/>	<input type="checkbox"/>
3		<input type="checkbox"/>	<input type="checkbox"/>
4		<input type="checkbox"/>	<input type="checkbox"/>
5		<input type="checkbox"/>	<input type="checkbox"/>

C. LIST OF DEVELOPMENT PRIORITIES ELIGIBLE FOR NCDDP FUNDING OVER NEXT 3 YEARS

Ranking	PRIORITY DEVELOPMENT ACTIVITIES FOR VILLAGE	Proposed by Men/Women/ M + W	Estimated Cost	Estimated # Beneficiaries
1				
2				
3				
4				
5				

D. LIST OF DEVELOPMENT PRIORITIES NOT ELIGIBLE FOR NCDDP FUNDING OVER NEXT 3 YEARS

Ranking	PRIORITY DEVELOPMENT ACTIVITIES FOR VILLAGE	Proposed by Men/Women/ M + W	Sector
1			
2			
3			
4			
5			

Approved by Head of VPSC Name:
Date:

Signature:

FORM PC 4: VILLAGE TRACT SUB-PROJECT SELECTION

Instructions: To be completed by the Village Tract after the sub-project selection meeting, with the assistance of the CFs and TFs, and signed by the Head of VTPSC. Completed form to be attached to Village Tract Development Plan for forwarding to TPIC. CF enters data from form into tablet for each village with a sub-project (do not include villages with no sub-project in the current year).

Name of Facilitator/Staff:		
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4	
State/Region:	Township:	Village Tract:

Name of Village	Activity	Dimensions	Estimated # Direct Beneficiaries	Sub-project Proposed by M/W/Both	Estimated Budget			Total
					Project Contribution	Community Contribution	Other (specify)	
				<input type="checkbox"/> Men <input type="checkbox"/> Women <input type="checkbox"/> Both				
				<input type="checkbox"/> Men <input type="checkbox"/> Women <input type="checkbox"/> Both				
				<input type="checkbox"/> Men <input type="checkbox"/> Women <input type="checkbox"/> Both				
				<input type="checkbox"/> Men <input type="checkbox"/> Women <input type="checkbox"/> Both				
				<input type="checkbox"/> Men <input type="checkbox"/> Women <input type="checkbox"/> Both				
				<input type="checkbox"/> Men <input type="checkbox"/> Women <input type="checkbox"/> Both				
				<input type="checkbox"/> Men <input type="checkbox"/> Women <input type="checkbox"/> Both				

Position: Head of VTPSC Name: _____ **Signature:** _____ **Date:** _____

FORM PC 5: VILLAGE SUB-PROJECT IMPLEMENTATION PLAN

Instructions: The village sub-project proposal is the responsibility of the VPSC, with assistance from relevant TF and engineer. It is signed by Head of VPSC, and endorsed by the Township Engineer. Entered into MIS from paper form by TF.

Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract:	Village:

Sub-project description (Give a brief description of the sub-project, including size/dimension/range where relevant, whether renovation/rehab or new construction):

Sub Project Dimension

New Renovated Extension

If subproject main type is road : 1) please enter total length of the road (in feet)

2) specify whether : a) internal village b) intervillage (village to village connecting) village to main road connecting

Sub-project category: Select Main Type and Sub Type from checklist below :

<u>Main Type</u>	<u>Sub-Type</u>
<input type="checkbox"/> Road	<input type="checkbox"/> Concrete <input type="checkbox"/> Earth <input type="checkbox"/> Gravel <input type="checkbox"/> Wheel tract <input type="checkbox"/> Footpath <input type="checkbox"/> Macadam <input type="checkbox"/> Bitumen <input type="checkbox"/> Roadside drainage
<input type="checkbox"/> Bridge	<input type="checkbox"/> Concrete bridge <10m <input type="checkbox"/> Concrete bridge >10m (Require EMP) <input type="checkbox"/> Timber bridge <10m <input type="checkbox"/> Timber bridge >10m (Require EMP) <input type="checkbox"/> Suspension bridge >10m (Requires EMP) <input type="checkbox"/> Culvert <input type="checkbox"/> Cause Way <input type="checkbox"/> Other bridge > 10m (Requires EMP)
<input type="checkbox"/> Jetty	<input type="checkbox"/> Timber <input type="checkbox"/> Concrete <input type="checkbox"/> Jetty Public Room
<input type="checkbox"/> School Facility	<input type="checkbox"/> Nursery <input type="checkbox"/> Primary School <input type="checkbox"/> Middle School <input type="checkbox"/> High School <input type="checkbox"/> School Meeting Hall <input type="checkbox"/> Playground <input type="checkbox"/> Fencing <input type="checkbox"/> School Toilets <input type="checkbox"/> Access road <input type="checkbox"/> Water supply
<input type="checkbox"/> Health Facility	<input type="checkbox"/> Community Health Center <input type="checkbox"/> Clinic Fencing
<input type="checkbox"/> Other Buildings/ Structures	<input type="checkbox"/> Library <input type="checkbox"/> Market structure <input type="checkbox"/> Sports field <input type="checkbox"/> Library Fencing
<input type="checkbox"/> Water Supply	<input type="checkbox"/> Full pumping system (pumphouse, pump, tank, pipes, deep tubewell) <input type="checkbox"/> Pump house + pump + pipes (no well) <input type="checkbox"/> Pump + pipes <input type="checkbox"/> Tank + pipes <input type="checkbox"/> Pump only (with or without flow meter) <input type="checkbox"/> Only tank <input type="checkbox"/> Only pipes <input type="checkbox"/> Only Tubwell/deep Well (>200 ft requires EMP) <input type="checkbox"/> Only shallow well (< 200ft) <input type="checkbox"/> Hydrant <input type="checkbox"/> Pond <input type="checkbox"/> Water supply fencing <input type="checkbox"/>
<input type="checkbox"/> Electrification	<input type="checkbox"/> Solar (panels and charge station) <input type="checkbox"/> Solar street lighting <input type="checkbox"/> Generator House <input type="checkbox"/> Generator set (Generator+Wire+Lamp-Post) <input type="checkbox"/> Generator set (Wire+Lamp-Post) <input type="checkbox"/> Pico hydro <input type="checkbox"/> National Grid (Wire+Lamp-Post)

<input type="checkbox"/> Sanitation <input type="checkbox"/> Irrigation <input type="checkbox"/> Community Center <input type="checkbox"/> Other	<input type="checkbox"/> National Grid (Wire) <input type="checkbox"/> National Grid (Lamp-Post) <input type="checkbox"/> Biogas charge station <input type="checkbox"/> Fencing <input type="checkbox"/> Latrine + Septic Tank <input type="checkbox"/> Waste Water Treatment (Requires EMP) <input type="checkbox"/> Solid waste management (Requires EMP) <input type="checkbox"/> Earthwork canals <input type="checkbox"/> Concrete canals <input type="checkbox"/> Fencing <input type="checkbox"/> Community Meeting Place <input type="checkbox"/> Community Recreation Center <input type="checkbox"/> Fencing <input type="checkbox"/> Retaining Wall <input type="checkbox"/> Embankment <input type="checkbox"/> Crematorium <input type="checkbox"/> Fencing																
Sub-project sector: <input type="checkbox"/> transport (road/bridge/jetty) <input type="checkbox"/> education <input type="checkbox"/> water and sanitation <input type="checkbox"/> health <input type="checkbox"/> electrification <input type="checkbox"/> community buildings <input type="checkbox"/> other (specify) :																	
Expected number of beneficiaries (disaggregated by gender and ethnicity). <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;"><u>Gender</u></th> <th style="text-align: left;"><u>Ethnicity</u></th> <th style="text-align: center;">Male</th> <th style="text-align: center;">Female</th> </tr> </thead> <tbody> <tr> <td>Ethnic 1</td> <td>.....</td> <td style="text-align: center;">.....</td> <td style="text-align: center;">.....</td> </tr> <tr> <td>Ethnic 2</td> <td>.....</td> <td style="text-align: center;">.....</td> <td style="text-align: center;">.....</td> </tr> <tr> <td>Ethnic 3</td> <td>.....</td> <td style="text-align: center;">.....</td> <td style="text-align: center;">.....</td> </tr> </tbody> </table>		<u>Gender</u>	<u>Ethnicity</u>	Male	Female	Ethnic 1	Ethnic 2	Ethnic 3
<u>Gender</u>	<u>Ethnicity</u>	Male	Female														
Ethnic 1														
Ethnic 2														
Ethnic 3														
Estimated cost (MMK) Total: <table style="width:100%; border-collapse: collapse;"> <tr> <td style="width:33%;">Materials</td> <td style="width:33%;">Labor</td> <td style="width:33%;">Technical support</td> </tr> <tr> <td>.....</td> <td>.....</td> <td>.....</td> </tr> <tr> <td>Transportation</td> <td>Skilled labour</td> <td></td> </tr> <tr> <td>Tools and equipment (Hire or purchase)</td> <td></td> <td>Other</td> </tr> <tr> <td>.....</td> <td></td> <td>.....</td> </tr> </table>		Materials	Labor	Technical support	Transportation	Skilled labour		Tools and equipment (Hire or purchase)		Other	
Materials	Labor	Technical support															
.....															
Transportation	Skilled labour																
Tools and equipment (Hire or purchase)		Other															
.....																
Daily wage rate for CFA :																	
Procurement Method (Tick) <input type="checkbox"/> CFA <input type="checkbox"/> Contractor <input type="checkbox"/> CFA+Contractor																	

Implementation plan

Estimated start and completion date for each activity		
Activity	Start date	Completion date
Detailed design
Planning
Procurement
Construction
Progress report
Final inspection
Hand over
Arrangements for labor: Payment schedule for contractors, (if used) Expected use of community labor (CFA): # men # women		
Arrangements for operations and maintenance		

Arrangements for community monitoring	
Safeguards: Does this sub-project require an EMP? Yes / No Land acquisition? Yes/ No Voluntary donation? Yes / No	
Photographic documentation: Insert 2 photos of the project before construction/renovation from different angles. (You will be using the same angles for the two “after” photos in PC 6)	
Angle 1	<input style="border: 2px solid orange;" type="text"/>
Angle 2	<input style="border: 2px solid orange;" type="text"/>

Authorized by Head of VPSC

Name: _____ **Signature:** _____ **Date** _____

Endorsed by Township Engineer:

Name: _____ **Signature:** _____ **Date** _____

FORM PC 6: FINAL SUB-PROJECT INSPECTION

<i>Instructions:</i>			
Name of Facilitator/Staff:			
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract:	Village:

Sub-project Description

	Sub-project Activity	Sector	Size/Scope		Direct Beneficiaries	
			Planned	Final Actual	# Planned	# Actual

Sub-project Financial information

CDD Project Contribution		Community Contribution		Other	
Planned	Actual	Planned	Actual	Planned	Actual

Status of Sub-project Construction:

Is the sub-project fully completed? No Yes, describe below

Procurement:

Are there any remaining problems related to procurement of goods, supplies, or contractors?
 No Yes, describe below

Use of community labor (CFA):

Total # persons involved: men women
Total # labor days: men women



Safeguards/ ECOPs:

(a) Are there any problems related to land acquisition? No Yes, describe below

(b) Are there any problems related to environmental impact from sub-project? No Yes, describe below

Village Operations and Maintenance Committees formed:

Are Village O&M Committees formed and functioning? No, describe issues below Yes

Overall Technical Quality of Sub-project In general, the overall sub-project is functional and technical quality is: <input type="checkbox"/> Poor <input type="checkbox"/> Average <input type="checkbox"/> Good <input type="checkbox"/> Very Good	
Photographic documentation: Insert 2 photos of the project after construction/renovation. (Angles 1 and 2 should be taken from the same position as you selected in PC 5 for the “before” photos)	
Angle 1	
Angle 2	
Other Comments for attention:	

We certify that sub-project described above is completed and functional and the above information is correct.

Date:

Head of the VPSC:

Signature:

Head Procurement Sub-committee:

Signature:

Finance Clerk

Signature:

Acknowledged by
Technical Specialist:

Signature:

Date:

FORM PC 7: SOCIAL AUDIT SUMMARY

Instructions: CF summarizes the result of the social audit meeting in each village, and inputs into MIS.

Name of Facilitator/Staff: _____

Date: _____ Cycle (√): Cycle 1 Cycle 2 Cycle 3 Cycle 4

State/Region: _____ Township: _____ Village Tract: _____ Village: _____

Subproject Name: _____

Date of Social Audit: _____

SCORING

	Process								Results							
	CMT				Community				CMT				Community			
	#		%		#		%		#		%		#		%	
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F
Very Satisfied																
Satisfied																
Unsatisfied																
Total																

Comments about scoring results (analysis / interpretation of results)

LESSONS LEARNED AND RECOMMENDATIONS

	What Worked Well / Benefits	What Didn't Work So Well / Issues	Suggestions / Recommendations
1			
2			
3			
4			
5			

FORM PC 8: TOWNSHIP WEEKLY PROGRESS STATUS

<i>Instructions:</i> To be updated weekly online by the township M & E Expert, based on status information from CFs and TFs, engineers and team leaders.				
Date:		Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract:	# Villages: # Sub-projects:	Last Update:

Project Cycle Stage	Number	%
	<i># Village Tracts</i>	<i>%</i>
First finance training (FSC)		
Block Grant request		
Block Grant transfer # VT		
Amount (MMK)		
VT Sub-project selection meeting		
	<i># Villages</i>	<i>%</i>
Village profile		
Village orientation meeting		
Village Development Plan (VDP) meeting		
Number of VDP books uploaded		
	<i># Sub-projects</i>	<i>%</i>
TPIC approval for sub-project		
TPIC feedback to village meeting		
SP detailed planning & proposal (PC5)		
SP construction progress:		
1 – 50%		
51 – 75%		
76 – 90%		
100%		
SP final inspection		
SP final financial report		
Social Audit		

FORM PC 9: GRIEVANCE REDRESS

<i>Instructions: Paper form to be completed by the facilitator or staff receiving the inquiry or grievance, and sent to the Grievance Handling Officer in your township. Can be input into MIS by township Grievance Focal Person in collaboration with the Township M&E Officer.</i>				
Date Grievance Received:		Name of Facilitator/Staff Completing Form:		
Grievance Received (check <input checked="" type="checkbox"/>): <input type="checkbox"/> Union <input type="checkbox"/> State/Region <input type="checkbox"/> Township <input type="checkbox"/> Village Tract <input type="checkbox"/> Village				
Mode of Filing Inquiry or Grievance (check <input checked="" type="checkbox"/>): <input type="checkbox"/> In person <input type="checkbox"/> Telephone <input type="checkbox"/> E-mail <input type="checkbox"/> Phone Text Message <input type="checkbox"/> Website <input type="checkbox"/> Grievance/Suggestion box <input type="checkbox"/> Community meeting <input type="checkbox"/> <input type="checkbox"/> Grievance focal point <input type="checkbox"/> Other				
Name of Person Raising Grievance: <i>(information is optional and always treated as confidential)</i> <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Unknown (Tick)				
Address or contact information for Person Raising Grievance: <i>(information is optional and confidential)</i>				
Location where grievance/problem occurred				
Union Level:	State/Region:	Township:	Village Tract:	Village:
What is the type of complaint/inquiry (check <input checked="" type="checkbox"/>)? <input type="checkbox"/> General inquiry about Project Policies and Procedures <input type="checkbox"/> Violation of Project Policies, Guidelines, or Procedures <input type="checkbox"/> Procurement <input type="checkbox"/> Financial management <input type="checkbox"/> Land issues <input type="checkbox"/> Environmental <input type="checkbox"/> Code of conduct / Violation of contract <input type="checkbox"/> Misuse of funds. How much? _____ <input type="checkbox"/> Improper intervention <input type="checkbox"/> Force majeure <input type="checkbox"/> Suggestion <input type="checkbox"/> Procurement <input type="checkbox"/> Finance <input type="checkbox"/> Infrastructure <input type="checkbox"/> Communication <input type="checkbox"/> Training <input type="checkbox"/> Admin/Management <input type="checkbox"/> Appreciation <input type="checkbox"/> Other (please describe):				
Brief Description of Grievance or Inquiry: <i>(Provide as much detail and facts as possible)</i>				
Who should handle and follow up on the grievance:				
Progress in resolving the grievance :Being resolved: <input type="checkbox"/> Settled: <input type="checkbox"/> Date of settlement :				

How was the grievance resolved, including detailed process of handling by date and who participated?

Note: For MIS, include “Status” field and dates

FORM PC 12: FINAL SUB-PROJECT PROPOSAL REVIEW

<i>Instructions</i>	This form to be completed by relevant TF, with guidance from DRD engineer.
State / Region:	
Township:	
Village tract:	
Village:	
Name:	
Estimated cost:	
Project cycle:	

A. Project Coherence

<i>Issue</i>	<i>Yes</i>	<i>No</i>	<i>I/N</i>
1. Is the sub-project included in the VTDP?			
2. Are the problems and causes that the sub-project will address clearly indicated?			
3. Are the solutions proposed adequate to resolve the problem(s) as stated?			
4. Are the end results of the sub-project achievable?			

I/N Information is either insufficient (I) for review or not applicable (N).

Analysis of Section A: Based on the responses to the questions noted above, indicate your ‘score’ for the coherence of the project;

Adequate _____ Deficient _____

Indicate any observations or observations regarding Section A Project Coherence, of the proposed sub-project which should be incorporated in the proposal:

B. Financial Criteria

<i>Issue</i>	<i>Yes</i>	<i>No</i>	<i>I/N</i>
1. Is the sub-project budget consistent with the allocation in the VTDP and is it reasonable for this type of sub-project?			
2. Is there a clear relationship between budget items and proposed activities and objectives of the sub-project?			
3. Are unit costs also clearly indicated in the project budget?			
4. Is the daily labor wage adequate and the same for women and men?			
5. Do the indicated unit costs for inputs conform with market prices for similar inputs?			
6. Are the quantities of the proposed budget items reasonable?			

I/N Information is either insufficient (I) for review or not applicable (N).

Analysis of Section B: Based on the responses to the questions noted above, indicate your ‘score’ for the sub-project’s financial criteria;

Adequate _____ Deficient _____

Indicate any observations or observations regarding Section B, Financial Criteria, for the proposed sub-project which should be incorporated in the proposal:

--

C. Sustainability Criteria

<i>Issue</i>	<i>Yes</i>	<i>No</i>	<i>I/N</i>
1. Does the proposal propose a technology that is adequate to the local context?			
2. Does implementation of the project depend on the experience, knowledge or skills of the community?			
3. Do local labor and/or local materials necessary for sub-project implementation pose a problem?			
4. Are the proposed operations and maintenance arrangements adequate?			

I/N Information is either insufficient (I) for review or not applicable (N).

Analysis of Section C: Based on the responses to the questions noted above, indicate your ‘score’ for the project’s sustainability;

Adequate _____ Deficient: _____
:

Indicate any observations or observations regarding Section C, Sustainability Criteria, for the proposed sub-project which should be incorporated in the proposal:

--

D. Social Criteria

<i>Issue</i>	<i>Yes</i>	<i>No</i>	<i>I/N</i>
1. Does the sub-project design sufficiently reflect the needs of women?			
2. Will the sub-project be beneficial to the poor?			
3. Will other vulnerable groups benefit?			
4. Are there local groups or institutions which may pose a threat or obstacle to the success of the sub-project?			
5. Have ethnic minority groups been properly consulted during sub-project preparation?			

I/N Information is either insufficient (I) for review or not applicable (N).

Analysis of Section D: Based on the responses to the questions noted above, indicate your ‘score’ for the project’s social criteria;

Adequate _____ Deficient _____

Indicate any observations or observations regarding Section D, Social Criteria, for the proposed sub-project which should be incorporated in the proposal:

--

E. Environmental Criteria

Issue	Yes	No	I/N
1. Does the environmental safeguards instrument (ECoP or EMP) adequately address potentially negative impacts of the sub-project?			
2. Are the proposed mitigation measures adequate and feasible?			

I/N Information is either insufficient (I) for review or not applicable (N).

Analysis of Section H: Based on the responses to the questions noted above, indicate your ‘score’ for the project’s social criteria;

Adequate _____ Deficient _____

Indicate any observations or observations regarding Section E, Environmental Criteria, for the proposed sub-project which should be incorporated in the proposal:

F. Technical Feasibility

Issue	Yes	No	I/N
1. Are the solutions proposed technically sound?			
2. Are these solutions the most appropriate?			
3. Are the solutions adequate to resolve the problem(s) as identified in the proposal?			
4. Does the sub-project conform with standard operating procedures or technical standards for sub-projects of a similar nature and scope?			

I/N Information is either insufficient (I) for review or not applicable (N).

Analysis of Section F: Based on the responses to the questions noted above, indicate your ‘score’ for the technical feasibility of the sub-project;

Adequate _____ Deficient _____

Indicate any observations or modifications regarding Section F, Technical Feasibility, for the proposed sub-project which should be incorporated in the proposal:

This sub-project proposal is:

- 1. Approved as proposed: _____
- 2. Approved with the modifications indicated above: _____
- 3. Not approved: _____

Name:	Position:	Township Engineer
Signature:	Date:	
Name:	Position:	Head, VTPSC
Signature:	Date:	

FORM PC 13: SAFEGUARDS SCREENING FORM

The completed form (one is required for each sub-project) is to be attached to the sub-project proposal.

Region / State:	
Township:	
Village Tract:	
Village:	
Sub-project:	
Sub-project ID:	

Sub-project description

Type (see eligible category)

Category (check one): Rehab Extension New work other

Sector :

Building road/bridge/jetty water supply rural electrification irrigation
 Sanitation

Cost estimate

Location (with GPS longitudes and latitudes, if available)

Beneficiaries

Number of villages served

Any other similar sub-project/assistance in the same village? (Check one) Yes No

Environmental screening

Apply ECoP to all village sub-projects (VSP)

E1. Natural environment

(a) Briefly describe the vegetation/trees in/adjacent to the sub-project area

(b) Estimate and indicate where vegetation/trees might need to be cleared

(c) Are there any environmentally sensitive areas or threatened species (specify below) that could be adversely affected by the sub-project?

-- Natural forests: Yes ___ No ___

-- National parks: Yes ___ No ___

-- Rivers: Yes ___ No ___

-- Lakes: Yes ___ No ___

-- Wetlands (swamps, polder areas, seasonally inundated areas): Yes ___ No ___

-- Habitats of endangered species for which protection is required under Myanmar laws and/or international agreements: Yes ___ No ___

-- Others (describe): Yes ___ No ___

If answer to any of above questions is 'yes', mark VSP as having an impact on the natural environment:

has an impact No impact

E2. River ecology

Is there a possibility that, due to installation of structures, such as weirs and other irrigation structures, the river ecology will be adversely affected? Attention should be paid to water quality and quantity; the nature, productivity and use of aquatic habitats, and variations of these over time. Yes ___ No ___

If answer to any of above questions is 'yes', mark VSP as having an impact on river ecology:

has an impact No impact

E3. Protected areas

Does the sub-project area (or components of the sub-project) occur within/adjacent to any protected areas designated by government (national park, national reserve, world heritage site, etc.) Yes ___ No ___

If the sub-project is outside of, but close to, any protected area, is it likely to adversely affect the ecology within the protected area areas (e.g., interference with the migration routes of mammals or birds) Yes ___ No ___

If answer to any of above questions is 'yes', mark VSP as having an impact on the protected areas:

Has an impact No impact

E4. Geology and soils

Based upon visual inspection or available literature, are there areas of possible geologic or soil instability (erosion prone, landslide prone, subsidence-prone)? Yes ___ No ___

Based upon visual inspection or available literature, are there areas that have risks of large scale increase in soil leaching and/or erosion? Yes ___ No ___

If answer to any of above questions is 'yes', mark VSP as having an impact on geology and soils:

Has an impact No impact

E5. Pollution

Will the sub-project lead to ground, water or air pollution? Yes ___ No ___

Will lead batteries be used? Yes_ No_

If answer to any of above questions is 'yes', mark VSP as having an impact on air pollution:

Has an impact No impact

E6. Invasive plant species along feeder road routes

Is the sub-project likely to result in the spread of invasive plant species (along feeder road routes)?
Yes ___ No ___

E7. Endangered species along feeder road routes

Is the sub-project likely to result in an increased threat to endangered animal species(along feeder road routes)? Yes ___ No ___

If answer to any of above questions is 'yes', mark VSP as having an impact on invasive plant species:

Has an impact No impact

E8. Historical, archaeological or cultural heritage site

Does the sub-project area occur within or in vicinity of the areas designated by the government as cultural heritage zones (Archaeological Zone(AZ), Monument Zone(MZ) or Protected Zone(PZ)) or areas of physical cultural resources significance?_____

Yes No

Based on available sources, consultation with local authorities, local knowledge and/or observations, could the sub-project alter any historical, archaeological or cultural heritage site (pagodas, memorials and graves) or require excavation near same? Yes ___ No ___

If answer to any of above questions is 'yes', mark VSP as having an impact on historical, archaeological or cultural heritage site:

Has an impact No impact

E9. Loss of crops, fruit trees and household infrastructure

Will the sub-project result in the permanent or temporary loss of crops, fruit trees and household infrastructure (such as granaries, outside toilets and kitchens, etc)? Yes ___ No ___

If answer to any of above questions is 'yes', mark VSP as having an impact on crops, fruit trees and household infrastructure:

Has an impact No impact

E10. Adverse impacts on natural habitats

Will the sub-project have adverse impacts on Natural Habitats that will not have acceptable mitigation measures according to OP 4.04 Natural Habitats? Yes ___ No ___

If answer to any of above questions is 'yes', mark VSP as having an impact on natural habitats:

Has an impact No impact

E11. Solid or liquid waste

Will the sub-project generate solid or liquid wastes? Yes ___ No ___

If "Yes", does the sub-project include a plan for their adequate collection and disposal? Yes ___ No ___

If answer to any of above questions is 'yes', mark VSP as generating solid or liquid waste:

- Has an impact No impact

➤ ***If the answer to any of the above questions is 'yes', prepare an Environmental Management Plan that contains suitable mitigation measures***

Social screening

S1. Resettlement and/or land acquisition

Will land that is privately used for farming, residence, grazing or other purposes be permanently acquired or temporarily occupied by sub-project implementation? Yes ___ No ___

- If the answer is 'yes', proceed to the guidance on land acquisition (voluntary donation or resettlement action plan, as appropriate)

Will the sub project involve change of land use, such as new road alignment on farm land area ?
Yes ___ No ___

- If the answer is 'yes', proceed to the guidance on land acquisition that have to submit to the land acquisition department which has the authority to provide the approval and permitted letter for the purpose of other usage from the farm land usage even though the farmers are willing to do land donation.

S2. Accessing sub-project benefits

Will the following groups in the village have access to and benefit from the sub-project?

- Women: Yes ___ No ___
-- Youth groups: Yes ___ No ___
-- Ethnic minorities: Yes ___ No ___
-- Religious minorities: Yes ___ No ___
-- Other groups (e.g. the poor, the elderly) Yes ___ No ___

- For each group: if the answer is 'yes', specify how it will benefit, and if it is 'no', explain why they will not benefit.

Will villagers be employed for the implementation of works? Yes ___ No ___

- If the answer is 'yes', see Part I, Block Grants to determine the daily wage

Name:	_____	Position:	Head, Village Project Support Committee (one of 2) _____
Signature:	_____	Date:	_____

FORM PC 14: VOLUNTARY DONATION

Region / State:	
Township:	
Village tract:	
Village:	
Sub-project ID:	
Technical Facilitator:	

Name of land owner:	NRC Number:		Beneficiary of the sub-project: Y/N		
Sex:	Age:		Occupation:		
Address:					
Description of land that will be taken by the sub-project:	Land Type	Area Donated (sq ft)	Total landholding area (sq ft)	Ratio of land affected to total land held:	Map code, if available:
Description of annual crops growing on the land now and project impact:					
	Type of tree/crop		Number of trees/crops		
- Trees that will be destroyed					
- Fruit trees					
- Trees used for other economic or household purposes					
- Mature forest trees					
- Other significant crops grown in donated land.					
- Total of crops/trees					
Describe any other assets that will be lost or must be moved to implement the project:					
Will affected people need to be physically relocated?					

By signing or providing thumb-print on this form, the land user or owner agrees to contribute assets to the project. The contribution is voluntary. If the land user or owner does not want to contribute his/ her assets to the project, he or she should refuse to sign or provide thumb print, If the land owner or villagers wish to arrange some form of compensation for the landowner, this should be arranged by the village in another appropriate manner or channel without the use of project funds.

Date:.....

Date:.....

Village Project Support Committee
representative's signature

Affected persons signature
(both husband and wife)

Date.....

Date

Witness(1)

.....

Village Administrator Signature

Signature

.....

Date.....

Relationship

Witness(2)

Signature.....

FORM PC 15 : ENVIRONMENTAL MANAGEMENT PLAN/PCR PLAN

The completed form will be attached to the sub-project proposal. The EMP will be approved by the DRD township engineer.

Region / State:	
Township:	
Village tract:	
Village:	
Sub-project ID:	
Technical Facilitator:	

Potential adverse impact(s)	Mitigation measure(s)	Monitoring indicators	Responsibilities	Implementation schedule	Cost estimates

Name: _____ Position: Head, Village Project Support Committee

Signature: _____ Date: _____

FORM PC 16: O& M COST ESTIMATION for WORK ITEMS

<i>Instruction:</i> To be prepared by VPSC with assistance of village volunteers and TF			
Name of Facilitator/Staff:			
Date:		Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4	
State/Region:	Township:	Village Tract:	Village:

SR. No	Particular/Material input	Quantity	Unit	Rate	Amount (Kyats)
	Work Item 1				
Total (to be entered into Table-2)					
	Work Item 2				
Total (to be entered into Table-2)					
	Work Item 3				
Total (to be entered into PC 17)					

O&M prepared by:
Signature-
Name -
Position - O&M Sub-committee
Date -

Checked by :
Signature-
Name -
Position - Head of VPSC
Date -

Reviewed by:
Signature-
Name -
Position: Head of VTPSC
Date

FORM PC 17: O& M COSTS AND RESPONSIBILITIES

<i>Instruction:</i> To be prepared by VPSC with assistance of village volunteers and TF			
Name of Facilitator/Staff:			
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract:	Village:

O&M Work Items	Estimated Costs (Kyat) & Responsibilities							
	Year-1		Year-2		Year-3		Year-4	
	Village	Department	Village	Department	Village	Department	Village	Department
Work Item-1								
Work Item-2								
Estimated Cost								

O&M prepared by:
Signature-
Name -
Position - O&M Sub-committee
Date -

Checked by :
Signature-
Name -
Position - Head of VPSC
Date -

Reviewed by:
Signature-
Name -
Position - Head of VTPSC
Date -

FORM PC 18 : ANNUAL PLAN for COLLECTION OF USER CONTRIBUTIONS

<i>Instruction: To be prepared by VPSC in consultation with the village administrator to determine annual collection of user/beneficiary contributions. Post on the village notice board.</i>			
Name of Facilitator/Staff:			
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract:	Village:

Name of Voluntary Contributors	Form of Voluntary Contributions	Annual Contributions (Kyat)			
		Year-1	Year-2	Year-3	Year-4
1.	Cash				
	Material / community force / In-kind				
2.	Cash				
	Material / community force / In-kind				
3.	Cash				
	Material / community force / In-kind				
4.	Cash				
	Material / community force / In-kind				
Total contributions (kyat)					
Total community force (Kyat)					
Total Material (kyat)					
Total of In-kind (kyat)					
Total					

O&M prepared by:

Signature-

Name -

Position - O&M Sub-committee

Date -

Checked by :

Signature-

Name -

Position - Head of VPSC

Date -

Reviewed by:

Signature-

Name -

Position - Head of VTPSC

Date -

FORM PC 19: O& M FINANCING ARRANGEMENTS

<i>Instruction: To be prepared by VPSC in consultation with the village administrator to determine if the financing arrangement covers the estimated O&M costs.</i>			
Name of Facilitator/Staff:			
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract:	Village:

	Annual Estimates (Kyats)							
	Year-1		Year-2		Year-3		Year-4	
	Village	Dept.	Village	Dept.	Village	Dept.	Village	Dept.
A. Total Estimated Costs for O&M Works Items for sub-project (from Table-2)								
B. Village contribution, both in in-cash and in-kind (from Table-3)								
C. From Project block grant 5%, if any								
D. From other source (specify)								
Total fund available for O&M(B+C+D)								
Net funding shortfall of the sub-project	Needed fund							
	Exceed fund							

O&M prepared by:

Signature-

Name -

Position - O&M Sub-committee

Date -

Checked by :

Signature-

Name -

Position - Head of VPSC

Date -

Reviewed by:

Signature-

Name -

Position - Head of VTPSC

Date -

FORM PC 20: O & M SCHEDULE

<i>Instruction: To be prepared by Village O&M sub-committee with the assistance of village volunteers and TF. Post on the village notice board</i>			
Name of Facilitator/Staff:			
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract:	Village:

O&M Work Items	Responsible	Year ----- (June 14 to Mar 15)											
		Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	April	May
	Village												
	Dept.												
	Village												
	Dept.												
	Village												
	Dept.												
	Village												
	Dept.												
	Village												
	Dept.												

O&M prepared by:
Signature-
Name -
Position - O&M Sub-committee
Date -

Checked by :
Signature-
Name -
Position - Head of VPSC
Date -

Reviewed by:
Signature-
Name -
Position - Head of VTPSC
Date -

FORM I 1 : PRELIMINARY ASSESSMENT of DAMAGE to SUB-PROJECTS

<i>Instruction: To be completed by TF with feedback from VPSC.</i>			
Name of Facilitator/Staff:			
Date:		Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4	
State/Region:		Township:	

List of sub-projects and degree affected: ____ **Township** ____ **year** | ____ **month**

No	Village Tract	Village	Sub-Project	Damage No = 0 Small = 1 Strong = 2 Complete=3	Approved Budget	Already disbursed	Estimated cost increase due to damage	Report attached	Comment / Proposal
1	Ann Taung	Patkwae	Spring water pipeline sub-project	0	1440000	1020000	4500	<input type="checkbox"/>	(Yes) Annex
								<input type="checkbox"/>	
								<input type="checkbox"/>	
								<input type="checkbox"/>	
								<input type="checkbox"/>	
								<input type="checkbox"/>	
								<input type="checkbox"/>	
								<input type="checkbox"/>	
								<input type="checkbox"/>	
								<input type="checkbox"/>	

Data collector

Date __

FORM I 2: DISASTER DAMAGED SUB-PROJECT REPAIR NEEDS ASSESSMENT SHEET

<i>Instruction: To be completed by TF with feedback from VPSC</i>			
Name of Facilitator/Staff:			
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract	Village

Sub-project		Approved Budget	
Distance to township centre	Travel Time		Means of transportation
Description of situation of sub-project and damage:			
Required work and material to finalize the sub-project			
Safeguards / ECOPs / EMP applicable? Yes <input type="checkbox"/> --- No <input type="checkbox"/> Comment:			
Financial information			
Disbursement to date:		Estimated additional cost due to damage	
Disbursement per cost items: - material: - material: - wages: - equipment: - other		New, additional cost items: - material: - material: - wages: - equipment: - other	
Balance remaining:		Estimated cost overrun:	
Community process / community decision			
Has village meeting been conducted to discuss and agree about next action? _____ Do villagers vote for a change in the original plan? _____ if yes, explain:			
Village agreement:			
Village meeting and agreements documented <input type="checkbox"/> ; attendance sheet attached <input type="checkbox"/>			

FORM T 1: TRAINING REPORT

Union/ Region/State	Township	Village Tract	Village	Date

Instructions: Paper form to be completed by the trainer (CF, TF, TA, etc.) after the training course. Data is entered into tablet by CF for training given by him/her to community, and by township M&E Officer into township PC for training given by others.

1. General information

Title of event:				
Start	Finish	Duration		
Location of training				
Main trainer		Report prepared by		

2. Number of Participants	Male	Female	Total
Government officials			
Key Experts			
CF/TF			
Community members			
Other participants			

3. Summary of participants' rating of the training (from the end-of-course evaluation)	How many participants in total rated the event and the achievement of the objectives with 4 stars (high), how many with 3, 2 or 1 star (low)			
	★★★★	★★★	★★	★
Overall opinion				
Achievement of training objective 1: <write here objective 1>				
Achievement of training objective 2: <write here objective 2>				
Achievement of training objective 3: <write here objective 3>				
Achievement of training objective 4: <write here objective 4>				
Achievement of training objective 5: <write here objective 5>				
4. Duration	Too short	ok	Too long	
How many participants rated the duration too long, ok, or too short				

5. Recommendations: (self-) critical assessment by the trainer what could be improved next time (multiple selection possible)

- | | |
|--|--|
| <input type="checkbox"/> preparation of the event | <input type="checkbox"/> quality of training material |
| <input type="checkbox"/> timely invitations | <input type="checkbox"/> budget issues |
| <input type="checkbox"/> quality of training agenda and objectives | <input type="checkbox"/> coordination with authorities |
| <input type="checkbox"/> training session plans | <input type="checkbox"/> support from union TA |
| <input type="checkbox"/> control of time during the event | <input type="checkbox"/> others |

6. Comments by the trainer: (use the back side or additional paper if the space is not enough here)

7. Supporting material

- | | | | |
|--------------------------------|-----------|------------------------------|-----------------------------|
| List of participants | Attached? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Training agenda | Attached? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Other material attached? | | | |

8. Training expenses

.....

ANNEX 1: END-OF-COURSE EVALUATION FORM

*Instructions: To be filled in by all participants at the end of each training event.
Before making photocopies, the trainer should already fill in title, date, location, main trainer and, especially, the OBJECTIVES (at least one, maximum five) to make it easy and quick to fill in.*

Title / topic of event:
Date of event:
Location of training
Main trainer

How do you rate the event overall?

	Very good	Good	Average	Poor
Overall opinion	☆☆☆☆	☆☆☆	☆☆	☆

How do you rate the achievement of the training objectives?
(at least one objective, maximum five objectives)

Achievement of training objective 1 <write here objective 1>	☆☆☆☆	☆☆☆	☆☆	☆
Achievement of training objective 2 <write here objective 2>	☆☆☆☆	☆☆☆	☆☆	☆
Achievement of training objective 3 <write here objective 3>	☆☆☆☆	☆☆☆	☆☆	☆
Achievement of training objective 4 <write here objective 4>	☆☆☆☆	☆☆☆	☆☆	☆
Achievement of training objective 5 <write here objective 5>	☆☆☆☆	☆☆☆	☆☆	☆

Was the duration ok? 	Too short	Ok	Too long
--------------------------	-----------	----	----------

Comments by participants

ANNEX 2: LIST OF PARTICIPANTS (WORKED EXAMPLE)

Title of event:

Date:

Use separate lists for each day!

	Name	m	f	Organization or village	Function	Government ID	KE' s	CF/TF	Community	Other	Contact (email or phone)	Signature
				Examples								
				DRD Ann township	Head of DRD							
				DRD Htantabin	Procurement officer							
				Village a	M&E sub-committee		X					
				Village b	Head of VPSC		X					
				Village tract ab	Finance sub-committee		X					
				Village tract ab	Grievance focal		X					
				TTA Tatkone	CF					X		
				TTA Pinlebu	TTA finance					X		
				Village b	Village volunteer		X					

FORM HR.1: PROJECT STAFF/CONSULTANT INFORMATION

Instructions: To be completed by township M & E / MIS Officer	
Township :	
Date:	
Name of Project Staff/Consultant:	
Gender:	Father Name:
NRC.No:	Date Of Birth:
Birth Place:	Ethnic Groups (Optional):
Title/Position:	
<input type="checkbox"/> ICDD	<input type="checkbox"/> NPA
<input type="checkbox"/> State/Region TA	<input type="checkbox"/> DR <input type="checkbox"/> State/Region
<input type="checkbox"/> Township DRD	<input type="checkbox"/> Full TTA <input type="checkbox"/> Junior TTA
Functional Unit	
<input type="checkbox"/> Team Leader/ Project Manager	<input type="checkbox"/> M&E/MIS
<input type="checkbox"/> Communication, Social Inclusion & Gender	<input type="checkbox"/> Finance
<input type="checkbox"/> Procurement	<input type="checkbox"/> Infrastructure
<input type="checkbox"/> Community Facilitator	<input type="checkbox"/> Technical Facilitator
If other title/position, please specify:.....	
Address:	
Mobile tel:	E-mail:
Highest education degree: (circle) High School Univ degree Graduate degree	
Major:	
Spoken Language: Other language:	
Date of Joining: No	Current In <input type="checkbox"/> Position: Yes <input type="checkbox"/>
If No, Enter date of leaving:	

FORM HR 2: VOLUNTEER, VILLAGE, OR VILLAGE TRACT COMMITTEE MEMBER INFORMATION

<i>Instructions: Information to be given by each Volunteer, Village or Village Tract Committee Member. Form to be entered into tablet by CF.</i>																											
Name of Community Facilitator																											
Date:																											
State/Region:	Township:	Village Tract:	Village:																								
Name of Volunteer, Village or Village Tract Committee Member:																											
Male/Female (circle):	Age:	Ethnic group (optional):																									
<table style="width: 100%; border: none;"> <tr> <td style="width: 60%;"><u>Committee/Position:</u></td> <td style="width: 40%;"></td> </tr> <tr> <td><u>Committee / Role Chairperson (tick)</u></td> <td style="text-align: right;"><u>Chairman/Leader</u></td> </tr> <tr> <td><input type="checkbox"/> Village Project Support Committee</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/> Procurement Sub-Committee</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/> O & M Sub-Committee</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/> Monitoring Sub-Committee</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/> Village Finance Clerk</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Village volunteer</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Grievance focal point</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/> Village Tract Committee Member</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/> Finance Sub-Committee</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/> Other:</td> <td style="text-align: right;">Please specify: _____</td> </tr> </table>				<u>Committee/Position:</u>		<u>Committee / Role Chairperson (tick)</u>	<u>Chairman/Leader</u>	<input type="checkbox"/> Village Project Support Committee	<input type="checkbox"/>	<input type="checkbox"/> Procurement Sub-Committee	<input type="checkbox"/>	<input type="checkbox"/> O & M Sub-Committee	<input type="checkbox"/>	<input type="checkbox"/> Monitoring Sub-Committee	<input type="checkbox"/>	<input type="checkbox"/> Village Finance Clerk		<input type="checkbox"/> Village volunteer		<input type="checkbox"/> Grievance focal point	<input type="checkbox"/>	<input type="checkbox"/> Village Tract Committee Member	<input type="checkbox"/>	<input type="checkbox"/> Finance Sub-Committee	<input type="checkbox"/>	<input type="checkbox"/> Other:	Please specify: _____
<u>Committee/Position:</u>																											
<u>Committee / Role Chairperson (tick)</u>	<u>Chairman/Leader</u>																										
<input type="checkbox"/> Village Project Support Committee	<input type="checkbox"/>																										
<input type="checkbox"/> Procurement Sub-Committee	<input type="checkbox"/>																										
<input type="checkbox"/> O & M Sub-Committee	<input type="checkbox"/>																										
<input type="checkbox"/> Monitoring Sub-Committee	<input type="checkbox"/>																										
<input type="checkbox"/> Village Finance Clerk																											
<input type="checkbox"/> Village volunteer																											
<input type="checkbox"/> Grievance focal point	<input type="checkbox"/>																										
<input type="checkbox"/> Village Tract Committee Member	<input type="checkbox"/>																										
<input type="checkbox"/> Finance Sub-Committee	<input type="checkbox"/>																										
<input type="checkbox"/> Other:	Please specify: _____																										
Address:																											
Mobile tel:		E-mail:																									
Emergency contact: Name, tel:																											
Year started with project:																											
Highest education level: (circle) Read & Write Primary Middle School High School Univ degree																											
Major:.....																											

FORM F3: ADMINISTRATIVE EXPENDITURE LOG

<i>Instruction: This form is prepared by the village Finance Clerk , checked by Chairperson of FSC, and approved by Chairperson of VTPSC.</i>			
Name of Facilitator/Staff:			
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract	Village

For the Period
from.....To.....

PV No	Date	Description of Expense	Receipt	Payment	Balance	Analysis of Expenditure			
						Local Travel	Office Supplies Stationery	Bank Charges	Other
Finance Clerk									

Prepared By Bookkeeper/Village VTPSC Checked By Head of FSC Approved By

FORM F4: BLOCK GRANT DISBURSEMENT REQUEST

<i>Instruction: This form is to be prepared by the Head of the FSC, and countersigned by the Head of VTPSC.</i>			
Name of Facilitator/Staff:			
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract	Village

Date FSC Training Completed

.....

Number of villages in this Village Tract.....Confirmation that all VPSC established: Y / N

Bank Account Detail

Name of Account

.....

Account No

.....

Name of Bank

.....

Address of Bank

.....

.....

Names & positions of Authorized Signatories.....

.....

.....

Date Grant Agreement Signed.....

(Attach: Copy of Sub-Project Grant Agreement)

Head of FSC

Head of VTPSC

Signature& date

Signature & date

-----**(for DRD use)**-----

Certified by DRD township

**Certified by DRD Union
Project Manager**

**Certified payment made by
DRD FM officer**

FORM F5: PAYMENT VOUCHER

<i>Instruction: This form is prepared by the village Finance Clerk, checked by Chairperson of FSC and Head of Procurement Sub Committee, and approved by the Chairperson of VTPSC.</i>			
Name of Facilitator/Staff:			
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract	Village
Subproject Name			

Payment Method (Circle one of following)

No.....

Check MTO Cash

No.....

Voucher

Check

Date.....

Item #	Description	Total Amount (Kyat)
Total Kyats		

If paid in Cash

reason.....

Prepared By Bookkeeper/Village
Finance Clerk

Checked By Head of FSC/Head
of PSC

Approved By VTPSC/Head of
VPSC

Signature & date

Signature & date

Signature & date

FORM F6: SUB-PROJECT FINAL FINANCIAL REPORT
(Entered into MIS)

<i>Instruction: This form is prepared by the village Finance Clerk ,approved by Head of VPSC. It is then checked by Chairperson of FSC, and approved by Chairperson of VTPSC .</i>			
Name of Facilitator/Staff:			
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract	Village
Subproject Name			

Sub-project Name:	
Village Name:	
Village Tract Name:	
Township Name:	
Date of report submitted to township	
Date sub-project started	
Date sub-project completed	
Block grant allocated for subproject	
Initial community cash contribution(if any)	

Description	Estimated cost (MMK)	Actual Expenditure (MMK)			Remarks
		CDD Funds	Community contribution	Total	
Contracts					
Community Force Account					
Materials		1			
Wages		1			
Equipment Hire		1			
Transport Costs		1			
<i>Sub-total of Community Force Account</i>		4			
Other Expenditure		1			
Total Sub-project Cost					
Balance (if any)					

Prepared By Village Finance Clerk

Confirmed Head of VPSC

Checked by Head of FSC

Approved By Head of VTPSC

Signature & date

Signature & date

Signature & date

Signature & date

FORM F7: CYCLE COMPLETION FINANCIAL REPORT

<i>Instruction: This form is prepared by the village Finance Clerk , checked by Chairperson of FSC, and approved by Chairperson of VTPSC.</i>			
Name of Facilitator/Staff:			
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract	Village
Subproject Name			

Date Report Submitted to DRD Union Level:

Description	Amount MMK	Remarks
Receipts		
Block Grant		
Previous cyclebank balance		
Other receipts		
Total Receipts		
Payments		
Sub-projects Completed		
List Name		
List Name		
List Name		
List Name		
List Name		
Sub-projects in progress		
List Name		
List Name		
Administrative Expenses		
Total Payments		
Balance of Block Grant		
Bank Balance		
Petty Cash Balance		
Total		

Prepared by Village Finance
Clerk

Checked by Head of FSC

Approved by Head of VTPSC

Signature & date

Signature & date

Signature & date

FORM F8: COMMUNITY CONTRIBUTION

<i>Instruction:</i>			
Name of Facilitator/Staff:			
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract	Village
Subproject Name			

Note: this form can be used to record both in-kind (labor, materials and others) and cash contribution

Seq No	Name of contributor	Male	Female	Description of contribution	Date	Amount Contributed (quantified)	Signature/Thumb print

Prepared By Bookkeeper/ Finance Clerk	Confirmed Head of VPSC	Checked by Head of FSC	Approved By Head of VTPSC
Signature & date	Signature & date	Signature & date	Signature & date

FORM F9: Travel Expenses

<i>Instruction:</i>			
Name of Facilitator/Staff:			
Date:	Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4		
State/Region:	Township:	Village Tract	Village
Subproject Name			
Purpose of travel:			

Note: this form can be used to record payment of daily allowance, fuel/transportation cost.

Seq No	Name of traveler	Designation (e.g. head of VTPSC, head of FSC, PSC etc)	Purpose of Travel	Daily/ meal allowance	Transportation cost/fuel	Total Cost	Signature/ Thumb print

FORM F10: VILLAGE TRACT SUB-PROJECT BUDGET TABLE

<i>Instruction: This form is prepared by the village Finance Clerk , checked by Head of FSC, then approved by Chairperson of VTPSC.</i>			
Name of Facilitator/Staff:			
Date:		Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4	
State/Region:	Township:	Village Tract	Village
Subproject Name			

	Total Budget	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec
	Kyat	Kyat	Kyat	Kyat	Kyat	Kyat	Kyat	Kyat	Kyat	Kyat	Kyat	Kyat	Kyat
Sub-project 1													
Sub-project 2													
Administrati on Cost													
Total													

Prepared By Bookkeeper

Checked by Head of FSC

Approved By Head of VTPSC

Signature & date

Signature & date

Signature & date

Form P1: MEETING MINUTES FOR PROCUREMENT METHOD SELECTION

<i>Instruction: VPSC and Procurement Sub Committee organize and record minutes of the procurement method selection meeting with support of CF.</i>		
Date:		
Township:	Village Tract	Village
Subproject Name		

I. Attendance List

Sr.	Name	Position for the Sub- Project	F/ M	Signature

II. Discussion Notes

Sr.	Name/ Position of person raising topic	Discussed Context	Remarks
1			

III. Summary of Decision on the Selection of the Procurement Method

Meeting for selection of the procurement method for the above sub- project was held fromto at After discussion by the participants, the following method was decided to be used for successful implementation of the sub- project:

Procurement Method for the Sub- Project

	Procurement of Materials (Shopping/Direct Contracting)	CFA	Contractor Hiring	Machinery & Equipment Hiring
Original agreed method				
Revised method (if revised)				

Other Agreements/Decisions

.....
.....

Signature

Signature

Name.....
Head of Village Project Support Committee

Name.....
Head of Village Procurement Sub-Committee

Recommendations made by DRD Township Engineer or Township Technical Facilitator

Description of Subject	
Community willingness to CFA (Y/N)	
Labor source for CFA (Y/N)	
Source Availability for procurement of construction materials	
Conditions of transportation/logistical arrangements	
Construction tools	
Should need to hire contractor (If needed why?)	
Estimated date of completion	
Implementation commenced date	

Other Key Findings

.....

Signature	-----	Signature	-----
Name/ Position	-----	Name/ Position	-----
Organization Name	-----	Organization Name	-----
Township	-----	Township	-----

FORM P 3: INVITATION FOR QUOTATION

<i>Instruction: With assistance from the CF, Procurement Sub Committee has to prepare the invitation for quotation (P3), including minimum specifications and invitation to the bidder, and final acceptance/evaluation of quotation (P4).</i>					
Name of Facilitator/Staff:					
Date:		Cycle (√): <input type="checkbox"/> Cycle 1 <input type="checkbox"/> Cycle 2 <input type="checkbox"/> Cycle 3 <input type="checkbox"/> Cycle 4			
State/Region:	Township:	Village Tract		Village	
Subproject Name					

1. We invite you to propose the price for the following materials/contractor to procure/hire for the project No. () in -----village,-----VT,-----Township , implemented by the DRD. The interested party fills in the price of materials and submits to the address in Paragraph 2 not later than(closing date for submission of RFQ):

Required materials/contract/skilled labor list

Contract /Lot No.	Item	Description	Type	Unit of Measurement	Quantity
Supply to					

2. Address for RFQ submission :

U/Daw.....
 Leader
 Procurement sub committee
 -----Village
 -----Township

- 3 Delivery time limit: The goods will be delivered to the above final destination within () calendar days after issuing the purchase order.
- 4 Proposed prices. The proposed material prices for the goods delivered at the final destination (project site) should be quoted in MMK. The proposed price should include transportation cost, insurance, and tax, including other local tax, trading tax or contracted tax. During the contracting process, the proposed price shall not be negotiated or edited.
- 5 Validity of RFQ: The RFQ shall remain valid for the period of sixty (60) days.

6. Evaluation/comparison of bids: In evaluating the bids, the purchaser will determine for each bid the evaluated bid price, by making any correction for any arithmetic errors as follows:
 - a) Where there is a discrepancy between amounts in figures and in words, the amount in words will govern
 - b) Where there is a discrepancy between the unit rate and the line item total, resulting from multiplying the unit rate by the quantity, the quoted unit rate will govern.
7. Award of contract: The Purchaser shall award the contract to the bidder whose bid has been determined to be the lowest evaluated bid, and is substantially responsive to the bidding documents, provided further that the bidder is determined to be qualified to perform the contract satisfactorily.
8. Payment provisions : The payment will be made only in MMK. After receipt of the materials by the customer, the Supplier shall submit its commercial invoice with the original receipt attached. The Purchaser shall effect payment within thirty (30) days of submission.
9. Price and delivery schedule: The proposed price and delivery period have to be entered in the below table perfectly.

Contract/Lot No	Item	Description of Goods	Qty	Destinati on Place (Project Site)	Delivery Period	Unit price	Total Proposed Price (Including tax)

Total proposed price (in words)-----

Supplier signs to confirm price-----

10. Technical Specification: This must be fully detailed in the below table:

Technical Specification

Item or Lot No.	Minimum Specification	Statement of Compliance

Supplier signs to confirm quality of goods.....

11. Late or no delivery: If the selected supplier defaults on the delivery date, the customer will inform the supplier within seven (7) days and can cancel the purchase order or contract for the construction.

12. Delayed damages : the employer shall reduce the payment to the contractor/bidder by 0.1% of the total price of the project for every day of delay after the target completion date as shown in the contract or purchase order, and any amendment thereof. The reduction is up to a maximum of 10% of the value of the contract, thereafter the Employer may terminate the contract or purchase order.

13. For more information regarding the quotation, please contact the of village procurement sub committee, U/Daw.....,ph.no.....

Proposed Business Name
Owner Signature
Owner Name and positionAddressPh.no
.....Date

FORM P 4: QUOTATION EVALUATION REPORT (GOODS & WORKS)

Instruction: VPSC and Procurement Sub Committee must evaluate the quotation by comparing with technical standard with the help of TF and clarification of the quotation with the help of CF.

Name of Facilitator/Staff:

Date: Cycle (√): Cycle 1 Cycle 2 Cycle 3 Cycle 4

State/Region: Township: Village Tract Village

Subproject Name

1. Sub-project ID No. and name:	
2. Details of goods /works/services:	
3. Estimated cost (MMK):	
4. No days advertised: date fromto	
5. Submission deadline (date):	

1. We received () quotation to procure/hire materials/contractors for the () subproject in the-----
-village,-----VT, -----Township of CDD Project.

Quotations were received from the following suppliers:

No.	Bidder Business Name	Supplier Name	Address/Ph No	Quotation Received Date

2. According to the quotation, the bidders are listed in price or (minimum to maximum) as follows:

Comparison of price for contract no/lot no.:

Business Name	Item	Total Price (MMK)	Rating

3. In case the lowest price quotation was not selected, explain why

--

4. After discussion, the decision of the Procurement Sub Committee is as follows :

- (a).....
- (b).....
- (c).....
- (d).....

5.-----subproject’s contract no () selected bidder.

Name and address of the lowest evaluated bidder:	
Total price of the contract (MMK):	
Date of contract award/ Date of purchase order	
Give details regarding any issues to be discussed before finalization of contract	
Complaints from other suppliers/contractors, if any: provide details and fill in the grievance handling form Part A	

6. The selection process was satisfactory and is hereby signed by VPSC and Procurement Sub Committee.

Signatures of the Procurement Committee :

Sr	Name	Position	Signature
(a)			
(b)			
(c)			

Date of the evaluation for quotation -----

FORM P5: PURCHASE ORDER (GOODS)

<i>Instruction: This form to be completed by the Procurement Sub-Committee, and countersigned by Head of VPSC and the winning bidder. Shop /Business owner must adhere to the Code of Conduct regarding fraud and corruption stated in the operation manual.</i>			
State/Region:	Township:	Village Tract	Village
Subproject Name			

To.

.....

(Put the full name of business/bidder and address)

With reference to the proposed quotation on the date----- by the business/glacier/company for invitation for the project----- , procurement sub committee, CDD project.

This purchase order is based on agreement regarding the quotation invitation (P3) and Goods Order (P5). The procurement sub committee agrees to procure or hire or contract for the contract no (), total price -----MMK, in word.....

a) Price and delivery schedule

Sr.	Item	Unit of Measurement	Quantity	Unit Price	Total Cost	Delivery date
	Total Cost (MMK)(including tax)					

b) Price validity

The total price is according to the P3 for selected bidder or selected supplier's proposal. It cannot be edited or changed until payment is complete.

c) Payment provision (ref PC 3, sr. 8)

Payment shall be made in Myanmar Kyats within..... days of goods receipt. Payment will only be made to the supplier after satisfactory receipt of materials and services, and submission of original invoice, within 30 days.

d) Attached documents

The Supplier must hand over all following documents together with the invoice.

- (a) Technical specification of materials
- (b) Warranty cards for available goods
- (c) Original Price List
- (d) Goods Received Letter

(e) Others

e) Delayed damages

The employer shall reduce the payment to the contractor/bidder by 0.1% of the total price of the project for every day of delay after the target completion date as shown in the contract or purchase order, and any amendment thereof. The reduction is up to a maximum of 10% of the value of the contract, thereafter the Employer may terminate the contract or purchase order.

Signature

.....

Name
(Head of Procurement Sub committee)

Phone

Date

Signature

Name
(Head of Village Project Support Committee)

Phone

Date

Signature of bid winner

Supplier Name

Business/Shop Name.....

Phone no

Date

Witness by

Signature -----

Shop/Name-----

Ph No-----

Date-----

FORM P6: SAMPLE CONTRACT FOR WORKS (LEGAL AGREEMENT)

Instruction: Shop /Business owner must adhere to the Code of Conduct regarding fraud and corruption stated below .

Place Tax Stamp Here

Township :

Village Tract :

Village :

Sub-project ID No. :

Sub-project Name :

Description of Works :

Contractor Name :

(address)

“Contract”

This contract is made -----(date) between the employer, subproject no(), -----village, -----VT, -----Township and -----win bider (business/ccontractor), require for -- -----contract or labour contract, total _-----MMK/ in word.....

Employer
-----Village, NCDD Project

Contractor
----- (Bidder name)
----- (Address)

1. The “Contractor” must agree to all terms and conditions in the contract and quotation for -----subproject
2. The Contractor must complete construction, starting from (date) -----and not later than (date) -----.
3. Payments shall be made only in Myanmar Kyat as shown in the schedule below.

Disbursement Schedule for Lump Sum Contract			
Installment Payment	Work done %	Scheduled Date	Payment Conditions (% Completed Works)
Payment No 1	Xxxxxx0%	project starting date	10% at contract signing
Payment No 2	Xxxxxx 50%	xxxxxxx	40%
Payment No 3	Xxxxxx 90%	xxxxxxx	40%
Payment No 4	100%		10%
Total Contract	Xxxxxxx100%		100%

4. The payment process will be done as follow;
 - (a) When the Contractor wishes to apply for payment he must submit a written Request for Payment to the Employer

- (b) The Technical Facilitator will check that the construction is following the drawings and any instructions given by the Technical Facilitator to the Contractor, and send a progress report to the Employer, Procurement Sub Committee, within 7 days after receiving the Request for Payment. In the report, he/she will verify that the work has been completed according to the contract.
 - (c) On receiving a Progress Report (or Completion Report) from the Technical Facilitator, indicating that the conditions for release of any payment have been met, the Employer must issue a Payment Order. But if the Progress Report is delayed beyond the payment schedule, the payment must issued within 7 days after receiving the report.
 - (d) On receiving the Payment Order in accordance with the contract, the Finance Sub Committee must issue payment within 7 days.
 - (e) The employer can issue payment by cheque or by cash. The Finance Sub-Committee has to keep the financial records and hand them over systematically for auditing.
5. The Contractor must pay 5% of the total contract as an operation guarantee fee within 28 days after receiving the invitation for a contract. This fee has to be deposited into the VTPSC bank account or any bank guarantee. The Contractor has to pay this fee to the employer as a guarantee in case of unfinished work. If the contractor fully completes the work, and construction operates well after 6 months, the Employer is obliged to return the operation guarantee fee to the Contractor.
6. The Employer and the Contractor agree the following:
- (a) The Employer pledges to pay the Contractor the Contract Price, Kyat (in word). This amount is for the full quantity of work shown on the drawings, including materials, transport to the site, labor and profit.
 - (b) The Contractor pledges to construct the work completely according to the price in Para.6, sub para (a), and to maintain these works in good condition for six months after the construction is complete.
7. Delayed damages : the employer shall reduce the payment to the contractor/bidder by 0.1% of the total price of the project for every day of delay after the target completion date as shown in the contract or purchase order, and any amendment thereof. The reduction is up to a maximum of 10% of the value of the contract, thereafter the Employer may terminate the contract or purchase order.

Sub-Project Contractor’s Code of Conduct (CCoC)

8. The Contractor shall:
- (a) appoint a project supervisor on behalf of himself to represent and implement the contract.
 - (b) inform the Procurement Sub Committee officially by letter about investiture of the project supervisor according to the paragraph (a).
 - (c) not share or sub contract any part of the whole subproject without the agreement of the Employer (Procurement Sub Committee). If the Employer agrees to sharing/ sub contracting, the sub-contractors is also responsible to follow the terms of the contract.
 - (d) supervise the construction site directly or indirectly. The contractor is fully responsible for successful implementation of the contract, including technical collaboration, construction process and related matters .
 - (e) together with the project supervisor, hold meetings with the Procurement Sub Committee, Community Facilitator, Technical Facilitator or Infra counterpart (Engineer) for Township Department of Rural Development.

- (f) provide site safety materials such as long boots, gloves, helmets. During construction, at least one member of contractor's staff is obliged to wear these safety materials.
- (g) ensure that all procured materials meet the technical specifications and are fully functional . The quality of supplied materials must be checked together with the Procurement Sub Committee, and a copy of the approved quality-checked record must be sent to the Procurement Sub Committee.
- (h) pay tax according to the law for procurement of materials and hiring of machinery included in the contract for the whole project.
- (i) be responsible for any action taken by the contractor's employees while implementing the contract.
- (j) clear all the disposed / waste materials and trash from the site. After completion of subproject construction, the contractor must render the site clear.
- (k) ensure adherence to NCDDP's policy on "equal pay-for-equal work" for all women and men
- (l) ensure no workers under 16 years of age are hired to work at the site.
- (m) ensure that no hired labourers are paid prior to engagement.
- (n) furnish all labour, materials (unless indicated otherwise), necessary tools, machinery and equipment required to execute and complete the work in accordance with sound engineering practices and quality of work set by the technical specifications.
- (o) provide all necessary personal superintendence and employ a competent representative to attend and supervise the day-to-day work, and to receive direction, explanation, instruction or notice given by the employer
- (p) seek out and involve whenever possible the community's participation in and procurement of: local construction materials, skilled/unskilled labour, local transport, rent, and storage for material within the project community.
- (q) seek information from the VPSC regarding the local situation of the village, and ensure all contractor staff that come from outside the village are briefed and aware of any relevant issues. Make sure all contractor staff demonstrate respectful behaviour at all times, maintain positive relationships with all involved authorities
- (r) if implementation of the Contract is delayed due to any circumstances or event, which could not have been foreseen by an experienced contractor, the Contractor must inform the Technical Facilitator immediately about the delay. If the Technical Facilitator considers that an extension of time for the Contract is justified, the Contractor must submit an amended Work Plan, agreed with the Technical Facilitator, for approval by the Employer.
- (s) maintain the works in good condition for ...6... months after completion of the Contract.

In witness of what has been agreed above,village, NCDDP andShop/Business

are affixed below.

Signature

Name

Position/Head

Organization: Procurement Sub Committee

Witness

Signature

Name

Position

Organization
Date

Signature

Name

Position:

Business Name

Signature

Name

Position

Organization
Date

FORM P 7: FORCE ACCOUNT EXPENDITURE
(This form will be entered into the MIS)

<i>Instructions: To be completed by the Procurement Sub-Committee (PSC) of the Village Project Support Committee</i>	
Sub-project Name:	
Sub-project ID:	
Village Name:	
Village Tract Name:	
Date of report:	

Total cost for subproject ID () up to date-----

Sr. No	Type of expenditures	Unit cost	Total quantity	Total cost
1	Materials			
2	Transportation cost			
3	Labor cost			
4	Equipment hiring fee			
	Total expenditure for this period			
	Total expenditure to date (Prior period + this period)			
	Approved budget			
	Balance			

Time :

Signature:.....
 Name

Signature:.....
 Name:.....

Head of Village Project Support Committee: Head of Procurement Sub-committee:

Date:.....

Date:.....

o

FORM TA 1: Gender Monthly Report (CF)

Reported by :

Reporting period :

No. of village :

No. of village tract :

(1) Gender training/discussion session and any gender related activities

Sr.	Date	Name of village tract	Name of Village	Description of activities	Participants				Remarks
					Committee		Community		
					M	F	M	F	

(2) Any arrangement of safety travel for women and men committee members

Yes No

If yes, describe the reason

Name of village

(3) Description of current community gender knowledge, and/or any gender role changes in the community, and/or case stories (positive/negative)

Sr.	Name of village	M/F	Description

--	--	--	--

(4) Description of benefits for women and men who are participating in every stage of the project (planning, implementation, social audit) and/or case stories (positive/negative)

Sr.	Name of village	Type of Sub project	M/F	Description

(5) Any difficulties and challenges: -----

(6) Any comments and suggestions: -----

Signature

**QUARTERLY REPORT FOR (NAME OF TOWNSHIP)
.....QUARTER 201....**

TOWNSHIP LEVEL TECHNICAL ASSISTANCE FOR PROJECT IMPLEMENTATION

NATIONAL COMMUNITY-DRIVEN DEVELOPMENT PROJECT

IDA Grant No: H814-MM



Prepared by:

DRD Technical Assistance Team at (Township)

Date:

Proposed abbreviated reporting template for Township Quarterly Report

(to be submitted to State/Region Office and Union M & E Unit within 2 weeks of end of quarter)

ExecSum : a short overall text summary of progress, issues, support required and key events for the quarter (max. 3 paragraphs).

2. Progress :

2.1 print out the PC 8 table for your township on last day of the quarter. This table should include: a) number of grievances received and resolved during the quarter b) number and type of training given c) number and value of block grants received.

2.2 Give a summary of key events with dates that transpired during the quarter, such as township MSR, social audits, learning exchange visits, workshops, TA and supervision visits from state/region or Union, special training events, communication events, delivery of goods.

3. Issues/challenges/learning: a short set of bullet points, expanding if necessary on the issues/challenges included in the ExecSum. Here you can specify cause of any delays (e.g conflict, flooding, access etc). Include mention of serious (core, not letters of appreciation and suggestions)) grievances (without mention of individual names) if any, and follow up steps being taken.
4. Support required from State/region and Union. a short set of bullet points, expanding if necessary on the support required included in the ExecSum. Here a township can add comments on the response (or lack of response to support requested in the previous quarter.
5. Staffing table: numbers of key experts, CF and TF, and counterpart DRD staff present at end of quarter. Indicate any positions which were, or are still, vacant during the quarter.
6. Table of sub-projects by sector : just show numbers planned for each sector. In the same table you can add 2 columns showing the number of sub-projects involving EM and/or Voluntary Donation.
7. ⁷Workplan next quarter : single page barchart or milestone table showing key events / phases planned.



Township quarterly
report template table:

Table (1) Progress to end quarter (Link available in MS Word file)

Table (2) Subprojects by Sector (Link available in MS Word file)

Table (3) Safeguard Summary (Link available in MS Word file)

Table (4) Staffing Changes (Link available in MS Word file)

Table (5) Issues and Learning (Link available in MS Word file)



National Community Driven Development Project

Operations Manual

Chapter 4 Terms of Reference

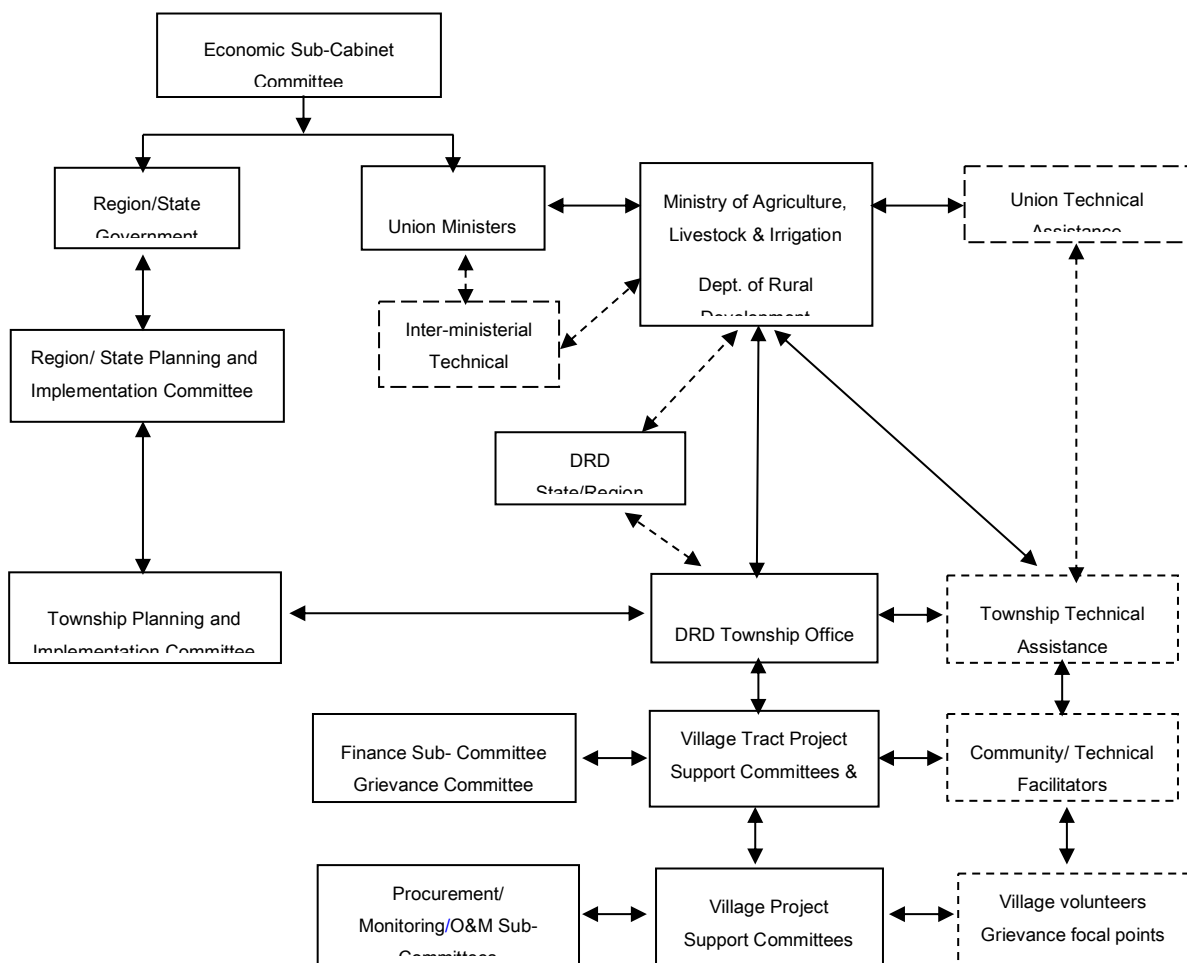
Chapter 4 Table of Contents

1	Union Level	149
1.1	The Steering Committee	150
1.2	The Department of Rural Development	150
1.3	NCDDP Secretariat	152
1.4	Union Technical Assistance	152
2	Region/State Level	152
2.1	Regional NCDDP Secretariat	152
3	District Level	154
4	Township Level	154
4.1	Township NCDDP Secretariat	155
4.2	Township Planning and Implementation Committee	156
4.3	Township Technical Assistance	156
5	Village Tract Level	160
5.1	Village Tract Project Support Committee	161
5.2	Finance Sub-Committee	162
5.3	Grievance Committee	162
6	Village Level	162
6.1	Village Project Support Committee	162
6.2	Monitoring and Evaluation Sub-Committee	162
6.3	Procurement Sub-Committee	163
6.4	Operation and Maintenance Sub-Committee	163
6.5	Village Volunteers	164
6.6	Grievance Focal Points	164
6.7	Finance Clerks	164
Table 4-1:	Entities Involved in Project Implementation at Union Level	150
Table 4-2 :	Functions and Responsibilities of NCDDP Union Secretariat	151
Table 4-3 :	Functions and Responsibilities of NCDDP State/Regional Secret.	152
Table 4-4:	Entities Involved in Project Implementation at Township Level	154
Table 4-5 :	Functions and Responsibilities of Township NCDDP Secretariat	155
Table 4-6 :	ToR of Township Technical Assistance	156
Table 4-7:	Entities Involved in Project Implementation at Village Tract Level	160
Table 4-8:	Entities Involved in Project Implementation at Village Level	162
Figure 4-1:	Institutional Structure	149

**CHAPTER 4
TERMS OF REFERENCES**

342. Implementation of the NCDDP will take place principally at four levels: (1) the union level; (2) state and region level; (3) townships level; and (4) village tract and village level.

Figure 4-1: Institutional Structure



2 UNION LEVEL

343. At the Union level, the Economic Sub-Cabinet Committee will serve as the Project’s Steering Committee and provides overall guidance for the Project.

344. The Department of Rural Development (DRD) of the Ministry of Agriculture, Livestock, and Irrigation is the Project’s implementing agency.

Table 4-1: Entities Involved in Project Implementation at Union Level

Name	Membership	Main Functions	Status
Steering Committee	Members of the Economic Sub-Cabinet Committee	Oversees implementation, approves selection of townships	Exists
DRD Project Secretariat	Project director, technical and administrative staff; NGO/firm	Overall project implementation, monitoring	Exists

1.1 THE STEERING COMMITTEE

345. The Economic Sub-Cabinet Committee will serve as the project's steering committee and provide general oversight over the project: it will advise DRD on implementation matters, facilitate the resolution of any policy level or complex operational issues, and support and coordinate the involvement of relevant ministries. It will approve the selection of the participating townships based on the criteria and selection process outlined in Chapter 1 of this manual.

1.2 THE DEPARTMENT OF RURAL DEVELOPMENT

346. The Department of Rural Development (DRD) is the implementing agency for the project, with overall responsibility for project implementation, including compliance with the provisions of the project operations manual, procurement of consultancy services for technical assistance and institutional support, communications and outreach, capacity development of all project stakeholders, monitoring and evaluation, and consolidated reporting. In addition, DRD will ensure the operation of an effective Grievance Handling Mechanism (GHM) accessible across all project townships. In carrying out these functions, DRD will procure and supervise the work of local and/or international NGOs and firms with a previous track record of implementing community-based activities for technical assistance and institutional support at the union and township levels.

As part of its work, union level DRD staff will undertake regular monitoring and supervision visits to project locations, review township quarterly reports, resolve management and implementation issues as they arise, and provide a learning feedback loop with the townships. The DRD office will provide quarterly and annual progress reports to the steering committee and the World Bank.

347. DRD will disclose all audit reports on its website, <http://www.cdd.drdmyanmar.org/>.

1.3 NCDDP SECRETARIAT

348. To carry out the above functions, DRD has set up a project secretariat at the union level with dedicated DRD staff.

349. Functions and responsibilities of the Secretariat include:

Table 4-2 : Functions and Responsibilities of NCDDP Union Secretariat

Position	Responsibilities
Project Director	(a) Overall management responsibility for the grant and loan (b) Communications and outreach (c) Monitoring and evaluation, consolidated reporting (d) Implementation of the overall project (e) Accountable to DRD and the World Bank that provide funds for the CDD project
Deputy Project Director	(a) Assist project manager to carry out responsibilities relating to the CDD project
Project Manager (and OP1)	(a) Overall implementation of the project (b) Supervise overall operations (c) Compliance with the provisions of the operations manual (d) Supervise/guide project implementation at township level (cluster 1)
Procurement Section Head (and OP2)	(a) Supervise staff responsible for project-wide procurement tasks/activities including preparing and updating the project procurement plan; timely procurement of office equipment, furniture, training/socialization materials, and consulting services at the union level; and procurement monitoring and reporting; prepare/support related on-the-job and other training of staff (b) Coordinate/guide staff responsible for tasks related to training and other areas as applicable (c) Supervise/guide project implementation at township level (cluster 2)
Finance Section Head	(a) Supervise/guide staff responsible for project-wide financial management tasks including staffing, budgeting, funds flow to village tract bank accounts, block grant monitoring, accounting, internal control and reporting in compliance with the Loan and Grant Agreement; prepare/support related on-the-job and other training of staff
Admin Section Head	(a) Supervise/guide staff responsible for project-wide administrative tasks/activities to include arranging meetings and field travel, filing documents, record-keeping, ensuring supply of office materials and equipment, translation, and other tasks required to support project implementation at the Union level; prepare/support related on-the-job and other training of staff
Infrastructure Deputy Director (and OP3)	(a) Supervise/guide staff responsible for project-wide tasks related to community infrastructure development, design, safeguards adherence including environmental management plans (EMPs) and environmental codes of practice (ECoP), operations and maintenance; and provide advice and explanation and discuss with communities regarding their choice of sub-project (b) Coordinate/guide staff responsible for tasks related to participation, gender, social accountability, communication and others as applicable (c) Supervise/guide project implementation at township level (cluster 3)
M&E/MIS Specialist	(a) Take responsibility for monitoring and evaluation (M&E) of the overall project (b) Manage the project management information system (MIS)
Gender Specialist	(a) Promote gender equality and social inclusion as well as the empowerment of women in the overall project
Training Officers	(a) Manage and coordinate training of all implementers at village level, village tract level, township level and union level
Finance Officers and Assistants	(a) Perform tasks assigned by the Finance Section Head including budgeting, block grant disbursement and monitoring, accounting, internal control, reporting, etc.
Procurement Officers and Assistants	(a) Perform tasks assigned by the Procurement Section Head including procurement of office equipment, office furniture, and training/socialization materials and consulting services, etc. using the appropriate procurement method
MIS Officers	(a) Manage matters relating to database management, communications, data collection, publication of information on the overall project through various media
Data Entry Staff	(a) Input and update project data in the database

Position	Responsibilities
Office Managers	(a) Take responsibility for various office tasks necessary to ensure smooth implementation of the whole CDD project
Communications Officers	(a) Responsible to contact, discuss, inform, and release news regarding the project to people in project villages; and respond to their questions, comments and feedback
Secretaries	(a) Perform various office support tasks for day-to-day project implementation
Grievance officer and staff	(b) Investigate and submit grievances that are difficult to resolve. (c) Submit reports. (d) Resolve grievances as required, keeping records and preparing quarterly report. (e) Give recommendations on how to resolve. (f) Constantly observe and evaluate.

1.4 UNION TECHNICAL ASSISTANCE

350. To support the effective implementation of the project at the union level, DRD has procured a technical assistance team at the union level. The Union-level Technical Assistance (UTA) team is led by a Team Leader (Lead CDD Specialist) and comprises the following team members:

- (a) Team Leader/Lead CDD Specialist
- (b) Grievance Handling Specialist
- (c) Training Specialist
- (d) Procurement Specialist
- (e) Finance Specialist
- (f) M&E Specialist

351. The composition of technical expertise required by DRD at the union level may change as the project evolves.

3 REGION/STATE LEVEL

352. The region/state level offices will play a coordination, support and oversight role, supporting the township selection process outlined in Chapter 1, and monitoring and supporting township level activities. The DRD region/state office will take the responsibility of coordination between the respective region/state government ministries and other related departments.

2.1 REGIONAL NCDDP SECRETARIAT

Table 4-3 : Functions and Responsibilities of NCDDP State/Regional Secretariat

Terms of References of the State/Regional NCDDP secretariats	
<i>Overall Function of the State /Regional NCDDP Secretariat</i>	
	<ul style="list-style-type: none"> • Support township offices in project implementation, including troubleshooting and technical support. • Support union secretariat with tasks of supervision, management, coordination, capacity building, monitoring and reporting on NCDDP activities in the state/region. • Liaison, cooperation and coordination on NCDDP activities with State/Region Planning and Implementation Committee, media, members of parliament and CSO/NGOs. • Liaison and cooperation with state/regional level Ethnic Groups for ethnic affairs and security issues.

	<ul style="list-style-type: none"> • Financial monitoring : inspection of financial records, including vehicle utilization and fuel records,.
	<i>DRD Staff Positions ⁽¹⁾</i>
<i>1</i>	<i>Head of Office</i>
	<ul style="list-style-type: none"> a) Operational support and troubleshooting for day-to-day implementation of the project by township teams. b) Aggregating township information and reporting on project implementation progress and issues requiring attention to union secretariat. c) Liaison with state/region ministers, state/regional parliamentarians, and media at state/regional level where appropriate. d) Cooperation and liaison with : a) State/Region Planning and Implementation Committee b) inter departmental and state/regional organizations (CSO, NGO) c) state/regional level for ethnic affairs and security issues e) Organize and facilitate foreigner experts/consultants/auditors f) Timely reporting with assistance of M&E g) Cooperate Technical/Financial audits h) Ensure field-trip reports are compiled, and a copy submitted back to townships
<i>2</i>	<i>Infrastructure (Design/estimate & environmental)</i>
	<ul style="list-style-type: none"> a) Provide supervision, coordination, training and support to township engineers and TFs in all areas related to infrastructure, including : project detailed designs, cost estimation and BoQs, environmental safeguards and EMPs, O & M plans b) Provide advice to TFs/CFs and communities, in cooperation with the union DRD safeguards focal point, on environmental safeguards screening and Environmental Management Plan (EMP) preparation and implementation of ECOPs and EMP c) Conduct regular safeguards supervision, as part of infrastructure supervision, and assist with problem solving d) Provide safeguards implementation progress report as part of the current progress reporting system i.e. quarterly and annual reports. e) Liaison and coordination with township level technical departments such as MEPE, DoI, etc f) Liaison, coordination and facilitation regarding state/regional level infrastructure plans, e.g between state/regional/township transportation plan and NCDDP VDPs, water safety plan, etc g) Facilitation and cooperation with technical audits (third parties)
<i>3</i>	<i>Social Accountability, Gender and Communications</i>
	<ul style="list-style-type: none"> a) Provide supervision, coordination, training and support to townships in all areas related to social inclusion and gender such as : participation, ethnic and vulnerable groups, gender development activities, village planning cultural requirements, social audits, township exchange visits b) Supervise and support VDP formulation process c) Liaison and cooperation with township planning on township plan and combined VDP d) Supervise communication activities, such as, project branding, visibility, network, campaign, conference, entertainment e) Organize and facilitation of township exchange visits
<i>4</i>	<i>M&E/MIS</i>
	<ul style="list-style-type: none"> a) Provide supervision, troubleshooting , training and support to townships in all areas related to M & E / MIS. b) Review township quarterly reports and prepare summary/ aggregation of content, including issues and need for Union support, for forwarding to Union NCDDP Secretariat and state/regional government c) Continuous communication and coordination with Union M&E/MIS on township issues and requirements related to M & E / MIS

5	<i>GHM</i>
	<ul style="list-style-type: none"> a) Provide supervision, coordination, training and support to townships in all areas related to GHM b) Communicate and cooperate with Union GHM team on responses c) Support township GHM teams on investigations and reporting d) Support and facilitate local/state/regional financial and technical departments for field investigation and verification as necessary e) Prepare regular state/regional GHM reports
6	<i>IT</i>
	<ul style="list-style-type: none"> a) Monitor and support township IT requirements, including cooperation with relevant technicians/experts as necessary b) Communicate requirements for Union support to Union M & E / MIS. c) Develop relationship network with regional ICT vendors suppliers Assist Union team by taking consultation of local IT companies/technical experts d) Cooperate state/regional IT departments and companies for Internet/telecommunication issues

Note : 1) Number of staff under each position may vary by state/region.

4 DISTRICT LEVEL

353. The District level will act as coordination agency for assistance to participating project townships.

5 TOWNSHIP LEVEL

354. There are two key bodies involved in project implementation at the township level: the Township Aid Management Sub-Committee (through its Township Planning and Implementation Committee) and the DRD township office.

Table 4-4: Entities Involved in Project Implementation at Township Level

Name	Membership	Main Functions	Status
Township Planning and Implementation Committee	Includes township-level staff from government line ministries	Provides oversight and linkage between village tract and township plans; brings in services and support from technical agencies, endorses first development plan from each village tract	Exists
Township NCDDP Secretariat	DRD head, administrative and technical staff, NGO/firm, Community and Technical Facilitators	Provides implementation support; design and screening of sub-projects; facilitating annual social audits and organizing township-level multi-stakeholder review meetings	Exists

4.1 TOWNSHIP NCDDP SECRETARIAT

355. DRD will be responsible for project implementation at the township level through its existing offices. In addition to the township head of DRD who will work part time on the project, DRD will assign full time dedicated project and administrative officers for each office, with a complement of at least six staff per township office as outlined below. DRD township staff will provide technical support to Community and Technical Facilitators and Village Tract Project Support Committees (VTPSC), will coordinate with government departments and other development partners, and will carry out monitoring of and reporting on project activities in the townships. Any staffing gaps will be filled by reassignments from other township offices or the DRD union office.

According to the structure of the Township NCDDP Secretariat, the position title, duties and functions of the Township NCDDP Secretariat are as follows:

Table 4-5 : Functions and Responsibilities of Township DRD Staff in NCDDP Secretariat

Positions	Responsibilities
Head of DRD (part time for the project)	(a) Overall oversight (b) Coordination at township level and higher levels (c) Authorized signatory
Project Manager	(a) Take responsibilities for all matters related to the implementation of township NCDDP project in the participating villages (b) Ensure compliance with the project operations manual (c) Take responsibility for gender equality and social inclusion as cross cutting issues (d) Together with the Township-level Technical Assistance (TTA) team leader foster a positive and constructive cooperation between DRD and TTA counterparts
Infrastructure Officer	(a) Provide advice and explanation and discuss with villagers regarding their choice of sub-project (b) Prepare design, bill of quantity and cost estimates of sub-projects (c) Ensure compliance with safeguard standards and EMP (d) Support and monitor operations and maintenance of sub-projects (e) Capacity building and coaching of Community Facilitators (CFs) and Technical Facilitators (TFs)
Finance Officer	(a) Take responsibility for project financial matters at the township level following the NCDDP Financial Management Manual (b) Prepare activity based budgets on a quarterly basis and corresponding requests for replenishment (c) Ensure proper and transparent budget execution and book keeping (d) Take responsibility for sound financial management at community level; especially through training, coaching and monitoring of Community Facilitators and of Finance Sub-Committees of VTPSC.
Procurement Officer	(a) Take responsibility for project procurement matters at the township level (b) Control of fix assets; ensure fix assets are available as needed and planned; maintain the fix assets register and ensure regular updated balance with the FAR maintained at Union Level (c) Take responsibility of sound procurement practices at community level during sub-project implementation; especially through training, coaching and monitoring of CFs, TFs and of procurement sub-committees of Village Project Support Committee (VPSC)
M&E and MIS Officer	(a) Take responsibility of project progress monitoring and reporting (b) Take responsibility of data management through the MIS, especially the timely entry and the quality control of data (c) Train and coach TFs and CFs in the basics of monitoring, the application of all monitoring forms data entry on the tablets and the quality control of the data (d) Detection and troubleshooting or reporting of hardware and software problems (e) Maintenance and administration of the township MIS

Positions	Responsibilities
Social Accountability Officer	<p>Take responsibility for fostering social accountability including compliance of the code of conduct</p> <ul style="list-style-type: none"> (a) Manage the grievance handling mechanism in coordination with the different levels: village grievance focal points, village tract and township grievance committees and the Union NCDDP Secretariat (b) Provide continuous capacity building for facilitators, VTPSC and VPSC members; promote suitable outreach and communication (c) Assume tasks related to other NCDDP communication activities as needed (d) Coordination of the social audit meetings at the end of the community project cycle

356. Where several townships with very small populations are located in a state or region (such as 5 townships in Kayah), DRD may choose to consolidate township level offices into one or more offices to serve these small townships specifically for NCDDP. These consolidated NCDDP Secretariats would be supported by similarly consolidated township technical assistance teams.

4.2 TOWNSHIP PLANNING AND IMPLEMENTATION COMMITTEE

357. The Township Planning and Implementing Committee (TPIC) is the extension of the existing township aid management sub-committee, which is the node where the state and community levels interact both administratively and substantively. These committee and sub-committee are the extension of the union level Foreign Aid Management Working Committee and bring together a broad range of ministries present at the township level.

358. The committee includes line ministry representatives (health, education, agriculture, planning, etc.) and will oversee project implementation in the township, including reviewing annually NCDDP subproject proposals.

4.3 TOWNSHIP TECHNICAL ASSISTANCE

359. To implement the project at the township level, DRD will procure local or international NGOs and firms with a track record of implementing community-based activities. Township-level Technical Assistance (TTA) teams will be composed of:

- (a) International CDD Specialist
- (b) National Program Advisor
- (a) Team Leader (lead CDD/Training Specialist)
- (b) Finance Officer
- (c) Procurement Officer
- (d) M&E/MIS Officer
- (e) Communication, Social Accountability and Gender Specialist
- (f) Community Facilitators
- (g) Technical Facilitators

The TTA team will be supported by an International CDD Specialist and a National Program Advisor (both short term). Brief job descriptions are as follows:

Table 4-6 : Functions and Responsibilities of Township Technical Assistance

No.	PERSONNEL	MAIN TASKS
1	International CDD Specialist (short-term position, 6 months per township)	<ul style="list-style-type: none"> i) Continuously and actively promote a sound and professional working relationship between DRD, TTA and all other stakeholders in the assigned township cluster j) Enhance the capacity of all the experts including the CF and TF working in the project implementation team and the counterparts through tailor-made advice and specific workshops. k) Share his/her knowledge about state-of-the-art best practices and international standards in project implementation enabling all experts including the CF and TF working in the project to improve the quality of their respective outputs l) Guide township TA on providing broad-based capacity-building to DRD the designated Township and communities m) Assist and advise township TA and or the project implementation team in case of management problems and recommend solutions n) Streamline and give guidance in the preparation of township TA implementation plan o) Provide the township DRD and TTA with a report at the end of each mission, summarizing the recommendations made, the timelines agreed and the follow-up to be done. p) Prepare reports as needed
2	National Program Advisor	<ul style="list-style-type: none"> a) Promote actively and on a continuous basis a sound and professional working relationship between DRD , TTA and all other stakeholders in the assigned township cluster b) Advise township DRD on local governance and participatory processes ; motivate township DRD and TTA to engage in genuine participatory processes with all the stakeholders in the project, including the local government and State/Regional DRD. c) Enhance the capacity of all the experts including the CF and TF working in the project implementation team and the counterparts through tailor-made advice and specific workshops. d) Quality control throughout the community project cycle from orientation meeting to planning, implementation sub-project closure and social audit /MSR. This will be done through regular monitoring, review and analysis, feeding back suggestions and solutions to bottlenecks to the Team Leader. particularly, monitoring and reporting e) Support training preparation, delivery and reporting by providing to-the-point and high quality input in the preparation, organization and delivery of all types of training required by the project. f) Ensure the achievement of the relevant time lines, particularly the timely submission of block grant requests and all reports due, through strategic planning and analytical support. g) Provide the township DRD and TTA with a report at the end of each mission, summarizing the recommendations made, the timelines agreed and the follow-up to be done. h) Prepare reports as needed
3	TTA team leader (Lead CDD and Training Specialist)	<ul style="list-style-type: none"> a) Support township DRD office in all aspects of project implementation according to the project operations manual b) Manage a team of Consultant staff and community and technical facilitators, monitor their performance and ensure timely delivery of quality outputs c) Monitor implementation of the grievance handling system at the township level d) Provide on-the-job training and capacity building to DRD staff on all aspects of project management at the township level e) Participate as trainer in ToT and ToF trainings at township level. f) Organize and monitor training to village tract project support committees, village committees, community and technical facilitators, and village volunteers on project operations and the community project cycle g) Prepare a training plan for village tract project support committees and village committees based on the project operations manual h) Monitor and measure training results i) Ensure that the data in the MIS and all required reports to DRD are submitted on time and are complete and accurate. j) Ensure strong cooperation with DRD k) Ensure linkages with other line departments at the township level l) Support the township and Union DRD in the production of ad-hoc reports

NCDDP Operations Manual
Chapter 4: Terms of References

		m) Support the township DRD staff in the facilitation of internal and external audits and Bank implementation support missions.
4	Finance Officer	<ul style="list-style-type: none"> a) Support township DRD staff in project accounting, day-to-day financial management,, maintenance of financial records, budget category assignment, and preparation of project financial statements b) Support township DRD staff in the review of monthly financial reports submitted by village tract project support committees c) Support township DRD staff in the preparation of monthly financial reports for submission to the Union project secretariat d) Provide on-the-job financial management training to DRD staff; e) Together with DRD finance officers, provide training in accounting for community facilitators, village tract project support committees village committees and village volunteers f) Support the finance sub-committees of the village tract project support committees in undertaking their duties g) Support township DRD staff in reviewing annual submissions of supporting documentation from village tract project support committees and filing in accordance with project guidelines h) Support township DRD staff in the day to day administration, filing, record keeping and archiving of all documents related to project’s administration and all finance documents i) Support the township DRD staff in managing the operational costs of the project on a day to day basis j) Support township DRD staff in establishing inventories and inventory controls k) Support the township DRD staff during financial audits and Bank implementation support missions.
5	Procurement Officer	<ul style="list-style-type: none"> a) Assist DRD in carrying out day-to-day procurement activities at the township and community level according to the project’s procurement procedures b) Provide on-the-job procurement training to DRD staff, and to community and technical facilitators. c) Together with DRD procurement officers, provide organize and monitor procurement training for community facilitators, village tract project support committees, village committees and village volunteers d) Support and monitor the procurement sub-committees of the village project support committees in undertaking their duties e) Prepare relevant inputs into the quarterly township progress reports f) Support township DRD staff in the day to day administration, filing, record keeping and archiving of all documents related to procurement g) Support the township DRD staff during procurement reviews and Bank implementation support missions. h) Conduct procurement post reviews and prepare the findings and recommendations for the quarterly progress report.
6	M&E and MIS Officer	<ul style="list-style-type: none"> a) Support DRD in reviewing monthly sub-project monitoring reports. b) Assist and supervise data entry into the project Management Information System (MIS), including checking the accuracy, completeness and timeliness of data and report submissions c) Provide on-the-job monitoring training to DRD staff and community facilitators d) Carry out frequent monitoring visits to sub-projects under implementation e) Identify and alert DRD to any emerging project implementation issues f) Together with DRD M&E officers, provide M&E training for community facilitators, village tract project support committees, village committees and village volunteers g) Support and monitor the monitoring sub-committees of the village project support committees in undertaking their duties h) Support DRD in preparing the quarterly township progress reports and presentations that are accurate, analytical, reliable and timely i) Monitor and report upon handling of grievances.
7	Communication, Social	<ul style="list-style-type: none"> a) Assist DRD in adapting project training materials to local context

NCDDP Operations Manual
Chapter 4: Terms of References

	Accountability and Gender Specialist	<ul style="list-style-type: none"> b) Develop a township-specific info dissemination and outreach strategy to raise awareness about the Project c) Support DRD in executing the outreach strategy, including production of locally-adapted IEC materials d) Assist with translation of English documents into Myanmar language and vice versa, as required e) Ensure mainstreaming of gender, social inclusion and social accountability concerns in all project activities f) Support the VT grievance feedback committee g) Arrange for information board/ point in each village and for dissemination of information including grievance handling materials h) Monitor effectiveness of information dissemination to community i) Provide progress information to Union level as input for grievance handling quarterly reports.
8	Community Facilitators	<ul style="list-style-type: none"> a) Help build up community capacities, self-initiative, and ownership b) Assist the village tract project support committees and village committees in all aspects of the community project cycle. c) Manage community mobilization activities, community organization and capacity building activities in collaboration with Technical Facilitators; organizing activities leading to VDP preparation, conducting CMT training, implementation and social audit. d) Facilitate participatory social assessment exercises and inclusive planning processes, and ensure that the assessment and documentation process is inclusive and participatory, including for marginalized groups, ensuring that their priorities feed into overall community deliberations e) Assist TFs in preparation of Procurement and O & M plans in the detailed sub-project planning stage. f) Ensure adherence of village tract project support committees and village committees to the provisions of the project operations manual, through facilitation and on the job support g) Ensure timely financial and progress reporting by village tract project support committees and village committees h) Provide continuous on-the job training to village volunteers and committee members, oversee their work i) Identify and report to TTA/DRD any issues related to village tract development plans and village sub-projects j) Monitor the activities to increase gender balance and empower women k) Organize village tract level grievance handling meetings l) Train community grievance handling focal points. m) Facilitate community discussions and meetings n) Collect and enter into tablet all MIS data for Forms PC 1 –4, PC 7, PC 9, T1, HR 2.
9	Technical Facilitators	<ul style="list-style-type: none"> a) Support Community Facilitators in the implementation of community cycle by assisting CFs organize and conduct early village meetings (especially during orientation and VDP) in a collaborative way to ensure meeting outcomes are achieved. b) Assist the village tract project support committees and village committees in all technical aspects of the community project cycle, in particular regarding the preparation and implementation of sub-projects c) Ensure adherence of village tract project support committees and village committees to the technical provisions of the project operations manual d) Assist the community to identify and prioritize viable sub-projects in the VDP. Viability of the proposed sub-projects should take into consideration the limited budget, duration of time and technical feasibility; e) Based on the TPIC approved sub-projects, prepare detailed sub-project designs, including engineering design, cost estimation and BoQ, budget, procurement plan, ECoP/EMP as applicable, O&M plan, and outline specification. f) When detailed design is complete, complete form PC 5 (Village SP Implementation Plan) and enter into tablet for MIS. Ensure the “before” situation as captured in photos from 2 different angles before construction begins. g) Assist communities with sub-project implementation, including correct procurement process in accordance with procurement plan, controlling finances in accordance with sub-project

		<p>budget, ensuring technical quality in accordance with proposed design specifications, safeguard measures, and work plan.</p> <p>h) Assist all other experts including the CF's within the DRD and the TTA team with to-the-point ad-hoc technical input for instance by providing technical advice to the procurement experts during supplier selection processes.</p> <p>i) Assist in the commissioning of all the infrastructure projects by conducting final inspection for project closure, and making the necessary assessments and final report.</p> <p>j) Complete and enter into MIS forms PC 6 (SP Final Inspection) and F6 (SP Final Financial Report), including both "before" and "after" photos.</p> <p>k) Support all township project events that require the full involvement of township project teams such as training, social audit and township multi-stakeholder review meetings.</p> <p>l) Help build up community capacities, self-initiative, and ownership, including a) technical and financial management capacity to undertake O&M in accordance with O&M plan and b) understanding of the need and benefit of safeguard measures.</p>
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360. The TTA team will support the Township NCDDP Secretariat and assist DRD staff across the full range of activities. They will also support the secretariat in tracking and monitoring complaints through the establishment of a grievance redress mechanism. In year 1 and year 2 (2013/14 and 2014/15), TTA NGOs/firms were hired for each township individually. From year 3 on, a cluster approach is applied where selected NGOs/firms will provide technical assistance for several townships within one or more states and regions.

6 VILLAGE TRACT LEVEL

361. The village tract is the operational level of the project. All village tracts in the selected townships are covered for equity purposes. At the village tract level, Village Tract Project Support Committees (VTPSC) will be established. Each VTPSC includes a Finance Sub-Committee and a Grievance Sub-Committee. Planning and prioritization of sub-projects will be undertaken by village representatives in VTPSC.

Table 4-7: Entities Involved in Project Implementation at Village Tract Level

Name	Membership	Main Functions	Status
Village Tract Project Support Committees	Two members from each village (one man and one woman); village tract administrators as advisors; supported by Community Facilitator	Preparing village tract development plan; sub-project approval; managing block grants	To be established at the beginning of the community project cycle in the respective townships
Finance Sub-committee	Three "core" members (at least one woman) selected by village tract forum members based on transparent criteria. Elected finance clerks from each village.	Keeping books for sub-projects, making payments to contractors, vendors and laborers	To be established by the village tract forum upon its inception
Grievance Committee	Grievance focal points from each village in the village tract	Collecting/receiving and responding to grievances	Established through selection at village level

5.1 VILLAGE TRACT PROJECT SUPPORT COMMITTEE

362. The VTPSC provides overarching coordination, supervision financial administration and review of the community planning process and sub-project cycle of all the villages within the VT. It ensures that all VPSC's carry out sub-projects with due diligence and efficiency and in accordance with sound technical, economic, procurement, financial, management, environmental and social standards, practices and procedures in accordance with this project operations manual.

363. The VTPSC will review the respective Village Development Plans and prioritize the interventions against the needs of the village tract and the available funding envelope in a 3-year village tract development plan.

5.2 FINANCE SUB-COMMITTEE

364. The VTPSC will set up a Finance Sub-Committee to manage project funds. Block grants will be allocated through a participatory planning process covering all villages within a village tract.

365. Disbursements to the bank account of a VTPSC will only take place when the requirements stated in Chapter 1 of the Operations Manual are completed.

5.3 GRIEVANCE COMMITTEE

366. The Village Tract Grievance Committee (VTGC) is responsible for implementing the grievance redress mechanism. It serves as the body for reviewing grievances addressed to the village tract. Its tasks include supporting the grievance information campaign, monitoring progress of grievance handling activities, and collecting/receiving and responding to complaints/grievances and where necessary, referring such to the township level. The VTGC is composed of the two grievance focal points (one man and one woman) from each village. This committee is independent from the VTPSC (e.g. members of the VTGC cannot also be members of the VTPSC). The VTGC will be supported in its work by the Community Facilitators.

7 VILLAGE LEVEL

367. All consultations at the community level will be conducted in the project villages. Community members take an active role in project implementation, including the village volunteers and the members of the VTPSC, VPSC, and various sub-committees.

368. Villagers will be invited to attend social audits at the end of each annual cycle to review the expenditures made and progress achieved, discuss the findings of any financial and technical audit findings, and suggest local adaptations to the project cycle or community implementation structure. As long as the project is active in a township, villagers will have the opportunity to provide feedback or express complaints through a grievance handling mechanism, described in Chapter 2.

369. At the village level, trained Community Facilitators and village volunteers will organize separate meetings with women and men to identify their respective needs and priorities for the Village Development Plan and document these in the project's management information system. For work performed for sub-projects, there will be equal pay for equal work for women and men. Furthermore, the environmental and social safeguards screening for each sub-project will include gender aspects. Safeguards plans prepared for the sub-projects will include a review of gender aspects, and propose specific actions related to gender issues when warranted. The Community Facilitators and village volunteers will also ensure that there are no restrictions on women's participation and that women are properly represented in the VPSC and various sub-committees.

370. For each annual block grant allocation, villagers will identify priority needs and sub-projects through participatory social assessments. They will also set up Operation and Maintenance (O&M) Sub-Committees for the sustainability of sub-projects through a participatory process.

6.1 VILLAGE PROJECT SUPPORT COMMITTEE

371. All population groups in a project village (including women, ethnic, and marginalized groups) will take an active part throughout the project cycle at the community level. The Village Project Support Committee (VPSC) should take leadership for the village development in general. The VPSC is specifically responsible for planning, prioritizing and implementing community infrastructure sub-projects. Sub-projects financed under the project will comprise small-scale civil works that could potentially generate local and only temporary minor adverse environmental and social impacts, which will be managed through the Environmental and Social Management Framework (ESMF), including the Environmental Codes of Practice (ECoP) presented in Chapter 5. The VPSC is responsible for ensuring adherence to the ESMF in sub-project design, implementation and maintenance.

6.2 MONITORING AND EVALUATION SUB-COMMITTEE

372. The Monitoring and Evaluation (M&E) Sub-Committees will report regularly to the villagers about progress in sub-project implementation. This sub-committee will supervise the implementation of the sub-projects and authorize payments to the contractors and laborers. It will also check on procurement, finances, and sub-project implementation and report back to the entire village at periodic open village meetings. These meetings will enhance the transparency of project implementation and the accountability of the sub-committees.

Table 4-8: Entities Involved in Project Implementation at Village Level

Name	Membership	Main Functions	Status
Village Project Support Committee (VPSC)	Elected during the second village meeting with representation of women and marginalized and minority groups; among its members, elect two chairpersons (one man and one woman) to represent in the VTPSC.	Take responsibility for the village development in general and due implementation of sub-projects in particular Identifying priority needs, participating in sub-project design and screening	To be elected/re-elected at the beginning of the community project cycle in the respective villages
M&E Sub-Committee	2-3 persons, with at least one woman and one Head of Sub-Committee	Monitor implementation of sub-projects including safeguards; prove periodic reports to village; support CF and TF in data collection for MIS	To be elected/re-elected at the beginning of the community project cycle
Procurement Sub-Committee	2-3 persons, with at least one woman and one Head of Sub-Committee	Carry out procurement of goods, works and services related to sub-project implementation	To be elected/re-elected at the beginning of the community project cycle
O&M Sub-Committee	2-3 persons, with at least one woman, and one Head of Sub-Committee	Prepare and carry out O&M plan; set up and manage village O&M fund co-shared by beneficiaries (voluntary) and township (as may be agreed)	To be elected/re-elected at the beginning of the community project cycle

6.3 PROCUREMENT SUB-COMMITTEE

373. The Procurement Sub-Committee will be responsible for the procurement of goods, works and services. However, financial management and contracting will be undertaken by the Village Tract Finance Sub-Committee. The DRD engineers at the township level will also be responsible for the technical design of the sub-projects. The procurement of construction materials or works for community infrastructure will be the responsibility of the Procurement Sub-Committee at the village level.

6.4 OPERATION AND MAINTENANCE SUB-COMMITTEE

374. To help ensure the long-term sustainability of completed sub-sub-projects, the Operation and Maintenance (O&M) Sub-Committee will be responsible for preparing the village O&M plan which will include major tasks, schedule for carrying out tasks, responsibilities, estimated cost and annual budget, and identification of fund sources/collection of funds. When disbursing the O&M fund, a representative from each village within a VT must participate. For management and safekeeping of the O&M fund in project exiting townships (i.e fourth cycle), a new Village Tract O&M committee should be

formed in the VT level including 5 members. To withdraw funds from the O&M fund, at least 3 members' signature is needed.

6.5 VILLAGE VOLUNTEERS

375. The village volunteers will assist the VPSC and the Community Facilitator throughout project implementation. They will help to enhance the involvement of ethnic minorities in the decision-making process in the VTPSC; participation of ethnic minority representatives in VPSC and M&E Sub-Committees; and the use of local languages in the dissemination of project-related information.

6.6 GRIEVANCE FOCAL POINTS

376. The grievance focal points will serve as link between the village and the project on all grievance-related matters. The focal point will collect grievances for discussion with the Village Tract Grievance Committee and facilitate response to the complainants.

6.7 FINANCE CLERKS

377. The finance clerks will assist the VPSC with regard to all finance and accounting functions and are members of the Village Tract Finance Sub-Committee, assisting to carry out sub-committee duties for their own village, such as keeping books for sub-projects, facilitating payments to contractors, vendors and laborers, and preparing sub-project financial reports.



National Community Driven Development Project

Operations Manual

Chapter 5 Environmental Codes of Practice

Chapter 5 Table of Contents

1	Introduction	167
2	Process of Environmental Codes of Practice	167
3	Environmental Codes of Practice Guidelines	168
3.1	General Guidelines	168
3.2	Technical Guidelines	170
3.2.1	Buildings	170
3.2.2	Rural Roads, Bridges and Jetties	171
3.2.3	Rural Water Supply	172
3.2.4	Rural Electrification	174
3.2.5	Small-scale Irrigation	175
3.2.6	Sanitation Facilities	175
4	Environmental Codes of Practice Attachments	176
Table 5-1:	Steps to Conduct the Environmental Codes of Practice	167
Table 5-2:	ECoP General Guidelines	168
Table 5-3:	ECoP Technical Guideline for Buildings	170
Table 5-4:	ECoP Technical Guideline for Rural Roads, Bridges and Jetties	171
Table 5-5:	ECoP Technical Guideline for Rural Water Supply	172
Table 5-6:	ECoP Technical Guideline for Rural Electrification	174
Table 5-7:	ECoP Technical Guideline for Small Scale Irrigation	175
Table 5-8:	ECoP Technical Guideline for Sanitation Facilities	175

CHAPTER 5 ENVIRONMENTAL CODES OF PRACTICE

1 INTRODUCTION

378. The National Community Driven Development Project (NCDDP) uses an Environmental and Social Management Framework (ESMF) to manage and mitigate potential negative impacts associated with project activities. To manage and mitigate potential negative environmental impacts, the ESMF mandates adherence to Environmental Codes of Practice (ECoP) outlined in this chapter. The ECoP contain specific, detailed and tangible measures to mitigate the potential impacts of each type of eligible sub-project activity under the project. They are designed taking into account the local context in Myanmar, with an emphasis on being simple and readily useable by the local communities who are the main beneficiaries of the project.

2 PROCESS OF ENVIRONMENTAL CODES OF PRACTICE

379. The ECoPs are to be implemented by villages and/or contractors in the planning and construction of sub-projects, with the support of community and Technical Facilitators and the DRD township engineers. While Community Facilitators will focus on providing training on the ECOPs and their integration in community proposals, the DRD township engineers and Technical Facilitators will be responsible for the adoption of the codes into their technical design and adherence to them during construction. The adoption of these codes will be closely supervised and supported by DRD engineers at the union level.

380. The adherence to the ECoPs will be monitored through the project's annual progress report submitted by DRD at the union level. One section of that report should focus on assessing the application of this environmental management tool, including any issue(s) or problem(s) in the field and measures or actions undertaken in solving the problem(s).

381. The ECoPs will be adopted throughout the project cycle, as described in the following table:

Table 5-1: Steps to Conduct the Environmental Codes of Practice

Steps	ECoP Preparation, Adoption, and Implementation
2 nd Village Meeting	As plans for specific sub-projects begin to develop at the village level, the TF introduces the main objective of the ECoP as a mitigation tool to prevent negative environmental impact of proposed sub-project.
Sub-project preparation	The TF ensures that the specific section(s) of the relevant ECoP is prepared and adopted for the specific sub-project technical design. The inclusion of the relevant codes strengthens the design of sub-projects when properly adopted.
Sub-project Implementation	The TF, assisted by the DRD township engineer if needed, ensures that the relevant ECoP provisions are adequately followed by selected workers/villagers and/or contractors recruited by the VPSC. If construction is by a community using the community force account, the community with the help of the TF, is responsible for implementation of any

Steps	ECoP Preparation, Adoption, and Implementation
	<p>mitigation plan and measures. If construction is by a contractor, the contractor is responsible for ECoP implementation; and the contract will specify the relevant tasks and responsibilities.</p> <p>Supervision of ECoP implementation will be conducted by the VPSC, with the help of the TF and the DRD township engineer as appropriate, as well as the state/region level infrastructure expert.</p>
Operations and Maintenance (O&M)	The TF and the DRD township engineer, along with the state/region level infrastructure expert, provide support to the village O&M Sub-Committee regarding continued adherence to the relevant ECoP once works are finalized and the sub-project enters its operation phase. Relevant line agencies provide support as required.

382. ECoPs apply to all types of investments financed as part of the NCDDP. For sub-projects that are likely to have more significant environmental impacts, an Environmental Management Plan (EMP) has to be prepared before work on the sub-project may commence.

383. These ECoPs are designed to allow easy adoption during proposal development and sub-project implementation. Each sub-project proposal will adopt a relevant section of the ECoP. Technical Facilitators are responsible to ensure the adoption of this specific code into the proposal.

3 ENVIRONMENTAL CODES OF PRACTICE GUIDELINES

3.1 GENERAL GUIDELINES

384. The following table shows the general guidelines that are applicable to most rehabilitation and construction activities.

Table 5-2: ECoP General Guidelines

Issue	Environmental Prevention/Mitigation Measures
Noise during construction	<ul style="list-style-type: none"> (a) Plan activities in consultation with communities so that noisiest activities are undertaken during periods that will result in least disturbance. (b) Use noise-control methods such as fences, barriers or deflectors, such as muffling devices for combustion engines or planting of fast-growing trees. (c) Minimize project transportation through community areas (d) Maintain a buffer zone, such as open spaces, row of trees or vegetated areas, between the project site and residential areas to lessen the impact of noise to the living quarters.
Soil erosion	<ul style="list-style-type: none"> (a) Schedule construction during dry season. (b) Contour and minimize length and steepness of slopes. (c) Use mulch, grasses or compacted soil to stabilize exposed areas. (d) Cover with topsoil and re-vegetate (plant grass, fast-growing plants/bushes/trees) construction areas quickly once work is completed. (e) Design channels and ditches for post-construction flows and line steep channels/slopes (e.g., with palm fronds, jute mats, etc.)
Air quality	<ul style="list-style-type: none"> (a) Minimize dust from exposed work sites by applying water on the ground regularly. (b) Do not burn site clearance debris (trees, undergrowth) or construction waste materials. (c) Keep stockpile of aggregate materials covered to avoid suspension or dispersal of fine soil particles during windy days or disturbance from stray animals

Issue	Environmental Prevention/Mitigation Measures
Water quality and availability	<ul style="list-style-type: none"> (a) Activities should not affect the availability of water for drinking and hygienic purposes. (b) No soiled materials, solid wastes, toxic or hazardous materials should be poured or thrown into water bodies for dilution or disposal. (c) The flow of natural waters should not be obstructed or diverted to another direction, which may lead to drying up of riverbeds or flooding of settlements. (d) Separate as best as possible concrete works in waterways and keep concrete mixing separate from drainage leading to waterways
Solid and hazardous waste	<ul style="list-style-type: none"> (a) Collect and transport construction waste to appropriately designated/controlled dumpsites. (b) Maintain waste (including earth dug for foundations) at least 300 metres from rivers, streams, lakes and wetlands. (c) Use secured area for refuelling and transfer of other toxic fluids distant from settlement area (and at least 50 metres from drainage structures and 100 metres from important water bodies); ideally on a hard/non-porous surface. Train workers on correct transfer and handling of fuels and other substances and require the use of gloves, boots, aprons, eyewear and other protective equipment for protection in handling highly hazardous materials. (e) Collect and properly dispose of small maintenance materials such as oily rags, oil filters, used oil, etc. Do not directly dispose of oil residues into the soil or water which can contaminate groundwater and earth. Rural communities must not throw wastes into the soil directly which can damage land mass and volume of water. If communities require inevitably disposing, safe disposal system must be used. (E.g. using used oil as fuel, polishing the floor & wall, mixing with crude oil and utilising)
Health and safety	<ul style="list-style-type: none"> (a) In order to avoid the community impact, the following things need to be considered when drafting the project implementation plan – <ul style="list-style-type: none"> (i) Workplace – Removing the things that can impact on social (or) putting the warning signboard. (ii) Construction workers – Construction workers need to have their skills and fitness according to the related field. (iii) Use of materials – Check they can/cannot use the materials skilfully. Check they have/don't have the knowledge of safe use of those mechanisms technology expertise. (a) (b) Provide personal protective gear for workers as necessary (gloves, dust masks, hard hats, boots, goggles). (b) (c) Follow the below measures for construction involve work at height (e.g. 2 meters above ground; (c) (d) Do as much work as possible from the ground; (d) (e) Do not allow people with the following personal risks to perform work at height tasks: eyesight/balance problem; certain chronic diseases – such as osteoporosis, diabetes, arthritis or Parkinson's disease; certain medications – sleeping pills, tranquillisers, blood pressure medication or antidepressants; recent history of falls – having had a fall within the last 12 months, etc; (e) (f) Only allow people with sufficient skills, knowledge and experience to perform the task; (f) (g) Check that the place (eg a roof) where work at height is to be undertaken is safe; (g) (h) Take precautions when working on or near fragile surfaces; (h) (i) Clean up oil, grease, paint, and dirt immediately to prevent slipping; and

Issue	Environmental Prevention/Mitigation Measures
	<ul style="list-style-type: none"> (i) (j) Where possible provide fall protection measures e.g. safety harness, simple scaffolding/guard rail for works over 4 meters from ground. (j) (k) Keep worksite clean and free of debris on daily basis. (k) (l) Keep corrosive fluids and other toxic materials in properly sealed containers for collection and disposal in properly secured areas. (l) (m) Ensure adequate toilet facilities for workers from outside of the community. (m) (n) Rope off construction area and secure materials stockpiles/ storage areas from the public and display warning signs. Do not allow children to play in construction areas. (n) (o) Fill in all earth borrow-pits once construction is completed to avoid standing water, water-borne diseases and possible drowning. (o) (p) Each construction sub-project to have a basic first-aid kit with bandages, antibiotic cream, etc.
Others	<ul style="list-style-type: none"> (a) No cutting of trees or destruction of vegetation other than on construction site. (b) No hunting, fishing, capture of wildlife or collection of plants. (c) No use of unapproved toxic materials including lead-based paints, un-bonded asbestos, etc. (d) No disturbance of cultural or historic sites.

3.2 TECHNICAL GUIDELINES

385. The following tables show the technical guidelines for construction and/or rehabilitation by sub-project types.

3.2.1 BUILDINGS

Table 5-3: ECoP Technical Guideline for Buildings

Sub-project Type	Environmental Prevention/Mitigation Measures
General	<ul style="list-style-type: none"> (a) Provide adequate drainage in the building's immediate surroundings to avoid standing water, insect related diseases (malaria, etc.) and unsanitary conditions. (b) Include sanitary facilities such as toilets and basins for hand washing. (c) Avoid use of asbestos cement tiles as roofing. (d) Tiled floors are preferred for easier cleaning and more hygienic.
Schools, community recreation centres (including: child care centres, telecommunication centres), rural health centres and markets	<ul style="list-style-type: none"> (a) Schools/health centres: Maximize natural light and ventilation systems to minimise needs for artificial light and air conditioning; use large windows for bright and well ventilated rooms. [Attachment #12] (b) Health centres: <ul style="list-style-type: none"> (1) Provide adequate area for treatment, waiting area and patient's rooms, all of which should be well ventilated. (2) Include facilities for proper disposal of health and biological wastes (syringes, blood, etc.). (c) Markets: <ul style="list-style-type: none"> (1) Tiled/paved floor is preferred for easy cleaning and maintenance. Slope floor for drainage. (2) Provide garbage/waste disposal that can be emptied regularly. (3) Separate the stalls/shops in the market for dry and wet produce/products. (4) Ensure the stalls/shops have covers/roof to avoid standing waters during rainy seasons.

3.2.2 RURAL ROADS, BRIDGES AND JETTIES

Table 5-4: ECoP Technical Guideline for Rural Roads, Bridges and Jetties

Sub-project Type	Environmental Prevention/Mitigation Measures
Roads connecting villages, between villages and township	<p>General Considerations:</p> <ul style="list-style-type: none"> (a) Control placement of all construction waste (including earth cuts) to approved disposal sites (at >300 m from rivers, streams, lakes, or wetlands). Dispose in authorised areas all of garbage, metals, and excess materials (fuels, oil, grease) generated during construction. Never dispose spent oils on the ground and in water courses as it can contaminate soil and groundwater. If the community have to dispose of any item, a safe disposal system must be used. (E.g. using used oil as fuel, or to polish the floor & wall, or to mix with crude oil and utilizing that mixture) (b) Erosion control measures should be applied before the rainy season begins, preferably immediately following construction. Maintain, and reapply the measures until vegetation is successfully established. (c) Sediment control structures should be applied where needed to slow or redirect runoff and trap sediment until vegetation is established. (d) Spray water on dirt roads, cuts, fill materials and stockpiled soil to reduce wind-induced erosion, as needed. (e) Avoid road construction through primary forests as it gives access to illegal logging. (f) Avoid road construction in unstable soils, steep slopes and nearby riverbanks. Additional measures (see the section below) need to be applied should there be no alternatives for road alignments. <p>Protect slopes from erosion and landslides by the following measures:</p> <ul style="list-style-type: none"> (a) Plant locally available, fast-growing grass on slopes prone to erosion. These grasses help stabilise the slope and protect soil from erosion by rain and runoff. Locally available species possessing the properties of good growth, dense ground cover and deep root shall be used for stabilisation. [Attachment #1] (b) Provide interceptor ditch, particularly effective in the areas of high intensity rainfall and where slopes are exposed. This type of ditch intercepts and carries surface run-off away from erodible areas and slopes before reaching the steeper slopes, thus reducing the potential surface erosion. [Attachment #2] (c) For steep slopes, a stepped embankment (terracing) is needed for greater stability. (d) Place a retaining wall at the lower part of the unstable slope. The wall needs to have weeping holes for drainage of the road sub-base, thus reducing pressure on the wall. [Attachment #3] (e) Rocks (riprap) can be used in addition to protect the slope. [Attachment #4] (f) Prevent uncontrolled water discharge from the road surface by sufficiently large drainage ditches and to drain water away from the down slope.
Small bridges (less than ten meters) and jetties	<p>Erosion protection:</p> <ul style="list-style-type: none"> (a) The main method of slope and erosion protection is the construction of gabions (gravity walls that support embankments

Sub-project Type	Environmental Prevention/Mitigation Measures
	<p>or slopes which have a potential to slip) and ordinary stone pitching. [Attachment #5]:</p> <ol style="list-style-type: none"> (1) The slope of gabions should be in the ratio of at least 1 vertical: 2 horizontal. Flatter slopes may be adopted depending on the site terrain. (2) The filling of the gabions should be from strong and competent rock, which is laid very closely packed to maximise the weight. (3) Bracing wire should be used to prevent the gabion bulging out. The bracing wire should be placed at each third of the gabion height. (4) The gabions should be firmly anchored into the ground by founding the gabions below the expected scour depth level. (5) In cases where stone pitching is not provided, the top layer should be covered by soil to encourage the growth of grass and the stabilisation of the slopes. <p>(b) Stone pitching may be provided as the only erosion protection measure in those cases where the erosion potential is deemed minimal. Stone pitching is not very resistant to strong water current and is mainly used as the top finish on gabion walls.</p> <p>Water Quality and Fauna:</p> <ol style="list-style-type: none"> (a) Restrict duration and timing of in-stream activities to lower flow periods (dry season) and avoid periods critical to biological cycles of valued flora and fauna (e.g., spawning). (b) Water flow diversion is not advisable; if it is impossible to avoid, impacts should be assessed and mitigation proposed. (c) Establish clear separation of concrete mixing and works from drainage areas and waterways
Culverts	<ol style="list-style-type: none"> (a) Remove all formwork from inside the culvert (after concrete has reached full strength). Formwork that is not removed will rot eventually, drop down and obstruct the free flow of water. [Attachment #13] (b) Place large stones at the outlet of the culvert to prevent erosion. [Attachment point #8] (c) Keep the culvert inlets free from sand and gravel – the water must flow through the culvert. [Attachment #8] (d) Build a sand trap upstream of the culvert to prevent accumulation at culvert inlets (sand traps will have to be cleaned periodically). (e) Ensure that the water of the adjacent road sections can flow freely into the roadside ditch. [Attachment #8 & 14]

3.2.3 RURAL WATER SUPPLY

Table 5-5: ECoP Technical Guideline for Rural Water Supply

Sub-project Type	Environmental Prevention/Mitigation Measures
Wells (deep/shallow)	<ol style="list-style-type: none"> (a) Should be equipped with slab around the well for easier drainage, a crossbeam and a pulley to support the use of only one rope and bucket for collecting water. One rope and bucket is more hygienic for the well and water. [Attachment #16] (b) Steel rungs (placed inside wall of a deep well) are essential for maintenance of a well or in case of an emergency. [Attachment #16] (c) A groundwater well usually has a wide-open water area. It is necessary to provide a cover/roof/wire mesh on top to protect this area from falling leaves or debris. [Attachment #16] (d) Wells should always be located upstream of the septic tank soak-away and other possible contamination sources e.g. livestock

Sub-project Type	Environmental Prevention/Mitigation Measures
	<p>housing, etc. Build the soak-away as far away as possible from the well (minimum 15 m/50 feet) as it can influence the quality of the drinking water when it is too close (health risk). [Attachment #6]</p> <p>(e) Before using a new water source, take samples for testing; minimum key parameters for water testing: total coliform, pH, Arsenic, Nitrate, colour, turbidity, and temperature. Water quality should also be monitored in the case of all wells rehabilitations as part of the project.</p>
Spring	<p>(a) Every spring capture should be equipped with a filter and a sand trap. Add a wall between the inflow and the outlet pipe to create chamber for settling out sand; build the wall with a notch (lowered section) for controlled flow. Sand must be cleaned out periodically (O&M).</p> <p>(b) Collection basin for spring capture needs to have a perforated PVC pipe (holes diameter 2mm) to be used as a screen for the water intake. Alternatively, a short pipe with wire mesh (screen) around the open end should be provided.</p> <p>(c) Collection basin needs to have a fence to protect the spring from public access and risk of contamination; and a roof/cover over the spring to prevent leaves or other debris from entering the basin.</p>
Rainwater harvesting	<p>(a) Rainwater storage reservoir should be intact, connected to roof gutter system, with all faucets and piping intact.</p> <p>(b) If distribution pipes are attached into the storage reservoir, install the distribution pipes 10cm above the storage/tank bottom for better use of the storage capacity.</p> <p>(c) Cover must be fitted tightly onto the top of the storage reservoir to avoid overheating and growth of algae (from direct sunlight), and to prevent insects, solid debris and leaves from entering the storage tank.</p> <p>(d) A ventilation pipe with fly screen should be placed in the cover to help aerate the tank/reservoir, which is necessary for good water quality.</p> <p>(e) Roof gutters need to be cleared regularly, as bird and animal faeces and leaf litter on roofs or guttering can pose a health risk if they are washed into the reservoir tank.</p> <p>(f) Reservoir tanks need an overflow so that in time of really heavy rain, the excess water can drain away. The overflow should be designed to prevent backflow and stop vermin/rodents/insects entering the system. A good design will allow the main storage tank to overflow at least twice a year to remove build up of floating sediment on the top of the stored water and maintain good water quality.</p>
Installation/ rehabilitation of pipelines from natural springs	<p>Preventing contamination at water sources:</p> <p>(a) Build a structure with roof over the water source to prevent leaves or other debris from entering into the basin.</p> <p>(b) A fence is needed to protect the water sources (springs particularly) from public access and risk of contamination.</p> <p>(c) The sand/gravel filter traps sediment before the spring flow enters the collection chamber and has to be changed during periodical maintenance.</p> <p>Pipe Laying [Attachment #17]:</p> <p>(a) PVC water transmission and distribution piping need to be buried underground (coverage 50cm minimum) to prevent pipe against external damage (e.g. passing vehicles, solar UV radiation, etc). Exposing PVC pipe to UV radiation causes the plasticiser in the PVC pipe to evaporate causing loss of integrity and brittleness.</p> <p>(b) Pipe shall be laid in a straight line, over a constantly falling slope.</p>

Sub-project Type	Environmental Prevention/Mitigation Measures
	<p>(c) When conditions do not allow piping to be buried (i.e. pipe is used above ground), then metal pipe must be used, and supported/braced as excessive movement may lead to leaks and breaks.</p> <p>(d) Outlet pipes and fittings from water storage/basin shall not be PVC pipe due to exposure to solar UV/sunlight. Metal piping and fittings are preferred.</p>

3.2.4 RURAL ELECTRIFICATION

Table 5-6: ECoP Technical Guideline for Rural Electrification

Sub-project Type	Environmental Prevention/Mitigation Measures
Solar panel and charge station Pico hydro (<30kw) Solar street lighting Diesel generator (<20 kilovolt-amps)	<p>(a) Provide a shed for genset (distributed electrical generator system) or pumps that are accessible for easy maintenance. Regular maintenance is important to avoid spillage/ contamination (diesel/petrol/oil).</p> <p>(b) At genset installation, make sure that exhaust pipe ends at the wall side of shed, as the fumes in the shed are unhealthy for the operators. Avoid pointing exhaust pipe end toward nearby house or building to avoid air pollution impact to nearby resident.</p> <p>(c) Tidy wiring for easy maintenance and reduces the risk of accidents. [Attachment #10]</p> <p>(d) Electrical cabling connections for street lighting need to be protected against rain to prevent short circuits.</p> <p>(e) A concrete/steel pole foundation (min 80 x 80 x 100 cm) is essential for safe lighting and power distribution, and a suitable size (minimum depth = 60cm) can be used for other pole foundation. [Attachment #10]</p> <p>(f) A concrete/ steel pole foundation (min 80 x 80 x 100 cm) is essential for safe lighting and power distribution. Foundation for other types of pole should be suitable for its function and sufficient for safe installation and use (minimum depth = 60 cm).</p> <p>(g) Location of Generator:</p> <ol style="list-style-type: none"> 1 Where possible consider a location that has less noise impact to nearby areas. Maintain a buffer zone, such as open spaces, row of trees or vegetated areas, between the generator set and residential areas to lessen the impact of noise to the living quarters. 2 Give priority to locations that are not prone to flooding.
Biogas charge station	<p>(a) Adequate level of maintenance is needed to prevent pipes getting blocked and leaking.</p> <p>(b) No open flames should ever be used near a digester, and adequate ventilation is needed.</p> <p>(c) When handling waste material, exercise appropriate precautions by using personal protective equipment to avoid contact with manure. Washing after working around the digester is recommended. It is particular recommended to wash hands before eating and drinking and before touching the eyes or other mucous membranes.</p> <p>(d) Keeping the digester facility clean will reduce disease hazards as well as the spread of odours and fly and mosquito populations in the digester facility.</p>
Biomass generator (<15 kilovolt-amps)	<p>(a) Biomass fuel storage should be located close to the boiler. Extended conveyance and elevation changes lead to increased technical complexity (with health and safety implications) and higher capital investment and maintenance costs.</p>

	<ul style="list-style-type: none"> (b) Ash content from combustion of biomass generator needs to be buried or used as fertiliser. (c) A storage facility for agricultural wastes must be located at least 15 m from any watercourse and 30 m from any source of water for domestic purposes. If this recommended setback distance is not feasible, additional steps should be taken to ensure impacts from the storage waste pile are mitigated. (d) Storage sites should be located at a level area and well drained. Low lying, poorly drained areas should be avoided to ensure there is no standing water. (e) Surface run-off from the surrounding area should be directed away from the storage waste pile.
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3.2.5 SMALL-SCALE IRRIGATION

Table 5-7: ECoP Technical Guideline for Small Scale Irrigation

Sub-project Type	Environmental Prevention/Mitigation Measures
Small-scale irrigation	<ul style="list-style-type: none"> (a) Masonry walls (along the road) or stone riprap should be built to prevent erosion on a sloped bank. [Attachment #4] (b) May use bamboo as bank protection along the rice fields as the loads are low. [Attachment #8] (c) A bar screen (vertical bars; about 20mm diameter with an approximate 10 cm clear distance for easy maintenance) is essential in front of any inlet structure (upstream) to prevent large objects and debris blocking the irrigation canal. The angle between the bottom of the canal and the screen shall be between 45 to 80 degrees.

3.2.6 SANITATION FACILITIES

Table 5-8: ECoP Technical Guideline for Sanitation Facilities

Sub-project Type	Environmental Prevention/Mitigation Measures
Public latrines/toilets	<ul style="list-style-type: none"> (a) All toilets must have a septic tank to provide primary treatment of faecal waste. [Attachment #7] (b) PVC pipe used to connect pour-flush toilet to a septic tank must be buried underground or covered over (with cement) for protection and to prevent exposure to sunlight. (c) Metal pipe is a preferred choice to be used as the gas vent pipe on septic tanks. Never use PVC pipe as it is unable to withstand long-term exposure to sunlight. (d) Septic tanks must have a vent pipe to prevent the build up of gas inside the chamber and shall have a 'manhole' that provides access inside the tank if needed. [Attachment #7] (e) A toilet should be at least 20 metres from water sources (well, spring, river). [Attachment #6]
Small-scale waste treatment facilities	<p>Septic tanks:</p> <ul style="list-style-type: none"> (a) Septic tanks must have a vent pipe to prevent the build-up of gas inside the chamber and shall have a 'manhole' that provides access inside the tank if needed. [Attachment #7] (b) Ensure that the septic tanks have two chambers: first chamber is for settling of sludge, and the second chamber is for aerobic treatment. These chambers will generally treat wastewater better. Partially treated septic tank effluent can pollute groundwater and surface water. [Attachment #7] (c) Do not discharge septic tank effluent to an open drain or other surface water. The effluents need to be treated before final

	<p>disposal. This may be achieved through: (i) an underground leachfield, (ii) a vegetated leachfield, or (iii) a pit for soaking away.</p> <p>(d) Septic tanks must be inspected periodically and the accumulated sludge must be emptied (by pumped out) every few years for the tank to continue to function properly. [Attachment #7]</p> <p>Solid waste disposal (wastes from rural market):</p> <p>(a) Solid waste depots/disposal need to be located on hard-standing areas that prevent waste entering surface or groundwater.</p> <p>(b) Waste depots/storage/disposal should be contained, sealed and/or roofed/covered to prevent stormwater contamination. Wastes need to be emptied regularly.</p>
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4 ENVIRONMENTAL CODES OF PRACTICE ATTACHMENTS

1. Locally available plant with fast-growing grass on slopes that are prone to erosion.



Fast-growing grass was planted on cut and embankment slopes of this road

2. An interceptor ditch is needed to reduce the potential surface erosion



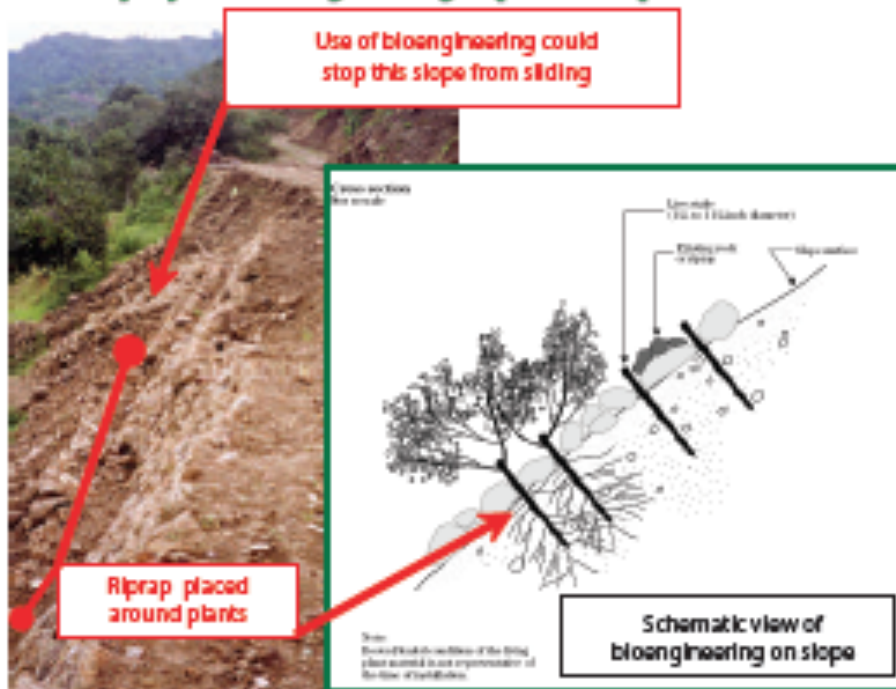
Landslides have blocked the ditch and may soon block the road

3. Retaining wall



Retaining wall for cut slope

4. Riprap and bioengineering to protect slopes



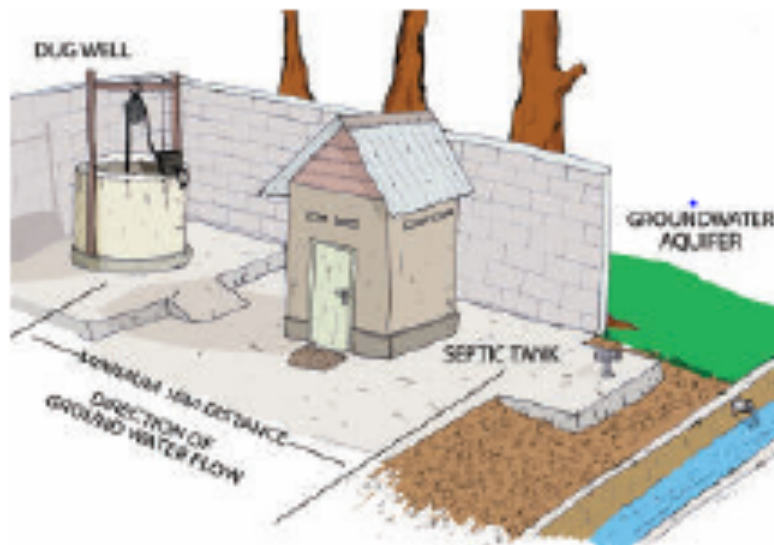
This slope could be stabilized with bioengineering

5. Gabions to stabilize slopes from erosion



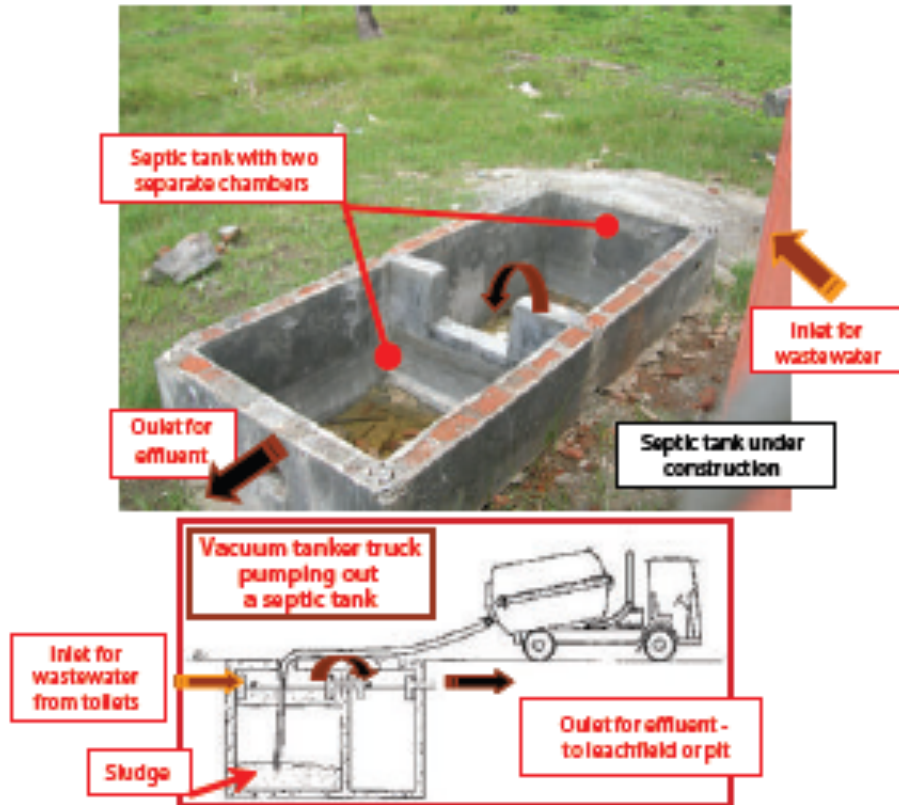
Gabions are used to build a stable embankment slope

6. Dug well and Septic tank



This schematic section shows the right way to site a dug well in relation to septic tank

7. Septic Tank



Desludging has to be done when sludge level has built up more than halfway in the first chamber

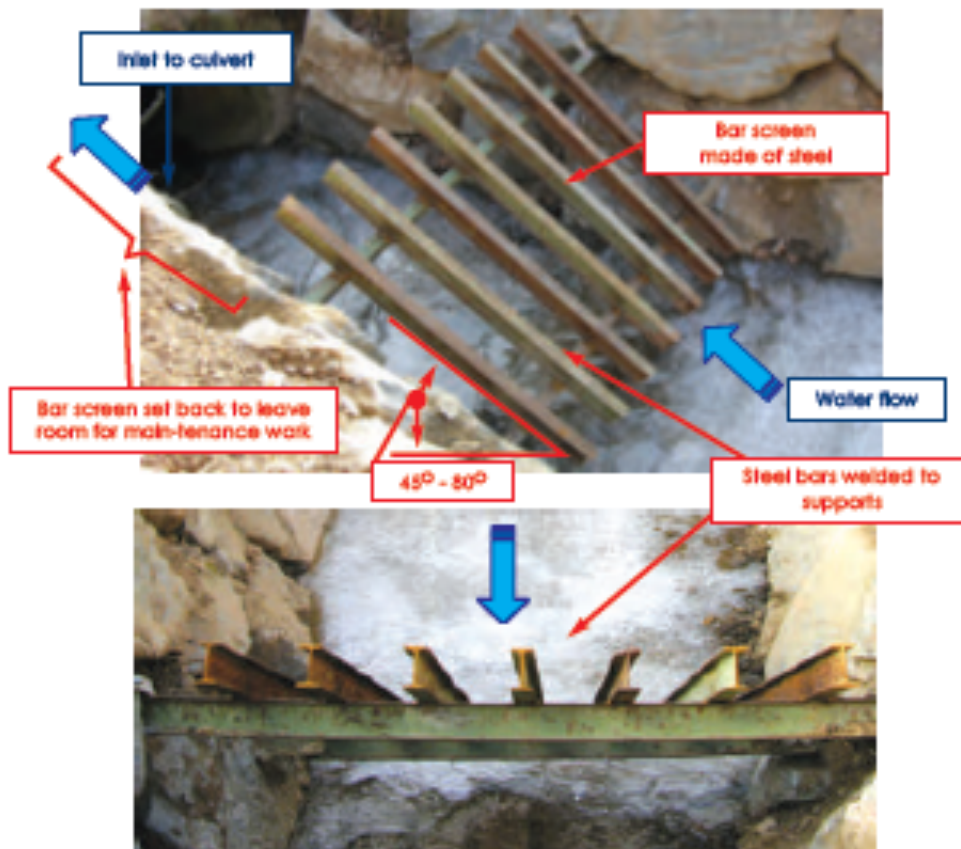


8. Bamboo for bank protection



Bamboo stakes and slats can also be used for bank protection on small streams or irrigation channels

9. Bar screen for culvert



Inlet to a pipe culvert with a heavy-duty bar screen

10. Rural electrification



Distribution box



Foundation for a street lighting pole

11. Drainage in and around markets



Well built ditch around the slabs of the sheds

12. School building



Well-built school building

13. Culvert

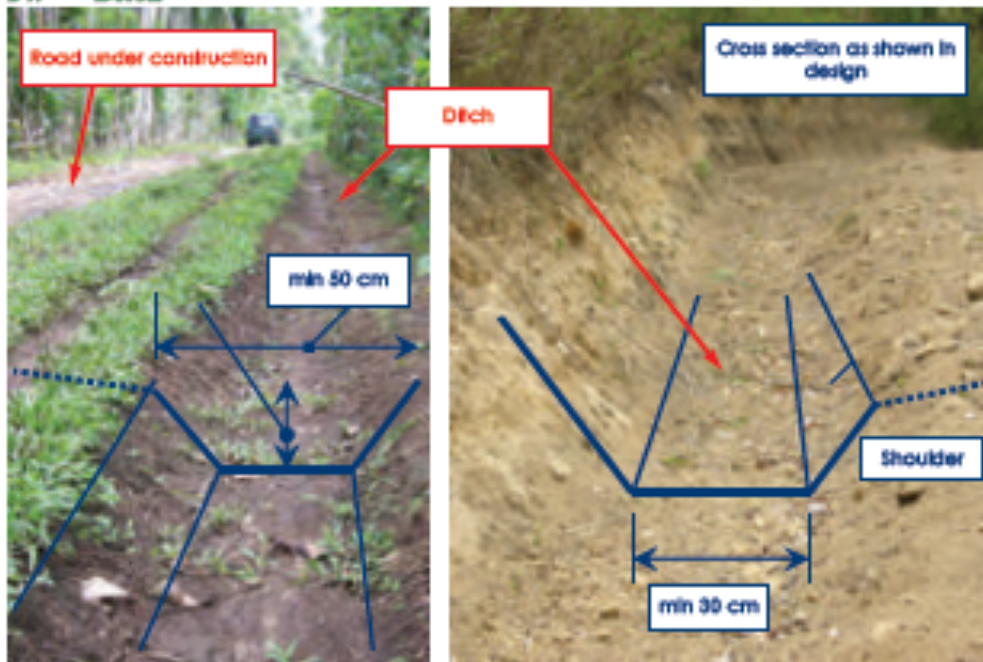


Formwork that is not removed can block the culvert making it useless



Inlet box for a pipe culvert

14. Ditch



Well shaped earth ditch with natural slopes

15. Bridge

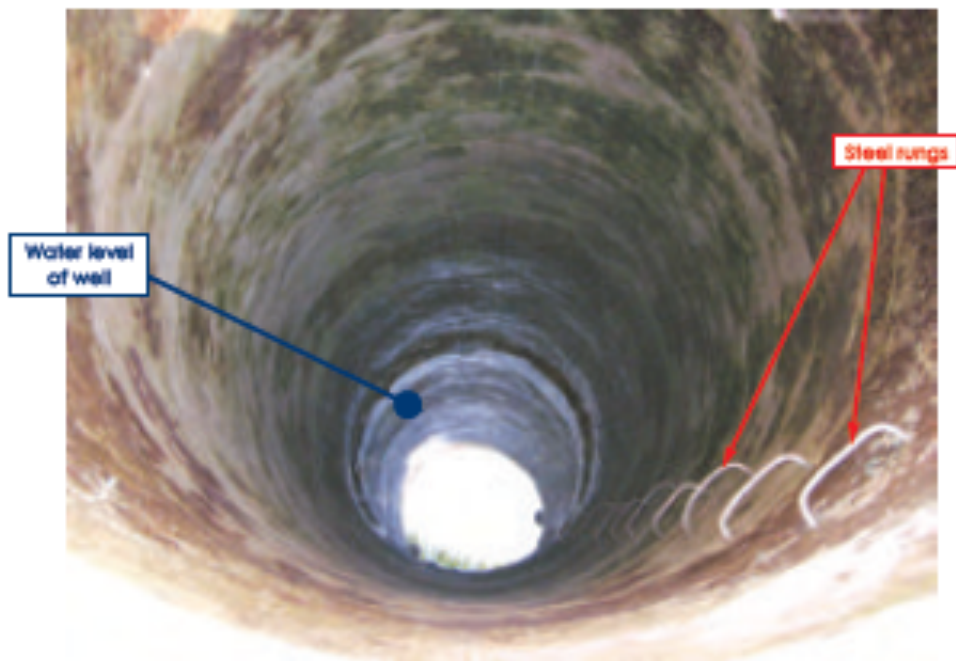


Formwork from under the concrete slab must be removed

16. Well and facilities



Dug well with all necessary facilities

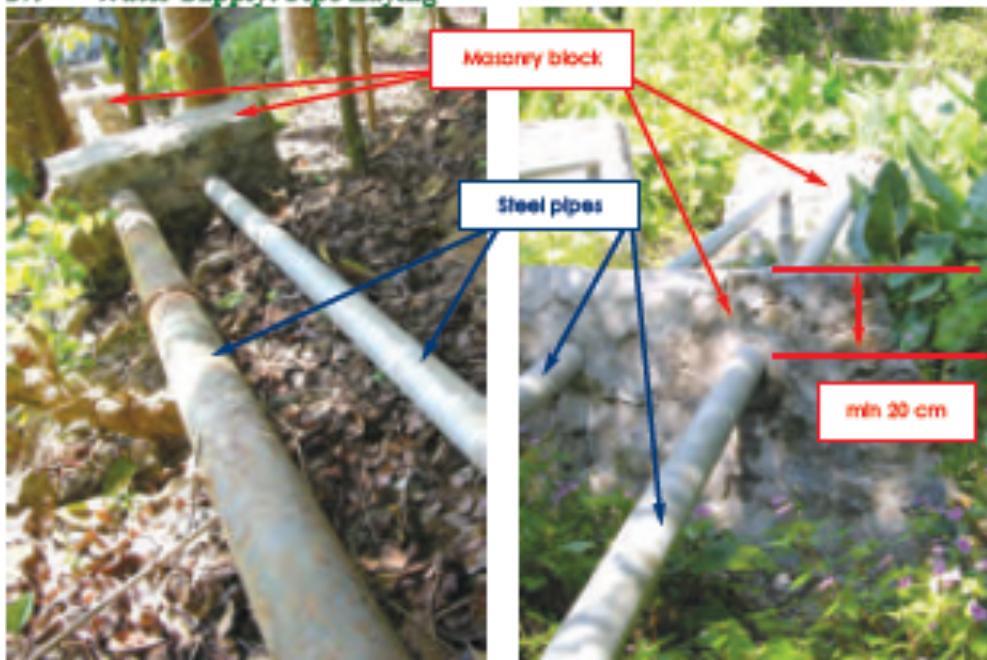


Well equipped with steel rungs

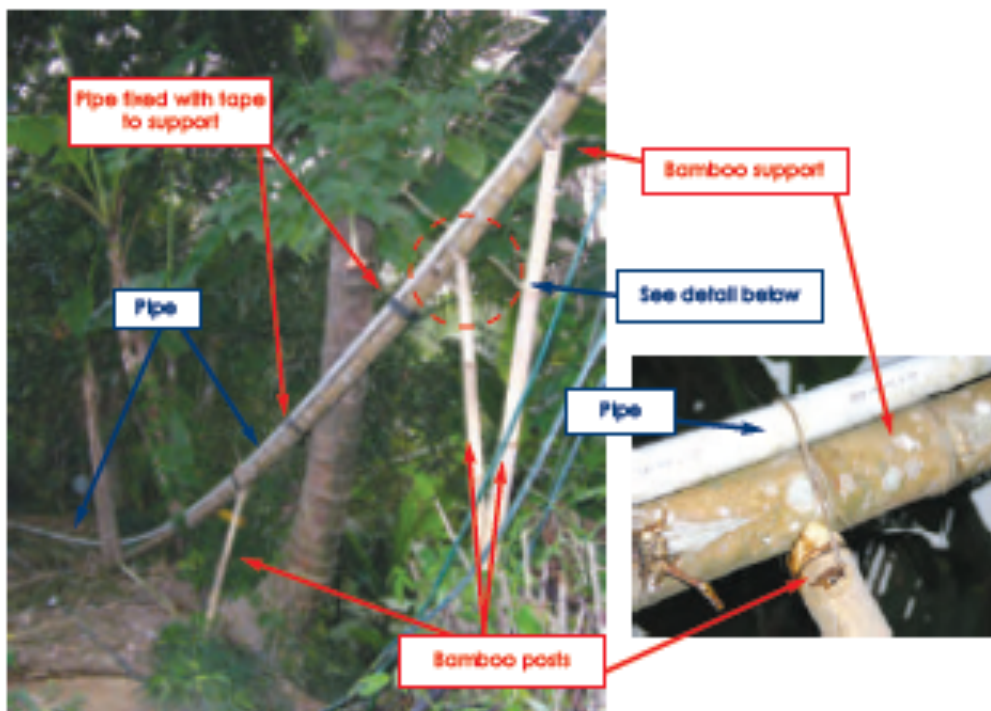


Wire mesh protection over a ground water well

17. Water Supply: Pipe Laying



Pipe supports made of masonry



Bamboo support for PVC pipes



National Community Driven Development Project

Operations Manual

Chapter 6 Financial Management

Chapter 6 Table of Contents

1	Introduction	190
2	Organization	190
	2.1 Financial Management Function	190
	2.2 Accounting System	191
3	Budget Preparation	192
	3.1 Budget Spread by Month	193
	3.2 Budget Approval	193
4	Receipt of Block Grant	193
5	Payment of Expenditure	194
	5.1 Payment by Check or Money Order for Suppliers and Contractors	194
	5.2 Payment for Community Force Account Work	194
	5.3 Payment by Cash	195
	5.3.1 Cash Withdrawals	195
	5.4 Petty Cash	196
	5.4.1 Petty Cash Control	196
6	Accounting Records & Controls	196
	6.1 Month End Accounting Routines	197
	6.2 Recording of Community Contributions	197
7	Sub-project Closure	197

CHAPTER 6

Financial Management

1 INTRODUCTION

386. This chapter aims to support Finance Sub-Committees (FSC) of Village Tract Project Support Committees (VTPSC) and village finance clerks in carrying out their accounting and reporting duties for sub-projects under the NCDDP. These guidelines should be read in conjunction with other relevant sections of this Operations Manual, in particular Chapter 1 and 2.

387. Block grants entrusted to VTPSCs are intended to be used for sub-projects benefitting communities. All members of VTPSCs are responsible for safeguarding these funds and ensuring that they are used for the purposes intended (see the code of conduct). The accounting records and supporting documentation, regular accounting procedures, reporting and auditing described in this manual are intended to help the VTPSC, its FSC and the village finance clerks in discharging these responsibilities. The project's grievance handling mechanism provides a way for any member of the VTPSC or the community to raise concerns regarding the use of project funds.

388. Unless otherwise indicated, all forms referred to in this chapter are from Chapter 3.

2 ORGANIZATION

2.1 FINANCIAL MANAGEMENT FUNCTION

389. As described in Chapter 2, VTPSCs will elect a FSC responsible for all finance, accounting and financial reporting of sub-projects. The "core" FSC shall consist of two to three persons, with one person serving as the head of the FSC, and one serving as its bookkeeper. At least one member of the FSC must be a woman. Both the head of the FSC and the bookkeeper should be able to read and write. In addition, a finance clerk of each village will work with the FSC for matters related to his or her own village and its sub-project(s).

390. The VPSC will appoint a finance clerk at the village level to assist the VPSC in its finance and accounting related functions and to liaise and work with the "core" FSC of the VTPSC. The finance clerk cannot be a member of the Procurement Sub-Committee (PSC). He or she must be able to read and write and must be numerate. The finance clerk acts as the village cashier even though usually funds will be kept in the VTPSC bank account or held in the village by a trusted villager.

391. The Village Tract FSC shall have the following responsibilities:

- (a) Maintain account books and financial records;
- (b) Be custodian of village tract funds and manage the bank account;
- (c) Help prepare budgets for sub-project implementation;
- (d) Make (or oversee) payments following proper authorization;
- (e) Prepare accounting records and reports;
- (f) Display all financial information as specified in the OM;
- (g) Have books of accounts and records available for audit and/or inspection.

2.2 ACCOUNTING SYSTEM

392. The accounting system includes a set of books to record financial transactions and files to maintain supporting documentation. First, a bank account will be established in a local bank to deposit funds received and make payments. The bank account is established in the name of the VTPSC and shall have four authorized signatories: two heads of the VTPSC, head of FSC and one other member of VTPSC. Any two of the four authorized signatories can sign checks and are required to be present for withdrawal of funds from the bank account. The bookkeeper of the FSC shall not be a signatory to the bank account.

393. The FSC will obtain and keep the following basic documents as reference for carrying out the financial management work:

- (a) A copy of the signed Block Grant Agreement
- (b) A copy of the approved VTDP (see Chapter 3)
- (c) A copy of the approved sub-project proposal
- (d) Civil works documents (bill of quantities, draft civil works contract, etc.)
- (e) Copies of sub-project reports including details of sub-project cost (contracts, materials, wages or other expense categories)
- (f) Copies of procurement plans for each sub-project from the PSC of the VPSC
- (g) An Operations and Maintenance plan, with budget, for the sub-project for a period of at least 3 years after construction works or renovation/rehabilitation.

394. The above shall be kept in permanent files and referred to during sub-project implementation. The following books of accounts and files will be established and maintained by the FSC:

- I. Bank Book - F1
- II. Daily Wages log- F2
- III. Administrative Expenses log - F3
- IV. Block Grant Disbursement Request – F4
- V. Payment Voucher –F5
- VI. Sub-project Final Financial Report – F6
- VII. Cycle Completion Financial Report – F7
- VIII. Community Contribution – F8
- IX. Administrative Expenses –F9
- X. Village Tract Sub-project Budget Table –F10
- XI. Bank Statement File
- XII. Wages File
- XIII. Petty Cash Payment Voucher File, together with documentation evidencing payments made such as invoices and receipts or other documentary

evidence of payee acknowledging receipts of payment by signing or thumbprints

- XIV. Grant and Sub-project File
- XV. Payment Voucher File
- XVI. Contract/Supplier File

395. The above files together with supporting documents should be kept by the FSC and made available for inspection by relevant staff from DRD, the World Bank, external auditors appointed by the project and other relevant authorities. The files and documents shall be kept for a period of at least 8 years after the completion of the sub-project. Should there be a change in FSC members, a proper handover of documents must be carried out and the DRD township office (through the CF) informed of the changes.

3 BUDGET PREPARATION

396. A budget is an estimate of expenditures to be carried under a block grant. A budget shall be prepared immediately after approval and signing of the block grant agreement. A block grant may contain more than one sub-project. A budget must be prepared for each sub-project planned for implementation in the budget year.

397. The following actors are responsible for budget preparation.

- (a) Head of FSC: Prepare the overall budget.
- (b) Leader of PSC: Provide the procurement plan.
- (c) Technical Facilitator: Help with Bill of Quantities (BoQ) and design implementation schedule.
- (d) FSC Bookkeeper and Village Finance Clerks: Help with budget and financial calculations.
- (e) DRD Township Engineer: Provide guidance and information on O&M budgets.

398. The budget preparation process includes:

- (a) Approved Village Tract Development Plan (VTDP) should contain all the sub-projects planned for implementation.
- (b) A budget should be prepared covering the required number of months of the implementation year or Cycle. From the VTDP, determine which sub-projects will be implemented in the first year, the second etc.
- (c) As the sub-projects are implemented by the VPSCs, these committees shall be involved in preparing the budget; the budgets will be based on approved sub-project plans (design, BoQ, procurement plan, budget, implementation schedule, etc.).
- (d) Obtain information from approved sub-project proposals. These will be total cost, work to be contracted, work carried out by community labor (using community force account, CFA), materials to be bought, other expenses.
- (e) Obtain the procurement plan showing the details of contracts, material purchases and any other goods and services that need to be purchased. Procurement plan

should state separately for each contract the planned dates and costs for contracting, delivery of materials, and completion of works and services.

- (f) Obtain an implementation schedule, working with Technical Facilitator and/or VPSC.
- (g) Prepare a budget listing all administrative expenses such as travel costs for community meetings, travel cost of committee members on VTPSC/VPSC business, and, stationery for use of VTPSC/VPSC and their sub-committees.

399. The FSC will prepare the following budgets:

- (a) Village Tract Sub-project Budget Table – F10(to estimate the cost of contracts, materials and labor); and
- (b) Include Administrative Expenses Budget in the same Table– F10 (to estimate the administrative expenses, such as transport, stationary, bank charges incurred for VPSC business and travel. incurred by the FSC for the VTPSC and also for the VPSCs).

3.1 BUDGET SPREAD BY MONTH

400. After preparing the total budget, monthly budgets should be prepared based on the planned implementation schedule. A monthly budget is a forecast of expenditures to be incurred each month from the start of the sub-project until its completion (F10).

3.2 BUDGET APPROVAL

401. Once the budget is prepared by the FSC with the support of the village finance clerks, it should be presented to a meeting of the VTPSC for final approval.

4 RECEIPT OF BLOCK GRANT

402. In order for a VTPSC to be eligible for receipt of block grants, the following activities must be completed.

- (a) All VPSCs and the VTPSC have been established and staffed as required.
- (b) The VTPSC's FSC members, a book keeper and village finance clerk have been appointed and trained.
- (c) The VTPSC has opened a bank account in the name of the VTPSC at a local bank (only required for the first disbursement).
- (d) The VTPSC head has signed a block grant agreement for the current cycle with the DRD township office.

403. At the completion of activities (a) to (d) above, the FSC shall prepare a Block Grant Disbursement Request Form (F4) and submit it to the DRD union office through the DRD township office.

404. The DRD union office will transfer the full amount of the block grant to the VTPSC bank account, normally within two weeks of receipt of the block grant release

request. The DRD union office, through the DRD township office, will advise the VTPSC when funds are transferred.

405. On receipt of the advice of fund transfer from the bank, the FSC bookkeeper shall enter the amount received in the village tract bank book.

406. Notification of block grant transfer by DRD and the bank advice of receipt of funds shall be filed in the bank file and villages will be informed by the VTPSC of the receipt of block grant.

5 PAYMENT OF EXPENDITURE

407. Payment of expenditures is made using one of the following methods.

- (a) By check or money transfer order (MTO)
- (b) By cash
- (c) Petty cash (for administrative expenses such as travel, office supplies)

408. To the extent possible, payments for sub-project expenditures will be made by check or money transfer order. Exceptions are payment of community wages and when suppliers do not have bank accounts. Any cash payments, other than for wages and administrative expenses, must be with the knowledge of the FSC and justified.

5.1 PAYMENT BY CHECK OR MONEY ORDER FOR SUPPLIERS AND CONTRACTORS

409. On receipt by the VPSC or its PSC of an invoice from a supplier/contractor, the bookkeeper or village finance clerk prepares a payment voucher (F5). The payment voucher will contain all information such as name of payee, amount of invoice, or reference to other authorization and purpose of payment.

410. The payment voucher is (i) checked by the head of the FSC and approved by the any of the two heads of the VTPSC, or (ii) validated by the PSC and approved by the head of the VPSC, depending on who will actually make the payment on behalf of the VPSC.

411. Following approval, a check or money transfer order is prepared by the bookkeeper or village finance clerk and signed by the person who has approved the payment.

412. All invoices are stamped or marked "PAID" and filed.

5.2 PAYMENT FOR COMMUNITY FORCE ACCOUNT WORK

413. Expenditures for the Community Force Account Form will be prepared by the head of the PSC.

414. For wages paid to community workers, a wage computation sheet is provided (F2). Payees must acknowledge receipt of payments either by signing or thumbprints.

415. The village finance clerk shall pay workers and ensure that the expenditures are within the authorized amounts.

5.3 PAYMENT BY CASH

416. It may be necessary to withdraw cash from the bank for payment of expenses that cannot be paid by check, for example daily/weekly wages paid to community force account workers. In addition, some local suppliers of materials may require payment in cash. For such payments, payment vouchers need to be prepared and approved, similar to other types of payment.

5.3.1 CASH WITHDRAWALS

417. A payment voucher (F5) is prepared with supporting documents. The payment voucher is prepared by the bookkeeper or village finance clerk, checked by the head of the FSC and approved by the head of the VTPSC.

418. Cash is withdrawn from the bank and paid to the recipient or in the case of wages to workers.

419. Bank book (F1) is recorded after withdrawal by bookkeeper (VTFSC) and the recipient must sign the PV acknowledging receipt.

420. In case of payment of wages, each person receiving wages must sign for receipt (F2).

421. Cash disbursement for wages must be made and witnessed by at least two persons.

Withdrawals must carefully balance time and cost considerations with the need for funds and the security of the cash on hand. It is recommended that cash be handled by a trusted villager, agreed by the community at large, in a manner and place where it is as secure as possible. The risks and responsibilities must be explained to the selected trusted person and also understood by the community at large.

All cash receipts and payments at the village level for sub-project should be recorded in a Cash Book (F1).

If funds have been withdrawn but then plans change and those funds can no longer be immediately utilized, funds can be kept in hand for up to 7 days, after which they should be deposited back into the VT bank account.

5.4 PETTY CASH

422. It is normal practice to maintain a petty cash to pay for small expenses. Petty cash is used to pay for travel expenses, office supplies and other minor administrative expenses.

423. The VTPSC is entitled to use up to four percent of the annual block grant amount per year to cover the expenses referred above for managing the block grant.

424. A plan for the use of petty cash must be prepared and approved before funds can be withdrawn and used.

425. The VTPSC may increase the amount for incidental expenses to up to six percent of the annual block grant amount under exceptional circumstances, subject to the documented DRD union office's approval.

426. A person other than the bookkeeper is charged with keeping the petty cash. The person keeping petty cash is called the petty cash custodian.

427. Money withdrawn from the bank shall be kept in a secure cash box. The petty cash custodian shall keep the key and be personally responsible for its safety.

428. The petty cash custodian, with the bookkeeper's help, maintains the administrative expenditure log (F3) to record all transactions. When money is received, the date and amount is entered; and when money is paid, the payment date and the amount are entered. At a minimum, a monthly cash balance needs to be calculated and checked with the balance in cash box.

429. Payment authorization:

- (a) Payment voucher is prepared by bookkeeper/village finance clerk, attach supporting invoice for purchases.
- (b) Payment voucher is checked by the head of the FSC and approved by the head of the VTPSC or validate by the PSC and approve by the head of the VPSC.
- (c) Petty cash custodian disburses the money and complete record. The recipient is required to sign.

5.4.1 PETTY CASH CONTROL

430. In addition to the weekly cash counting done by the book keeper, the administrative expenditure log needs to be balanced at the end of each month and a physical cash count shall be made by the bookkeeper to confirm the accuracy of the petty cash balance available. Any discrepancy between the cash count and balance per administrative expenditure log shall be reported to the head of the FSC immediately, and any discrepancies should be investigated and rectified immediately.

6 ACCOUNTING RECORDS & CONTROLS

431. The accounting records shall be under the purview of the head of the FSC and shall be maintained by the bookkeeper.

432. Accounting records shall be maintained on a cash basis, e.g. account books are updated when cash is actually received and payments are made.

6.1 MONTH END ACCOUNTING ROUTINES

433. The bookkeeper prepares the following statements, which will be checked by the head of the FSC and approved by the head of the VTPSC.

- (a) Balance the bankbook and confirm that the balance is the same as the balance of the bank statement obtained at month end.
- (b) Balance the administrative expenses log and conduct a count of the petty cash balance.

434. Approved reports are submitted to the VTPSC for acknowledgement and final agreement.

6.2 RECORDING OF COMMUNITY CONTRIBUTIONS

435. Contributions from the community, whether in cash or in kind, shall be recorded and accounted for as part of the overall sub-project cost. Form F8 should be used for recording. The information from F8 is then used to prepare the final sub-project financial report (F6) and the cycle completion financial report (F7).

436. The following are some guidelines for quantification of the contribution:

- (a) Labor contribution shall be quantified using the daily wage rate;
- (b) Cash contribution shall be recorded per the actual amount contributed;
- (c) Other in-kind contribution (e.g. material, tea break, lunches) shall be quantified using prevailing rate at the location where the sub-project is being implemented.

7 SUB-PROJECT CLOSURE

437. Sub-project closing procedures are described in Chapter 2. Following these procedures, the village Monitoring Sub-Committee will issue a final sub-project inspection completion form (PC 6).

438. The village finance clerk, with the help of the bookkeeper, prepares the final sub-project financial report (F6). The financial report shall be posted on a publicly accessible board for the information of all community members.

439. A copy of the sub-project final inspection form and the final sub-project financial report will be forwarded to the head of the FSC. The reports for all sub-projects in a village tract will be used to prepare the Village Tract Cycle Completion Financial Report (F7) and to declare a cycle and its sub-projects completed.

440. At the end of the sub-project cycle, the FSC will prepare a final summary report in the form of Cycle Completion Financial Report (F7), which will show block grants

received in the year, sub-projects completed, any sub-projects carried forward to the next financial year and the unused block grant balance, if any. The report is submitted to the VTPSC for approval. Once approved by the VTPSC, the report is submitted to the township DRD office.

441. It is recommended to prepare three copies of the final “Sub-project Financial Report” and “Cycle Completion Financial Report.” The copies will be used as stated below:

- (a) One copy on the notice board of the VTPSC;
- (b) One copy to be files of the VTPSC;
- (c) One copy to be submitted to the DRD township office.