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**NATIONAL COMMUNITY DRIVEN DEVELOPMENT PROJECT**

**IDA Grant No: H814-MM**



**PROJECT ANNUAL REPORT**  
**(OCTOBER 2013 – SEPTEMBER 2014)**

*Submitted in compliance with Section II A of the Financing Agreement between  
the Republic of the Union of Myanmar and the International Development Association*

Presented by:

Community Driven Development Secretariat  
Department of Rural Development

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List of Abbreviations and Acronyms

BG	-	Block Grant
BGA	-	Block Grant Agreement
CARE	-	Cooperative for Assistance and Relief Everywhere
CFA	-	Community Force Account
CDD	-	Community-driven Development
DRD	-	Department of Rural Development
DSW	-	Department of Social Welfare
ECOPs	-	Environmental Codes of Practice
EMP	-	Environmental Management Plan
EOI	-	Expression of Interest (procurement document)
GDA	-	General Department of Administration
GWG	-	Gender Working Group
HH	-	Household
INGO	-	International Non-Government Organisation
M : F	-	Male to Female Ratio
M&E	-	Monitoring & Evaluation
MEB	-	Myanmar Economic Bank
MIS	-	Management Information System
MWF	-	Myanmar Women Federation
NCDD	-	National Community-driven Development
NGO	-	Non-Government Organisation
NOL	-	No-Objection Letter (WB document)
OM	-	Operation Manual
O&M	-	Operation and Maintenance
PMIS	-	Project Management Information System
RFP	-	Request for Proposals
SIM	-	Subscriber Identifier Module
SPs	-	Sub Projects
TA	-	Technical Assistance
TOR	-	Terms of Reference
ToT	-	Training of Trainers
TS	-	Township
TTA	-	Township Technical Assistance
UTA	-	Union Level Technical Assistance
VDP	-	Village Development Plan
VL	-	Village Leader
VT	-	Village Tract
VTDSC	-	Village Tract Development Support Committee
VPSC	-	Village Project Support Committee
VTDP	-	Village Tract Development Plan
VTPSC	-	Village Tract Project Support Committee
WB	-	World Bank

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## 1 Executive Summary

- The National Community Driven Development (NCDD) Project seeks 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. Implementation rolled out from three townships in 2013 to six townships in 2014, and will cover all remaining townships in 2015.
- This report covers the first year of the project implementation, i.e the from October 2013 to September 2014. It presents the highlights of: (a) implementation progress in terms of the results framework and project work plan; (b) achievements and risks to implementation; and (c) the work plan for the upcoming quarter. The Executive Summary has grouped activities and spending under the five components NCDDP: 1) Community Block Grants 2) Facilitation and Capacity Development 3) Knowledge and Learning 4) Implementation Support and 5) Emergency Contingency Response.

### 1) Component 1: Community Block Grants (US\$52.2 million)

- a. Cumulative spending on this component from start of project to end September 2014 was \$ US 1,598,069 (MMK 1,566.108 million) representing 3% of the overall component allocation of US \$ 52.2 million (see Table 8).
- b. A total of MMK 1,566.108 million was disbursed for Block Grants, broken down as MMK million 541.62, 477.36, and 547.128 to 26, 26 and 22 village tracts in Namhsan, Kanpelet and Kyunsu respectively. Sub-projects cost a total of MMK 1,501 million, with a total of MMK 102.9 million unspent remaining with the villages for O&M, extending and upgrading projects.
- c. Transport (roads, jetties, bridges, embankments etc) and schools were the most popular sectors at 35% and 33%, followed by watsan (19%), electrification (7%), community meeting places (4%) and irrigation. There was only one health related sub-project (Namhsan), so it will be interesting to see how this profile changes in year 2 for the first three townships.
- d. Sub-project implementation: A total of 357 sub-projects were constructed in the three townships as follows: 117 Namhsan, 97 Kanpelet, 143 Kyunsu (2 in Kyunsu remained to be completed after the period during the dry season). Full documentation was complete within 96% by end of the period.
- e. 60%, 55%, and 64% (average 59%) of sub-projects in Namhsan, Kanpetlet and Kyungsu achieved an aggregate score of 4 or 5 in the independent Technical Review (i.e fully met the technical and safeguard specifications in the OM).
- f. Participation: A total of 225,941 beneficiaries received access to and use of project infrastructure, of which 51% were women. (8% in Kanpetlet; 59% in Kyunsu; and 33% in Namhsan). An average 56% of households have participated in planning, decision-making, and implementation of subprojects. (79% in Namhsan, 100% in Kanpetlet and 41% in Kyungsu).
- g. In Kanpelet and Kyunsu, 2570 (45% women) and 1587 (37% women) participated in the community labour force, with equal wages for the same work in around 95 % of cases.

h. Risks and critical issues: in year one, a critical issue was the late start-up of the field work. Also in year two, the main risk appears to be the delay in procurement of township TAs for the six new townships. Time pressure is likely to become again the most relevant risk in year two, threatening both, the quality of capacity building, participatory processes and of infrastructure quality.

i. Overall conclusions

- considering the unfamiliarity of government and communities with the concept of community driven development, the first annual cycle of NCDDP has gone well; targets for community participation and capacity building, construction quality (technical and safeguard compliance) and gender mainstreaming exceeded expectations.
- with upward revision of the Block Grant size per population category for year 2 following input from the MSR, a more open system of negative list and multiple year projects, more meaningful impact per village can be expected in year 2.
- although an average rating of 59% meeting technical and safeguard specification in cycle 1 is already satisfactory, sub-project quality can be expected to increase in year 2 as: 1) technical sections of the OM have been updated and clarified 2) examples of best and worst practice (do's and don't's) from the Technical Review will be used to enrich training material 3) TF numbers will be increased and 4) standard designs have been introduced and adapted locally.

## **2) Component 2 : Facilitation and Capacity Development (US\$14.2 million)**

a. Cumulative spending on this component from start of project to end September 2014 was \$ US 1,561,084, representing 11% of the overall component allocation of US \$ 14.2 million (see Table 8). This represents an overall under spending of US \$ 540,169 against the first year budget, mainly due to late presentation of invoices from TA contractors.

b. Capacity Development

- A wide range of CDD training was delivered during the first year to community members, government and township TA, covering infrastructure, design and safeguards, procurement, financial management, social accountability and grievance, and gender mainstreaming.
- Community: the total number of individuals trained on various CDD skills in Cycle 1 was 5,460 (49% women), of which 4731 were committee members (44% women) leading the processes of community planning, procurement, subproject supervision and monitoring. VT financial sub-committee members received specific training related to their key role in Block Grant administration.
- Government staff
  - i. 31 CDD staff at Union level and 19 staff at township level received training in CDD of some form, including NCDD management „9DRD“ for DRD staff from the 9 project township. Additionally, 135 DRD staff from all 15 states and regions (NOT from NCDD project townships) were trained on CDD in July. This “TOT100” demonstrates the ministry’s commitment to introduce CDD throughout the country.
  - ii. Township TA: CF’s and TF’s were given various start-up and refresher training on all aspects of handling their tasks including: CDD, gender, community relations and PRA

- Risks and Constraints
  - i. Training resources: the TTA teams performed capably during the first year in delivering training to CF's, TF's, as well as to village and VT committee members. Selected DRD Union staff, supported where required by UTA and team leader from Kanpetlet, also performed to the best of their capacity. However, there is a shortage of qualified trainers for year two, especially for training of facilitators packages (TOF). Requirements include: a) 3 dedicated Master Trainers at Union level, with high level of English language to double as translators b) development of a pool of trainers, which might include DRD officers from union, regional or township level. Procurement of these positions has been included in the procurement plan (see Annex VI).
  - ii. Training Plan : the key training events for the second year 2014/15 are given in below in Section 10. Due to competing and frequently unscheduled activities of trainers and trainees, the agreed training plan is subject to continual modification and updating at short notice. It is thus proposed that all NCDDP planning, including training, uses a collaborative online project planning software from which all parties can be updated, and can make forward commitment to the agreed dates.
  - iii. Delivery of training material as hard copies has involved many inefficiencies. With deployment of the new tablets, training materials and other knowledge documents not connected with the MIS can also be delivered to CFs using the new tablets.

Complaints about committee member performance represented the single most frequent grievance item (see below Section 7, and Annex III), and low literacy continues to be a significant constraint to overall capacity development in poor remote villages. Community training will need further inputs.
  
- Conclusions
  - i. Community capacity building: overall the CFs ad TFs from TTA performed a challenging task successfully, as they themselves were learning about CDD and PRA approaches for the first time, within a society more used to taking instructions from above than making decisions for themselves.
  - ii. Despite of complaints about committee member performance, in general 95% of committee members in three townships appear to have performed their trained skills with competence and commitment.
  - iii. Government capacity building
    - Union level: The Infrastructure section is now well staffed and trained. Further human resources (support staff and/or consultants) are required in finance, training, procurement, M & E, communication, gender and translation. Assuming sufficient human resources, upgrading of capacity/skills is especially required in finance.
    - Township level: although significant transfer has been achieved in the capacity of Union and township level DRD to handle implementation on their own, nevertheless the 6-8 township staff assigned to CDD are not yet exclusively dedicated to CDD, thus capacity transfer has not been as complete or rapid as hoped. At township level, infrastructure staff are probably best equipped to manage infrastructure functions without TTA, but finance staff still require TA support, especially at Union level. DRD will grant an extension of 2 – 3 months on the contract of key TTA staff and CF's in year 2. Since DRD have a plan to increase overall staff in township offices to 27 within the near future from the recent nationwide recruitment of 3000 staff, this should allow the existing 6 – 8 staff in township offices to be more fully dedicated to CDD.

c. Grievance management

- Total number of grievances with resolution rates for the first year were:

	Namh-san	Kanpet-let	Kyunsu	Union	Total
Grievances received	80	159	79	3	318
Grievances resolved					99%
Grievances from women					20%

- During this year, the grievance handling actions taken included:
  - i. Receipt and processing of 358 grievances, with overall 99% resolution. Kanpetlet filed more than double the grievances of the other townships, but many were suggestions to improve sub-projects, rather than grievances.
  - ii. The main delivery mechanism was through hand carry by CFs from village suggestion boxes to township grievance focal person; less frequent methods were by direct phone to grievance hotlines at township or Union level; grievance feedback committees at the VT level were not active as grievances were not referred to them and people prioritised mostly subproject implementation.
  - iii. Comprehensive training in grievance management topics, including the Code of Conduct, social accountability and communications. Grievance management training, based on relevant sections in the Operations Manual, was included in all CDD training modules and events.
  - iv. Regular periodic visits of the UTA Grievance Handling Expert to all townships to give training, awareness raising and get feedback from CF's, village grievance focal persons and villagers.
  - v. Revision of relevant grievance handling sections in Operations Manual following MSR, including a simplification of the Code of Conduct; an Accountability Framework is being drafted.
  - vi. Submission of 3 quarterly reports.
- Critical issue: a report submitted by IFI Watch to the WB in October 2014 pointed to possible misconduct of project staff in Namhsan. The case was thoroughly investigated and resolved by a high level mission from the union NCDD secretariat travelling to Namhsan and visiting the concerned village communities. The project proved its (self-critical) capacity to deal with potential mis-conduct and set a benchmark for properly following the code of conduct.
- Conclusions: the grievance handling mechanism follows a modality already well established in other CDD country programs. Nevertheless, for citizens of poor and remote villages to be allowed and encouraged to express their opinion freely is already a significant departure from the past in Myanmar. Taking this into account, first year experience has been very encouraging, not just in terms of the high % of case resolution and number of channels (website, Facebook, hotlines etc), but also the growing awareness of social accountability and rights in general, through training and communication materials disseminating key messages, and lessons learned (e.g VT feedback committees inactive, as not the preferred channel).

d. Technical Assistance

- Union Technical Assistance (UTA): The full range of national and international experts, both short and long term, were present on the project at various times during the first year, including: i) Team leader: Mr. Cesar Umali, replaced by Klaus Kirchmann (acting) ii) Procurement: Mr Manmohan Ruprai, replaced by Mr Dawe Yang iii) Financial Management: Mr Balasingam Pathmasiri iv) Infrastructure: Mr Praful Soni v) Training: Mr Klaus Kirchmann vi) M & E: Mr Anurah Widana replaced in August by Mr Luqman Leckie vii) MIS : Mr Mohammad Ilyas was

demobilized in May 2014, and replaced by Mr Viktor Klymonchuck after the end of this period (October) viii) Communication: Geetha Skarner ix) Grievance handling: Mr. Banyar Tun and x) MIS: George Paw Tun. There was a relatively high rate of turnover, which especially in the case of procurement added to the delay in the procurement process of township TAs for the second year.

- Township technical assistance (TTA) : Relatively high rates of turnover of expert staff were experienced by TTA teams, especially in Namhsan and Kyungsu (under MercyCorps), where key positions such as Finance Officer remained vacant for some months. The combination of CDD related experience, qualifications and willingness to serve long periods in remote areas, especially for women, is still in relatively short supply, but improving slowly with accumulating experience from CDD and similar programs. Following recommendations from the MSR and Technical Review, the number of TFs and CFs will be increased in year 2 where needed, using a combination of criteria including modification of the previous formulae based on village tracts and villages (see Section 15.2, Tables 15 & 16).
- Procurement of TTA for six new townships was initiated in April 2014, but was still ongoing by the end of this period, with mobilisation expected by mid-December 2014. This will affect the field implementation of the community project cycle in the six new townships leading to time pressure similar to the situation in year one, and a collaborative effort will be needed for the field implementation to compensate for the late start-up in the six new townships. (The three year-one townships are not affected by this constraint). Experience from the first year has shown clearly that the TTA procurement process (from preparation of tender packages to mobilisation) cannot be completed in under 8 months, despite increasing experience of DRD in procurement and negotiation. To avoid a similar situation in 2015/16 for the last 6 townships, the preparation of tender documents should be initiated no later than January 2015.

### **3) Component 3: Knowledge and Learning (US\$1.8 million)**

- a. Cumulative spending on this component from start to end September 2014 was \$ US 79,107, representing 5% of the overall component allocation of US \$ 1,569,600 (see Table 8). This represents a small underspending against budget of US \$ 96,825, due to unliquidated advances for township MSR expenses.
- b. Social audits based on a simplified procedure were completed in June in 143 villages of 3 townships involving 10,140 members of the community, with the exception of a very remote VT (Lauk Mawt, 5 villages, to be completed end December). All three townships reported high rates of satisfaction with process and results of NCDDP, except for Namhsan, where the process was not perceived as satisfactory (only 30% of committee and community gave a ranking of good or very good). Detailed findings from the social audits are discussed under Section 5 below. There is room for improvement in documentation methods of the whole process in Year 2.
- c. Following social audits, one day multi-stakeholder reviews for the 3 townships were carried out in August just before the Union level MSR (17 - 19 August 2014). A summary of all findings, as well as changes made to the townships were held in August just before the Union level MSR. Changes to the OM which proceeded from these findings, are discussed under Section 6 below, and in Annex I. Both township and union level MSR's were satisfactory for the first year, both in terms of participation and feedback delivered, most of which has been incorporated in the form of revisions to the OM. Real time translation at presentations and meetings at

the Union MSR must be improved in year 2, as some of it was unintelligible to English speakers. The planned procurement of English speaking master trainers should be helpful in this regard.

- d. Development Marketplace: a range of development actors were invited to the MSR, but a proper Development Marketplace event is not scheduled until year two.

#### **4) Component 4: Implementation Support (US\$11.8 million)**

- a. Cumulative spending on this component from start to end September 2014 was \$ US 731,736, representing 6% of the overall component allocation of US \$ 11.8 PAD allocation (see Table 8). There was an underspending against budget of US \$ 912,694, partly due to a delay in planned payments for goods (vehicles, motor cycles, tablets, office equipment for new townships) and services (national and international consultants) until after September 2014.

##### **b. Financial Management**

Following key actions were taken during this year :

- i. The UTA Finance Expert (Mr Balasingham Pathmasiri) had four short inputs during this year, providing various start-up and refresher training to DRD and TTA, assisting DRD in submission of withdrawal applications and quarterly IRF, revision of the FMM, including Community Finance
  - ii. Financial Management Manual for DRD Union Level and Township Level was revised to incorporate the suggestions made by the World Bank, and the Community Finance Guidelines were updated by incorporating the points raised at the Union Level Multi-Stakeholder Review by different stakeholders.
  - iii. Revised the budget of Block Grants for Cycle 2 based on the population range of the new six townships to include in the supplementary budget.
  - iv. During period DRD submitted ten Withdrawal Applications to the World Bank. One withdrawal application was to document an amount of MMK 8,280,000 paid under the Block Grants and another application for an amount of MMK 148,732,155 to document the expenses incurred from April to June 2014.
  - v. Human resources and capacity: finance staff at DRD Union Office continued to record the financial accounting transactions into Peachtree Accounting Software, from which the periodical financial statements are generated. Despite multiple trainings during the first year, capacity in financial management for donor funded projects such as CDD is still low, and the unit is understaffed. Manual entry of there is a bottleneck due to a few In January 2015, DRD will contract a) a national Senior Finance Assistant to assist the Finance Unit for 24 months in its day-to-day accounting activities and b) a national finance & operations consultant will be recruited for 36 months c) ICS Computers Lte from Cambodia to train new staff assigned to finance unit in Peachtree, and to customize Excel reports from TSPs that can be imported or uploaded into Peachtree.
  - vi. Main areas of concern for WB as reflected in their Aide Memoires of January and June were: a) Financial management capacity of staff at Union and township level (see Annex IV) b) Lack of efficiency and timeliness of financial management systems affecting the flow and timely availability of funds at the township level for operating expenses. c) Further improvements needed in budgeting, internal control and compliance with the Financial Management Manual. All of these points were either addressed during the reporting period, or will be addressed (staff capacity) in January 2015.
- c. Financial Audit : The finance unit of DRD co-ordinated with the Office of the Union Auditor General (OUAG) in conducting the first external financial audit of the Project for the period ended 31 March 2014. The Finance Expert assisted DRD in budgeting the expenses to be paid to the Union Auditor General Office to conduct the audit. The Audit Report was finally issued by the OUAG after the end of the reporting period,

and submitted to the World Bank. An English translation of the required follow up actions for Kanpetelt is given in Annex IX as an example of the kind of issues which concerned the auditor.

d. Procurement

- The original procurement plan for Union level procurement activities was approved on November 13, 2012. The period October 2013 - September 2014 saw 3 revisions of this procurement plan, from the second revision approved by WB on 09/10/13 through to the 4th revision approved 21/05/14. The currently valid 5th revision (approved 07/11/14, See Annex VI) covers the 8 months from 25/07/14 – 31/03/15, and is divided into: 1) Consulting services (communications and non-communications) and 2) Goods. This PP is for contracts to be procured by NCCDP team in Union DRD, while the PP at village and village tract levels are reviewed and kept at Township DRD.
- Union level
  - i. Main procurement activities were: 1) Non-communications consulting services: a) procurement of TTA for first three townships in September 2013 b) TTA for first three townships in September 2013 c) TTA for the six new townships, initiated in April 2014, but unfinished by end of reporting period 2) Communications consulting 3) Goods: vehicles, motorbikes, tablets, office equipment.
  - ii. During the period, the UTA Procurement Expert (Mr Dawe Yang) made two short term inputs to assist DRD with the training, updating of the OM, and preparation of bidding documents and evaluation of goods and non-communications consulting services for Cycle 1 and 2, including : 1) the new 6 TTA packages and 2) goods: vehicles, motorbikes and office equipment. Further assistance was given by WB procurement consultant Mrs Oi Thip to review and complete the evaluation reports for UTA procurement six TTA packages to WB standard.
  - iii. Further non-communication consulting categories included national consultants or secretarial support for gender mainstreaming (x 1), training (x 3), finance (x 2) and procurement (x 2). Communication consultants included: script writers for radio and TV, web maintenance, and translators for 10 ethnic languages.
  - iv. DRD staff experienced a steep learning curve on how to handle international bids and WB procurement methods, as delays occurred on all the above procurement (TTA packages, office and computer equipment, motor vehicles and motor cycles) for different reasons, including changes to procurement methods (motorbikes changed from ICB to Shopping) and changes to size and scope of TTA packages as additional findings from the Townships came in.
  - v. The procurement focal person (Maung Maung Soe) has certainly learned a lot in this year, but DRD is not yet able yet handle the preparation and evaluation of TTA packages alone. Additional staff need to be trained and an understudy for Maung Maung Soe identified. Mr Kyaw Swa head of CDD procurement, also requires secretarial support.
  - vi. Considering that the tender process for six TTA packages was initiated in April 2014, and mobilisation of T.A for the first three of the new townships (Pinlebu, Sidoktaya and Laymyetnar) is expected only by mid-December, it is clear that 8-9 months should be allowed for the full process. To avoid similar delays in Year 3 (2015/16), DRD proposes that tender documents are prepared and EoI issued early in January 2015. Even if the township selection process is not finalised, packages for the EoI can be based on states and regions.
- e. Community Procurement : various suggestions to improve community procurement procedures were made at the MSR, and were incorporated in the revised OM. (See Section 9.5 below).



f. Monitoring and Evaluation

- The main challenge during the first year was to arrive at a set of monitoring forms (Part III of the OM) which were user friendly (not over-burdensome for village committees, CF's, and monitoring staff) fit for purpose in terms of NCDDP management information requirements, and accurate in terms of Project cycle.
- UTA made modifications to the original forms in Part III (September 2013) which were NoL'd in January 2014. These were further updated in March, adding complexity in content and number of forms, and designating parts of each form for inclusion in the MIS. Although these were never NoL'd, they were circulated and provoked confusion and objection from TTA and village committees. A request for simplification in content and number of the forms was clearly voiced at the MSR, and a workshop on 20/08/14, including WB, M & E experts from UTA and TTA, and selected CF's, agreed the main changes to be made.
- Revisions to Part III were then finalised by the UTA M & E Expert in collaboration with Susan Wong and Kyung (MIS forms), and WB consultant Victor Bottini. It was agreed to include all forms (project cycle, finance, procurement, training, and human resources) in Part III, where previously they had been scattered in the relevant sections. Part III now has 38 forms, of which 12 are for the MIS. (see Annex V).
- Meanwhile, the revised forms were adapted for use with MS Access (desktop and web based Android application using Android tablets, and set of pre-defined queries based on KPI's developed for reporting to management (Annex V). Start-up training will be given using the new forms and MIS to new townships in December.

g. MIS

- The first year saw a substantial evolution of the software used for entry and processing of the MIS forms from an Excel based spreadsheet data processing system to MS Access and Android OS tablets as front end data entry forms, with MySQL as the back end data engine. Conversion of first cycle data from Excel to Access was completed in the case of Kyungsu and Kanpetlet, while Namhsan's Cycle 1 data remained in Excel, after WB advised in August that no further work be done on conversion or data processing of Cycle 1.
- By the end of this period, coding work for the Android front end and SQL database back end was still in process. A fully operational front and back end system will be in place by mid December, allowing complete data entry, processing and reporting functions to be performed on the MIS forms, multi-user access with password permissions, with a secure dedicated SQL server. Further work during 2015 will ensure the system meets functional requirements for secure and sustainable expansion to multiple townships. Taking into account the still low and unreliable internet connectivity in most CDD townships, the system will include offline storage and processing of data during internet downtime.

h. Communications

- The first year of NCDDP saw the establishment of a project website, (<http://cdd.drdmyanmar.org>) and facebook page, production of materials for dissemination of key messages through various printed and visual media, and

translation of posters and key messages into ethnic languages (Chin and Choe for Kanpetlet Tsp, Shan and Palaung for Namhsam Tsp) A national communication expert was contracted in May, and a communication plan drafted (see Annex VII). Accounts were created for townships to upload news about project activities directly to the website. Until now, the Facebook page is more actively used and visited than the website.

- Priorities for the next quarter include:
  - i. Revision of Communication Plan and Budget (December)
  - ii. Upgrading of website with uploading of data (October, November) and recruitment of a national contract for website maintenance in the following quarter.
  - iii. Completion of translation of OM into Chin and Palaung ethnic languages (October)
  - iv. Production and dissemination delivery to townships of posters for project cycle, grievance, positive/negative list (November)

i. Gender mainstreaming

- Gender: Disaggregated data from the MIS and field observation shows that the gender mainstreaming actions mandated in the OM were relatively successful in terms of women's participation in year 1, but with room for improvement: sub-project beneficiaries (51%), participation on committees (44%), involvement in community labour force with equal wages (37 – 45%). A Gender Working Group was formed in March, and various gender trainings were done for DRD and TTA through the year. An international gender expert (Ms. Kyoko Kusakabe) was mobilized in August, and produced a first report on gender mainstreaming in Kanpetlet in October.
- Year 2: although results in year one have been satisfying, continued pressure will be required in year 2 to respective capacities with more coherent gender training material and keep improving awareness. The main priorities will be to: a) increase the quality and coherence of training via an improved Gender Training Manual b) procurement and mobilisation of a national gender expert to improve the Gender Training Manual, assist DRD and township TA to train community facilitators and village committees, and incorporate lessons learned from the international gender consultant b) to nominate a qualified member of staff in DRD Union to take over as gender focal person from Ms Daw Jagu, who is overloaded with other functions.

## 5) Component 5: Emergency Contingency Response (US\$0 million)

This provisional zero component is added under the project to allow for the rapid reallocation of grant proceeds from other components in order to provide preparedness and rapid response support to disaster, emergency and/or catastrophic events, as needed.

No activities were programmed or necessary under this component during the first year. However, WB reminded DRD of the need to have at least some contingency plans in place for basic emergency routines case the need should arise. Therefore preparations will be made in this regard during the second year.

## 6) Summary of critical issues and corresponding key activities in 2014/15

### a. Selected critical issues at the outset of year two:

- Time pressure in year two will again be high due to delay in TTA procurement. A concerted effort will be needed for mitigation and for ensuring the quality of process and results.
- DRD is now increasing its local staff. Building up their capacities in a systematic way is a critical step for DRD to take a stronger lead in local project implementation. Involvement of DRD's District level office is another priority.
- The increasing demand for training cannot be met with the current resources.
- Possibilities of modern ICT are not sufficiently used. Management and learning should be supported by a web Knowledge Center (Do's and Don't's) downloadable to the tablet computers and other helpful (engineering) apps as well as a web based collaborative planning tool.
- Wider internal discussions about the project's strategy and the corresponding communication plan are needed. This is even more relevant in light of the forthcoming loan program and of the idea to make the NCDD a country wide platform for people centered development.

### b. Key milestones for year 2 are as follows:

Milestone	Union	Townships		
		Kanpetlet, Namhsan Kyungsu	Pinlebu, Sidoktaya, Laymyetnar	Tatkon, Ann, Htantabin
Distribution of Operations Manual	Nov '14	Nov '14	Nov '14	Nov '14
Master Trainer preparation workshop	Dec '15			
TOT100 Part 2	Jan '15			
Initiation of procurement of last 6 townships	Jan '15			
Orientation meetings and planning		Nov/Dec. '14	Dec '14	Jan '15
Community training/refresher training (VPSC & VTPSC)		Dec '14	Jan '15	Jan '15
Transfer of block grants : December 2014		Dec '14	Jan '15	Feb '15
Mobilization of TTA facilitators		Dec '14	Dec '14	Dec 14
Start-up training in NPT			Dec '14	Dec '14
Sub-project preparation + procurement plans			Jan '15	Jan '15
Implementation of sub-projects		Jan '15	Feb '15	Mar '15
			May '15	July '15
O & M, social audit, technical review		April '15	May '15	June '15
MSR townships		May '15	June '15	July '15
Interim Support Mission / Mid-Term Review	Feb '15			
MSR Union	July '15			

- Next year's work plan will focus on:
  - Revision, translation, printing and distribution of Operations Manual
  - Capacity building: Increasing staff at union and township level; training for Cycle 2, including refresher training in various activities; building up a pool of trainers
  - Mobilisation of TTA for the six new townships (November & December)
  - Timely initiation of procurement of TTA of final 5 townships.
  - Technical assistance focus: MIS application with tablets as data entry devices, monitoring and reporting, quality management/safeguards, gender, communication.

## 2 Introduction

### 2.1 Purpose

The CDD Project Secretariat was established within the Department Rural Development by Ordinance No 57/2013 issued by the Ministry Of Border Affairs. The overall policy guidance and oversight is assigned to the Foreign Aid Management Working Committee which will act as the project steering committee. Project activities commenced in December 2012 and continued to progress with the implementation and completion of the Cycle 1, as well as preparatory work for Cycle 2, during the period of this annual report.

This annual report describes implementation progress and highlights main achievements with regard to the results matrix, together with issues that affected implementation during the year from October 2013 to end September 2014.

The report provides details of issues resolved, solutions to enhance implementation progress, and other matters that require the attention of project management, the Project Steering Committee, and the World Bank. Specifically, it provides status update and clarifications against comments made in the Aide Memoires of ISM's in January and June 2014. Finally, the report shows main activities planned for the next quarter.

## 3 Review of Performance Against Result Matrix Indicators

**Table 1: Performance of Results Matrix Indicators**

	Target	NAM	KPL	KYS	Total	Notes
<b>Project Development Objective Level Results Indicators</b>						
<b>Indicator One:</b> Number of persons having access to and use of project built infrastructure and services.	Y1: --	71,658 f: 52%	17,612 51%	134,636 51%	225,941 51%	
<b>Indicator Two:</b> Percent of households in project villages participating in planning, decision-making, and implementation of subprojects	Y1: -- Y2: 50%	79%	100%	41%	56%	
<b>Indicator Three:</b> Percent of community members satisfied with the project	Y1: -- (Y3: 80%)					1) 2)
<b>Intermediate Result (Component One): Community Block Grants</b>						
<b>IRC1 Indicator One:</b> number and type of rural infrastructure built: % completion (construction) % completion (documentation)	Y1: --	117 %100 97%	97 %100 97%	141 <sup>(3)</sup> 100 % 95%	355 100% 96%	
<b>IRC1 Indicator Two:</b> % of sub-projects evaluated as high priority by communities	Y1+2: - Y3: 90%					1)
<b>IRC1 Indicator Three:</b> % of sub-projects evaluated independently meeting project operations manual technical and safeguard specifications*	Y1+2: -- Y3: 85%	60%	55%	64%	59%	1) 2) 4)

		Target	NAM	KPL	KYS	Total	Notes
<b>Intermediate Result (Component Two): Capacity Building and Facilitation</b>							
	<b>IRC2 Indicator One</b> : # of government officials using their new skills in project management, engineering, planning	Y1: -- Y2 >15 Y3 >40	6	5	6	48 <sup>(5)</sup>	1) 2)
	<b>IRC3 Indicator Two</b> : # of community members using their new skills in project planning, financial management, and procurement.	Y1: -- Y2 >3000 Y3 >8000	1073	1305	2353	4.731	1) 2)
<b>Intermediate Result (Component Three): Knowledge and Learning</b>							
	<b>IRC3 Indicator One</b> : # internal cross-township learning exchanges	Y1: -- Y2: 3 Y3: 8					1)
	<b>IRC3 Indicator Two</b> : Awards given out through development marketplace	Y1: -- Y2: 3 Y3: 3					1)
<b>Intermediate Result (Component Four): Project implementation and management</b>							
	<b>IRC4 Indicator One</b> : % of project grievances resolved	Y1: -- Y2 >70% Y3 >75%	100%	100%	93%	99%	
	<b>IRC4 Indicator Two</b> : % of annual significant financial audit findings addressed (misuse of funds, non compliance with procedures)	Y2 >90% Yr3>95%					1)

Notes : 1) these indicators have no first year target and cannot be measured until the end of the second year, and/or are not to be measured by the project MIS, but by the ISM or externally commissioned survey firm. 2) Even though these indicators fall into the category under Note 1), some internal estimates are discussed below using MIS proxies, or estimates from Social and Technical Review. 3) Kyungsu registered 143 sub-projects, but 2 (small jetty and covered well) were only fully completed after this reporting period. 4) % of sub-projects with an aggregate (technical quality + ECoPS compliance) score of 4 or 5 in the independent Technical Review (i.e they fully met the technical and safeguard specifications in the OM). 5) The total column includes township DRD staff (as of July 2014) and 31 Union level trainees allocated to CDD.

## A. Comments on Indicator Performance

### A. Project Development Objective Level

1) **Indicator One**: “Number of persons having access to and use of project built infrastructure and services”: as a measurement of direct beneficiaries, the results are encouraging for the first year, as is the number of women (avg. 51%). The estimation of direct beneficiary numbers is a topic within the M & E training materials. The general assumption is that the main sub-project types, with the exception of schools, (i.e roads, bridges, jetties, water supply and electricity) will ultimately benefit the whole population of a village. Although 100% population benefit for the major sub-project types except schools) is a reasonable assumption, greater precision will be captured in Cycle 2 from the updated Form PC 5, which now asks: a) whether the sub-project is benefitting the whole community or, if not b) the estimated number of beneficiaries disaggregated by gender and ethnicity.

2) **Indicator Two:** *“Percent of households in project villages participating in planning, decision-making, and implementation of subproject”*. Overall average for three townships is 56%, but in the case of Namhsan (79%) and Kanpetlet (100%), results for Year 1 already exceed the target for Year 2 (50%). However, since the first figures submitted by Kanpetlet significantly exceeded the total number of households in the villages, it is clear that there was double counting, due to counting attendance of the same households at orientation and subsequent meetings, as well as involvement in the labour force, as additive. To avoid this in year 2, UTA proposes to base this figure on: 1) attendance at the orientation meeting only, as households who did not participate at this initial meeting rarely become committee members and 2) households participating in the workforce who were not present at the orientation meetings.

3) **Indicator Three:** *Percent of community members satisfied with the project* : this indicator will be assessed externally as impact evaluation. First year Social Audits however showed there was a relatively high rate of satisfaction with project results in all townships (see Chapter 4 below), but much lower satisfaction levels in Namhsan with the process. High levels of satisfaction with results is also confirmed in the MIS through Form PC 10 covering individual sub-projects.

#### *B. Intermediate Results*

- 1) **Component One, Indicator One** : *“number and type of rural infrastructure built”*. By the end of the period, 100% of construction was completed in Kanpetlet and Namhsan, while 2 sub-projects (small jetty and covered well) remained (completed in October). The issue of completion to the required quality is discussed below (Sections 3.1 and 3.2). Documentation (forms F6 and F7) was average 95% completed (fully completed by end October). Moreover, the Census in 2014 detected 161 villages for Kyungsu, so NCDDP will need to include all of these for Cycle 2.
- 2) **Component One, Indicator Three:** *“% of sub-projects evaluated independently meeting project operations manual technical and safeguard specifications”* : This indicator is due only at the end of year three. Yet, data are available that might give a first impression on the situation at the end of year one: Although the full Technical Audit is still awaited, a preliminary estimate can be extrapolated from the Technical Review conducted by Mr O’Keefe in August on Kanpetlet and Namhsan (visits to 32 sub-projects, i.e 10% sample) . Based on a combined rating for technical quality and conformity with E&S safeguards, the % sub-projects with score of 4 or above (good and excellent) was 60%, 55% and 64% for Namhsan, Kanpetlet and Kyungsu respectively.
- 3) **Component Two, Indicator One:** *“#:of government officials using their new skills in project management, engineering, planning”*: There is no target for Year 1. The numbers given here represent DRD staff who have received training: each 6 DRD staff in Kyungsu and Namhsan and 5 in Kanpetlet as of July 2014, additional to the 31 DRD staff at union level assigned to the NCDD. As DRD has recently increased its local staff, a more precise methodology to assess staff competence and capacity will be developed in year two. The numbers above refer to training given directly to CCD staff, both Union and Township, but do not include the wider non CDD staff of DRD who have been trained in the TOT100 program. These 135 participants will receive follow up training again in January 2015.
- 4) **Component Two, Indicator Two:** *“# of community members using their new skills in project planning, financial management, and procurement”*: : Even though there is no target for Year 1, the project MIS already has two proxies for this parameter in already in Year 1 : 1) the number of community members who have participated in NCDD training and 2) the number of villagers actively participating in committees or as volunteer or grievance focal person. The latter especially is relevant, as it can be assumed that active committee members or volunteers are really applying their new skills in some way or other for managing the community project, planning, finance, procurement, grievance etc.

**Table 2: Participation in training and committees**

PROXY	NAM	KPL	KYS	TOTAL
Number of villagers who participated in NCDD training during the first year (f: percentage of women)	2.640 f: 40%	1.725 f: 63%	1.095 f: 47%	5.460 f: 48%
Functional VPSC # Committee members Women	117/123 1073 36%	118/118 1305 43%	148/149 2353 49%	4.731

- 1) **Component Four, Indicator One:** : “% of project grievances resolved”. Performance on this indicator continues to be impressive with 99% overall resolution of a total of 318 grievances received since the beginning of the project. 29% of grievances were from women (See below Chapter 5).

## 4 Sub-Project Implementation

### 4.1 Sub-Project Completion

The WB in their June Aide Memoire had given a terminal date of 31 December for completion of all first cycle sub-projects. By the end of this period, 1) construction was complete for all sub-projects except for 2 in Kyungsu, which were completed during October, while 2) full documentation (completion of forms PC 10, and F 6 and F7) was around 90%; sub-project documentation was 100% complete in all townships by early November. Sub-project completion by sector is summarised in Table 3 below.

**Table 3: Sub-Project Completion by Sector (end October)**

Sector	Namhsan			Kanpetlet			Kyungsu			Total		
	No.	%	Cost (million MMK)	No.	%	Cost (million MMK)	No.	%	Cost (million MMK)	No.	%	Cost (million MMK)
Transport <sup>(1)</sup>	26	22	115.58	53	55	277.81	47	33	188.27	126	35%	581.66
Education <sup>(2)</sup>	34	29	134.14	16	16	62.66	68	48	300.77	118	33%	497.58
Water and sanitation	39	33	41.02	14	14	46.48	16	11	38.90	69	19%	226.40
Electrification	10	9	46.80	12	12	39.67	4	3	17.44	26	7%	103.91
Health	1	1	13.55							1	0%	13.55
Other buildings <sup>(3)</sup>	7	6	34.97				8	6	30.07	15	4%	65.05
Irrigation				2	2	12.85				2	1%	12.85
	117	100	486.06	97	100%	439.48	143	100%	575.45	357	100%	1,500.99

Notes : 1) Roads, bridges, jetties, culverts, retaining walls 2) Schools and child care centres 3) Community centres and meetings places

The above shows that transport (roads, bridges, jetties, culverts ) and education (schools) were clearly the priority need and choice of the three townships by number of project (35% and 33%), with the next category (water and sanitation) at 19%, followed by electrification at 7%. It will be interesting to see if there is significant deviation from this pattern in Cycle 2,

when there will be more need for villages to negotiate a more meaningful amounts, such as by missing out a year. Road SPs are most common in Kanpetlet, due to majority of villages having only motorcycle access & footpaths, while in Namhsan water and sanitation figured most highly due to water scarcity caused by improper land use. The fact that actual expenditure on sub-projects reported by Kyungsu (MMK 575.45 million, Table 3) exceeded the BG allocation (MMK 547.13 million), shows the significant level of funding provided by the members of the community themselves in Kyungsu.

Clearly there are still some grey areas with regard to the definition of “completion”. Some villages ran out of money, while others finished the main construction target, but not to the desired standard (example from Kyungsu: a school floor which was partially complete, although functionally usable) or to a standard where it could be defined as safely functional. Going into Year 2, the ISM in October proposed that while multi-year projects should be allowed, every cycle must complete to safe and usable functionality the module of that year. Under this definition, a school with a leaking roof (example from Kyungsu) would not be acceptable and could not be defined as completed.

Procedures for identification/inventorization and fixing sub-projects which are unsatisfactory in terms of quality, although classified as “complete”, is still unclear. DRD is considering to allocate government funds for this purpose, but must first obtain approval in principle from Finance Ministry and Auditors Office to supplement Block Grant funds with government funds. Another source of funding to fix sub-standard sub-projects would be unused funds from Cycle 1. According to the revised Operations Manual, such funds must remain within the village (i.e cannot be distributed by the VT between villages as previously specified in the OM), but can be used for 1) O &M or 2) to extend and upgrade an existing project, which would apply to this purpose. The funds unused by the end Cycle 1 were: 1) Namhsan : MMK 41,323, 138 (7%) 2) Kanpetlet : MMK 37,099,949 (8%) Kyungsu : MMK 24,502,792 (4%).

## 4.2 Sub-Project Quality

As a temporary measure while awaiting procurement of an eligible contractor for the proper Technical Audit, and to ensure that some assessment of quality was available for the Union level Multi Stakeholder Review, DRD contracted Mr Garvin O’Keefe to perform a Technical Review of the three townships. During this period the consultant was able to review Namhsan and Kanpetlet, but there was insufficient time available to review Kyungsu, which will be completed in November. Table 5 below summarizes the main findings from the Technical Review of Namhsan and Kanpetlet. The Consultant’s recommendations were incorporated into infrastructure training material given during this period, and examples with photographs used for “Do” and “Don’t” guidelines.

The Consultant gave all sub-projects a score of 5 for technical quality, and 5 for compliance with ECoPs. These scores have been used in Table 1 above (Results Matrix) as a temporary indication of Indicator 3 (Component One): “% of sub-projects evaluated independently meeting project operations manual technical and safeguard specifications”. Although it is understood that formal measurement of this indicator for donor purposes can only be made by the Technical Audit proper, and not internally, it will be useful as a monitoring device to train the TF’s and DRD engineers to make this kind of score for all sub-projects in their township, rather than on a sample basis, for later comparison the sampling from the Technical Audit. If Form PC 10 (Final Inspection of Sub-Project) is to be used for this purpose, since it already includes a tick box with 4 categories (poor, average, good, very good) for overall technical quality of the sub-project, the method of assessment should be refined will a formal scoring system as per the Consultant’s review.



**Table 4 : Summary of Technical Review findings**

Major Topics	Findings	Recommendations
Infrastructure Management	<p>Most subprojects (SP) of good quality. Communities and project teams did a good job given time and staff constraints.</p> <p>Too many SPs for technical teams to inspect and advise. This limits quality to what communities can achieve by themselves.</p> <p>Budget sometimes too small for SP, particularly in VTs with 6 or more villages. Some SPs incomplete due to lack of funds.</p> <p>SP designs vary in durability and expected operational life reflecting design choices to complete SP within budget.</p> <p>Many SPs incomplete, requiring additional works to become fully functional.</p> <p>SP design needs improvement. Simple sketches insufficient to ensure quality construction for more complex SPs.</p>	<p>Community cooperation and participation to be maintained and quality standard improved.</p> <p>TF to visit SP once a week during critical period of construction. Builders to receive training on quality standards.</p> <p>Village plans to include budgets and SP allocations based on actual cost.</p> <p>SP should be durable to minimize O&amp;M requirements. Standards to be set at Union level and technical teams trained on these.</p> <p>All SPs should result in completed SPs to be evaluated separately from other works.</p> <p>Standard designs, BOQ and specs to be compiled from successful SPs and used to communicate minimum standards.</p>
QA/QC, O&M	<p>No detailed records of construction or supervision activities available.</p> <p>Quality Checklists used for some SPs.</p> <p>O&amp;M plans not always realistic.</p>	<p>Site Books to be used to record construction activities and technical instructions/advice. Quality Checklists to continue to be developed.</p> <p>O&amp;M plans for major SP types to be shared as examples for VPSC &amp; TF.</p>
O&M, Environment	<p>O&amp;M plans with lists of people pledging future contributions not suitable for all types of SPs.</p> <p>O&amp;M committees duplicate existing O&amp;M systems in some SPs.</p> <p>Most SPs in village areas with positive environmental impact (improved drainage, erosion protection). One SP with negative impact.</p>	<p>SPs with high maintenance like water supply &amp; electricity to have mechanism for collecting fees.</p> <p>Existing O&amp;M systems to be taken into account when establishing O&amp;M regulations. SP outside village areas (roads, irrigation) to get special attention during screening. TF to be trained using real examples of problematic SPs.</p>
Social	<p>Implementing SP in harvest season created artificial labor shortage, higher wages, and some inequalities in payment to men and women.</p>	<p>SP to be implemented earlier in the year, taking into account seasonal calendar. Alternative to fixed wages is paying for unit work (used by ILO).</p>

## 5 Social Audit and Multi-Stakeholder Reviews

### 5.1 Social Audits

A full report on the Year 1 Social Audit process is given in Annex III.

Dates and participation numbers of the social audits can be summarised as follows:

**Table 5 : Dates and numbers for the Social Audit process**

Township	Training	Dates	No. of Social Audit Meetings	Total No. Participants	Percent Women
Kanpetlet	June 15 -18	July 9-31 <sup>(1)</sup>	39 (in 25 VTs)	2,008	43%
Namhsan	June 27- 28	July 5-30	36 (in 26 VTs)	2,874	39%
Kyunsu	June 21 – 25	July 15 to Aug. 8	68 (in 18 VTs)	5,308	57%
<b>All</b>			<b>143</b>	<b>10,190</b>	<b>49%</b>

Notes: 1 VT (5 villages) could not be finished in July, and will be completed in December

The 2 remaining Social Audits in Kyungsu were completed in September, while Kanpetlet will complete the one remaining VT (5 villages) in December.

The results of the social audits were documented by the CF and TTA in various forms:

- The VPSC prepared summary reports, mostly on flipchart for presentation during the social audit meetings. These papers are usually kept by the communities.
- During the social audit meeting, villagers satisfaction was appraised through score cards. Villagers rated a) the quality of the process like participation and transparency and b) satisfaction with the result, meaning the infrastructure itself. Additionally, in some cases, villagers were asked to work in small groups to note down written feedback.
- At the township multi stakeholder review meetings between 15 – 17 August, i.e just before the Union level MSR, the participants presented and discussed summary findings from the social audit meetings.

Written report from each township summarizing the results and recommendations from the social audit events as discussed and documented at the township MSR.

#### 1) Kyungsu

A. Summary of what worked well, and what didn't work so well, was given by Kyungsu as follows:

	What Worked Well	What Didn't Work Well
<b>1</b>	Conducted as per community prioritized need	Weak support of village authority for community organising and meeting
<b>2</b>	Committee members received training	Low community interest and participation, especially for meetings.

<b>3</b>	Sub-projects were completed by the communities themselves receiving grants	Only a few committee members out of 14 actually functioned.
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**B. The Social Audit summarised lesson learned and issues from Cycle 1 as follows:**

1	Participation and gender	More assistance of village administrative in village meeting and community participation Community meeting should held in free time of villagers Staff should more explain about project and visit village more frequently
2	Infra and ECoPs	O& M training should be conducted well Construction work should be done in dry season Should explain about social and environmental knowledge to community for more understanding
3	Community Procurement	Procurement procedure should be simplified, problem in quotation system Procurement and financial subcommittee should work closely to withdraw Procurement program and wages should post at notice board

**C. Satisfaction levels**

Community members and committee members were sampled separately concerning their satisfaction with the project's a) results and b) process:

1) Results : a) Committee Members: 66% = very good; 31% = good; 2 % = medium; 1% = needs to be improvement b) For Community members: 59% = very good; 29 % = good; 9% = medium and 3% = needs improvement.

2) Process: Committee Members: 64 % = very good; 32% is good; 4% = medium; 1% = needs improvement b) Community members: 56% = very good; 32% = good; 10% = medium; 3% needs improvement.

**2) Namhsan**

**A. The Social Audit summarised lesson learned and issues from Cycle 1 as follows:**

- (i) Lateness of the block grant, not enough time for implementation
- (ii) Scarcity of skilled labour, especially at tea harvesting time
- (iii) Due to rainy season, implementation of project activities is difficult and delayed, resulting in higher cost.
- (iv) Difficult transportation, deliver of construction material delay
- (v) Difficulty in purchase of construction goods (gravel, sand )
- (vi) Difficult procurement procedure and price competition method
- (vii) Not in line with setting price and more cost
- (viii) Too many forms of financial management, difficult data entry
- (ix) Insufficient amount of block grant allocation per village
- (x) Difficult to organize village meetings, low attention to participation
- (xi) No participation of elected committee member
- (xii) Not enough for admin cost and meeting cost
- (xiii) Forms not completed due to low education
- (xiv) Multiple trips to town to withdraw funds, inefficient and costly.
- (xv) Difficult to find the construction contractor
- (xvi) Did not receive the wages as finish as work done

**B. Recommendations for Cycle 2:**

- (i) Block grant should be distributed in winter, not tea harvesting time
- (ii) The project period should not be too short
- (iii) To calculate the estimate cost for construction material with local price
- (iv) To reduce the procurement and financial management
- (v) To reduce and simplify the forms
- (vi) To conduct the field trip for engineers before project
- (vii) More exchange of knowledge between committee member
- (viii) Encourage participation of the educated and youth in project implementation
- (ix) CFs should visit their assigned villages more frequently to organize the people.
- (x) To conduct the refresher course
- (xi) To reduce the meetings when people are not in the village
- (xii) To set up only one time for withdraw of fund
- (xiii) To coordinate the administrative and committee
- (xiv) To allow the expense from subproject fund due not enough of admin cost
- (xv) To distribute the block grant based on population, household, and nature of subproject.

**C. Satisfaction levels**

- 1) Results : a) Committee Members: 84% = very good; 16% = good; 0.4% = medium; 0% = needs improvement b) For Community members: 79% = very good; 16 % = good; 4.5% = medium and 0.5% = needs improvement.
- 2) Process: Committee Members: 7% = very good; 26% is good; 41% = medium; 27% = needs improvement b) Community members: 3% = very good; 22% = good; 35% = medium; 40% needs improvement.

The above shows clearly that in Namhsan, both committee and community members rated project results as good, while rating of the process was the opposite, with only 7% and 3% rating the process as very good, and 27% and 40% as needing improvement. This was significantly different from Kyungsu, where satisfaction with results and process were very similar (66% and 64% of Committee members rated results and proess respectively as very satisfactory).

**3) Kanpetlet**

A. The following were lessons and issues recorded from the Village Tract level :

Title	3 Main Suggestions (Village Tract Level)
Meeting Participation and Gender Equity	1) To conduct regular meetings led by chairpersons of VPSC and VTPSC 2) CFs should invite committees to attend meetings and training at least one week, if possible. 3) Committee should encourage women to participate in meetings and also to involve unmotivated persons.
Infrastructures and ECoPs	1) Committee should get the sub project design in early as possible, followed by good and close technical supervision. 2) To avoid negative environmental impact and land issues as much as possible. 3) In next cycle, to provide crop/rice machines and small livelihood activities
Community Procurement	1) To provide more training and to reduce the complicated forms 2) Committees should negotiate to suppliers to accept the tender and quotation process 3) To start the next cycle as earliest as they can to purchase/carry the materials

Monitoring and Reporting	<ol style="list-style-type: none"> <li>1) Each M&amp;E sub committee should have one literate person to prepare the report</li> <li>2) To provide more training in M &amp; E than in cycle (I)</li> <li>3) Committee meeting should be conducted through the leading of chair persons especially for M&amp;E</li> </ol>
Grievance and Responding	<ol style="list-style-type: none"> <li>1) To encourage the community to submit the grievance letters more readily</li> <li>2) To encourage social accountability and to reply to grievances according to the needs of the complainant.</li> <li>3) Village tract committees need to respond to grievances effectively</li> </ol>
Financial Management	<ol style="list-style-type: none"> <li>1) Financial management training should be conducted for at least (3) days to be able to understand the subject matter properly.</li> <li>2) If possible, delegate the right of financial management process directly to the village level.</li> <li>3) Advances should be allowance in procurement activities, and block grants should be increased in next cycle</li> </ol>

### B. Satisfaction levels

- 1) Results : a) Committee Members: 66% = very good; 30% = good; 3.8% = medium; 0.2% = needs improvement b) For Community members: 60% = very good; 35 % = good; 5 % = medium and 1% = needs improvement.
- 2) Process: Committee Members: 68% = very good; 31% is good; 0.4% = medium; 0.1% = needs improvement b) Community members: 60% = very good; 35 % = good; 5 % = medium and 1% = needs improvement.

The above are similar to Kyungsu results, and do not show the anomaly in Namhsan, where dissatisfaction with process was clear.

### *UTA Recommendations*

Besides many more detailed issues, the SC scorecards delivered great clarity concerning community satisfaction with the project. In brief, satisfaction with project results was high, but low regarding process. This finding, combined with information from grievance management, provides good points for exploration and illustration of training materials for Year 2. Other areas for improvement should include the way of organising and documenting the SC process itself.

## 6 Multi-Stakeholder Review (MSR)

### 6.1 Township Level

The three township level MSR's were held 17th – 20th August. Detailed reports will be included as Annexes in the Annual Progress Report 2013/14.

#### 1) Kyungsu Township

Kyungsu Township MSR Meeting was attended by a total of totally 505 participants, including 473 township officials, TPIC members, organizations, INGOs/NGOs Delegates of World Bank, Union DRD and Union TA, Township TA DRD and TA, CFs and TFs, and town elders and interested people and 32 of Kyungsu project staff.

#### 2) Namhsan Township

Namhsan Township MSR Meeting was held on 11 August 2014 and attended by 428 participants, including chairman and members of Autonomy Region, Township and districts department heads, INGOs village administrative and leaders, village/village tract committee members.

Namhsan listed the following conclusions from the township meetings:

- a) To endorse and avoid overlapping of sub-projects by township authorities. And more coordinate with CDD in second project cycle in providing assistance plan
- b) Villages with difficult implementation conditions or issues should negotiate and coordinate with township administration for guidance and help.
- c) To distribute the block grant based on population, household, and nature of sub project.
- d) Distribution of block grants and construction should not coincide with tea harvesting time.
- e) Non-registered villages should also be given the chance to get project benefits.
- f) For sustainability, the O&M plan should be conscientiously implemented.
- g) Total block grant of first project cycle (2013-14 fiscal year) for Namhsan township CDD project is (5416.2) lakh kyats not included admin cost of DRD.

It was observed that during the MSR, women had gender equivalence to discussions and exchange of experiences.

### 6.2 Union Level

The MSR was part of a week-long “DRD-WB CDD learning week”. An internal project review preceded the two-day MSR, followed by two more days for technical learning and wrap-up meetings. For the first event of its kind, it can be considered successful in terms of feedback process, although the availability of competent simultaneous translation must be improved for 2015. The process of soliciting inputs from the wider development fraternity will be improved with a proper Development Marketplace event in 2015.

Detailed findings from the Union level MSR are given in Annex IV, but can be summarized as follows:

1. *Community Preparation* :
  - Community cycle not to be “rushed”.
  - Township work plans to be based on local conditions.
  - Role & expectations from village & village tract (VT) committees and sub-committees to be further explained to community.
  - Township, VT & village administrators to be engaged from start of implementation.

2. *Village Planning:*
  - Block grant formula to be adjusted for village VT with many villages;
  - Subproject size/budget to be considered;
  - Subproject administration budget to be increased depending on distance to be travelled;
  - Perspective of village representatives in VT committee to go beyond specific village.
3. *Subproject Preparation :*
  - Current local prices incl. transport to be used to prepare subproject budget;
  - Report forms to be reduced, simplified and signatories clarified;
  - VT finance sub-committee & village procurement sub-committees to train & work together.
4. *Subproject Implementation :*
  - Procurement procedure & forms to be simplified;
  - Verbal quotes to be allowed; withdrawals from VT bank account to be done 1 to 3 times (max)

### 6.3 Update of Operations Manual

Following input from the MSR, the Operations Manual was updated during the period 22-31/08/14 week under the coordination of the World Bank's CDD Expert Victor Bottini. The principle changes of substance were to Part I (Grant Disbursement and Utilisation), Part III (number of forms reduced and content simplified). Following is a summary of the changes, while detailed changes in Part I are given in Annex II.

- Part 1 (Project Information)
  - Block grants (size and no categories increased, administrative fee increased from 2% to 4-6%)
  - Sub-project minimum (mmk 2million, after cycle 1) and maximum size redefined (> 40 million must be approved by Union DRD and WB NoL). Max limit is mmk 110 million.
  - Cost overrun : authorization categories clarified for up to 7%, 7-15%, > 15%; overruns deducted from following year's BG for relevant VT. No overruns allowed in 3rd cycle.
  - Misused funds: DRD to monitor/follow-up cases of misuse.
  - Unused funds will remain with the village for 1) O & M or 2) to extend and upgrade existing SP.and excess materials: Such funds must be documented, accounted for and publically disclosed. Excess materials to be inventorized by PSC
  - Disbursement: funds for infrastructure can only be withdrawn after VT sub-projects have been approved by TPIC; prior to that, only admin provision may be used. No. withdrawals not mandated.
- Part II (Community Project Cycle)
  - Stronger ownership of the communities
  - Procurement at community level revised
  - Accountability Framework / Code of Conduct and Social Audit procedure revised and simplified
- Part III (Forms): no. reduced, content simplified and prefix coded
- Part VI: Financial Management Manual : updated (see Finance)
- Part VIII : Re-written

The WB NoL was received in late September, and follow up steps for the next quarter are as follows: 1) Finalise translation into Myanmar 2) Send final english and Myanmar versions to editing and printing company, with estimated no of copies as per the table below.

<b>Printed versions (Myanmar)</b>	<b>Number of copies</b>
OM full version	100
OM summary for official use	600
OM summary for community members	24.330
Finance manual for community level	1.715

## **7 Grievance Handling**

Grievance handling activities carried out during Year 1 included:

- Union level feedback committee meeting conducted; ad hoc meeting organized to respond to grievances in a timely manner
- Routinely received and responded to grievance referred by townships and village tracts
- Participated in revising operational manual particular for grievance component.
- Finalized and submitted grievance management quarterly reports to the DRD
- Conducted regular monitoring, data analysis, and reporting
- Facilitated in identifying NCDD accountability components for Community, Village/ Tract Committee and Project, with CF from three townships.
- Provided the briefing to the new Communication Officer (from TTA Nanhhsam), who is also township level grievance focal person.
- Prepared the grievance management news letters for media
- Participated in Social Audit training at township office and observed the piloting of social audit meeting that conducted in the village tract
- Participated in townships and union level multi-stakeholder review meeting
- Participated in 100 ToT training, aimed at capacity building for the DRD staff from state & divisional.
- Grievance cases filed and entered into Union MIS database

### **7.1 Revision of Grievance Management in Operations Manual**

Grievance handling component from operational manual has been revised together with World Bank's consultant. In particular, three key things have been revised: 1) grievance categories and form 2) simplified code of conduct and 3) additional clarification for the sanctions element.

### **7.2 Refresher training**

After Union level Multi-Stakeholder Review meeting, there was a refresher session for the project township staff including TTA, CF and TF on 14 and 15 August. During the training, areas of grievance redress to reinforce based on the result of MSR meeting has been discussed. Then, the accountability for each level of stakeholder such as community, village/tract committee and proejct level have been brainstormed.



### 7.3 Analysis of grievance by type and resolution level

Table 7 below summarizes cumulative grievances received and resolved during Cycle 1. In general the grievance management system can be said to be working well, with an average resolution level during the last quarter and cumulatively of 99%.

**Table 6: Number and category of grievances received and resolved**

Township		Namh -san	Kanpet -let	Kyun -su	Union	Total
<b>Cumulative</b>						
	<b>Total grievances received <sup>(1)</sup></b>	80	159	79	3	<b>318</b>
	<b>Total grievances resolved</b>					<b>99%</b>
	<b>Grievances from women</b>					<b>20%</b>
		<b>100%</b>	<b>100%</b>	<b>93%</b>	<b>100%</b>	<b>99%</b>
<b>Grievance category frequency</b>						
1	<i>Community demand for:</i>					
	a) more funding		8	3		11
	b) livelihood support	1	7			8
	c) funding of other SPs from (+) list	1	8			9
	d) salary / daily wages		3			3
2	<i>Community complaints about village committee</i>	1	9	6		16
3	<i>Comments of appreciation for project support</i>		5	2		7
4	<i>Complaints about SP design and construction</i>		3	1		4
5	<i>Complaints about too many and complex forms</i>	1	1			2
6	<i>Township or Union staff management</i>			1	4	5
7	<i>Complaints about CF/TF</i>		3		1	4
8	<i>Delay in fund withdrawal</i>		1			1
8	<i>General enquiry about project policies / procs.</i>		2			2
9	<i>Other</i>			1		1
	<b>Total</b>	4	50	16	5	73

### Summary of grievances received and handled in the First Cycle (Cumulative)

- Total of 318 grievances have been field (KPL-159, NS-80, KS-79), with 99% resolution.
- 20% were made by women.
- 89 % of grievances made by community and the rest were by staff.
- 64% grievances were handled by Township and one third were by Union.
- 14 Sensitive Grievances (KS-13 and 1-NS)
- Over 270 cases are other complaints and feedbacks.

Almost all grievances were received through suggestion boxes, but people also voiced complaints, feedback and concerns during the social audit and MSR meeting. The majority of grievances were directed to the township level, while one-fourth are to union level. The feedback committees at the VT level were not active, as grievances were not referred to them and people prioritized mostly subproject implementation. According to feedback from field staff, villagers did not want to voice discontent about bad things happening in the village at village tract level meeting, and also have greater confidence in the grievance process at township and union level.

### **7.4 Areas which need to be strengthened in the second cycle**

The areas that need to be reinforced and discussed are as below –

- To nominate the village's trust person, in case if the replacement is required for village level grievance focal person.
- To disseminate more information to the village grievance focal person, as they should be aware on their roles in project
- To provide additional suggestion box for the required/ wider villages
- To determine the effective way to access the grievances from village to township office
- Both committees and villagers should be familiar with their respective accountability
- Village/ Tract committee should be aware on the project's code of conduct and sign the agreement to follow

## **8 Financial Management**

### **8.1 Activities during reporting period**

The following financial management activities were undertaken during the reporting period:

- The UTA Finance Expert (Mr Balasingham Pathmasiri) had four short inputs during this year, providing various start-up and refresher training to DRD and TTA, assisting DRD in submission of withdrawal applications and quarterly IRF, revision of the FMM, including Community Finance.
- Financial Management Manual for DRD Union Level and Township Level was revised to incorporate the suggestions made by the World Bank. Further, the Community Finance Guidelines were updated by incorporating the points raised at the Union Level Multi-Stakeholder Review by different stakeholders.
- Revised the budget of Block Grants for Cycle 2 based on the population range of the

new six townships to include in the supplementary budget.

- The finance unit of DRD co-ordinated with the Office of the Union Auditor General (OUAG) in conducting the first external financial audit of the Project for the period ended 31 March 2014. Subsequent to the end of the quarter, the Audit Report was issued by the OUAG and submitted to the World Bank. Finance Expert assisted DRD in budgeting the expenses to be paid to the Union Auditor General Office to conduct the audit.
- DRD signed a contract with a National Finance Assistant to assist the Finance Unit in its day-to-day accounting activities.
- The staff of finance unit at DRD Union Office started to record the financial accounting transactions into PEACHTREE Accounting Software. Currently, the periodical financial statements are generated from the PEACHTREE Accounting Software. The initial start-up training and installation of 5 Peachtree licences was performed by ICS Computers Lte from Cambodia at the recommendation of the UTA Finance Expert in early 2013 to set up PEACHTREE. Understanding of PEACHTREE is still limited in DRD's Finance Unit, and refresher training is planned to be given by ICS in January 21014.

## 8.2 Key financial parameters during reporting period

- As of September 30, 2014, in total, the World Bank disbursed US\$ 4,512,631, equivalent to MMK 4,328,896,267. This amounts to a disbursement rate of 5.6% against the US\$ 80 million Grant available for the Project.
- Of this amount, the amount disbursed for the Block Grant allocation was MMK 1,566,108,000, equivalent to approximately US\$ 1,598,069. The rest amounting to US\$ 2,914,562 were for advance to the DA-B account and direct payments made to the firm of Union TA Consultants and the INGOs assisting at the Township level for the sub-project implementation.
- The cumulative amount spent by the Project as at September 30, 2014 amounted to US \$3,969,997, compared with a budget for this period of US \$ 5,519,685. This represents an underspending of US\$ 1,549,689, of which the largest amounts were in Component 2 (US\$ 540,169) and 4 (US\$ 912,694). The latter was due to the fact that no payment was made for planned goods and services due to procurement or invoicing problems (vehicles, motor cycles, tablets, office equipment for new townships, national and international consulting fees). The details by component and categories are presented in Table 8 below (and in the IFR).
- Amount of request to the WB for Block Grant to implement Cycle 2: MMK 10,490 million

Table 7 summarizes actual spending (in US \$) by project component against the planned budget and the PAD until end September 2014.

**Table 7 : Statement of Use of Funds (US \$) by Project Component to end September 2104**

	Actual US \$ <sup>1</sup>			Budget US \$ <sup>1</sup>			Variance US \$ <sup>1</sup>			PAD <sup>2</sup>	
	Current Quater	Year to date	Cumulative to date	Current Quater	Year to date	Cumulative to date	Current Quater	Year to date	Cumulative to date	Life of Project	
										Kyat @ 872 (000's)	USD (000's)
	a	b	c	d	e	f	g = d - a	h = e - b	i = f - c	j	k
<b>Expenditure by Project Component / Sub-Component</b>											
Com 1: Community Block Grants	-	8,449	1,598,069	-	8,449	1,598,069	-	-	-	45,518,400	52,200
Com 2: Facilitation & Capacity	561,606	982,100	1,561,084	498,664	877,349	2,101,253	(62,942)	(104,751)	540,169	12,382,400	14,200
Com 3: Knowledge & Learning	65,172	67,598	79,107	61,138	107,567	175,932	(4,033)	39,969	96,825	1,569,600	1,800
Com 4: Implementation Support	175,592	305,187	731,736	649,148	816,825	1,644,430	473,556	511,638	912,694	10,289,600	11,800
<b>Total Expenditure</b>	<b>802,370</b>	<b>1,363,334</b>	<b>3,969,997</b>	<b>1,208,950</b>	<b>1,810,190</b>	<b>5,519,685</b>	<b>406,580</b>	<b>446,856</b>	<b>1,549,689</b>	<b>69,760,000</b>	<b>80,000</b>

Notes : 1) Exchange Rate = MMK 980 = US\$ 1.00

2) The exchange rate of Kyat is based on the exchange rate stated in PAD (Project Appraisal Document)

### **8.3 Capacity assessment for Financial Management**

An outline of capacity building requirements for DRD in the field of Financial Management is provided in Annex IV.

### **8.4 Aide Memoire comments & follow up in Financial Management**

Areas of concern in financial management have been :

- Financial management capacity of staff at Union and township level (see Annex IV)
- Lack of efficiency and timeliness of financial management systems affecting the flow and timely availability of funds at the township level for operating expenses. Ability of the financial reporting and MIS to produce timely financial data from township to Union.
- Further improvements needed in budgeting, internal control and compliance with the Financial Management Manual.

Most of these areas of concern have been addressed via changes in relevant sections of the FMM, and introduction of Activity Based Budgeting by DRD.

## **9 Procurement**

### **9.1 Union Level Procurement Activities**

During this last quarter, the main procurement activities were: 1) TTA for the six new townships and 2 ) Goods for year 2 (vehicles, motorbikes, tablets, offices equipmen).

During this year, DRD Union Office prepared various bidding documents for the procurement plan approved by the World Bank in the previous quarter for the next six months for all the goods and consulting services required for Cycle 2, covering the current three townships and the proposed six new townships. Staff were assisted with two short inputs by Mr Dawe Yang and Mrs Oi Thip. The project experienced delay in procuring the Township TAs, office and computer equipment, motor vehicles and motor cycles. This delay was due to changes needed to be made to procurement methods and size of the contracts as additional findings from the Townships required such changes in size and scope of the procurement packages.

### **9.2 Procurement Plan**

The Procurement Plan contains 3 categories: Goods, Communication and Non Communication. The period covered by the current procurement plan includes the 8 months from July 25, 2014 to March 31, 2015. Since the original procurement plan was approved on 13/11/13, there have been a further five revisions. During the quarter covered by this report (July – September 2014), activities leading to the fifth revision were processed, and approved by the WB on November 7<sup>th</sup> 2014. Annex V presents the detailed Union Level Procurement Plan. (fifth revision). The packages in this PP are for contracts to be procured by NCCDP team in Union DRD, while the PP at village and village tract levels are reviewed and kept at Township DRD.

**Table 8 : Summary of contract situation at the end of the reporting period.**

Ref No.	Contract Description	Name of Consultant/ Firm	Contract Signed	Contract Period
C8/2014	Union TA-Secretary	Daw Tha Chin Saung	07.07.14	36m; 06/14 – 05/14
C9/2014	Union TA -Translator	Daw Aye Aye Myint	Jun,2014	36m; 06/14 – 05/14
C10/2014	Technical Audit	Mr. Garvan O’Keeffe	04.08.14	30d, Sep/Oct
C12/2014	Local Finance Assistant	Daw Hay Mann Oo	Aug,2014	36m; 14 – 08/17
C13/2014	STC Civil Engineer	U Kyaw Kyaw Zan	20.08.14	3 months
C5.2/2014	Internat. Gender expert	Ms. Kyoko Kusakabe	15.08.14	60d; Aug14-Aug15
C20/2013	Local communication	Daw Lei Yin Win	30.03.14	
C-6/2013	Web Developer	Novel Media	08.08.14	36m; start Jul 2014
C4.1/ 2013	TTA Chin State	IRC	25.06.14	Until April 14, 2015
C 22/ 2014	Short term Procurement	Ms. Oithip	22.09.14	

### 9.3 Consulting Services

#### A. Non-Communication

The UTA procurement Expert (Mr Dawe Yang) was mobilised 3 times periods during this reporting period, in April August and September to assist with preparation of documents and evaluation of bids for vehicles, motorbikes and the township T.A technical proposals.

The procurement status of consulting services (non communications) by end October was as follows:

**Table 9 : Status of Consulting Services (non Communications)**

Descriptions	Current Status	Next Steps
Township TA		
Naypyitaw Yangon	Sent Evaluation Report on October 20, 2014. YGN= RI, NPT= IRC	Waiting the WB’s NOL
Rakhine	Received NOL on Oct. 24. FIN public opened on Oct. 27.	Contract Negotiation November
Magway Ayeyarwaddy Sagaing	Under Contract Negotiation Magway= JV Cardno, Ayeyarwaddy= MC, Sagaing= NAG NAG didn’t submit revised FIN. Sent reminder on Oct. 22, 2014	Expected signing date: third week November
UTA Amendment	Already signed the amendment.	

Technical Audit for Cycle 2	Need to revise ToR and send to the WB	Will send revised ToR by mid November
Local Finance Officer	Need to re advertise EOI	Will start November
2 Local Finance Assistants	Need to add on PP, ask NOL from WB, and Need to re-advertise EOI	Will start November

From the MSR and Technical Audit, it was already clear that the number of CFs and TFs needed to be revised upwards, as the straightforward ratio of 1 CF to 5 villages was insufficient for villages that were remote, distantly separated and/or hard of access. An algorithm was proposed for a starting number, which combined Village Tracts and number of villages as a criterion for proposing starting numbers. This was presented to WB at the ISM in late October, i.e. after this period, but the calculation basis with demographics for the new townships is given below under Staffing (Technical Assistance).

The agreement to increase the number of CF's and TF's compared with the original contract agreed means that a small revision of the contracts currently under negotiation will be required. Despite this, the target for mobilisation of packages C4.1-5 remains December 2014.

Conclusion: After the experience of the first year, there was hope and expectation that the procurement and mobilisation of TA for the six new townships would be smoother and faster than that of the first three, but for various reasons that has not proved to be the case. The tender process was initiated in April 2014, and mobilisation of T.A for the first three of the new townships (Pinlebu, Sidoktaya and Laymyetnar) is expected by mid-December, i.e. 9 months. To avoid a similar experience in Year 3 (2015/16), DRD proposes that ToR are written and the EOI advertised just as soon as the new states/regions have been decided, and not later than January 2015.

## **B. Communication**

Procurement of communication related consulting service are shown in Annex VI C6,7 14-21

### **9.4 Goods**

Procurement of goods during this period included vehicles, motorbikes, tablets and office equipment. Details are provided in Annex VI.

### **9.5 Community Procurement**

No community procurement took place during the period, but the following summarizes input from the MSR process regarding community procurement:

- Shopping method should be adjusted to local conditions
- DRD to inform shops in advance about the NCDD Project procurement needs (distribute project pamphlets), so shops will be more cooperative (provide price information, quotations, signature on forms).
- Collect local market prices of materials commonly used for subprojects; this will facilitate the procurement process.
- Consider quotations from shops located in other townships if this will benefit the village subproject and will not be a problem with Union level auditors.
- Cash management
- VT Finance Sub-Committee should know in advance about fund withdrawals by villages.

- Form 13 VT Subproject Finance Table should be jointly filled out by the village procurement sub-committee and VT finance sub-committee.
- Two village representatives in VT should also attend finance training and help explain to the FSC.
- Contractor's 2% tax: should be paid by supplier, not withheld by the procurement sub-committee. Supplier can claim it back.
- Other
- Some procurement sub-committee members should be replaced because they are not qualified.
- Change finance form numbers so not confused with financial etc. F-1, P-1.
- Advertise large procurement in newspapers.

## 10 Training

### 10.1 Training plan and activities during period

Already before the reporting period, the training plan for year two, 2014-2015, was established and is constantly being updated. Recently, a web based software has been introduced on a test basis. The purpose is to improve team collaboration and coordination of multiple training plans. More details can be reviewed on:

<https://app.smartsheet.com/b/publish?EQBCT=67e29afee03842908b4566fa2c65fb74>

(1) The TOT100 was organized on request of the ministry with the aim to introduce CDD in all regions and states throughout the country outside of NCDD townships. While in locations that do not receive project funding or block grant transfers the operations manual does not apply, there are many topics from the NCDD project that are still highly relevant like people centered development in general, gender, grievance handling, safeguards and quality management. This initiative shows a strong commitment of the ministry for CDD and will help to roll out the project on the mid term. the training is conceived as a program with two parts, the second part to be delivered in December 2014 or January 2015 with Victor Botini as the main trainer.

(2) the infrastructure training organized by the union TA infrastructure expert and the DRD counterpart covered standard design and computer added design, cost estimation and safeguards.

(3) the one-day procurement training is not sufficient for year two preparation, further procurement training will be organized after the release of the new OM.

(4) the gender training was highly appreciated by the participants there were several trainers who provided a broad variety of inputs and facilitated a lot of discussion and exchange of ideas. Though, training material needs further development and translation into Myanmar.

(5) The "9DRD" training course was organized for DRD staff from the 9 project townships only with the aim of giving DRD especially in the new townships an edge over the TTA who will come in later on. This again shows the commitment of DRD to take a leading role in CDD.



**Table 10: NCDDP Summary Training Plan**

Task Name	Start Date	End Date	Q3			Q4			Q1			Q2		
			Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Union NCDD	01/10/14	21/07/15	Union NCDD											
NCDD management training for 9DRD	20/10/14	28/10/14	NCDD management training for 9DRD											
Quality management training (Garvant)	30/10/14	31/10/14	Quality management training (Garvant)											
Hire 3 trainers (English proficiency)	27/10/14	14/11/14	Hire 3 trainers (English proficiency)											
Preparation workshop for master trainers	08/12/14	12/12/14	Preparation workshop for master trainers											
TOT100 part2	17/01/15	22/01/15	TOT100 part2											
Multi Stakeholder Review Meeting Union Level	21/07/15	21/07/15	Multi Stakeholder											
Y1 TS: Kanpetlet, Kyunsu, Namhsan	01/10/14	16/07/15	Y1 TS: Kanpetlet, K											
TOF refresher 1 facilitation	01/10/14	12/10/14	TOF refresher 1 facilitation											
Training for VTPSC and FSC	17/11/14	04/12/14	Training for VTPSC and FSC											
Block grant transfer	15/12/14	15/12/14	Block grant transfer											
TOF refresher 2 quality management	15/12/14	19/12/14	TOF refresher 2 quality management											
Community training (sub-project preparation)	22/12/14	05/01/15	Community training (sub-project preparation)											
TOF refresher 3 quality and social accountability	23/02/15	27/02/15	TOF refresher 3 quality and social accountability											
Community action training 2 quality and social audit	03/03/15	20/03/15	Community action training 2 quality and social audit											
Y2 TS: Pinlebu, Sidoktaya, Laymyetnar	19/11/14	16/08/15	Y2 TS: Pinl											
Sign contract	19/11/14	19/11/14	Sign contract											
Start-up training in NPT	15/12/14	19/12/14	Start-up training in NPT											
TOF1: planning + sub-project preparation	22/12/14	29/12/14	TOF1: planning + sub-project preparation											
Training for VTPSC and FSC	12/01/15	30/01/15	Training for VTPSC and FSC											
Block grant transfer	19/01/15	02/03/15	Block grant transfer											
TOF2: sub-project implementation	09/02/15	13/02/15	TOF2: sub-project implementation											
Community action training 1 implementation	16/02/15	12/03/15	Community action training 1 implementation											
TOF3: quality and social accountability	27/04/15	02/05/15	TOF3: quality and social accountability											
Community action training 2 quality and social audit	04/05/15	21/05/15	Community action training 2 qualit											
Y2 TS: Tatkon, Ann, Htantabin	28/11/14	15/09/15	Y2											
Sign contract	28/11/14	28/11/14	Sign contract											
Start-up training in NPT	26/12/14	30/12/14	Start-up training in NPT											
TOF1: planning + sub-project preparation	12/01/15	19/01/15	TOF1: planning + sub-project preparation											
Training for VTPSC and FSC	20/01/15	08/02/15	Training for VTPSC and FSC											
Block grant transfer	09/02/15	11/03/15	Block grant transfer											
TOF2: sub-project implementation	23/02/15	28/02/15	TOF2: sub-project implementation											
Community action training	02/03/15	06/04/15	Community action training											
TOF3: quality and social accountability	18/05/15	22/05/15	TOF3: quality and social accounta											
Community action training 2 quality and social audit	25/05/15	11/06/15	Community action training 2											
Technical Training (in NPT)														
Procurement and Finance	n.n.	n.n.												
Infrastructure and Quality Management	several dates	acc.demand												
Gender	n.n.	n.n.												
Grievance handling and social accountability	n.n.	n.n.												
M&E and MIS	n.n.	n.n.												
Facilitation, training, communication	n.n.	n.n.												

Training carried out during this reporting period included the following topics:

	Training	Date	Participants
(1)	TOT100	8 days: Jul 16 to 24	135 DRD staff from 15 states/regions (not NCDD townships)
(2)	Infrastructure (design)	7 days: Sep-9 to 15	27 engineers from 3 townships TA, DRD and TF
(3)	Procurement	1 day: Sep	6 DRD and TA from 3 townships
(4)	Gender	4 days: Sep-23 to 26	28 DRD and TA from 3 townships, union DRD and ADB project
(5)	“9DRD” NCDD management	10 days: Oct 20 to 29	60 DRD staff from 9 project townships
(6)	Refresher for facilitators	In all 3 TS during Sept and	Around 100 CF, TF, DRD, TTA

	(conducted by TTL)	Oct	
(7)	Infrastructure, quality management and safeguards	2 days: Oct 30 to 31	12 engineers from 3 townships TA and DRD

(6) The three township team leaders have very good training skills. Refresher training for facilitators is ongoing on facilitation skills, gender, PRA tools and other relevant topics. The critical point now is refresher training on the operations manual as soon as the new version is released.

(7) The quality management training was organized in combination with Garvan O’Keeffe’s short term mission on technical review of sub-projects in Kyunsu. The participants and DRD were highly satisfied with the training. DRD is planning to invite Garvan to provide further training still within cycle two.

## 10.2 Challenges and risks

- The most relevant risk for year two will be the time pressure that predictably will affect the project activities especially in the six new townships. Last year’s experience showed that there is a (reasonable) tendency to cut training short under time pressure. It is advised not to do so this year. Organizing the training inputs as planned, despite of time pressure, will be a good investment and will pay off in terms of quality of process and results.
- A serious risk is also the shortage of qualified trainers. With the current resources it will not be possible to organize the required training, especially training of facilitators packages (TOF). A pool of trainers needs to be built up. This might include DRD officers from union, regional or township level as well as hired trainer consultants.
- Updating and printing of training material is a challenge for the increasing number of required copies. However, it can be managed with the current resources.
- Monitoring and reporting has not worked well in year one. Though the M&E/MIS package is being resolved now, it still remains to be seen whether data generation and reporting through the MIS will really work. More hands-on training may be required.
- Modern ICT is not sufficiently used for training management. A web based knowledge center (do’s and don’t’s) and a web based collaborative planning tool would improve training overall.

## 10.3 Next steps and priorities

- Training plan regularly updated (though, often postponed)
- Training material: basic versions prepared, should now go into professional editing and printing for year 2
- Hiring 3 trainers (2 general training experts, 1 technical trainer; all English proficient)
  - TOR: delivering training in TS (TOF), update and translation of training material, producing test questions for final examinations, reviewing and grading final examinations, coaching on the job of TS DRD, TA and facilitators in team work with TTL
- Introducing collaborative management tool

- In the short to medium term, DRD should have 2 Training Officers as permanent staff to plan, supervise and coordinate the growing training needs of CDD and DRD as a whole.
- Update training strategy with view to large scale roll-out

## 11 Monitoring and Evaluation

- The main challenge in M & E during the first year was to arrive at a set of monitoring forms (Part III of the OM) which were user friendly (not over-burdensome for village committees, CF's, and monitoring staff) fit for purpose in terms of NCDDP management information requirements, and accurate in terms of Project cycle.
- UTA made modifications to the original forms in Part III (September 2013) which were NoL'd in January 2014. These were further updated in March, adding complexity in content and number of forms, and designating parts of each form for inclusion in the MIS. Although these were never NoL'd, they were circulated and provoked confusion and objection from TTA and village committees. A request for simplification in content and number of the forms was clearly voiced at the MSR, and a workshop on 20/08/14, including WB, M & E experts from UTA and TTA, and selected CF's, agreed the main changes to be made.
- Revisions to Part III were then finalised by the UTA M & E Expert in collaboration with Susan Wong and Kyung Min In (MIS forms), and WB consultant Victor Bottini. It was agreed to include all forms (project cycle, finance, procurement, training, and human resources) in Part III, where previously they had been scattered in the relevant sections. Part III now has 38 forms, of which 12 are for the MIS. (see Annex V). The M / E Expert visited Kanpetlet in September to field test the new forms and get response of M & E staff and CF's, before getting final NoL at end September.
- Meanwhile, in collaboration with the UTA MIS Expert, the revised forms were adapted for use with MS Access (desktop and web based Android application using Android tablets, and set of pre-defined queries based on KPI's developed for reporting to management (Annex V). Start-up training will be given using the new forms and MIS to new townships in December.
- Formulation of M & E training material, based on a) new forms and KPI's b) redefined duties of M & E Officer after tablets will be introduced.
- Definition of a standard list of queries or KPI's ( see Annex V).
- Review of Cycle 1 databases to assess indicator performance for quarterly progress report and status update for ISM (October).
- In the next quarter, the UTA M & E and MIS Experts will: 1) collaborate with UTA international MIS Expert (Mr Viktor Klymonchuck) in developing functional requirements for the MIS system, and mapping SQL data fields to front end forms. 2) visit Kyunsu, Kanpetlet and Nammhsan for combined M / E MIS training, and 3) provide start up training for the 6 new townships, incorporating use of tablets with the revised MIS forms.

## 12 Development and Operationalisation of MIS

- The first year saw a substantial evolution of the software used for entry and processing of the MIS forms from an Excel based spreadsheet data processing system to MS Access and Android OS tablets as front end data entry forms, with MySQL as the back end data engine. Conversion of first cycle data from Excel to Access was completed in the case of Kyungsu and Kanpetlet, while Namhsan's Cycle 1 data remained in Excel, after WB advised in August that no further work be done on conversion or data processing of Cycle 1.
- During the last quarter of this year, Novelldea, a local IT company was hired by DRD working with WB's Kyung Min In and George Pau to design MS Access forms, and the Android interface, to support the MIS development. By the end of this period, coding work for the Android front end and SQL database back end was still in process.

### 12.1 Challenges and risks

- The MIS has been one of the biggest constraints in cycle one. While the basic package is now recovered with agreed M&E forms and the respective update of the MS Access data base, it still needs to be seen whether township staff can handle it under real conditions and with high volumes of incoming information from the field. There will be some
- The basic package relies on one desktop application only (MS Access) for data entry at township level. Based on experiences from the first year and given that some of the new townships are much bigger, it will be a serious challenge to leave all the data entry to one or two persons only. It is expected that the data entry by facilitat can strongly mitigate this risk. For this, however, tablet devices need to be up and running in time.
- The extended application, a web-based central data base with tablet computers is still under construction. Combined with the other constraint of late procurement of township consultants, the time pressure will be high again in year two and might counteract an adequate quality management.
- In the longer run, DRD will need to build up more own IT capacities, namely increase their staff with one or two additional IT officers who can manage MIS enterprise applications.

### 12.2 Next steps

- The previous international MIS Expert (Mohammed Ilyas) was replaced in October by Mr Viktor Klymonchuck. He will work with the other UTA Experts to develop a MIS charter, functional requirements and system design to support scale-up of an application with a web-based central data base and tablet computers as mobile data entry devices:
- Successful operation of the whole system using tablets, web interface (PCs) and MS Access as front ends, with MySQL databse server as back end, will be trialled before end of November, and a fully operational front and back end system will be in place by end December for use in the second Cycle. The system will allow complete data entry, processing and reporting functions to be performed on the MIS forms, multi-user access with password permissions, with a secure dedicated SQL server. Further work during 2015 with ensure the system meets functional requirements for secure and sustainable expansion to multiple townships. Taking into account the still low and

unreliable internet connectivity in most CDD townships, the system will include offline storage and processing of data during internet downtime.

- Additional technical development routines will include:
  - i. *Business process analysis (end of November)*
    - Finalize the documentation including: Needs assessment, MIS project charter, functional requirements and system design.
    - Novelldea: base their development work on Viktor's inputs.
  - ii. *Development and coding*
    - Migrate the current version of the MySQL data base to DedicatedNow, and complete following features in the MySQL data base:
  - iii. *Authorization / user profiles.*
    - According to Novelldeas, this can be done within one or two days. For the initial stage of the MIS, following user profiles will be established (they will be further refined and differentiated later on):
    - Facilitators: the login will guide them to the data entry of villages they are assigned to by the township team leader. They will be able to enter and edit those data only that belong to the assigned villages
    - Township team leader: user rights to enter and edit all data of the corresponding township. The login of this profile might be shared with the M&E expert who have as a key function the quality control of data.
    - Manager : this profile is meant for actors with managerial functions at township DRD, union DRD, union TA and WB. This profile allows viewing reports and run queries over all the data in the MIS
    - System Admin: unlimited user rights. At the moment, this login is assigned to Novelldeas. The handing over to DRD needs careful consideration as it will critically depend on DRD's IT capacities.
  - iv. *Activate meta data function*
    - Android Tablets: Novelldea: Finalize interface coding; field test; final adjustments.
  - v. *Action plan (next 3 months)*
    - Roll out MIS
    - George Pau: train townships in MIS, particularly the use of tablets and quality control of data
    - Novelldea: overall IT backstopping ; develop pre-established query routines for reporting on key performance indicators (KPI).
    - Luq: training on M&E with particular focus on reporting responsibilities and quality control of data; specifying MIS reporting requirements, pre-established reports and data queries
  - vi. *Action plan (after March 2015)*
    - Upgrading the application applying enterprise approach, namely, Rapid Application Development (RAD). Moving from manual coding to more generated coding. Main features that will be addressed include version control, quality control, security and other aspects of IT governance for ensuring scalability, security and sustainability of the system.
    - Adjusting tablet interfaces accordingly
    - Capacity building of DRD: definition of HR requirements and employment of IT officers ; training and coaching ; handing over of the MIS to DRD

## 13 Communications

### 13.1 Communications activities during period and next steps

The communication plan is periodically updated, and the project has commenced to procure some of the materials required for communication and public awareness. A project movie, "Our Village and Our Project" was telecasted on the national channels to increase the awareness of the project. Specific communications activities during this annual reporting included:

- Establishment of NCDDP website and facebook page.
- Updating new website design, preparing and creating accounts for CDD project townships directly to upload news about project activities and project matter at township level.
- Preparing and calculating communication materials to deliver for second year project township.
- Updating/Revising project mechanism posters and pamphlets.
- Translating operational manual to ethnic language. (Chin and Choe for Kanpetlet Tsp, Shan and Palaung for Namhsam Tsp)
- Translating some project documents to ethnic languages (Chin and Choe for Kanpetlet Tsp, Shan and Palaung for Namhsam Tsp)
- Preparing Communication Plan.

Project has established a website (<http://cdd.drdmyanmar.org>). Facts, information and news of the Project are being regularly updated and displayed, mostly on a real time basis, in the website. The project also has a Facebook page, which in some ways is a more successful communication instrument than the website itself, although both are clearly needed.

A critical issue is that the communication strategy is not well developed and has not really been absorbed by DRD. The communication plan is rather focusing on operative questions including production and procurement of materials and services. A wider internal discussion about the communication strategy including the key messages is needed as this contributes to the development of the project's strategy overall. This is particularly relevant with view to the forthcoming preparation of a loan program and the general upscaling of the NCDD as a country wide platform for CDD.

### 13.2 Next steps

The priority for the next quarter is to update the Communication Strategy. This will require a broader internal discussion about the project's strategy and the key messages, e.g. about the NCDD aspiring to become a countrywide platform for people centered development.

Other activities:

- Revision of Communication Plan and Budget (November)
- Complete updating of website and upload data (October, November)
- Completion translation of ON into Chin and Palaung ethnic languages (October)
- Production of posters for project cycle, grievance, positive/negative list (November)
- Delivering posters to townships and monitoring placement (December)

The current communication plan is presented in Annex VII

## 14 Gender Mainstreaming

During Cycle 1, gender was mainstreamed in the following ways:

- Separate meetings for women to identify their needs and priorities for the village plan  
At least one subproject annually per village tract identified by women
- At least one member of village sub-committees is a woman
- Selection in each village of at least one woman as village volunteer and as grievance focal
- Equal pay for equal work on subprojects
- Gender training for all stakeholders, DRD at union and township level, TTA, facilitators and for the communities (committee members, volunteers, etc.)

Disaggregated data from the MIS and field observation show that gender mainstreaming has been relatively successful during the first year, in terms of participation at planning meetings, on committees, and in the community labour force (See above Results Matrix Indicators, Section 3).

### 14.1 Activities during period and next steps

Activities on gender mainstreaming during the year are summarised below:

- Establishment of the Gender Working Group under DSW, following by several meetings.
- Attendance of WB gender consultant Ms Pamornrat Tansanguanwong at Union level Multi Stakeholder Review in August.
- Recruitment and mobilisation of International Gender Specialist Ms. Kyoko Kusakabe in August. Her contract for 60 days work runs from 14/08/14 – 15/08/14.
- Ms. Kyoko Kusakabe made a first field visit to Kanpetelet 22-26/10/14 to undertake an “Assessment on Gender Mainstreaming in the NCDDP”. Her report (submitted to DRD on 31/10/14) provides very useful guidance and recommendations.
- Gender training: (23-26. 9.2014)
  - Trainers: Gender Specialists from UNDP, GEN,
  - Location: Thingaha and DSW
  - Trainees: DRD staff from (9) Townships, TTA from (3) Townships and Union DRD staff from ADB project and NCDD Project

Needs defined by the Gender Working Group:

- to recruit a Local Consultant Eol must be reissued.
- to improve the Gender Training Manual
- To understand clearly why the Gender Mainstreaming is taken account in the project
- to know the rule and regulation, policy and Guideline of World Bank
- to understand the responsibilities of each position

Next Steps:

- As there is no dedicated gender expert on the UTA team, the WB advised that work on the Gender Training Manual be put aside until the recruitment of two gender specialists. The international expert (Ms. Kyoko Kusakabe) was contracted for 60 days in August, but the national one is still awaited; after publication of the initial EOI in May failed to attract suitably qualified candidates, no further attempts have been made by end of this period.
- Although gender is being mainstreamed in NCDDP, and thus an integral part of all activities, the time has come to formulate a short and clear Gender Plan as an overall



framework for activities. This could be done by the international gender expert, or by UTA.

- Until now Ms Daw Jagu has been the lead coordinator and trainer in DRD for gender related activities under NCDDP, supported by Ms. Hnyun Thwe Thwe Naing and Mr. Ko Ko. Although Jagu has performed the role well and conscientiously in accordance with the time she has available, she has multiple other key responsibilities in DRD. Therefore DRD is considering to delegate the role of senior gender staff member to a suitable candidate. Requirements would include: 1) sufficient degree of proficiency in English language to be able to communicate with international consultants and understand English language reports 2) ability to coordinate formulation of Gender Training Manual and a Gender Plan together with a gender expert 3) ability and confidence as a trainer.

## 15 Staffing

### 15.1 DRD

#### A. Union Level

DRD has 8 Divisions, with average 20 staff per Division. NCDDP now has 30 dedicated staff, with more to come, thus more than a single Division. The Union Secretariat was set up (Circular Number 448/Admin1/DRD dated 13/03/14 and issued by the Director-General of DRD) entirely for the purpose of NCDD Project implementation. During the period under review, 30 DRD staff members together with eight Union Technical Assistance (TA) consultants comprised the CDD Union Secretariat. Of the DRD staff, 23 are currently full-time dedicated to CDD, while 7 staff are temporarily seconded to ADB's CDD programme (See Annex VIII). During this period, DRD initiated a major nationwide recruitment drive of 3000 staff, of which approximately 150 are destined for the Union Office, so it can be expected that the CDD Secretariat will grow.

During this reporting period DRD Union allocated a focus person for M & E and MIS (Mr Win Min Thun) to work with UTA M & E and MIS experts. However, two junior supported staff allocated have been seconded to the ADB, and one will be transferred to a township shortly. The Infrastructure section is now fully staffed, but further support staff and/or consultants are required in finance, training, procurement, communication, gender and translation.

#### B. Township Level

- 1) Three old townships

The staffing situation by end of September 2014 is summarised in Table 1 below:

**Table 11: Status of DRD Township CDD Staffing (old townships)**

Township	NCDD Staff (Number)	Technical Positions (excluding Head)
Kanpetlet	5	1. Finance 2. M & E / MIS 3. Procurement 4. Communication
Namhsan	5	1. Infrastructure 2. Finance



		3. M & E / MIS 4. Procurement
Kyunsu	6	1. Infrastructure 2. Finance 3. M & E / MIS 4. Procurement 5. Communication
<b>Total 3 townships</b>	<b>16</b>	

Since CDD is not the only activity of township DRD's, township staff often get assigned other tasks by DRD Union level. In terms of transfer of capacity to DRD township and exit strategy for TTA in coming years, the issue is not just numbers of DRD staff appointed to township offices, but the lack of dedicated DRD staff in which to invest capacity building. Since the NGO's TTA contracts are due to be terminated by end April 2015, this lack of dedicated staff for CDD becomes an issue for the NGO's exit strategy.

The recruitment of 3000 staff stated above is the start of a nationwide expansion of DRD township offices and staff, not just for CDD, but an overall increase of presence. The target for each C level township (all of the NCDDP townships are level C) is 27, although this may be restricted to 18 in the medium term. This should give a greater level of assurance that the (current) six CDD staff will be genuinely dedicated to NCDDP activities, which is currently far from the case in the first three townships.

2) Six new townships (Tatkon, Pinlebu, Sidoktaya, Ann, Laymyetnar, Htantabin)

Candidates for each of the six CDD positions in the new DRD township offices have been identified and appointed, although suitable office premises are not yet confirmed in all cases. Annex VIII shows an organogram with names of candidates in the six new township offices.

## 15.2 Technical Assistance

### Union Level

During this period seven UTA experts were mobilised for all, or parts of the period as follows:

- Long Term
  - Team Leader (Cesar Umali Jr) : 01/07/14 – 17/09/14 (resigned)
  - Training Expert (Klaus Kirchner) : 25/08/14 – 30/09/14 (replaced TL on temporary basis)
  - M & E Expert : (Luqman Leckie) 10/08/14 – 30/09/14
- Short Term
  - Infrastructure Expert (Soni Praful) : short inputs in July, August September
  - Finance Expert (Srie Balasingham) : 23/07/14 - 29/08/14
  - Procurement Expert (Dawe Yang) : 05/08/14 – 17/08/14

### Township Level

#### A. Three old townships

Two international non-government organisations (MercyCorps and IRC) covering three townships continued to provide implementation support to DRD and the project communities. By the end of this reporting period, the position of Finance Expert was still vacant in

Kyungsu, but was filled at end October. The M & E Officer was replaced in Kanpetlet in late October. Several technical facilitator (TF) positions in Namhsan township continue to be vacant as qualified candidates are not available. The number of CF's for Cycle 2 is calculated at 21 (see Tables 13 and 14) for all three townships, and the number of TF's at 8,10,10 for Namhsan, Kanpetlet and Kyungsu respectively.

Since the township T.A contracts are due to expire in April 2105, the process of formulating justification for a contract extension (whether based on the full or reduced contingent of current experts), was discussed at the quarterly meeting in October, and will be finalised at the next quarterly meeting on 16/12/14. Union DRD are waiting for proposals from their township staff as to the type and number of TTA, if any, to be retained after April. The level of potential capacity building that should have taken place is restricted by the fact that current DRD township staff are allocated many different types of activity besides CDD.

#### B. Six new townships

Recommendations from the Technical Review and from the Multi Stakeholder Review both underlined the need to revise calculations of the number of TF's and CF's, as it became clear that the standard ratio of 5 CF's per village used in Cycle 1 is insufficient. Furthermore, the significantly larger numbers of villages and village tracts in the new townships, as well as variations in size and access between these townships (see Tables 13 and 14), confirmed the need to develop a new algorithm for estimating starting requirements for TFs and CF's, The number of CF's is calculated at 21 for each of the old townships, but varies from 23 – 36 for the six new townships. For TF's, it is 8 – 10 for the old townships, and 17 – 19 for the new townships.

**Table 12 : Calculation of TF requirements for Year 2**

A	Townships	Region /State	No. of Villages	No. of VT	No. of Households	Population	2 criteria		Final Proposal*)	Ratio	
							max 15 villages	max 3 VT		Villages per TF	VT per TF
	B	C	D	E	G	H	J	K	L	M	N
	<b>Y2 Townships</b>										
1	Tatkon	Nay Pyi Taw Territory	176	49	39,875	178,280	12	17	17	10.4	2.9
2	Pinlebu	Sagaing Region	266	52	19,114	102,959	18	18	18	14.8	2.9
3	Sidoktaya	Mague Region	117	46	8,999	38,846	8	16	16	7.3	2.9
4	Ann	Rakhine State	242	29	23,431	94,254	17	10	17	14.2	1.7
5	Laymyetnar	Ayeyarwady Region	284	41	22,418	101,316	19	14	19	14.9	2.2
6	Htantabin	Yangon Region	233	54	31,794	114,644	16	18	18	12.9	3.0
<b>Sub-Total</b>			<b>1,318</b>	<b>271</b>	<b>145,631</b>	<b>630,299</b>	<b>90</b>	<b>93</b>	<b>105</b>		
	<b>Y1 Townships</b>										
7	Namhsan	Shan State	123	26	11,830	71,658	9	9	8	15.4	3.3
8	Kanpetlet	Chin State	119	26	3,013	17,800	8	9	10	11.9	2.6
9	Kyunsu	Tanintharyi Region	161	20	26,634	145,612	11	7	10	16.1	2.0
<b>Sub-Total</b>			<b>403</b>	<b>72</b>	<b>41,477</b>	<b>235,070</b>	<b>28</b>	<b>25</b>	<b>28</b>		
<b>Total</b>			<b>1,721</b>	<b>343</b>	<b>68,111</b>	<b>380,682</b>	<b>118</b>	<b>118</b>	<b>133</b>		

\*) Criteria: either maximum 15 villages or 3 village tracts per TF, whichever is higher

Table 13 : Calculation of CF requirements for Year 2

Sr. No.	New Townships	Region /State	No. of Villages	No. of VT	No. of Households	Population	2 criteria		Final Proposal*)	Ratio	
							max 8 villages	max 2 VT		Villages per CF	VT per CF
A	B	C	D	E	F	G	H	I	J	M	N
	<b>Y2 townships</b>										
1	Tatkon	Nay Pyi Taw Territory	176	49	39,875	178,280	22	25	25	7.0	2.0
2	Pinlebu	Sagaing Region	266	52	19,114	102,959	34	26	34	7.8	1.5
3	Sidoktaya	Mague Region	117	46	8,999	38,846	15	23	23	5.1	2.0
4	Ann	Rakhine State	242	29	23,431	94,254	31	15	31	7.8	0.9
5	Laymyetnar	Ayeyarwady Region	284	41	22,418	101,316	36	21	36	7.9	1.1
6	Htantabin	Yangon Region	233	54	31,794	114,644	30	27	30	7.8	1.8
<b>Sub-Total</b>			<b>1,318</b>	<b>271</b>	<b>145,631</b>	<b>630,299</b>			<b>179</b>		
	<b>Y1 townships</b>										
7	Namhsan	Shan State	123	26	11,830	71,658	16	13	21	5.9	1.2
8	Kanpetlet	Chin State	119	26	3,013	17,800	15	13	21	5.7	1.2
9	Kyunsu	Tanintharyi Region	161	20	26,634	145,612	21	10	21	7.7	1.0
<b>Sub-Total</b>			<b>403</b>	<b>72</b>	<b>41,477</b>	<b>235,070</b>			<b>63</b>		
<b>Total</b>			<b>1,721</b>	<b>343</b>	<b>187,308</b>	<b>865,369</b>			<b>242</b>		

\*) Criteria: either maximum 10 villages or 2 village tracts per CF – whatever is higher

## 16 Workplan for Cycle 2 (October 2014 – September 2015)

Table 14 below gives the NCDDP overall Workplan from 01/10 to 09/2015.

Principle activities for the coming quarter will be :

**Implementation** : village orientation meetings for Kanpetlet, Kyunsu, and Namhsan townships second cycle (November) and block grant transfers (December).

**Procurement** : finalisation of negotiations, signing of contracts and mobilisation of TTA and facilitators with contractors of six new townships. This is scheduled for November in the case of contractors for Pinlebu (NAG), Sidoktaya (Cardno) and Laymyetnar (Mercy Corps), and in December for the contractors for Ann and Htantabin (Relief International) and Tatkon (International Rescue Committee).

**Training** : quality management training from Garvan O’Keefe (October); preparation workshop for masters trainers ; hiring of 3 master trainers with high proficiency in english (November). Start-up training and Training of Facilitators for year two NCDD implementation.

**M & E / MIS** : finalisation of coding and field testing of MIS (front end = Android tablets + M S Access) and back end = MySQL server). M & E / MIS training in three old townships based on new forms and redefined tasks of township T.A M & E Officers after CF’s start data entry using tablets.

**Quarterly Meeting (16/12/14)** : review of pending issues such as extension of TTA contracts, mobilisation of new townships, preparation for ISM / MTR and Appraisal activities in March 2105.

The overall workplan is regularly being updated at:

<https://app.smartsheet.com/b/publish?EQBCT=67e29afee03842908b4566fa2c65fb74>

**Table 14 : NCDDP Overall Workplan to 01/10 to 09/2015**

Task Name	Start Date	Duration	Type
<b>Union NCDD</b>	<b>01.10.14</b>	<b>294</b>	
Finalize and print OM	01.10.14	38	Management
MIS	01.10.14	59	Management
NCDD management training for 9DRD	20.10.14	9	Training
Quality management training (Garvant)	30.10.14	2	Training
Hire 3 trainers (English proficiency)	27.10.14	19	Training
Preparation workshop for master trainers	08.12.14	5	Training
TOT100 part2	17.01.15	6	Training
Multi Stakeholder Review Meeting Union Level	21.07.15	0	Milestone
<b>Y1 TS: Kanpetlet, Kyunsu, Namhsan</b>	<b>01.10.14</b>	<b>289</b>	
TOF refresher 1 facilitation	01.10.14	12	Training
Orientation meetings and planning	02.11.14	21	Community activity
Training for VTPSC and FSC	17.11.14	18	Training
Block grant transfer	15.12.14	0	Milestone
TOF refresher 2 quality management	15.12.14	5	Training
Community training (sub-project preparation)	22.12.14	15	Training
Sub-project preparation + procurement plans	22.12.14	61	Community activity
Implementation	01.01.15	161	Community activity
TOF refresher 3 quality and social accountability	23.02.15	5	Training

Task Name	Start Date	Duration	Type
Community action training 2 quality and social audit	03.03.15	18	Training
O&M, Social audit, technical review	03.03.15	136	Community activity
<b>Y2 TS: Pinlebu, Sidoktaya, Laymyetnar</b>	19.11.14	271	
Sign contract	19.11.14	0	Milestone
Mobilization of TTA / facilitators	20.11.14	22	Management
Start-up training in NPT	15.12.14	5	Training
TOF1: planning + sub-project preparation	22.12.14	8	Training
Orientation meetings and planning	30.12.14	60	Community activity
Sub-project preparation + procurement plans	05.01.15	67	Community activity
Training for VTPSC and FSC	12.01.15	19	Training
Block grant transfer	19.01.15	43	Milestone
TOF2: sub-project implementation	09.02.15	5	Training
Community action training 1 implementation	16.02.15	25	Training
Sub-project implementation	16.02.15	155	Community activity
O&M	23.02.15	152	Community activity
TOF3: quality and social accountability	27.04.15	6	Training
Community action training 2 quality and social audit	04.05.15	18	Training
Social audit, technical review	17.05.15	92	Community activity
<b>Y2 TS: Tatkon, Ann, Htantabin</b>	28.11.14	292	
Sign contract	28.11.14	0	Milestone
Mobilization of TTA / facilitators	29.11.14	27	Management
Start-up training in NPT	26.12.14	5	Training
TOF1: planning + sub-project preparation	12.01.15	8	Training
Orientation meetings and planning	20.01.15	58	Community activity
Sub-project preparation + procurement plans	20.01.15	69	Community activity
Training for VTPSC and FSC	20.01.15	20	Training
Block grant transfer	09.02.15	31	Milestone
TOF2: sub-project implementation	23.02.15	6	Training
Community action training	02.03.15	36	Training
Sub-project Implementation	02.03.15	158	Community activity
O&M	02.03.15	164	Community activity
TOF3: quality and social accountability	18.05.15	5	Training
Community action training 2 quality and social audit	25.05.15	18	Training
Social audit, technical review	09.06.15	99	Community activity
<b>Technical Training (in NPT)</b>			
Procurement and Finance	n.n.		Technical training
Infrastructure and Quality Management	several		Technical training
Gender	n.n.		Technical training
Grievance handling and social accountability	n.n.		Technical training
M&E and MIS	n.n.		Technical training
Facilitation, training, communication	n.n.		Technical training
<b>MIS</b>	29.08.14	271	
MIS Charter, functional requirements, system design	03.10.14	59	
Version 0: Desktop-Database: MS Access programming	29.08.14	45	
Version 1.: Central data base with Android tablets: Coding&Testing	01.09.14	132	
Version 2.: MIS upgrade (Enterprise Approach)	16.03.15	72	

This plan is regularly updated in the internet.

# Annexes

Annex I : Summary of Multi-Stakeholder Review Findings

Annex II : Summary of Changes Made to Operations Manual Part I (September 2014):

Annex III : Grievance Management Quarterly Report

Annex IV : Financial Management

Annex V : M & E (New forms and reports)

Annex VI : Procurement Plan

Annex VII : Communication Plan

Annex VIII: Staffing (NCDDP Secretariat Organogram)

Annex IX: Expert Inputs (original, used, balance as of Oct 2014)

Annex X: Financial Audit Follow Up Measures: an example from Kanpetlet

## **Annex I**

### **Summary of Multi-Stakeholder Review Findings**



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**NATIONAL COMMUNITY DRIVEN DEVELOPMENT (NCDD) PROJECT**

**IDA Grant No: H814-MM**

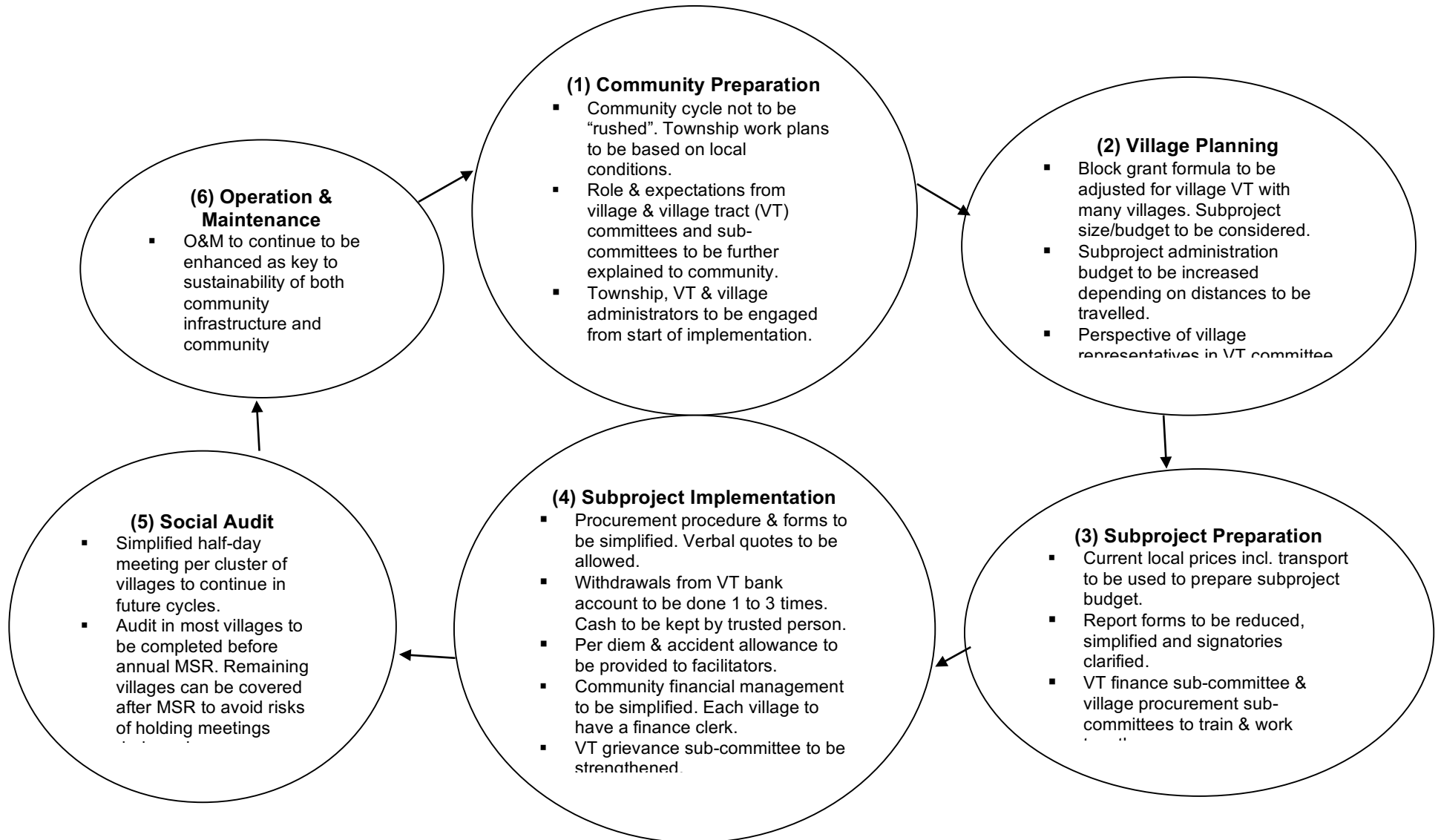


**REPORT ON THE FIRST UNION LEVEL  
MULTI-STAKEHOLDER REVIEW**

**Nay Pyi Taw: 18-19 August 2014**

Union Level Community Driven Development (CDD) Project Secretariat  
Department of Rural Development  
Revised draft as of 11 Sept. 2014

Union Level Multi-Stakeholder Review  
Key Recommendations Linked to Community Cycle Stages



## A. Background

The National Community Driven Development (NCDD) Project is being implemented in annual “community cycles” – each with a duration of approximate eight months and including six major stages: community preparation; village planning; subproject preparation; subproject implementation; social audit; and operation and maintenance. The annual Multi-Stakeholder Review (MSR), which is designed to take place at the end of each cycle, convenes government officials, community members, union and township technical assistance teams, NGOs, civil society groups and other development partners to share experience from the previous cycle across all townships, and to discuss ways to improve the next cycle.

**Table 1. Project Cycle 1 Geographical Coverage**

Township	Village Tracts	Villages	Population	HH
Kanpetlet	26	118	17,800	3,013
Namhsan	26	123	71,658	11,830
Kyunsu	20	149	145,612	26,634
<b>All</b>	<b>72</b>	<b>390</b>	<b>235,070</b>	<b>41,477</b>

The union level MSR builds on township MSRs and village tract social audits. The MSR, which is one key element in project knowledge management, creates space for open communication and enables a wide range of stakeholders to discuss/agree on actions that can help to achieve shared objectives. Open discussions cover what worked well, and what did not work so well in the previous cycle. The MSR enables the project to access a variety of expertise and

perspectives from diverse stakeholders, and also creates or strengthens mutual trust among them. The MSR focuses on both the process and results of NCDD Project implementation.

The purpose of this report is to summarize the multi-stakeholder review results for reference during the succeeding cycle and in the next annual multi-stakeholder review.

## B. Objectives of Multi-Stakeholder Review

1. To reflect on learning from NCDD Cycle 1 implementation experience
2. To discuss how future implementation can be improved
3. To provide an opportunity for Government agencies to dialogue with non-state actors on community development strategies

## C. Structure of Multi-Stakeholder Review

The two-day open MSR (18-19 August 2014) consisted of: (1) briefings about Cycle 1 implementation (Oct. 2013-May 2014) at the township and union levels, recognition of community level achievements (and actual handing out of awards), the social audits, and the technical audit; (2) break out group workshops; and (3) plenary sessions to present and discuss the results of group work. The briefings were meant to orient the external stakeholders about the NCDD Project, while the group discussions served as forum for all stakeholders to discuss and reflect on how lessons may apply to future implementation.

The approximate time allocation of the two full days (9 a.m. until 4:30 p.m.) of the MSR is shown in Figure 1.<sup>1</sup> The detailed agenda is provided in Attachment 1.

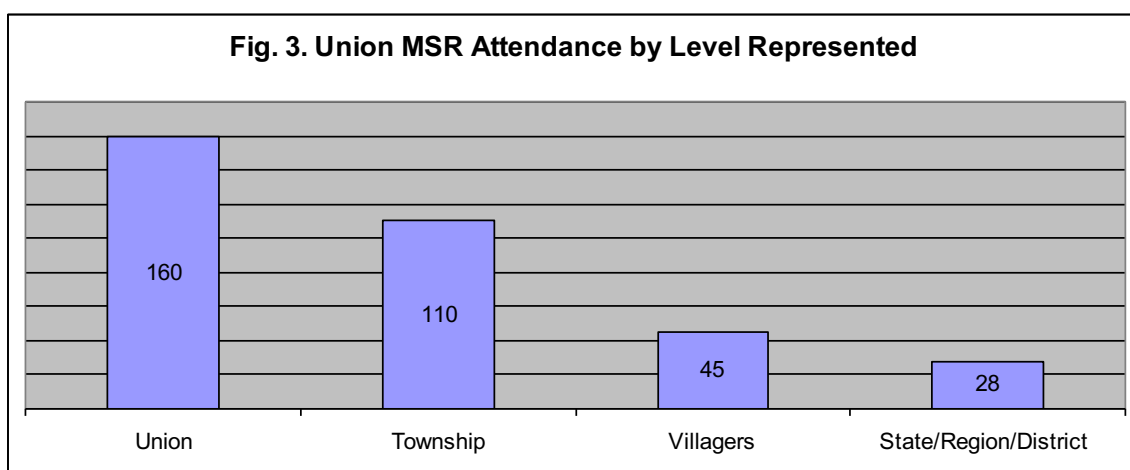
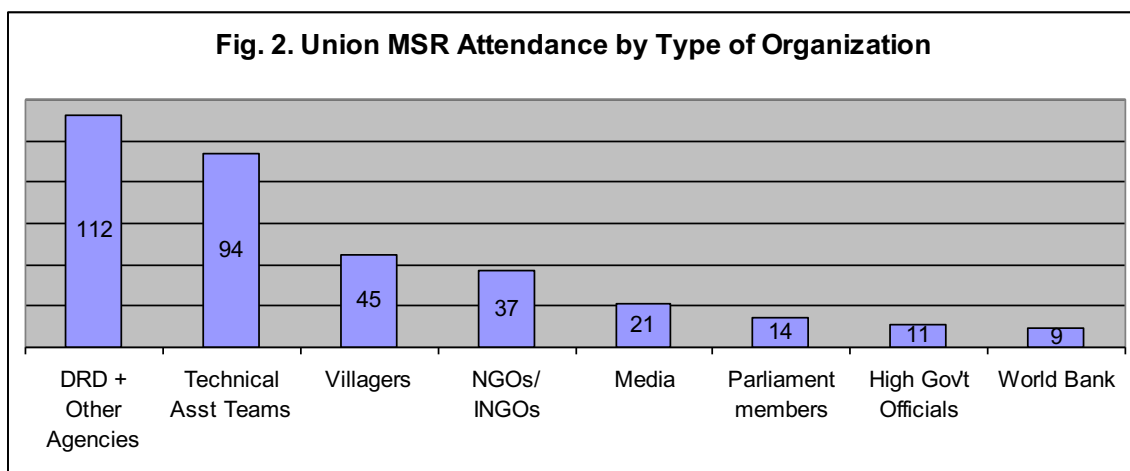
Eight break out groups were formed based on the following major topics:

1. Project management/administration
2. Participation and gender
3. Social accountability and communications
4. Social assessment/village planning/subproject prioritization, and village tract decision-making
5. Infrastructure (subproject preparation and implementation) and safeguards
6. M&E and MIS
7. Financial management
8. Community procurement

<sup>1</sup> The open MSR was part of a week-long “DRD-WB CDD learning week”. An internal project review preceded the two-day MSR, followed by two more days for technical learning and wrap-up meetings.

## D. Participants

Close to 350 participants attended the two-day open Multi-Stakeholder Review. Figure 2 provides the breakdown of participants by type of organization, and Figure 3, by level represented (union, township, village and state/region/district). The complete list of participants is provided in Attachment 3.



## E. Briefing Highlights

The following sections summarize the township and union level presentations made during the plenary sessions.

### 1. Kanpetlet Township

**Table 2. Cycle 1 Results in Kanpetlet**

Key Indicators	Unit of Measure	Value
(1) Subprojects completed as of MSR	Number	97 (100%)
(2) Total budget (block grant)	Kyat	469,080,000
(3) Direct beneficiaries	Number of individuals	17,235
(4) Female beneficiaries	Percent	51%
(5) Workers hired for subprojects	Number of individuals	4,745
(6) Female workers	Percent	48%
(7) Community training participants	Number of individuals	1,709
(8) Female participants	Percent	44%
(9) Grievances received	Number of grievances	74
(10) Grievances addressed	Percent	84%

**Table 3. Recommendations to Enhance Cycle 2 (Kanpetlet)**

Major Topics	Findings	Recommendations
Project management and administration	Timely completion of subprojects due to collaboration among villagers, committees and project staff.  DRD staff constrained by non-project responsibilities.	Training budget arrangements between DRD and TTA to continue to be clarified.  Closer coordination with township authorities to avoid overlap with other activities.
Participation and gender	HH income increased due to subprojects. Gender equity strong in village committees.  Difficult to organize village tract (VT) meetings due to distance across villages.	Meetings to be announced early and per diem provided to VT committee members.  VT administrator to attend VT committee meetings.
Social accountability and communications	Transparency and open discussions enhanced community participation.  Few grievances sent to VT level. Many problems solved at township rather than at VT.	VT grievance sub-committee to reply to complaints effectively. In general, VT to assume greater responsibility.  Information materials to be in local languages.
Social assessment, village planning, subproject prioritization and village tract decision-making	Subprojects prioritized based on needs. But communities do not trust they will receive funds next year so most/all villages have subprojects with small budget.	Block grant to be allocated based on village population/subproject size as done in some VTs, not divided equally. Subproject administration budget to be increased.
Infrastructure and safeguards	Women-identified subprojects funded. Subproject implementation overlaps with agriculture activities.  Technical standards not adequately applied due to time limitation.	Early start of Cycle 2. Provide more time for implementation.  Timing of block grant and subprojects to consider agriculture calendar.
M&E and MIS	Monthly reports submitted on time. However, villagers had difficulty due to low literacy, many forms, change in forms.	Village monitoring sub-committee to have at least one literate member.
Financial management	Accounting, cashier and bookkeeping roles performed well by women.  Weak link between VT finance sub-committee and village procurement sub-committees.	Adding finance focal at village level to enhance management.  Joint training (at least 3 days). Allow more time for training. Sub-committees to work together more closely.
Community procurement	Shops not familiar with tender method and materials required for certain subprojects types such as water supply.  Workers ask for advance payment.	DRD and township TA to provide technical information/support.  Allow advance payment of wages. Provide for worker safety.

2. Namhsan Township

**Table 4. Cycle 1 Results in Namhsan**

Key Indicators	Unit of Measure	Value
(1) Subprojects completed as of MSR	Number	117 (100%)
(2) Total budget (block grant)	Kyat	541,620,000
(3) Direct beneficiaries	Number of individuals	56,695
(4) Female beneficiaries	Percent	52%
(5) Workers hired for subprojects	Number of individuals	13,445*
(6) Female workers	Percent	45%*
(7) Community training participants	Number of individuals	2,640
(8) Female participants	Percent	40%
(9) Grievances received	Number of grievances	51
(10) Grievances addressed	Percent	100%

\* Data provided by Township TA after Union MSR.

**Table 5. Recommendations to Enhance Cycle 2 (Namhsan)**

Major Topics	Findings	Recommendations
Project management and administration	Coordination with township departments enhances understanding and support, and avoids overlap.  Cycle 1 was too short.	Budget for administrative expenses including coordination/meeting expenses to be increased.  CFs to visit villages frequently.
Participation and gender	Unregistered villages did not receive project benefits.	Inclusion of unregistered villages to be recommended to township administration.
Social accountability and communications	Lack of participation of some elected committee members.	Village elder to be assigned as grievance focal.
Social assessment, village planning, subproject prioritization and village tract decision-making	Delay in subproject completion due to late release of block grant, transport difficulty, security concerns, and labor shortage during harvest time.	Block grant to be distributed to villages during dry/winter season, and not at the same time as the period for tea harvest.
Infrastructure and safeguards	Inadequate amount of block grant per village.  Inadequate number of technical facilitators constrained subproject design, cost estimation, and application of social and environmental safeguards.	Block grant to be based on population/HH and subproject scope.  Villages with difficult conditions to be given priority technical support. Engineers to conduct field survey before construction.
M&E and MIS	Many forms difficult to understand and enter into database.	Report forms to be simplified and reduced. Participation of educated/youth in village monitoring sub-committee to be encouraged.
Financial management	Difficult to travel to town to withdraw funds.  Delay in payment of wages	Withdrawal of funds from village tract bank account to be done all at one time.
Community procurement	Procurement procedure and price competition difficult to apply given township conditions. Limited contractors and suppliers of gravel and sand.	Procurement procedure to be simplified.  Subproject budget to be calculated based on local prices.

### 3. Kyunsu Township

**Table 6. Cycle 1 Results in Kyunsu**

Key Indicators	Unit of Measure	Value
(1) Subprojects completed as of MSR	Number	136 (95%)
(2) Total budget (block grant)	Kyat	547,128,000
(3) Direct beneficiaries	Number of individuals	75,259
(4) Female beneficiaries	Percent	51%
(5) Workers hired for subprojects	Number of individuals	1,848
(6) Female workers	Percent	65%*
(7) Community training participants	Number of individuals	1,219
(8) Female participants	Percent	47%
(9) Grievances received	Number of grievances	48
(10) Grievances addressed	Percent	80%

\* Data provided by township TA after Union MSR.

**Table 7. Recommendations to Enhance Cycle 2 (Kyunsu)**

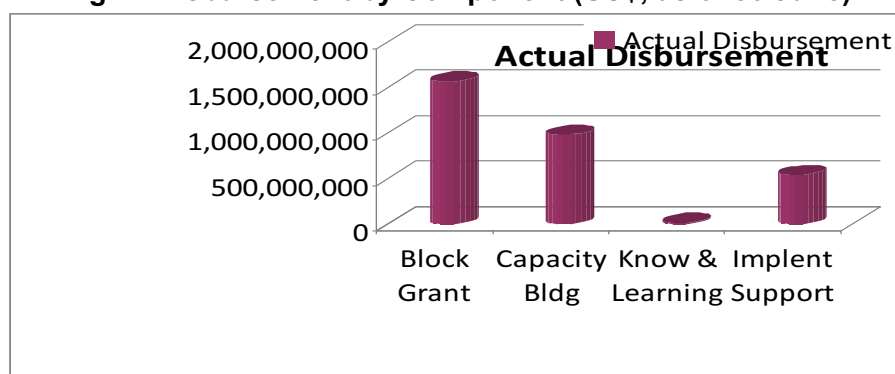
Major Topics	Findings	Recommendations
Project management and administration	Implementation successful when township administration and village committees coordinate.  Some steps in Cycle 1 were merged.	Sustain township-village coordination. Villagers, not only project staff, to act as spokesperson.  Cycle 2 steps to be implemented one at a time.
Participation and gender	Equal pay for men and women inspire women's participation.	Women's participation in meetings to be enhanced.
Social accountability and communications	Village committee performance appropriately recognized through awards.  Grievance handling being presented in a negative way (blaming).	Information to be provided to village administrators and community leaders to understand project.  Grievance handling to be balanced with a positive view.
Social assessment, village planning, subproject prioritization and village tract decision-making	Cycle 1 commenced late and provided short timeframe.  Social assessment needs time to be conducted thoroughly.	Social assessment to be conducted in small groups.
Infrastructure and safeguards	Subproject administration budget too small for remote villages.  Simultaneous subproject implementation results in labor shortage, higher wages, and more time to complete subprojects.	More block grant to be given to VT with many villages. Amount allocated to less developed villages should be increased. Engineer to discuss with villagers subproject design and cost estimates.  More safeguards training to be provided.
M&E and MIS	Village monitoring sub-committee weak because this is first cycle. Difficult to give more time because busy with livelihood activities.  Weak monitoring leads to low subproject quality.	More technical training to be provided to village monitoring sub-committee.
Financial management	Petty cash fund needed to support subproject implementation in remote villages.	Village finance officer to be assigned as link between village tract finance sub-committee and village procurement sub-committees
Community procurement	Quotations required for competitive procurement difficult to get from local shops.	Training for village procurement sub-committees next cycle will make procurement next cycle easier.

#### 4. Union Level

**Table 8. Project Results Framework Indicators**

Key Performance Indicators	Estimated Value (end-June)
(1) No. of persons with access to and use of project-built infrastructure and services	145,000 <sup>2</sup>
(2) Percent of households in project villages participating in planning, decision-making and subproject implementation	57% <sup>3</sup> (target = >50% in Year 2)
(3) Percent of community members satisfied with project	80% <sup>4</sup> (target = >80% in Year 3)

**Fig. 4. Disbursement by Component (US\$, as of 30 June)**



**Table 9. Cycle 1 Social Audits**

Township	Inclusive Dates	No. of Social Audit Meetings	Total No. of Participants	Percent Women
Kanpetlet	July 9-31 (1 VT remains)	39 (in 25 VTs)	2,008	43%
Namhsan	July 5-30	36 (in 26 VTs)	2,874	39%
Kyunsu	July 15 to Aug. 8 (2 VT remain)	68 (in 18 VTs)	5,308	57%
<b>All</b>		<b>143</b>	<b>10,190</b>	<b>49%</b>

**Table 10. Recommendations to Enhance Cycle 2 (Union Level)**

Major Topics	Findings	Recommendations
Project management and administration	Two Cycle 1 milestones (deadlines) achieved: (1) block grant release to VT; and (2) subproject completion.  Uniform percent allocation for subproject administration cannot address different conditions across villages.	Subject to aforementioned milestones, Cycle 2 to be guided by work plan prepared by township based on: local weather, farming calendar, livelihood activities, and geographical constraints.  Subproject administration budget to be increased and released to villages up front.
Participation and gender	Communities decide wisely on subproject selection, creatively mobilize local resources, adapt design to local conditions, reduce cost, volunteer labor and materials, and enhance overall quality.  Gender being mainstreamed in	Further enhance community participation by giving more time for community training and capacity-building.  Distribute training materials early.  Increase township training budget.

<sup>2</sup> Based on Project MIS.

<sup>3</sup> Based on number of households participation in village meetings.

<sup>4</sup> Based on social audit community score card results.



	various ways.	
Social accountability and communications	About two-thirds of grievances are directed to the township level. The rest, to the Union level.	Village tract grievance sub-committees to be strengthened for faster resolution of cases.
Social assessment, village planning, subproject prioritization and village tract decision-making	Subproject types across townships reflect priority/urgent needs such as water scarcity in Namhsan.	Enhance O&M as key to sustainability of both community infrastructure and community organizations.
Infrastructure and safeguards	Current formula for block grant allocation too aggregated. Leads to small per capita allocation where there are many villages within the VT.	Block grant formula to be revised. Continue to include unregistered and small villages.  Practical safeguards training to continue.  Continue to explore how to cover possible case of worker injury.
M&E and MIS	Monitoring and reporting are new to all communities.  Community donation is part of Myanmar culture. In some cases, donation was larger than project funds for the subproject.	Village and village tract report formats and requirements to be further simplified.  Community donation for subprojects to be documented (and where appropriate spent for O&M).
Financial management	Major expense as expected is on block grant component.	Use of budget for knowledge and learning component to be increased in next cycle.
Community procurement	Procurement regulations need to be adapted to township conditions.  For some villages, transport cost is higher than materials cost.  More training needed for village procurement sub-committee.	Flexible approach to be developed where few shops are located at township center far from villages. Simplify forms. Accept verbal quotes.  Subproject budget to include transport cost.

## 5. Technical Audit

**Table 11. Technical Audit Findings and Recommendations**

Major Topics	Findings	Recommendations
Infrastructure Management	<p>Most subprojects (SP) of good quality. Communities and project teams did a good job given time and staff constraints.</p> <p>Too many SPs for technical teams to inspect and advise. This limits quality to what communities can achieve by themselves.</p> <p>Budget sometimes too small for SP, particularly in VTs with 6 or more villages. Some SPs incomplete due to lack of funds.</p> <p>SP designs vary in durability and expected operational life reflecting design choices to complete SP within budget.</p>	<p>Community cooperation and participation to be maintained and quality standard improved.</p> <p>TF to visit SP once a week during critical period of construction. Builders to receive training on quality standards.</p> <p>Village plans to include budgets and SP allocations based on actual cost.</p> <p>SP should be durable to minimize O&amp;M requirements. Standards to be set at Union level and technical teams trained on these.</p>

	<p>Many SPs incomplete, requiring additional works to become fully functional.</p> <p>SP design needs improvement. Simple sketches insufficient to ensure quality construction for more complex SPs.</p>	<p>All SPs should result in completed SPs to be evaluated separately from other works.</p> <p>Standard designs, BOQ and specs to be compiled from successful SPs and used to communicate minimum standards.</p>
QA/QC, O&M	<p>No detailed records of construction or supervision activities available.</p> <p>Quality Checklists used for some SPs.</p> <p>O&amp;M plans not always realistic.</p>	<p>Site Books to be used to record construction activities and technical instructions/advice.</p> <p>Quality Checklists to continue to be developed.</p> <p>O&amp;M plans for major SP types to be shared as examples for VPSC &amp; TF.</p>
O&M, Environment	<p>O&amp;M plans with lists of people pledging future contributions not suitable for all types of SPs.</p> <p>O&amp;M committees duplicate existing O&amp;M systems in some SPs.</p> <p>Most SPs in village areas with positive environmental impact (improved drainage, erosion protection). One SP with negative impact.</p>	<p>SPs with high maintenance like water supply &amp; electricity to have mechanism for collecting fees.</p> <p>Existing O&amp;M systems to be taken into account when establishing O&amp;M regulations.</p> <p>SP outside village areas (roads, irrigation) to get special attention during screening. TF to be trained using real examples of problematic SPs.</p>
Social	<p>Implementing SP in harvest season created artificial labor shortage, higher wages, and some inequalities in payment to men and women.</p>	<p>SP to be implemented earlier in the year, taking into account seasonal calendar. Alternative to fixed wages is paying for unit work (used by ILO).</p>

## F. Main Points Discussed in Union Multi-Stakeholder Review

### 1. Project management/administration

- Block grant allocation – amount of village allocation becomes small when a village tract has many villages. Some village tracts have 10 or more villages each of which receives only a small amount. Technical drawings for subprojects changed when block grant is not enough to cover the cost estimate.
- Community Facilitator (CF) performance – current number of villages (around 10) assigned to each CF is high. Difficulties include: collecting information and filling out forms; travelling to remote villages carrying heavy materials; conducting meetings at night. When there is no alternative, CFs eat and sleep in villagers' house. CFs can give gift to household but this is not allowed by project regulations.
- Community financial management – low education is one major constraint. One township TA finance specialist is not enough to support all village tracts.
- Township level coordination – organizations and projects at township level should be oriented about NCDD Project from the start. Implementation is smoother when township administrator is informed and thus able to assist project staff.
- Estimating cost of subprojects – difference between actual and estimated costs is expected but can be reduced.

### 2. Participation and gender

- Community participation – rate is low even while villagers are eager to participate after the orientation meeting. Village meetings are scheduled based on the free time of the committee head. Number of t-shirts, caps and other project visibility materials is inadequate.
- Village/village tract committee concerns -- some village leaders/administrators think that only VPSC and VTPSC members, not them, have to be involved in project implementation. There is need to check qualification of committee members to perform their tasks. For example, some VT finance sub-committee members have no education.
- Gender balance – while both men and women attend village meetings, women are not as effective in expressing their views. Some women are not allowed to travel with men. Gender is explained to community and monitored based on village committee membership and gender-disaggregated data in subproject reports. Every village committee has women members but do not always participate as actively as men. Women-headed committees perform well. Project requires same wages for men and women. However, skills differ and equality in wages is disputed by community members.

**Table 12. Participation in Village Meetings**

Township	Number of Households
Kanpetlet	3,397
Namhsan	9,339
Kyunsu	10,977
<b>All</b>	<b>23,713</b>

### 3. Social accountability and communications

- Grievance handling – two focals (one man and one woman) assigned per village. All volunteers receive training to understand the grievance handling mechanism.
- Challenges of village committee members – low education; filling out many forms on time; time constraint for meetings and training; project responsibilities reduce daily income; irresponsible members burden others; sometimes, only committee head is active. Many villages remote and transport budget is not enough; bad weather; villages not secure; many festivals. Unable to select quality committee members when there are few households.

**Table 13. Membership in Village Project Support Committees (VPSC)\***

Township	No. of Villages	Functional Village Committees	Village Committee Members		
			Total Number	Male	Female**
Kanpetlet	118	118	1,305	57	44
Namhsan	123	117	1,073	60	40
Kyunsu	149	148	2,353	51	49
<b>All</b>	<b>390</b>	<b>383</b>	<b>4,731</b>	<b>54</b>	<b>46</b>

\*VPSC leads in social assessment, community planning, subproject prioritization, construction supervision, community procurement/contracting, and monitoring and reporting.

\*\*Before the NCDD Project, all village leaders and staff were men.

### 4. Social assessment/village planning/subproject prioritization, and village tract decision-making

- Difficulties in planning – how to engage all villagers in social assessment and community planning; how to handle village tract with many villages; social assessment not conducted in some villages in Cycle 1; village tract plan sometimes prepared without subproject cost estimates.
- Difficulties in allocating block grant across villages – Two representatives from each village are not concerned with VT development. Only for their respective villages. It is difficult for CFs to convince them to be concerned about village tract level development. In some village tracts, more needy villages were prioritized; in some, allocation was equal.
- Subproject prioritization – Every township has a 30-month development plan which we can use as reference. Voluntary donation is low.

### 5. Infrastructure (subproject preparation and implementation) and safeguards

- Standard design – DRD union provided standard designs. However, different geographical conditions across townships (TS) make it difficult to have one standard design per type of infrastructure.
- Quality control of infrastructure – one Technical Facilitator (TF) per 10 villages enough to ensure quality. Difficult to hire qualified staff in remote townships.
- Operation and maintenance – O&M is key to sustainable development. O&M plans made for each village. Small repair is the responsibility of village O&M committee with 2-3 members. Larger repairs, of the concerned departments like health and education. O&M will vary by type of infrastructure. For example, user fees can be collected to hire technician and equipment to repair a water system. O&M is more difficult for roads and other infrastructure that are “public goods” in nature.
- ECOPs – conditions and measures vary by township: hilly region versus coastal areas

## 6. M&E and MIS

- Practical value of M&E – monitoring has many benefits to support subproject management: to tell us whether or not we are on track; progress (percent achieved and yet to be completed; before vs. after); systematic documentation of lessons learned and good practices for future application/replication; gender disaggregation of data; informing procurement actions; and helping ensure environmental conservation. It helps implementers to achieve success by anticipating urgent/major problems and issues. Enables reporting to donor agencies on number of beneficiaries and other results indicators.
- Challenges for village committee – form and content of reports difficult to understand. Forms changed every 2-3 months, so forms and database are not the same. Forms are too many and complicated. When elected, village committee members did not know they were to fill out forms. When village monitoring sub-committee collects data from other sub-committees, there is misunderstanding as the other members think they are “being watched” and their performance is being doubted. Data collection will be less difficult and time-consuming for CFs when they begin using tablets for data collection. Although village and village tract committees find it difficult, they prepare monthly reports on time.

## 7. Financial management

- Calculation of block grant and subproject costs – communities want to understand better the procedure for subproject cost calculation.
- Payment policies – transparency and accountability assured by: (1) compliance with project payment procedure; (2) different individuals to prepare payment request, check the request, and approve payment; (3) posting monthly, subproject completion and other reports on notice boards; (4) checking by union auditor; and (5) grievance handling mechanism. Cannot pay advance wages to workers. Difficult to pay supplier not practicing invoicing. Difficult to find trusted person to keep cash withdrawn from VT bank account.
- VT Finance Sub-Committee (FSC) capacity – requirement of two individuals for withdrawing funds difficult when individuals come from different faraway villages. Coordination is difficult when FSC members live far from each other. Opening of bank account was difficult due to insufficient budget for administrative expenses; some villagers used their own money. Training was not enough. One township TA finance officer to support FSCs not enough. Need township TA financial assistant.

## 8. Community procurement

- Adjusting shopping method to local conditions – “Community Force Account” was the predominant method for implementing subprojects.<sup>5</sup> It was difficult to get price quotations because too many CFs/villagers asking (and not buying) from the few shops in the township. Quotations from shops outside of township can be at least 10% higher than the local price.
- Cash management – villagers want to hold cash at village level (withdraw large amount and pay slowly) so they do not have to repeatedly go to the bank to withdraw. Trusted person can hold the money.
- Payment policies – wages now paid weekly but communities want daily wage payments. Payment to contractors is 60%, 30% and then 10%. After subproject completion, final payment of 10% is on hold for three months. Small contractors in particular do not want this.
- Contractor’s 2% tax – according to General Auditor’s Office regulations, the procurement sub-committee should withhold tax from the contractor. This is added work for the village Procurement Sub-Committee (PSC).

G. Key Recommendations from Union Multi-Stakeholder Review

1. Project management/administration

- Block grant allocation – should be based on population, number of villages, and specific situation/needs assessment including cost of transport between remote villages and the center of the village tract or township. Review allocation of village tracts with more than 10 villages.
- CFs performance – Number of CFs should be increased. There should be one CF for every 5 villages. Ensure safety and security of CFs and TFs. Provide CFs (also DRD township staff) with per diem (when unable to return to post on same day), accident insurance, and for data collection: camera and tablet.
- Community financial management – Add a finance assistant to the township TA to assist village tracts. Assign and train finance clerk in each village to help fill up forms, act as one signatory for fund withdrawal, and liaise between the village PSC and the VT FSC. They should attend finance training.
- Engaging with community leaders – head/administrator should participate in all meetings and activities of the village/village tract.
- Estimating cost of subprojects – TF should confirm that estimate covers all expenditures. Wages and local prices should be based on field survey, which should also be part of village/village tract needs assessment.

2. Participation and gender

- Community participation – allow time for trust to develop between the community and project staff. Disseminate information prior to meetings. Raise project awareness through: local journals and media; religious leaders; agriculture, health and education volunteers (through township administrator); video clips; project song; during festivals; and where many people gather (bus stop, market, etc.). Promote participation of elderly and sick at village level.
- Village/village tract committee concerns -- Explain more clearly (including to current leaders) the project committee formation process and the responsibilities/functions of the village committee and its members. Take more time to form the committee. This is to level expectations within the committee, and with the larger community. Elect committee members based on their abilities and using secret voting. Review committee membership and change members if necessary.
- Gender balance – provide follow up training including for women to be more self-reliant. Give more time for gender training.
- Others – invite people from different areas/levels, associations to next Multi-Stakeholder Review.

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<sup>5</sup> Community Force Account: community implements the subproject using its own resources (skilled and unskilled labor, materials, equipment), and may also use project funds to subcontract part of the subproject to a contractor with prior agreement from the DRD township engineer (Reference: Project Operations Manual).

### 3. Social accountability and communications

- Grievance handling – respond to grievance at village level before sending to higher levels. Add suggestion box (now only one). Clarify misconception that if complaint is raised, village will not receive funding. Clarify also sanction for corruption. Provide grievance training to communities. Select grievance focals who are influential, reliable, interested, and in good social standing.
- Village committee accountability – should mobilize more village volunteers to help them. Volunteers to be selected based on interest in social and development work. Provide all committee members with travel and food allowance.
- Communicating social accountability to communities – including Code of Conduct and village committee and grievance focal responsibilities. Village volunteers should use local language, small loudspeakers.
- Others – improve stakeholder coordination by engaging village heads, department heads, Parliament members, development partners, township authority, and village tract administrator.

### 4. Social assessment/village planning/subproject prioritization, and village tract decision-making

- Difficulties in planning – DRD TS and township TA will ensure that social assessment will be conducted in all villages using problem tree, market survey, and other PRA tools and village resources. CFs and TFs should work together. Also collect township level information as input for village planning; do not propose subproject if already included in township plan. Prepare village/VT plan not for one year but for long-term (updatable/flexible). Integrate ecology and sustainability. Provide training for long term development plan, not only one year plan. Re-draw Cycle 1 village/village tract plans as needed. Women and other vulnerable groups should discuss separately. Engage village elders.
- Difficulties in allocating block grant across villages – six options for block grant allocation: (1) allocation equals project requirements (budget is enough); (2) re-schedule subproject implementation for next cycle; (3) equal allocation (if another allocation method cannot be agreed); (4) by voting; (5) “lucky draw”; (6) based on population/household and number of villages. Township TA will draw up suitable training program on subproject prioritization and budget allocation.
- Subproject prioritization – consider not only community infrastructure but also other types of subprojects like livelihood and maternal and child health. Include cost estimates to facilitate prioritization. Use comparative table/sheet and secret voting to rank/prioritize proposals. Coordinate/negotiate with township departments to avoid overlapping subprojects and to facilitate TPIC endorsement. Share data/information with township administrator in monthly meetings.
- Others – community counterpart/donation should be clarified; how “ownership” can be measured.

### 5. Infrastructure (subproject preparation and implementation) and safeguards

- Standard design – township DRD and township TA will modify standard designs to suit local conditions. Take design from other departments like health and education.
- Quality control of infrastructure – TF should provide technical advice to village when selecting subprojects. Conduct training on construction supervision at village level.
- Operation and maintenance – provide community with information and broad understanding re O&M. Broadly disseminate information about O&M. Clarify funding for O&M and how to collect. Fees collected can be kept in a bank.
- ECOPs – provide capacity-building based on local conditions. Need training materials to address practical issues like protecting water sources; safety measures for school building; and determining size of electrification subproject. Distribute pamphlets and posters.

### 6. M & E and MIS

- Practical difficulties in M&E – simplify/reduce report forms and explain for easy understanding of village committees before Cycle 2 implementation. Avoid overlapping information. Combine monthly reports of village committee and village monitoring sub-committee. Review forms for social safeguards. Clarify who will sign specific forms; reduce signatories. Then no more changes until end of Cycle 2. Provide MIS data entry training to township level as soon as operations manual is

revised. Clarify responsibility and deadline for each form. Gather village monitoring sub-committees at the township for training.

- Others – highlight benefits of monitoring to motivate communities. Clarify community responsibilities: that monitoring is the responsibility not only of the monitoring sub-committee but of the entire village committee. Change the Myanmar translation of “monitoring” which now means “watching”. Differentiate between CF and TF report formats. Provide more space for training report. Add form for community contribution for subproject construction.

## 7. Financial management

- Calculation of block grant and subproject costs – subproject budgeting should be done jointly by community, DRD/TTA engineers and TFs. Increase administrative budget from 4 to 6 or 8%, depending on distance from the township center to a particular village.
- Payment policies -- project to provide fill-in-the-blanks standard form in case supplier does not practice invoicing. Advance payment of wages is not allowed. Communities suggest that funds be withdrawn from VT bank account 2 or 3 times: 60, 40; or 50, 25, 25. Withdraw funds only when required. Make payments as soon as funds withdrawn. What if the boat sinks and funds are lost? Announce who will keep cash and assist in finance work during the first village orientation meeting so everybody knows. Cash should be entrusted for safekeeping with a respected, reliable and honest member of the VT committee (witnessed by two senior VT committee members). Conduct monthly village cash count.
- Simplifying finance forms – drop Petty Cash Book (Form 2). Change wages log in Administrative Expense Report (Form 5) to allow daily wage payment. (Only weekly payment now allowed.) In Office Expenses (Form 9), communities want to show total administrative expenses in one line. Include community contribution under “Other expenses not listed above” (Form 10). In Form 11, show the value of community contribution under the table as a note; provide summary as annex.
- VT Finance Sub-Committee capacity – provide 3-day additional or refresher training; include township TA finance officer and CFs (the latter with allowance for transport, meals and accommodation). Provide all required forms at the start of training. Union TA to provide on-the-job training with case study for FSC together with township TA finance officer and CF. Replace FSC members where necessary to strengthen the committee. Provide accident insurance for CFs.
- Link between FSC and village procurement sub-committee (PSC) – train FSC and PSC together so each one knows what the other is doing. Attend each other’s important meetings. Village PSC should submit subproject procurement plan to VT FSC before preparing budget plan. Engage finance clerk per village to coordinate between PSC and FSC.

## 8. Community procurement

- Adjusting shopping method to local conditions – DRD to inform shops in advance about the NCDD Project procurement needs, so shops will be more cooperative (provide price information, quotations, signature on forms). Distribute project pamphlets. Collect local market prices of materials commonly used for subprojects; this will facilitate the procurement process. Consider quotations from shops located in other townships if this will benefit the village subproject and will not be a problem with Union level auditors.
- Cash management – VT Finance Sub-Committee should know in advance about fund withdrawals by villages. Form 13 VT Subproject Finance Table should be jointly filled out by the village procurement sub-committee and VT finance sub-committee. Two village representatives in VT should also attend finance training and help explain to the FSC.
- Contractor’s 2% tax – should be paid by supplier, not withheld by the procurement sub-committee.

Township	Procurement Methods			Total No. of Subprojects
	CFA*	Contractor	Shopping	
Kanpetlet	58	28	11	97
Namhsan	97	20	0	117
Kyunsu	142	1	0	143
<b>All</b>	<b>297</b> <b>(83%)</b>	<b>49</b> <b>(14%)</b>	<b>11</b> <b>(3%)</b>	<b>357</b> <b>(100%)</b>

- Others – some procurement sub-committee members should be replaced because they are not qualified. Change form numbers so not confused with financial etc. F-1, P-1. Advertise large procurement in newspapers.

H. Tabulation of Frequently Highlighted Main Points

The frequency by which stakeholders raised certain points (observations and the corresponding recommendations) during the major sessions of the Union MSR is one indicator of the priority accorded by the stakeholders to such points. The table below tabulates this information.

**Table 15. Frequently Highlighted Main Points**

Main Points	In Township Presentations			In Union MSR Break Out Group Discussions								Frequency Count	
	KAN*	NAM	KYU	1)**	2)	3)	4)	5)	6)	7)	8)		
1. Community cycle not to be "rushed". Township work plans to be based on local conditions.	√	√	√		√		√						5
2. Block grant formula to be adjusted as it leads to small allocation when VT has many villages. Consider subproject size.	√	√	√				√				√		5
3. Township, VT and village administrators to engage from start of implementation.	√	√	√		√	√							5
4. VT finance sub-committee and village procurement sub-committee to train and work together.	√		√						√	√	√		5
5. Procurement requirements and forms to be simplified. Verbal quotes to be allowed.	√	√	√							√	√		5
6. Withdrawals from VT bank account to be done 1 to 3 times. Cash to be kept by trusted person.		√	√							√	√		4
7. Community financial management to be simplified. Finance clerk to be assigned in each village.		√	√							√	√		4
8. Report forms to be reduced, simplified, signatories clarified, and not changed for duration of community cycle. Involve educated youth.	√	√	√										3
9. Subproject administration budget to be increased depending on distances to be travelled.		√	√							√			3
10. Role of village committee and sub-committee members to be further explained to community. Qualifications of candidates to be checked. Secret voting to be used. Members to be replaced when necessary.		√			√	√							3
11. Grievances to be addressed at original level before raised to higher level. Strengthen VT grievance sub-committee.	√		√			√							3
12. Per diem and accident allowance to be provided to CFs.	√		√								√		3
13. Current local prices including transport cost to be used to prepare subproject budget.			√							√	√		3
14. Subproject cost estimates to be included in village and village		√						√					2



Main Points	In Township Presentations			In Union MSR Break Out Group Discussions								Frequency Count	
	KAN*	NAM	KYU	1)**	2)	3)	4)	5)	6)	7)	8)		
tract plans.													
15. DRD TS and TTA to ensure that social assessment conducted in all villages.			√				√						2
16. List of eligible subproject to include livelihood and health.	√						√						2
17. DRD TS and TTA capability to adjust standard designs and cost estimates to local conditions to be strengthened						√		√					2
18. Ability of women to effectively express views in community meetings to be enhanced			√		√								2
19. DRD township staff constrained by other responsibilities.	√		√										2
20. Number of villages covered by each CF to be reduced.		√	√										2
21. Perspective of village representatives to VT committee to go beyond specific village, to strengthen block grant allocation process across villages.							√						1

\*KAN = Kanpetlet; NAM = Namhsan; and KYU = Kyunsu

\*\*1) Project management/administration; 2) Participation and gender; 3) Social accountability and communications; 4) Social assessment/village planning/subproject prioritization, and village tract decision-making; 5) Infrastructure (subproject preparation and implementation) and safeguards; 6) M&E and MIS; 7) Financial management; and 8) Community procurement.

Myanmar National Community-Driven Development Project  
17-21 August 2014

Attachment 1: Agenda for DRD-WB CDD Learning Week

Day/Date	Sun, 17 Aug. Preparation for MSR Internal review of major implementation issues	Mon, 18 Aug Open MSR	Tue., 19 Aug Open MSR	Wed., 20 Aug Technical learning	Thu, 21 Aug Internal Wrap-up Meetings
<b>REGISTRATION 830-900</b>					
	900-1030 Welcome Introduction of participants and agenda for the MSR Introduction of CDD scale up and Rural Development Strategic Framework	900-945 Opening session: Vice President Minister; WB country manager  Award certificates of achievement	900-1030 Open remarks Summary of Day 1 MSR  NCDD project video  Introduction of the Operations manual and project implementation	900-1230 Technical learning for TS staff CFs/TFs: 1) social accountability, 2) infrastructure and safeguards, 3) procurement 4) finance, 6) MIS/M&E  (Parallel sessions)	900-1230 Technical learning session on Gender and Participation for TS staff CFs/TFs  (Parallel sessions)
<b>BREAK 15 min</b>					
	1045-1230 Presentations from 3 townships. (TTA and TS DRD)	1000-1300 1)Highlights of cycle 1 by DRD 2)Social audit summary by TTA 3)Technical review	1045-1230  Open learning exchange 2 – small group discussion	Continuous sessions	Continuous sessions
<b>LUNCH 60 min</b>					
	1330-1530 Presentations and discussion on Operations Manual	1400-1530 Open learning exchange – small group discussion	1330-1430 Reporting back small group discussion 1430-1530 M&E workshop	1330-1600 Technical learning session on Communications for TS staff, CFs/TFs  Discuss next steps for Operations manual update (Parallel sessions)	1330-1530 Synthesis and next steps
<b>BREAK 15 min</b>					
	1545- Preparation for MSR	1545-1630 Closing session Reporting back from the small group discussion	1545-1630 Closing session Outcomes for the MSR Closing remarks	Continuous sessions	1545- Concluding session
<b>1630</b>	<b>Closing</b>	<b>Closing</b>	<b>Closing</b>	<b>Closing</b>	<b>Closing</b>

### Day-to-Day Agenda for DRD-WB CDD Learning Week

Day 1: Internal review of major implementation issues and preparation for MSR (Internal)

Objectives: (a) Identify major implementation issues; (b) All participants (internal stakeholders) to be on the same page with the key aspects for the project

Participants: DRD Union & TS; Union & township TAs with CFs & TFs; WB

<b>Sunday ,17 August 2014</b>		
<b>Time</b>	<b>Topic/Activity</b>	<b>Presenter</b>
0830-0900	Registration	
0900-0930	<ul style="list-style-type: none"> <li>▪ Opening session (purpose of learning week and Multi-Stakeholder Review, Introduction of participants)</li> <li>▪ Summary of the Cycle 1 implementation report</li> <li>▪ Introduction of CDD scale up and Rural Development strategic framework</li> </ul>	DRD Union Union TA
0930-1045	Township presentations on major issues and recommendations based on Cycle 1 field implementation experience -- Q&A	Township DRD and TTA
1045-1100	Coffee Break	
1100-1230	Introduction of Operations Manual update	UTA  Small group discussion
1230-1330	Lunch & Learn: Namhsan karaoke contest Venue: (specify room)	
1330-1530	Presentations and discussions on Operations manual	All Participants
1530-1545	Coffee Break	
1545-	Preparation for MSR Open sessions <ul style="list-style-type: none"> <li>• Form groups for small groups discussions, pre-determine facilitators</li> <li>• Communications team to finalize materials</li> <li>• TTA leaders to submit the finalized presentation</li> </ul>	

### Day 2: Multi-Stakeholder Review (Open event)

Objectives: 1) Provide a forum for reviewing, sharing and comparing NCDD experience with other agencies, projects and stakeholders 2) Showcase NCDD Cycle 1 activities and accomplishments

<b>Monday ,18 August 2014</b>		
<b>Time</b>	<b>Topic/Activity</b>	<b>Presenter</b>
0830-0900	Registration of participants	
0900-0930	Welcome and Opening Remarks <ul style="list-style-type: none"> <li>• Vice President</li> <li>• H. E. U Ohn Myint, Minister for Livestock, Fisheries and Rural Development</li> <li>• Mr. Kanthan Shankar, Country Manager, The World Bank</li> </ul>	
0930-0945	Award Certificates of Achievement for Cycle 1 Performance	
0945-1000	Coffee Break	
1000-1045	Highlights of Cycle 1 Implementation	DRD Union
1045-1145	Cycle 1 Implementation: Summary of the Social Audit <ul style="list-style-type: none"> <li>• What worked well</li> <li>• What can be improved</li> <li>• Recommendations to improve Cycle 2</li> </ul>	3 Township Technical Assistance Leaders
1145-1215	Findings from the Technical Review	Technical Audit Consultant
1215-1300	Discussion / Q&A	All participants

1300-1400	Lunch (Screen World Bank Video)	
1400-1530	Workshop: Open Learning Exchange <ul style="list-style-type: none"> <li>Identify and discuss common lessons/issues emerging from across townships</li> <li>Identify recommendations for Cycle 2</li> </ul>	Small Group Discussion
1530-1545	Coffee Break	
1545-1630	Reporting Back from Small Group Discussion Closing of Day 1	

### Day 3: Multi-Stakeholder Review (Open event)

Objectives:

- 1) Provide a forum for reviewing, sharing and comparing NCDD experience with other agencies, projects and stakeholders
- 2) Showcase NCDD Cycle 1 activities and accomplishments

Tuesday, 19 August		
Time	Topic/Activity	Presenter
0830-0900	Registration of participants	
0900-0920	Summary of Day 1	DRD Union
0920-0930	NCDD Project Video Presentation	
0935-1030	Introduction of the Operations Manual and Project Cycle	UTA
1030-1045	Coffee Break	
1045-1230	Workshop: Open Learning exchange 2 How can we improve the Operations manual? <ul style="list-style-type: none"> <li>Discuss issues and difficulties</li> <li>Identify recommendations</li> </ul>	Small Group Discussion
1230-1330	Lunch	
1330-1430	Reporting Back from small group discussions	
1430-1530	Workshop: Monitoring and Evaluation Introduction of the Community Collect System	World Bank DRD Union
1530-1545	Coffee Break	
1545-1615	Concluding session: <ul style="list-style-type: none"> <li>Outcomes from the Multi-Stakeholder Review</li> </ul>	All participants
1615-1630	Closing Remarks	DRD

### Day 4: Technical Learning (internal)

Objectives:

- 1) Township Staff to deepen and the technical knowledge in each theme
- 2) Identify possible refinements in Operations manual

Participants: DRD Union & TS; Union & township TAs with CFs & TFs; WB

Wednesday, 20 August		
Time	Topic/Activity	Presenter
0900	Opening of Day 4: Introducing the agenda of the day	DRD
0900- 1230	Technical learning in parallel small groups: project management, 1) Infrastructure and safeguards,(Mee Mee Htwe, Than Naing Win, Garvan) 2) Procurement, (Kyaw Swa, Jagu, Mg Mg Soe, Myat Kay Khine, Dawei) 3) Finance, (Nyo Nyo Win, Thin Yu, Kyemon) 4) MIS/M&E, (Susan, Kyung, George, Win Min Tun, UTA M&E specialist)	TS DRD/TTA CFs (divide into 5 groups)
1230-1330	Lunch & Learn: Grievance handling in Kyunsu	

1330-1500	Technical learning session - Communications (Meriem, Lei Yi Win) - Accountability and grievance handling (Banyar)	All township staff DRD, UTA, WB, TTA
1500-1515	Tea/Coffee Break	
1515-1600	Continuous session on Communications	
1600-	Closing	

\*During the technical learning sessions DRD and the World Bank will have separate side meetings

\*Communications and Gender sessions will be conducted separately to all township staff since this will be the first training for these themes

### Day 5: Internal Wrap up (internal)

Objectives:

- 1) Review and consolidate highlights of the learning week and;
- 2) Agree on the next actions

Participants: DRD Union & TS; Union & township TAs with CFs & TFs; WB

Thursday, 21 August		
Time	Topic/Activity	Presenter
0900-1030	Opening of Day 5: introducing the agenda of the day Technical learning session on Gender and Participation for TS staff, CFs/TFs (Gender International Consultant, Pam, Jagu)  DRD/WB side meeting: Overall	DRD Union  All township staff
1030-1045	Coffee Break	
1045-1230	Continuous session on Gender and Participation <ul style="list-style-type: none"> <li>• U Aung Htun Khine speech (TBC)</li> </ul>	All township staff
1230-1330	Lunch & Learn: Kanpetlet water subproject by DRD communications team	
1330-1530	Synthesis and next steps	All participants
1530-1545	Coffee Break	
1545-	Closing session	All participants

## Attachment 2. Mechanics for Group Discussion

### Objectives

1. Draw feedback on presentations
2. Discuss related non-NCDD experience
3. Identify emerging lessons learned, success stories, best practices and recommendations

### Groupings by Topic

1. Project management/administration
2. Participation and gender
3. Social accountability and communications
4. Social assessment/village planning/subproject prioritization, and village tract decision-making
5. Infrastructure (subproject preparation and implementation) and safeguards
6. M&E and MIS
7. Financial management
8. Community procurement

### Expected output: key lessons/best practices per group

Group No. __ Topic: _____
<b>Key lessons/best practices from Cycle 1:</b>
1. _____
2. _____
3. _____
<b>Other key lessons/best practices identified:</b>
4. _____
5. _____
6. (add rows as needed)

### Guide questions per topic (other questions to be identified by group)

- 1) Project management/administration -- how to improve coordination between township and union levels; support from TPIC/Township departments and regional/state parliament?
- 2) Participation and gender -- how to enhance; community response to CDD; rate and quality of participation; participation of poor/marginalized groups; ethnic and religious representation?
- 3) Social accountability and communications – understanding of social accountability and its components; improving social audits; enhancing grievance handling? On communications: how to improve: materials/forms, schedule of delivery, language, how to assess effectiveness of communications activities?
- 4) Social assessment, village planning, subproject prioritization and village tract decision-making -- deciding in light of many urgent needs within village; deciding about the scale/size of subprojects, and larger inter-village (and inter-tract) subprojects; how to allocate block grant across villages esp. when any amount is “not enough”?
- 5) Infrastructure and safeguards -- how to improve: technical quality, cost estimates, cost effectiveness, O&M, long-term sustainability? How to simplify presentation of social and environmental safeguards?
- 6) M&E and MIS -- reporting by villages to ensure accountability (financial, procurement, etc.) without overburdening them? How to collect timely, complete and quality data in a low capacity environment?
- 7) Financial management -- how to improve: efficiency of fund withdrawal, safekeeping of cash, disbursements in remote areas?
- 8) Community procurement -- deciding on procurement method (contract vs. CFA); community readiness for CFA; value for money)

## Facilitators and Documenters

Overall Coordinator: Kokhy

Groups	Facilitators	Documenters
Project mgt/ administration	Kokhy + Kyaw Swa + Kyaw Myat Thu	Chit San Maung
Participation and gender	Jagu + Hnyun	Mai + Min Zaw
Accountability & communication	Banyar + Leilei + Myo Nyein	Koko
Social asst, planning...	Kyaw Kyaw Soe + Robert	May Myat Thu
Infrastructure & safeguards	Than Naing Win + Mee Mee	Nyein Su
M&E and MIS	Myo Min Tun + Win Min Tun + Myat Saw Than	Su Mon
Financial Management	Thin Yu + May	Yuzana + Hay Man Oo
Procurement	Maung Maung Soe + Khwar Nyo	Aye Thida + Thi Thi





## **Annex II**

### **Summary of Changes to Operations Manual (September 2014)**

## Changes in Operations Manual (Block Grants, Forms, Grievance, Finance)

Key Findings & Recommendations from MSR	Action Taken to Modify OM										
<b>Part 1 : Project Information</b>											
<i>Calculation and Use of Block Grants</i>											
<ul style="list-style-type: none"> <li>• Current formula to allocate Block Grant (BG) too aggregated. Leads to small per capita share if many villages.</li> <li>• Revise size of the BG and no. population categories.</li> </ul>	<p>Categories increased from 3 to 4, amounts per category increased.</p> <table border="1" style="width: 100%; border-collapse: collapse; margin: 10px 0;"> <thead> <tr> <th style="text-align: center;">VT Population</th> <th style="text-align: center;">Amount (MMK)</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">&lt; 3,000 people</td> <td style="text-align: center;">20,000,000</td> </tr> <tr> <td style="text-align: center;">3,001 to 5,000</td> <td style="text-align: center;">40,000,000</td> </tr> <tr> <td style="text-align: center;">5, 001 to 9,000</td> <td style="text-align: center;">60,000,000</td> </tr> <tr> <td style="text-align: center;">&gt;9,000</td> <td style="text-align: center;">120,000,000</td> </tr> </tbody> </table> <p>DRD and WB will review the allocation formula at the end of each project cycle and revise it as necessary.</p>	VT Population	Amount (MMK)	< 3,000 people	20,000,000	3,001 to 5,000	40,000,000	5, 001 to 9,000	60,000,000	>9,000	120,000,000
VT Population	Amount (MMK)										
< 3,000 people	20,000,000										
3,001 to 5,000	40,000,000										
5, 001 to 9,000	60,000,000										
>9,000	120,000,000										
<p>Limited amount leads to under-budgeted subproject (SP), and low wages.</p> <p>Revise minimum and maximum cost limits for sub-projects.</p>	<p>Minimum: No minimum amount for a village sub-project in the first cycle in any township; in second and subsequent cycles, minimum amount is 2 million MMK.</p> <p>Maximum: No subproject can cost more than 110 million MMK in total, including funds coming from the Village Tract block grant, voluntary community contributions and/or any other sources. Any SP estimated to cost 40 million or more must be approved by Union DRD and NOL by the World Bank.</p>										
<p>Subproject admin costs vary substantially across geographical areas. Uniform allocation inadequate.</p> <p>Refine allocation formula. Specify amount in block grant agreement. Update formula annually.</p>	<p>The VTPSC is entitled to use 4 to 6 percent of the annual block grant allocation per year to cover incidental/administrative expenses incurred by project committees for managing block grants, such as local travel, stationary, etc. The VTPSC may increase the amount for incidental expenses to up to 6 percent of the annual block grant amount under exceptional circumstances, subject to documented DRD Union prior approval. These exceptions must be recorded and reported quarterly by the Union DRD.</p> <p>The amount of admin cost is now added in BG Agreement</p>										

	(PC 8)
<p>A few Cycle 1 subprojects could not be completed on time due to cost overrun.</p> <p>Increase provision for cost overrun</p> <p>Highlight township responsibility to monitor risk of delay and actual delays</p>	<p>Subproject cost overruns of up to 7% of the block grant amount may be authorized by DRD Township Offices with justification. Overruns between 7 % and 15 % must be justified and require exceptional authorization from DRD Union Level. Any overruns &gt; 15 % must be justified by the DRD Union level and require a prior World Bank no objection (NOL). The Union DRD must be informed immediately of any overruns, so that the funds needed by villages due to these approved overruns can be transferred to the VT bank account in a timely manner. All overruns must be reported in the Union DRD's quarterly reports.</p> <p>Any cost overrun amounts are covered by and subtracted from the following year's block grant allocation for the relevant Village Tract. No overruns can be approved in the last cycle of the program.</p>
<p>Mechanism for using excess subproject funds not clear. Specify possible uses of excess funds and process for deciding on such use</p>	<p>Each VTPSC should plan for the full use of the annual block grant allocation in its Village Tract Development Plan (VTDP).</p> <p>At the end of each annual cycle, funds granted to a village and not fully utilized once a subproject is completed will remain with 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 subproject</p> <p>-Excess funds (granted to a village or collected from the village itself for the subproject(s) in question) and their use must be accounted for, documented and disclosed publicly.</p>
<p>Sec. 4 - Institutional relation between DRD and DSW should be developed.</p>	<p>DRD to regularly update DSW about township implementation</p>
<p>Sec. 6 - Community reporting should be clarified and made more specific.</p>	<p>Elaborate section on community monitoring.</p>
<p>Union reporting can be enhanced. For example, to focus annual report on results, and to reduce frequency of reports.</p>	<p>Monthly grievance report to be done quarterly by grievance officer (not M&amp;E officer)</p> <p>Combine semi-annual and quarterly reports</p>

	Focus annual project report on results framework indicators
Sec. 7 - "Accountability" is a new term subject to different interpretations	Add simple definition
Under Myanmar law, "child" is defined as under 16 years of age	Age of individuals not allowed to work on subprojects changed from "under 15" to "under 16"
"Code of Conduct" not easily understandable in villages	Simplified version added
<b>Part 2: Community Project Cycle</b>	
Sec. 1 - "Total population" includes children. Should not be used as basis for meeting quorum. Otherwise, rate of participation is under-stated.	Require meeting quorum to be based on population 18 years old and over
Large (A0) paper is most effective way for villagers to document and refer back	Village volunteers to write social assessment results on A0 paper for village files.
Sec. 2 - Most villagers not familiar with the notion of a "plan"	Define expected contents of VDP including but not limited to subprojects list
CF role to support villagers, not to do CDD tasks for them. When villagers take the lead, skills & ownership are enhanced faster.	Highlight that VDP to be drafted by villagers, with help from CF, not the other way around
Having some rough estimate of funding for SPs will help manage expectations & avoid frustrating villagers.	Amount of BG to guide number and/or scale of SPs. Specify that BG is not allocated across villages at the time VDP is prepared.
Village tract committee tends to divide BG equally across villages, which is a convenient but not necessarily effective method.	Specify & underscore VT committee role in allocating BG across villages, recognizing that proposals always exceed available funds. CFs to explain allocation methods to VT.
Safeguards are new to both facilitators and villagers	Provide checklist to guide compliance with voluntary asset donation (as annex).

Although ARAP was not required in Cycle 1, this may be needed in Cycle 2	Provide checklist as annex
CFs and TFs need more detailed guide to monitor and supervise construction.	Provide checklist as annex
CFs and TFs need more detailed guide to determine when a subproject has reached “substantial completion” and “final completion”.	Provide checklist as annex
Forms required for completed subprojects not being promptly submitted.	Specify responsibility for submission of cycle completion report and final financial report
Village and village tract committees overwhelmed by reporting. Some want to quit due to report requirements.	Review and further simplify report forms. Define responsibility to follow up report submission.
Number of forms can be reduced if overlapping/duplicating forms will be combined.	Delete some forms (e.g., Community Project Cycle Time Line) and combine contents with other forms (done)
Forms should enable data entry staff to easily determine which data to enter (or not to enter) into the MIS database.	Designate entire forms “for MIS” or “not for MIS”.
DRD needs very short reports on project implementation status and risks	Add one-page implementation status report and 2-page risk monitoring report (done)
Village level - Community responsibility for O&M, as key to subproject sustainability, should be more clearly defined.	Add O&M sub-committee composition and tasks.
VT level - Role of VT committee is to allocate and manage block grant. VT committee tends to allocate BG equally across villages.	Specify role of VT committee to prioritize subprojects based on needs and available funding. VT to follow participatory, consensus-building process.
Few or no shops in township. Located far from villages.  Shops get tired of villagers asking for	Allow verbal request for quotation (with documentation).  Shops outside of township may be considered.

quotations.	
<p>Responsibility for monitoring procurement and report compliance needs clarification.</p> <p>Procurement reporting is new to villagers.</p>	<p>Expenditure for Community Force Account Report to be filled out by proc sub-com. Copy VT finance sub-com.</p> <p>Specify and highlight responsibility and deadline for submission of forms.</p>
<p>Procurement manual too detailed and forms are long. Need to simplify.</p>	<p>Remove details on ICB (available on website).</p> <p>Shorten forms, e.g., Contract for Goods, and for Works</p> <p>Add table of contents.</p>
<p>Procurement manual duplicates other parts of the Ops Manual.</p>	<p>Delete Block Grant Agreement form which is already in Part III.</p>
<p>Number of township finance staff inadequate</p>	<p>Provide additional staff in DRD township (one-two)</p>
<p>Managing funds is new to villagers. Related paperwork intimidates and submitted late.</p>	<p>Provide additional finance officer in Township TA to assist village tract finance sub-com</p>
<p>Accounting for township expenditure not clearly understood.</p>	<p>Provide explanation about specific expenditures to be incurred by DRD township and how these will be paid and reported.</p>
<p>Funds flow procedure from union to township needs to be simplified to avoid delay.</p>	<p>DRD Union to simplify procedure as long as compliant with WB rules.</p>
<p>Payment of incremental operating costs not clearly understood.</p>	<p>Provide definition and discussion of cost categories.</p>
<p>Negative list</p>	<p>Since various types of dam (e.g “check dams”) can be part of a legitimate water supply or mini hydro system, the entire category “dams” should not be excluded (i.e placed on any negative list) automatically . Any proposed dam should be screened on the basis of existing social, environmental and technical exclusion criteria.</p>

## **Annex III**

### **Social Audit Report**

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**NATIONAL COMMUNITY DRIVEN DEVELOPMENT PROJECT**

**IDA Grant No: H814-MM**



**SOCIAL AUDIT REPORT**  
**(June – August 2014)**

Presented by:

Community Driven Development Secretariat  
Department of Rural Development

30 September 2014



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### **Annex I : Social Audit Kit for First Three Townships**

## 1 Principles and process of the Social Audit

The basic purpose of the Social Audit is to provide a community check and feedback meeting which has the following key ingredients:

- A check on the process, finance and results of the cycle activities
- Encouraging community members to attend and actively participate
- Disclosure and meaningful access to information, using simple language
- An empowering space for villager participation
- Following a cycle of a) open information b) community check /comment c) collective recommendations.
- Focus on broad attendance by appropriate location and timing of event (as close as possible to time of subproject completion).

Specific objectives include:

- To present and make transparent all relevant subproject information (process, finance, outcomes) for Cycle 1 (Oct. 2013-June 2014).
- To provide a safe space and opportunity for measuring community perception of the performance of the subcommittees and facilitator (process and outcomes) and the project intervention (outcomes), through a rating process and qualitative follow up.
- To document challenges and areas in need of improvement (and those that not change).
- To recommend how Cycle 2 implementation (July 2014-mid-April 2015) can be improved.

The process includes the following key steps:

- Step 1: Preparation for meeting
- Step 2: Presentation by selected subcommittee members
- Step 3: Subproject Community Score Card
- Step 4: Community feedback and discussion/ formulation of recommendations
- Step 5: Village Tract collation and disclosure

## 2 Summary of Process for All Townships

### 2.1 Dates and Participation Numbers

Dates and participation numbers of the social audits can be summarised as follows:

**Table 1 : Dates and numbers for the Social Audit process**

Township	Training <sup>(1)</sup>	Dates	No. of Social Audit Meetings	Total No. Participants	Percent Women
Kanpetlet	July 8-9	July 9-31	39 (in 25 VTs) <sup>(2)</sup>	2,008	43%
Namhsan	June 27- 28	July 5-30	36 (in 26 VTs)	2,874	39%
Kyunsu	July 2-4	July 15 to Aug. 8	68 (in 18 VTs)	5,308	57%
<b>All</b>			<b>143</b>	<b>10,190</b>	<b>49%</b>

Notes: 1) Initial 1 day training was provided in townships in May, but was not felt sufficient. This was then followed by 2 -3 days training in villages involving training, pilot, and reflection. 2) 1 VT of 5 villages could not be finished in July, and will be completed in December

As DRD expressed concern that the onset of the rainy season would limit the ability of community facilitators to carry out full social audit procedures as described in the Operations Manual, a simplified approach was agreed with WB for the first year, which would allow them to be carried out in as many places as possible by reducing the paperwork and preparations involved. The goal was for social audits to be finished as close to sub-project completion dates as possible, but WB requested at least no later than 31 December 2014.

## 2.2 Preparation and Training

Preparation consisted of three modules of training, piloting, and reflection. These training and preparation activities took 3 days for Namhsan and Kyungsu, and 2 for Kanpetlet due to less distance between villages. The training module was based on the Social Audit Kit (See Annex I)

The results of the social audits were documented by the CF and TTA in various forms:

- The VPSC prepared summary reports, mostly on flipchart for presentation during the social audit meetings. These papers are kept by the communities.
- During the social audit meeting, villagers satisfaction was appraised through score cards. Villagers rated a) the quality of the process like participation and transparency and b) satisfaction with the result, meaning the infrastructure itself. Additionally, in some cases, villagers were asked to work in small groups to note down written feedback.
- At the township multi-stakeholder review meetings between 15 – 17 August, i.e just before the Union level MSR, the participants presented and discussed summary findings from the social audit meetings.

Written report from each township summarizing the results and recommendations from the social audit events as discussed and documented at the township MSR.

## 2.3 Conclusions

### 2.3.1 Results

Considering this was the first year, the community have considered there are many achievements, not least of which as reported by Namhsan: “it has demonstrated various best practices of democracy, such as selection of project leaders, prioritization of subprojects by the community, emphasis on womens wishes and needs, womens empowerment, systematic procurement and financial management, transparency and grievance procedure.” That alone, as well as the satisfaction rates with results in scorecards, and many positive recommendations for improvement from Social Audit process itself, indicates that DRD has much to be proud of.

From the analyses of a) worked well and what could be improved and b) 3 key comments under 6 discussion topics, each of the three townships had at least two of their own unique

points. All are important and most have been incorporated into the MSR process. However, there were some common findings as follows:

- 1) CFs should spend more time in the villages and visit more often.
- 2) CFs should organise Committee meetings and training to be more regular.
- 3) Construction work should be done in the dry season, but not at tea harvesting time.
- 4) Committee should get the sub project design in early as possible, and engineers should conduct field survey before project proposal, followed by good and close technical supervision.
- 5) Reduction in procurement forms and procedures, problem in quotation procedure.
- 6) Reduce and simplify monitoring forms; provide more training in data entry.
- 7) The GHM should be quicker, grievance collection box should be opened
- 8) In remote villages, a single withdrawal should be allowed to reduce time wasted in multiple long journeys.

### 2.3.2 Process

While attendance by committee members was high, there were perceptions that attendance by the community could have been higher, if there had been no conflict with tea harvesting and other livelihood activities, also constraints of access due to rain. However, looking at numbers that did turn up, this would not appear to have been a significant constraint, and lack of community participation did not prevent meaningful participatory analysis of issues. A suggestion has been made to include full lunch in the budget next year, rather than just refreshments, as villagers are coming for a day's outing.

Documentation at field level was reasonably well executed to follow guidelines, but what can be improved in year 2 is the documentation and reporting process from TTA / DRD, so that a single unified Social Audit report can be produced with a short time after the township MSR's.

## 3 Kyunsu

### A. Key dates and parameters

Village Tracts	Village	Total Sub projects	Est. Budget (Based on Sub Projects)	Actual Cost (Based on Sub Projects)	Completion Status (at social audit time)
20	161 Villages	143			100 %

- CDD social audit of Kyunsu Township started in July 2014. The pilot activity of social audit was held in Zaykami village on 5 June 2014.
- TOT for social audit was conducted in Meik project office from 2-4 /7/ 2014. The pilot social audit was made in Mingote village ( Mingote VT ).
- Field trip of social audit was made from 16-7-2014 to 8-8-2014.
- Social audit of Kyunsu township was conducted in 64 location for (121) village ( 18 VT ) up 6-8-2014.
- (2) village tracts, (22) villages remain and plan is finished in 6.9.2014
- Ratio of VPSC and community is 1:5 as participant
- Women participant is (60) %

Attendees of Social Audit ( up to 6.8.2014)

Number of participants		Women (%)	
Committee	Community	Committee	Committee
965	4343	59%	57%

Commencement date of first cycle	1.11. 2013
Completion date of first cycle	31.7.2014

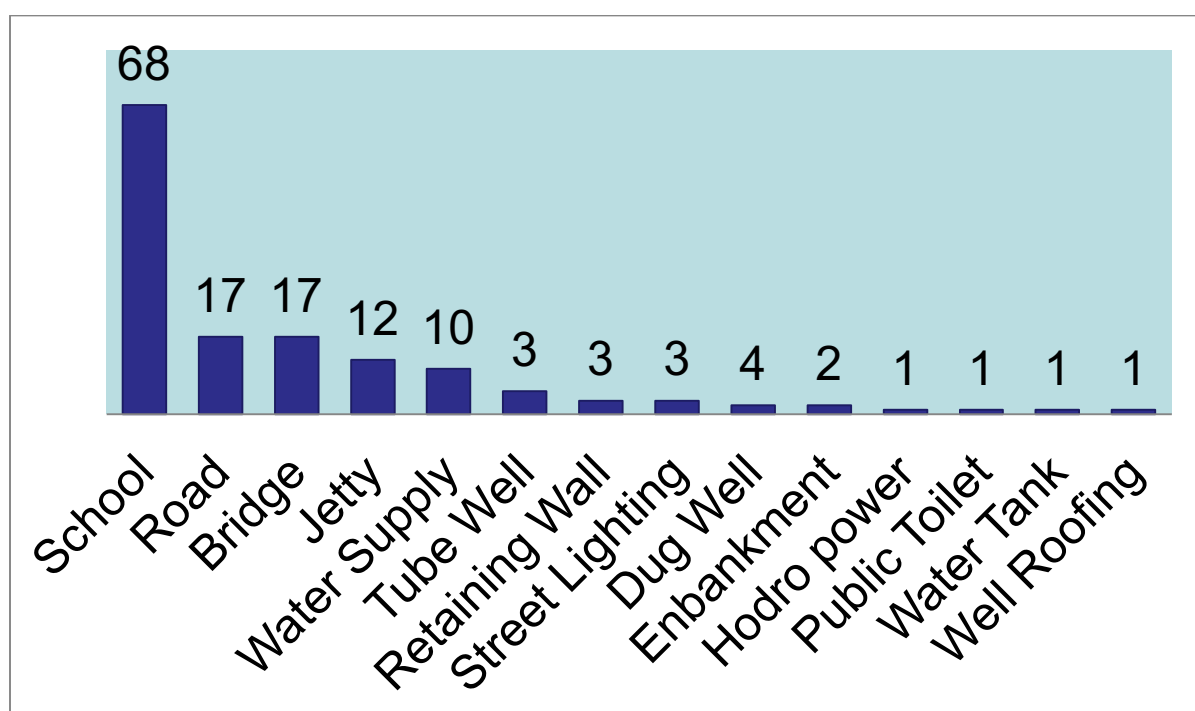
1. Staff list of first cycle

Staff Type	Male	Female	Total
Township DRD Staff	6	2	8
Township TA	5	1	6
TFs	-	4	4
CFs	10	5	15





## 2. Sub project categories



Title of subproject	Number	Completion status
School extension& renovation	68	Completed
Road extension & renovation	17	Completed
Bridge Extension & renovation	17	Completed
Jetty extension & renovation	12	Completed

Water Catching	10	Completed
Tube well	3	Completed
Retaining wall	3	Completed
Street lighting	3	Completed
Shallow well	4	Completed
Embankment	2	Completed
Small scale electricity	1	Completed
Public latrine	1	Completed
Water Storage Tank	1	Completed
Roofing of deep well	1	Completed
<b>143</b>	<b>143</b>	

#### 4. Project beneficiaries

Subproject		Beneficiary	
No. of subproject	Worker	No	Women %
143	1848	75259	50.6%

#### 5. Training (capacity Building )

No of trainees	Women trainee %
1219	46.1%

#### 1. Grievance Handling affairs

Received Grievance	48
Resolved %	80%
Reason for unresolved	<p>Some grievance received beyond the time. At that time the cases were received as lesson learned for next step.</p> <p>Unresolved grievances are re-election of committee member, actual cost are more than estimated cost, less transparency, weakness in committee member participation etc .</p>

#### 2. Financial Statement

Block Grant	547,128,000 Kyat
Estimated cost for sub projects(143)	525,672,000 Kyat
Approved Petty cash for VT	21,456,000 kyat

Particular	Approve (MMK)	Actual	Balance
Estimated cost for Sub project( 143)	525,672,000	Balance sheet will receive on 2 <sup>nd</sup> week of Sept	

## B. Presentation by Committee Members

The following 3 key comments were reported from the 6 discussion groups with topics of a) Participation and gender b) infrastructure and EcoPs c) Community procurement d) M & E reporting e) Grievance handling f) Financial management .

1	Participation and gender	<ol style="list-style-type: none"> <li>1. There should be more assistance from the village administration with village meetings and community participation</li> <li>2. Community meetings should be held when villagers are free (of other activities)</li> <li>3. Project staff should give more explanation and spend more time in the village</li> </ol>
2	Infra and ECoPs	<ol style="list-style-type: none"> <li>1. O&amp; M training should be well conducted.</li> <li>2. Construction work should be done in the dry season</li> <li>3. Should explain about social and environmental knowledge to community for better understanding .</li> </ol>
3	Community Procurement	<ol style="list-style-type: none"> <li>1. Procurement procedure should be simplified, problems with quotation system</li> <li>2. Procurement and financial subcommittee should work closely to withdraw cash</li> <li>3. Procurement program and wages should be posted at notice board</li> </ol>
4	M&E and Reporting	<ol style="list-style-type: none"> <li>1. M&amp;E member should attend village meetings</li> <li>2. M&amp; E forms should be reduced and simplified.</li> <li>3. Training for data entry should be conducted</li> </ol>
5	Grievance Handling	<ol style="list-style-type: none"> <li>1. Grievance handling system should be quick, Collection box should be opened daily</li> <li>2. Grievance handling training should be conducted to community and committee</li> <li>3. Should explain the code of conduct to people</li> </ol>
6	Financial management	<ol style="list-style-type: none"> <li>1. Petty cash should be enough money to remote village</li> <li>2. Block grant should distributed at appropriate time and in time</li> <li>3. Financial officer should be assigned in individual village</li> </ol>



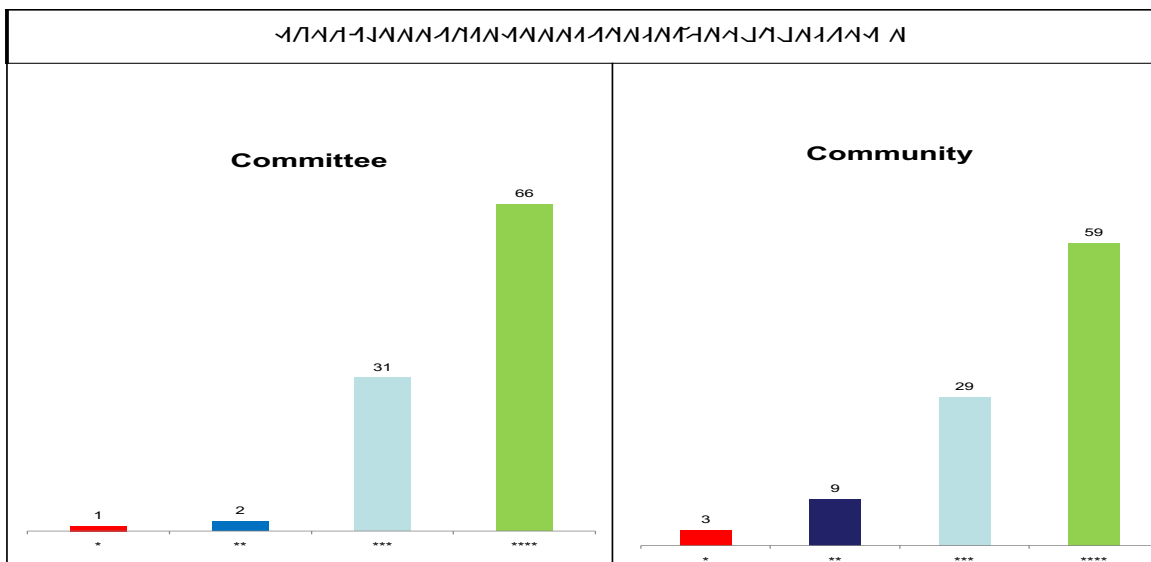
### C. Subproject Community Score Card

Beneficiary opinions regarding results and process are summarized below in table and graph form.

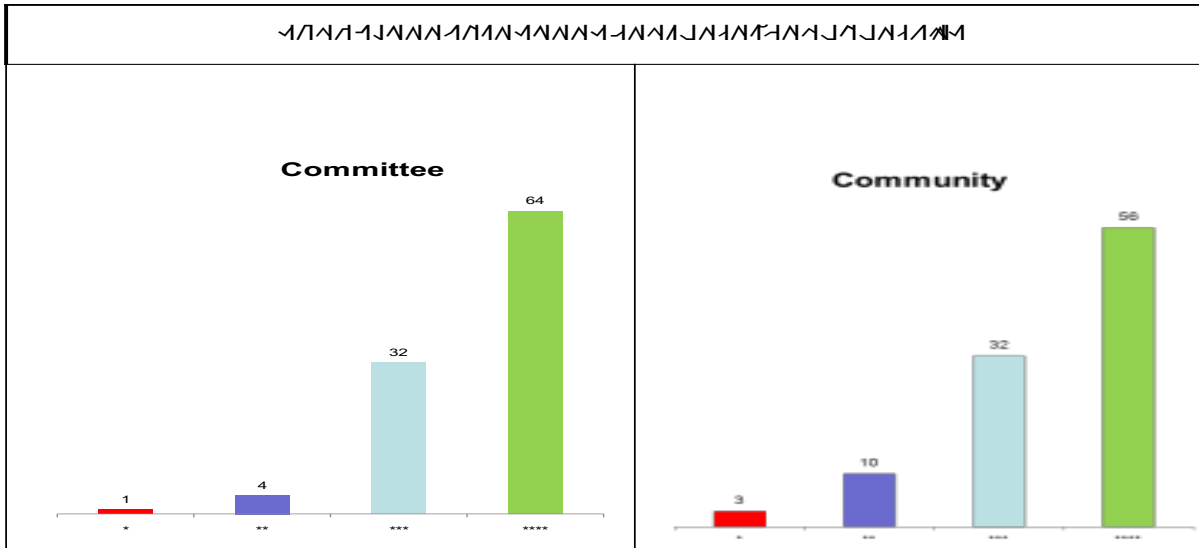
	Results		Process	
	<i>Committee</i>	<i>Community</i>	<i>Committee</i>	<i>Community</i>
Very good	66%	59%	64%	56%
Good	31%	29%	32%	32%
Medium	2%	9%	4%	1%
Needs improvement	1%	3%	1%	3%

The scoring for results and process from both committee and community was consistently high, with 55-65% very good, and 29% - 32% good.

#### Process



#### Results



Record by  
Township TA- Leader  
Name - U Kyaw Myat Thu  
Date 12-8-2014

Endorsed by  
Township DRD - Head  
Name - U Than Htun Oo  
Date 12-8-2014

#### D. What Worked Well, What Didn't Work So Well

##### What Worked Well

- 1 Conducted as per community prioritized need
- 2 Committee members received training
- 3 Sub-projects were completed by the communities themselves receiving grants

##### What Didn't Work Well

- Weak support of village authority for community organising and meeting
- Low community interest and participation, especially for meetings.
- Only a few committee members out of 14 actually functioned.

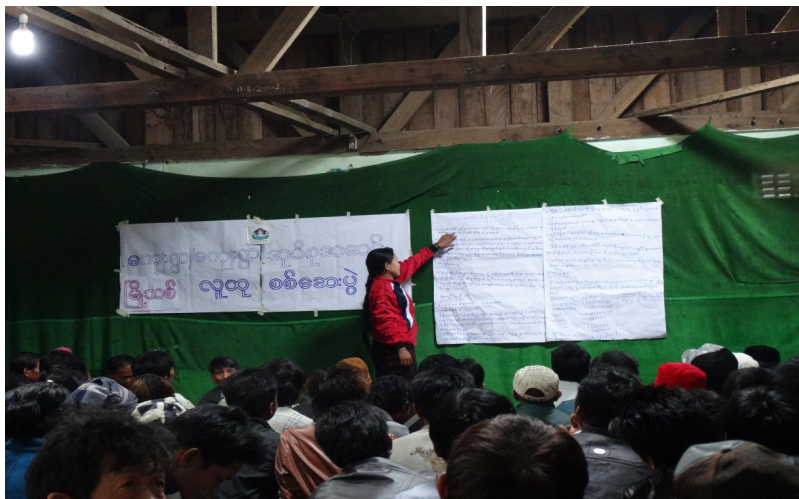
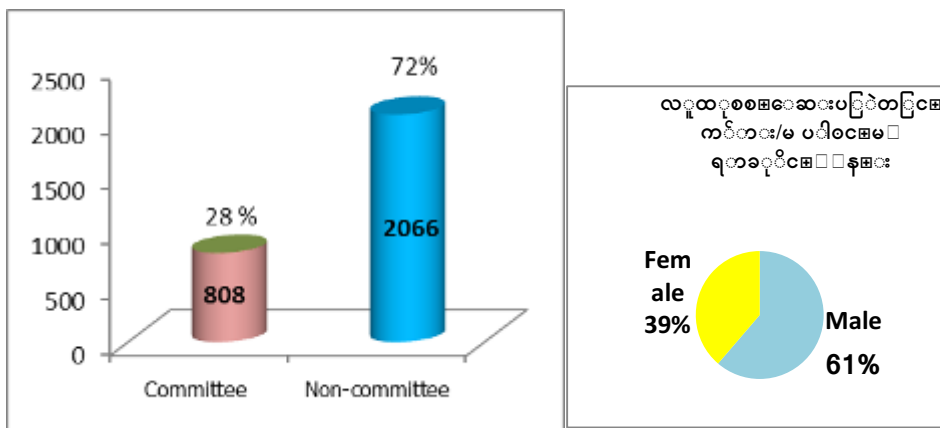
## 4 Namhsan

### A. Key dates and parameters

Village Tracts	Village	Total Sub projects	Committee members attending	Community attending
26	123 Villages	117	808	2066

1. Union TA conducted TOT training for Namhsam Project staff to facilitate the Namhsam Township Level Social Audit Meeting on 27-28 June.
2. Before the social audit, project staff invited at least 30 participants per village to attend. Participants should include village leader, committee member, and communities.

3. Social audit meetings were held in respective villages/village tracts within 5<sup>th</sup> to 30<sup>th</sup> July in total 36 times.
4. Social audit meetings were attended by (808) committee member, (2066) non committee member, totally (2066) participants. 61% were male, and 39% female. This is illustrated as follows:
5. Total 117 sub projects of CDD project implemented in 123 village of (26) village tract in Namhsam township. Construction of subprojects was started in April, 2014, out of which 113 subprojects were fully complete in July 2014. The remaining 4 subprojects will be finished in August, 2014. Although the dates of social audit were arranged based on majority completion of subprojects, it can only be fully completed in August, after completion of the final sub-projects.
6. Due to the need for more time and staff, social audit was held in individual village tracts, but with two times and two locations village tracts that have 5 villages or more.



### B. Presentation by Committee Members

The following 3 key comments were reported from the 6 discussion groups with topics of a) Participation and gender b) infrastructure and EcoPs c) Community procurement d) M & E reporting e) Grievance handling f) Financial management .

Title	3 key Comments ( gathering of presented by each VT )
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Participation and Gender	<ol style="list-style-type: none"> <li>1) To reduce the frequency of meetings</li> <li>2) CFs should go to village from time to time to organize the communities</li> <li>3) to coordinate the administration and committee</li> </ol>
Infrastructure and ECoPs	<ol style="list-style-type: none"> <li>1) Engineers should conduct field survey before project</li> <li>2) Cost estimate should calculate local price index</li> <li>3) Project activities should be implemented in tdry season not in tea harvesting time</li> </ol>
Community procurement	<ol style="list-style-type: none"> <li>1) To reduce the procurement procedure</li> <li>2) To simply the competition system</li> <li>3) Clarify the contract and community force account</li> </ol>
M&E and Reporting	<ol style="list-style-type: none"> <li>1) To reduce and simply forms</li> <li>2) To encourage involvement of young people in project implementation</li> <li>3) To conduct village level refresher course</li> </ol>
Grievance Handling	<ol style="list-style-type: none"> <li>1) To be transparent</li> <li>2) To conduct grievance handling training</li> <li>3) To put the village elders in the grievance focal</li> </ol>
Financial Management	<ol style="list-style-type: none"> <li>1) Block grant should be distributed in winter, not at tea harvesting time.</li> <li>2) To reduce financial procedure and forms and conduct financial training</li> <li>3) Withdrawal time should be arranged one time</li> </ol>

### C. Subproject Community Score Card

	Results		Process	
	<i>Committee</i>	<i>Community</i>	<i>Committee</i>	<i>Community</i>
Very good	84%	79%	7%	3%
Good	16%	16%	26%	22%
Medium	0.4%	4.5%	41%	35%
Needs improvement	0%	0.5%	27%	40%

The above shows clearly that in Namhsan, both committee and community members rated project results as good, while rating of the process was the opposite, with only 7% and 3% rating the process as very good, and 27% and 40% as needing improvement. This was significantly different from Kyungsu, where satisfaction with results and process were very similar (66% and 64% of Committee members rated results and process respectively as very satisfactory).

### D. Best Practices from Project

Although, NCCD project is one of the new events for communities, it has demonstrated various best practices of democracy, such as selection of project leaders, prioritization of subprojects by the community, emphasis on womens wishes and needs, womens empowerment, systematic procurement and financial management, transparency and grievance procedure.

The number of participants was low, because 1) the time of the audits conflicted with tea harvesting time 2) difficult transportation, large distance of some villages from village tract.



## 5 Kanpetlet

### A. Population parameters

Village Tracts	Village	Total Sub projects	Completion Status (at social audit time)
26	118 Villages	97	100 %

### B. Presentation by Committee Members

The following conclusions were reported from the 6 discussion groups with topics of a) Participation and gender b) infrastructure and EcoPs c) Community procurement d) M & E reporting e) Grievance handling f) Financial management.

Title	3 Main Suggestions (Village Tract Level)
Meeting Participation and Gender Equity	4) To conduct regular meetings lead by chairpersons of VPSC and VTPSC 5) CFs should invite committees to attend meetings and training at least once a week, if possible. 6) Committee should encourage women to participate in meetings and also to involve unmotivated persons.

Infrastructures and ECoPs	<p>4) Committee should get the sub project design in early as possible, followed by good and close technical supervision.</p> <p>5) To avoid negative environmental impact and land issues as much as possible.</p> <p>6) In next cycle, to provide crop/rice machines and small livelihood activities</p>
Community Procurement	<p>4) To provide more training and to reduce the complicated forms</p> <p>5) Committees should negotiate to suppliers to accept the tender and quotation process</p> <p>6) To start the next cycle as early as they can, to purchase/carry the materials</p>
Monitoring and Reporting	<p>1) Each M&amp;E sub committee should have one literate person to prepare the report</p> <p>2) To provide more training in M &amp; E than in Cycle 1</p> <p>3) Committee meeting should be conducted by chair persons, especially for M&amp;E</p>
Grievance and Responding	<p>4) To encourage the community to submit the grievance letters more readily</p> <p>5) To encourage social accountability and to reply to grievances according to the needs of the complainant.</p> <p>6) Village tract committees need to respond to grievances effectively</p>
Financial Management	<p>4) Financial management training should be conducted for at least 3 days to be able to understand the subject matter properly.</p> <p>5) If possible, delegate the right of financial management process directly to the village level.</p> <p>6) Advances should be allowance in procurement activities, and block grants should be increased in next cycle</p>

### C. What worked well, what can be improved

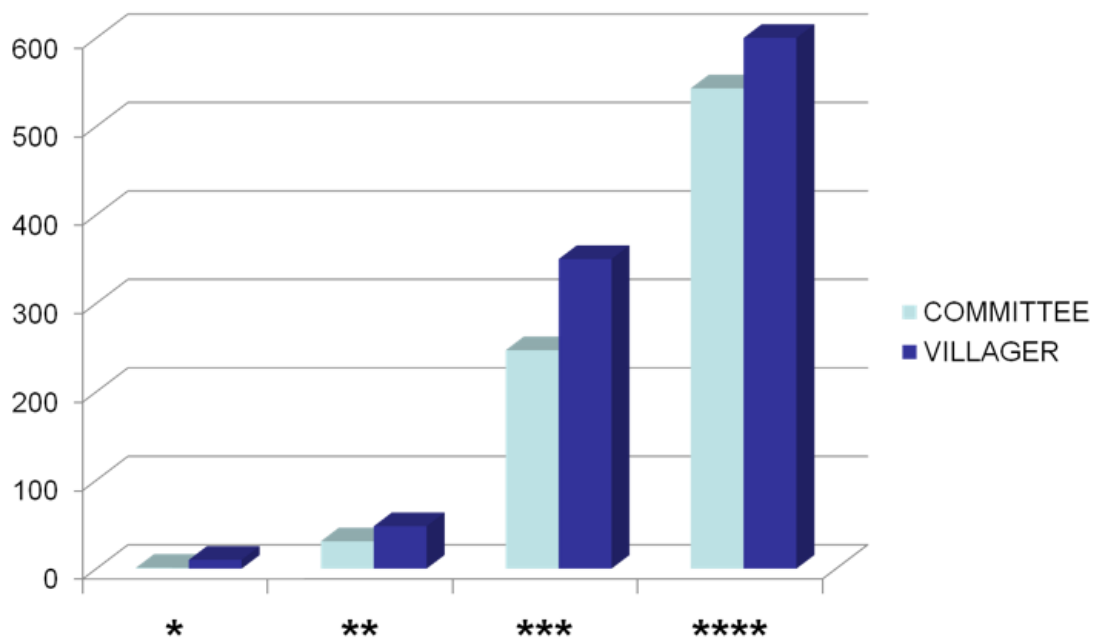
<u>What worked well</u>	<u>What can be improved</u>
1) Systematically forming committees (Gender equity)	Literacy rate low among committee members
2) Planned Village Tract Development Plan	2) Overlap with Government activities so frequent revised VTDP
3) Procured materials according to procure	3) Difficult tender method for remote areas. Shopkeepers not well familiar with tender method
4) Committee facilitated to get community participation	4) Can only find limited people for CFA due to cultivation seasons
5) Well done O&M plan	5) Community participate and donate only labor
6) Finished sub projects on time among challenges	6) Lack of technical issues applied like drain at some projects due to time limitation

#### D. Subproject Community Score Card

	Results		Process	
	<i>Committee</i>	<i>Community</i>	<i>Committee</i>	<i>Community</i>
Very good	66%	60%	68%	60%
Good	30%	35%	31%	35%
Medium	3.8%	5%	0.4%	5%
Needs improvement	0.2%	1%	0.1%	1%

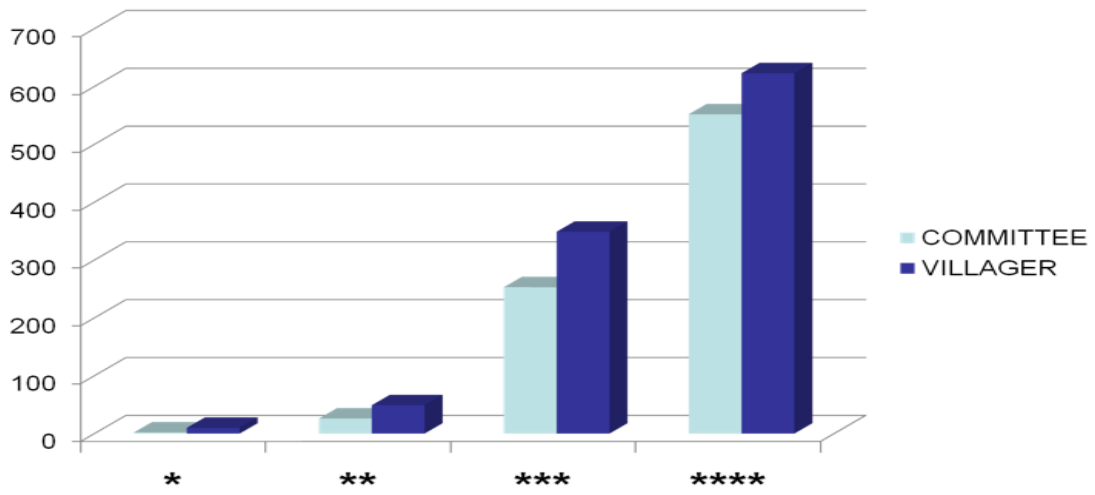
The scoring for results and process from both committee and community was consistently high, with 60-66% very good for results, and 60 – 68% very good for process. These results can also be depicted graphically as below.

#### Process



#### Results





Community checking in Kanpetlet



## E. What Worked Well, What Can Be Improved

What worked well	What can be improved
1) Systematically forming committees (Gender equity)	1) Literacy rate low among committee members
2) Planned Village Tract Development Plan	2) Overlap with Government activities so frequent revised VTDP
3) Procured materials according to correct procedures	3) Difficult Tender method for remote area, Shopkeepers not well familiar with Tender method
4) Committee facilitated to get community participation	4) Difficult facilitate to get limited people for CFA due to cultivation seasons
5) Well done O&M plan	5) Community participate and donate only labor
6) Finished sub projects on time among challenges	6) Lack of technical issues applied like drain at some projects due to time limitation
7) Because of training, know about CDD concept and process	7) Insufficient training (Time Limit)
8) Received Grievance letters and solve and replied for respective issues	8) Weak of grievance letters address to VT level
9) On time fund supported to villages by Financial Management Sub Committee	9) Lack of linkage between Procurement Committee and Financial Management Committee, Transportation barrier
10) Could hire skilled labours in challenges	10) Late rented skilled labors without advancement payment
11) Technical support from CFs, TFs	11) Lack of monitoring for remote area
12) Could learn the format preparation difficulty	12) But weak in systematic to be more

Status of Community Checking			
Tsp	Inclusive Dates	No. of Meeting	No. of person

KPL	July 9, 2014 – July 31, 2014	39 (exclude one VT)	Male-1142 + Female-866, Total- 2008
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The score cards for Community Checking in village level...

Village Tract			*	**	***	****
26 VTs (excluded one VT)	Process	Committees	1	31	247	543
		Villagers	10	48	350	600
	Result	Committees	2	26	253	552
		Villagers	10	49	349	623

## **Annex IV**

### **Financial Management Capacity Assessment**

## NCDDP Capacity Assessment Status Report – Financial Management

### Union Level

#### Staffing arrangement

No	Staff Name	Position	Engagement with CDD
1	Daw Nyo Nyo Win	Director of Finance Division	Senior Finance Officer – Overall supervisory role
2	Daw Yu Sutha	Deputy Director of Finance Division	Finance Officer – Overall supervisory role
3	Daw Thin Yu Hlaing	Assistant Director of Finance Division	Accountant – Full time for CDD and day-to-day
4	Daw Yu Za Na	Staff Officer	Assistant Accountant – Full time for CDD and day-to-day
5	U Chan Nyein Aung	Lower Divisional Clerk	Finance Assistant – Full time for CDD and day-to-day (11/September/2014)
6	U Kyaw Htoo	Lower Divisional Clerk	Finance Assistant – Full time for CDD and day-to-day (11/September/2014)

#### Hardware and Software

No	Description	No. of Units
1	Desk top computers	3 units
2	Printers	1 units
3	Accounting Software - Peachtree	5 Licences – only one working now
4	Cupboards	3
5	Table and chairs	9 tables (including one round table for meeting purposes) and 12 chairs

#### Technical assistance

No	Name	Position and Input
1	Sri Balasingam Pathmasiri	Finance Specialist –Union TA - Intermittent inputs since September 2013
2	Ms. Hay Mann	Finance Assistant – National Consultant – full time since July 2014
3		

#### Premises

Since mid-September, finance unit has been relocated and housed in an area exclusively dedicated for finance unit. This is expected to facilitate to keep the finance records in a secured place with access available exclusively to finance personnel.

## **Future (needs and plans)**

### **i. Union Level Staff:**

With the assignment of two new staff and considering the expansion of CDD to new six townships, there is a need for additional finance training at the Union Level.

### **ii. Hardware and Software:**

- a) For the two new staff to work effectively, additional two more desktop computers need to be provided. The estimated cost of procuring two additional computers would be US\$ 2,000.
- b) As five licences for Peachtree were purchased, by adding two more desktop computers, all five licences can be used.
- c) Peachtree training need to be provided to the staff including the two new staff and the Finance Assistant (national consultant).
- d) Mechanisms need to be established to export Township financial records into Peachtree accounting software maintained at Union Level.
- e) Considering the above (b to d), it is planned to re-engage the firm that provided training and installed Peachtree Accounting Software at DRD Union Level. The estimated budget for this activity is within the region of US\$ 6,000 and US\$ 7,500.

### **iii. Technical Assistance:**

Early 2014, DRD advertised to recruit a National Finance and Operations Consultant to meet DRD's needs in expanding number of Townships. But as the CVs received were not meeting the requirement, the procurement, considering the fact that the current Accountant may obtain scholarship for higher studies and leave DRD, it is planned to re-advertise for this position and engage an experienced National Finance and Operations Consultant.

## **Township Level**

Once the TSP TAs are on board and the equipment delivered, as assessment will be carried out.

## **Annex V**

### **NCCDP Procurement Plan**

# Myanmar National CDD Project (P132500, H814-MM)

## Detailed Procurement Plan

November 07, 2014 (Fifth Revision, awaiting NoL)

### I. General

#### 1. Project information:

- Country/Borrower: Myanmar
- Project Implementing Agency  
Department of Rural Development  
Ministry of Livestock, Fisheries and Rural Development

#### 2. Bank's approval Date of the procurement Plan

- Original Plan : November 13, 2012
- 1<sup>st</sup> Revision : April 12, 2013
- 2<sup>nd</sup> Revision : October 9, 2013
- 3<sup>rd</sup> Revision : February 24, 2014
- 4<sup>th</sup> revision : May 21, 2014
- 5<sup>th</sup> Revision : November 7, 2014

#### 3. Date of General Procurement Notice:

- November 08, 2012

#### 4. Period covered by this procurement plan:

- 8 months (July 25, 2014 – March 31, 2015).

5. The contract packages in the Procurement Plan (PP) here are for contracts to be procured by NCCDP team in Union DRD. The PP at village and village tract levels are reviewed and kept at Township DRD.

### II. Goods

1. **Prior Review Threshold:** Procurement Decisions subject to Prior Review by the Bank as stated in Appendix 1 to the Guidelines for Procurement:

	Procurement Method	Contract Value Threshold (USD)	Prior Review Threshold (\$'000)
1.	ICB (Goods)	>100,000	All contracts
2.	Shopping (Goods)	<100,000	First Contract
3.	Community Participation	-	-

#### 2. Reference to (if any) Project Operational Manual: -

Operation Manual for the first project phase has been approved by the Bank and being distributing to the townships.

## II. Procurement Packages for Goods with Methods and Time Schedule

Ref No 2014	Description and Quantities	Cost estimate in USD	Procurement method	WB review	Issue IFQ	Comments
G1.1b	Office Equipment: 8 Fax & Scanner, 2 water coolers, 8 photo copiers, 11 colour printers and 7 projectors with screen and accessories	29,350	Shopping	Post	Dec. 2014	1-Fax Scanners – 8 units (one for each new TSP and two for DRD Union) x \$ 400/unit = \$3,200  2-Water coolers – 2 units (one for Finance Unit and one for Proc Unit) x \$ 200/unit = \$ 400  3-Photo copiers – 8 units (one for each new TSP and two for DRD x \$ 2,000/unit = \$ 16,000  4-Color printers – 11 units (one for each TSP and two for DRD Union x \$ 250/unit = \$ 2,750  5-Projectors incl screen & etc – 7 units (six for new TSPs and one for DRD Union) x \$1000 = \$ 7,000
G1.1c	6 generators	6,000	Shopping	Post	Dec. 2014	2-Generators – 6 units x \$ 1000/unit = \$6,000
G1.1d	6 satellite equipment for internet	18,000	Shopping	Post	Dec. 2014	4-Satellite equipment for internet – 6 units x \$ 3,000/unit = \$ 18,000 (can be purchased only from the Government Service Provider – MPT))
G1.2 Computers	95 Laptops	95,000	Shopping	Post	Dec. 2014	95 units x \$ 1,000/unit = \$ 95,000  1-3 TSPs – 3x 4units = 12 units  2-6 TSPs – 10 units for each TSP – 60 units  3-DRD Union – 18 units  4-Reserved for replacements – 5 units
	Proxy Server for Union Level	5,000	Shopping	Post	Dec. 2014	As per MIS Expert's suggestion, the internet connection at DRD secretariat needs to be upgraded
	6 mini server for 6 townships(1 each) in cycle 2	9,600	Shopping	Post	Dec. 2014	\$1500/unit x 6 units =\$ 9,600
G1.3c	300 tablets including Power Banks and	99,000	Shopping	Post	Jan.	\$(275+ 25 +30) x 300 units = \$ 99,000.



Tablets	carrying cases for 6 townships in cycle 2				2015	<p>The table below details the number of CFs and TFs in all the TSPs and the required number of Tablets.</p> <table border="1"> <thead> <tr> <th>No</th> <th>Townships</th> <th>CFs</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Tatkon</td> <td>25</td> </tr> <tr> <td>2</td> <td>Pinlebu</td> <td>34</td> </tr> <tr> <td>3</td> <td>Sidoktaya</td> <td>23</td> </tr> <tr> <td>4</td> <td>Ann</td> <td>31</td> </tr> <tr> <td>5</td> <td>Laymyetnar</td> <td>36</td> </tr> <tr> <td>6</td> <td>Htantabin</td> <td>30</td> </tr> <tr> <td>7</td> <td>Namhsan</td> <td>21</td> </tr> <tr> <td>8</td> <td>Kanpetlet</td> <td>21</td> </tr> <tr> <td>9</td> <td>Kyunsu</td> <td>21</td> </tr> <tr> <td></td> <td>Total</td> <td>242</td> </tr> </tbody> </table> <p>Tablets required for facilitators = 374 (242+132)  Tablets required for DRD Union &amp; TSP = 26  Total tablets required = 400 (374+26)  Tablets already available = 100  Balance number of tablets required = 300 (400-100)  Estimated cost = \$ 99,000 (300 tablets x \$ 330 )  Estimated cost per unit = \$ 330 (\$275+\$25+\$30)</p>	No	Townships	CFs	1	Tatkon	25	2	Pinlebu	34	3	Sidoktaya	23	4	Ann	31	5	Laymyetnar	36	6	Htantabin	30	7	Namhsan	21	8	Kanpetlet	21	9	Kyunsu	21		Total	242
No	Townships	CFs																																					
1	Tatkon	25																																					
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7	Namhsan	21																																					
8	Kanpetlet	21																																					
9	Kyunsu	21																																					
	Total	242																																					
G1.4b	Cameras for 6 townships(3 each) in cycle 2:  2 still camera and 1 portable video camera for each township	8,400	Shopping	Post	Dec. 2014	\$400/unit x12 units +\$600/unit x 6 units = \$8,400																																	
G3	3 Vans – 15 seater	87,000	DC with UNOPS	Prior	Feb. 2015	US\$ 29,000 each																																	
G4	Motorcycles for cycle 2: 8 +2=10 for union DRD, 210 for 6 cycle-2 townships and 21+15 for 3 cycle-1 townships, altogether 246	173,360	Shopping (DRD received exceptional NOL for shopping)	Post	Nov. 2014	The unit price for motorcycles is estimated as \$1,100 for Union and \$660 for TSPs . Number of motorcycles for 6 new TSPs are 210 sets. Additional motorcycles for three cycle-1 TSPs are Kanpetlet 9 , Namhsan 9 , replacement 3 altogether 21 and is estimated as \$660 while additional 15 for Kyunsu is estimated as \$1,100 totaling \$ 173,360																																	

G5	DRD Union Printing of Operation Manual	43,000	Shopping	Post	Dec. 2014	The operations manual are under revision/simplification.
G7	8 Filing Cabinets	1,600	Shopping	Post	Dec. 2014	Required for various divisions of CDD at Union level
G8	11 Air conditioners	6,600	Shopping	Post	Jan. 2015	9 units for TSPs and 2 units for Union at \$600 per unit including installation cost
G9	100 copies of MS Office 365 Premium	10,000	Shopping	Post	Jan. 2015	100 copies of MS Office 365 Premium at US\$ 100 per copy
	Total for Goods	591,910				

## II. Selection of Consultants

- 1. Prior Review Threshold:** Selection decisions subject to Prior Review by Bank as stated in Appendix 1 to the Guidelines Selection and Employment of Consultants:

	<b>Selection Method</b>	<b>Prior Review Threshold (\$'000)</b>	<b>Comments</b>
1.	Competitive Methods (Firms) –	>\$100	All contracts
2.	Single Source (Firms)	All contracts	-
3.	Individual Consultants	>\$50  & all sole-source selection	<\$50  The first contract for hiring individual consultants

- 2. Short list comprising entirely of national consultants:** No short lists of consultants for services are expected to comprise entirely of national consultants in accordance with the provisions of paragraph 2.7 of the Consultant Guidelines. However, if a need arises during the project implementation and if it is warranted, short lists of consultants for services estimated to cost less than \$50,000 equivalent per contract may be composed entirely of national consultants.
- 3. Any Other Special Selection Arrangements:** see Other Special Procurement Arrangements above, which also includes the special requirements applicable to consultant services.
- 4. Consultancy Assignments with Selection Methods (prior & post reviews) and Time Schedule**

#### 4.1 Table for Non-communication Consultants

Ref. No 2014	Contract description	Est. cost USD	Proc. Method	Bank Review	Proposal opening time	Comment
C4.2	TTA Pinlebu township, Sagaing Region	900,000	QBS	Prior	Opened in Sept. 2014	Contract under negotiation , as negotiations progress , the contract amount approaches 900000\$ per township
C4.3	TTA Sidoktaya Township, Magway Region	900,000	QBS	Prior		
C4.4	TTA Ann Township, Rakhine State	900,000	QBS	Prior		
C4.5	TTA Laymyethnor Township Ayarwaddy Region	900,000	QBS	Prior		
C4.1	TTA Tatkon	900,000	QBS	Prior	Opened in October 2014	Contracts under negotiation
C4.6	TTA Htantapin	900,000	QBS	Prior		
C5.1	Mainstreaming Gender ,local, 1 year full time	24,000	IC	Post	January 2014	
C10	Technical Auditor NGO, 2014	180,000	CQS	Prior	January 2015	For 3 years contract
C11	Union level- finance & operations consultant, Myanmar national 36 months	54,000	IC	Prior	January 2015	Previously NOL obtained, postponed and now going to be re-advertised
C22	Union level – Senior Finance Assistant, Myanmar National – 24 months	36,000	IC	Prior	January 2015	Agreed during the WB ISM
C23	Union Level – Two Procurement Assistants, Myanmar National – 24 months each	72,000	IC	Prior	January 2015	DRD provided explanation and justification for these positions during the WB ISM
C24	3 Trainers – To train facilitators on NCDD Management in TSPs	27,000	IC	Post	December 2014	120 working days over a period 9 month months – One person estimated fee would be \$ 9000 per contract (including fee, per diem, transport and accommodation)
C25	Translator / Interpreter – 36 months	48,000	IC	Post	December 2014	Willing and able to travel to TSPs and with the increasing need of the activities of NCDD
C26	Secretary – 36 months	36,000	IC	Post	December 2014	With enhanced jobs description
C27	Peachtree Financial Accounting Software Refresher Training and additional customization from ICS Computers Pte Ltd	6,000	SSS	Prior	January 2015	As discussed during the ISM, this is training is to train new staff assigned to finance unit and to customize Excel reports from TSPs that can be imported or

Ref. No 2014	Contract description	Est. cost USD	Proc. Method	Bank Review	Proposal opening time	Comment
						uploaded into Peachtree
C28	Firm/NGO to organize Development Market Place	60,000	CQS	Post	March 2015	
	Total for non-communication consultants	5,943,000				

#### 4.2 Table for Communication Consultants

C6	Scripts Writer for radio broadcasting	5,000	IC	Post	March 2015	5 stories x \$1000/story = \$5,000
C7	Scripts Writer for video processing for TV	15,000	IC	Post	March 2015	1 story including production x \$15,000/story = \$15,000
C14.1 – C14.4	10 Ethnic language translators, \$2,500 x10 = \$25,000 C14.1 Chin: 4 languages with alphabet: Hakha, Dai, Ngaya, Uppu : &10,000 2 languages without alphabet: Munn, Yinndu: \$5,000 C14.2 Shan: 2 languages: Shan, Plaung: \$ 5,000 C14.3 Taninthayi: 1 language: Kayin: \$2,500 C14.4 Rakine: 1 language :\$2,500	25,000	SSS NG O	Prior	Dec. 2014	Single Source Selection to state/region Culture and literature Association. SS request, justification and contracts to be submitted in Dec 2014.  This includes translating the visibility materials as well.
C17	Video translation	15,000	IC	Post	Dec. 2014	
C18	Prepare comic book	15,000	IC	post	Mar. 2015	
C19	Composing project song	1,500	IC	post	Mar. 2015	
C21	DRD website maintenance , 5 years	9,000	IC	Post	June 2014	2 days/week @ 150/month (will be used when required)
	Total for communication consultants	85,500				
	Total for consultants (non communication and communication)	6,028,500				

(\*) In case of SSS, the request of SSS together with the justifications has to be submitted for the Bank's prior review and NoL.

## **Annex VI**

### **Monitoring and Evaluation (forms and reports)**

### List of Revised Forms (NoL September 2014)

	Form Name	Main Responsibility	Enter into Project Database?	
			Yes	No
<b>Community Project Cycle</b>				
PC 1	Village profile	VPSC	X	
PC 2	Meeting attendance sheet	VPSC		X
PC 3	Project cycle timetable	CF/TF	X	
PC 4	Village vision	VPSC	X	
PC 5	Village subproject proposal	VPSC	X	
PC 6	Final subproject proposal review	VTPSC		X
PC 7	Subproject selection	VTPSC	X	
PC 8	Block grant agreement	VTPSC/DRD		X
PC 9	Subproject monitoring	VPSC	X	
PC 10	Final subproject inspection	VPSC	X	
PC 11	VTSPC quarterly progress monitoring form	VTPSC		X
<b>Grievance &amp; Safeguards</b>				
PC 12	Grievance redress	VPSC	X	
PC 13	Safeguards screening	VPSC/DRD		X
PC 14	Voluntary Donation	VPSC/DRD		X
PC 15	Environmental Management Plan	VPSC/DRD		X
<b>Training &amp; Capacity Building</b>				
T.1	Training Form	Trainer (incl. CF/TF)	X	
T 2	Training Report	Trainer (incl. CF/TF)	X	
<b>Human Resources</b>				
HR.1	Project staff information	CF/TF	X	
HR.2	Volunteer, village or village tract development committee member information	VV/VPSC/VTPSC members	X	
<b>Finance</b>				
F.1	Bank book	FSC		X
F.2	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
<b>Procurement</b>				
P.1	Procurement method selection	VPSC/PSC		X
P.2	Sub-project procurement plan	VPSC/PSC		X
P.3	Force account expenditure	VPSC/PSC		X
P.4	Quotation form	VPSC		X
P.5	Quotation evaluation report	PSC		X
P.6	Contract / legally binding agreement	VPSC/PSC		X
P.7	Subproject procurement completion form	PSC		X

T.A Reporting				
TA 1	CF and TF monthly reporting format	CF/TF		X
TA 2	Township TA quarterly reporting format	TTA		X

**Management Reports:** Example of generic query topics which can be run against the SQL server at any time and filtered for all levels of aggregation (Village, Village Tract, Township, Union) and project cycle.

	Key Performance Statistics	# + %	Source Form
<i>Preparation Stage</i>			
1.	Villages where orientation meeting completed		PC 3
2.	Villages completed Village Development Plan (VDP) and prioritized sub-projects		PC 4
3.	Villages with VDP approved by Village Tract Support Committee (VTSC)		PC 7
4.	Village tracts with completed financial management training		T.1
5.	Village tracts with VTDP endorsed by DRD and Township Planning and Implementation Committee (TPIC)		PC 3
6.	Village tracts opened bank account		F 1
7.	Village tracts signed Block Grant Agreement		PC 8
8.	Village tracts with funds deposited in bank account		F 1
<i>Planning Stage</i>			
9.	Villages with approved detailed subproject design.		PC 5
10.	No. villages by category of project (roads, electricity, water etc)		PC 5
11.	SP proposed by (mens group, womens group or both)		PC 4
<i>Implementation</i>			
12.	Villages completed 0 - 25% subproject construction		PC 9
13.	Villages completed 20 - 50% subproject construction		PC 9
14.	Villages completed 50 - 80% subproject construction		PC 9
15.	Villages completed 80- 100% sp construction		PC 9
16.	Villages completed 100% subproject construction		PC 10
17.	Villages with O & M Committees formed and O & M activities started.		PC 10
<i>Implementation cost</i>			
18.	Total SP cost per village		PC 10
19.	Unit cost / HH (at village, VT, township & project levels).		PC 10
20.	Community contribution as % of total cost		PC 10
<i>Technical quality and satisfaction</i>			
21.	Villages very dissatisfied, dissatisfied, satisfied and very satisfied		PC 10
22.	Sub-projects with technical quality poor, average, good, very good.		PC 10
<i>Safeguards, participation and gender</i>			
23.	SPs with problems related to land acquisition		PC 14
24.	SPs with problems related to environmental impact.		PC 15
25.	Grievances resolved as % of submitted		PC 12
26.	Distribution of grievance type (% in each category)		PC 12
27.	Grievances submitted by women as % of total grievances		PC 12
28.	Attendance at orientation meeting as % of total households.		PC 3
29.	% women membership in committees (village and VT)		HR 2
30.	Women involvement in community labour force (% of total community labour).		PC 9
31.	Community contribution (MMK) as % total cost		PC 10 Part B.
32.	# Beneficiaries as % of total households		PC 10

	<b>Key Performance Statistics</b>	<b># + %</b>	<b>Source Form</b>
33.	# Beneficiaries involved in construction as % of total beneficiaries.		PC 9
Capacity Building			
34.	No villages having received community training (by cycle)		T1
35.	No. of community members having received training (villages + VTs)		T2
36.	No DRD staff received training by gender and training course		T2
37.	Satisfaction levels (for community and DRD) by no. stars		T2
38.	Recommended improvement areas by category		T2
39.	No of different artisan skills by village		PC 1



## **Annex VII**

### **NCCDP Communication Plan**

# NCDDP COMMUNICATION PLAN

## The Role of Communication

The role of communication is an essential core for the implementation of a successful Community Driven Development Project. If the desired outcome is that all the participants at each level of the project both understand and participate in project activities from design and planning through to implementation, that outcome depends to a great extent on the quantity and quality of communication activities. Effective communication activities will assist achievement of the project's objectives with its defined procedures, but also facilitate much wider community participation and support at all stages.

The objectives of implementing a communication system in the National Community Driven Development Project are as follows;

- (a) To make the public understand the project in general.
- (b) To make not only all the participants in the project but also outside organizations such as legislative, administrative class, politicians, professionals, all the organizations included in the projects and the wider community in the project area understand project objectives.
- (c) While implementing the projects, to promote collaboration not only among all the participants in the project but also between legislative organization, administrative class, politicians, professionals, government departmental organizations and NGOs and the villagers at every stage of the projects.
- (d) To make the villagers in the project area understand what the projects do for them, how it would be implemented and what benefits they would gain after the project.
- (e) To make the villagers from the finished project area share knowledge and experiences with other villagers.
- (f) To share experiences about how the community driven development projects were implemented, difficulties and solutions, and outputs of the projects among the organizations, funding partners and all other relevant organizations.
- (g) To open the door for further community driven development projects by distributing the project's outputs and outcomes to everyone.

## Target Audiences

Two types of target audiences are defined while communicating for the Community Driven Development Projects:

1. Those who directly involved in the project
  - a) Community in the project area
  - b) All the Ministries, Government Departments and Organizations included in the project
  - c) Media
2. Those who are outside of the project area
  - a) Other relevant Ministries and Government Departments
  - b) Members of Congress, Politicians and decision makers
  - c) All the Organizations implementing other projects
  - d) International Organizations and Donors
  - e) NGOs and Civil Societies
  - f) The public living outside of project area

## **Delivering Key messages**

Creating simple and clear key messages for everyone participating in every stages of the project can deliver effective information. General key messages are as follow;

- a) Will help the community to rely on themselves. (Helping community to help themselves)
- b) Will make the community developed with the participation of the public.
- c) Not only providing fund, but also will teach the community to manage on their own (self-reliance).
- d) Will establish the habit of sharing individual's thoughts as well as respecting and following others' opinions.
- e) Will enhance taking responsibility and collaborating with others by accepting that the selected projects are conducted for the sake of community.
- f) Will implement the activities in the community's interests, in a transparent and disciplined manner with an organization structure.
- g) Will conduct all the project activities in transparency.

### **Communication Channels**

The main channel is face-to-face meeting. Other channel for communication and visibility include e-mails and press releases, presentation materials (leaflets, TV news, short movies), various media channels (radio, TV, newspapers, journals, websites, blogs, social media), information materials (in both soft and hard format), events such as conferences, press conferences and a website.

### **Monitoring and Evaluation of Communication Activities**

Indicators of progress in meeting the objectives of communication will be both quantity and quality. The indicators may include the response/feedback from target group through online comments, direct bilateral communications, and press coverage. Feedback and comments will be synthesized in annual report.

## Work plan of Communication Activities in Year 2

No.	Activities	Participation body	Timeline
Information and Implementation Communication Plan			
1.	Developing/Revising Communication Plan	UL/Tsp	2014 Oct-Nov
2.	Implementation Communication Plan	UL/Tsp	On going
3.	Monitoring Communication Plan	UL/Tsp	On going
4.	Evaluation Communication Plan	UL/Tsp	2015 April-May
Internal Communication Plan/Activities			
5.	Coordination meeting with the Township Communication Specialist	Communication Specialist	2014 Nov
6.	Developing Guidelines for each stage	Communication Specialist	On going
7.	Collecting information	Communication Specialist	On going
8.	Exchange information	Communication Specialist	On going
External Communication Plan/Activities			
9.	Developing of the website	UL	2014 Oct
10.	Developing of the interactive knowledge product targeted to the community in project area	UL/TspL	2015 Oct-Nov
11.	Design and development of communication materials	UL	2015 Oct-Nov
12.	Developing News and media network	UL/TspL	On going
13.	Meeting with members of Congress	UL/TspL	2014 Dec (Annual)
14.	Press Conferences with journalism	UL	2014 Dec (Twice a year )



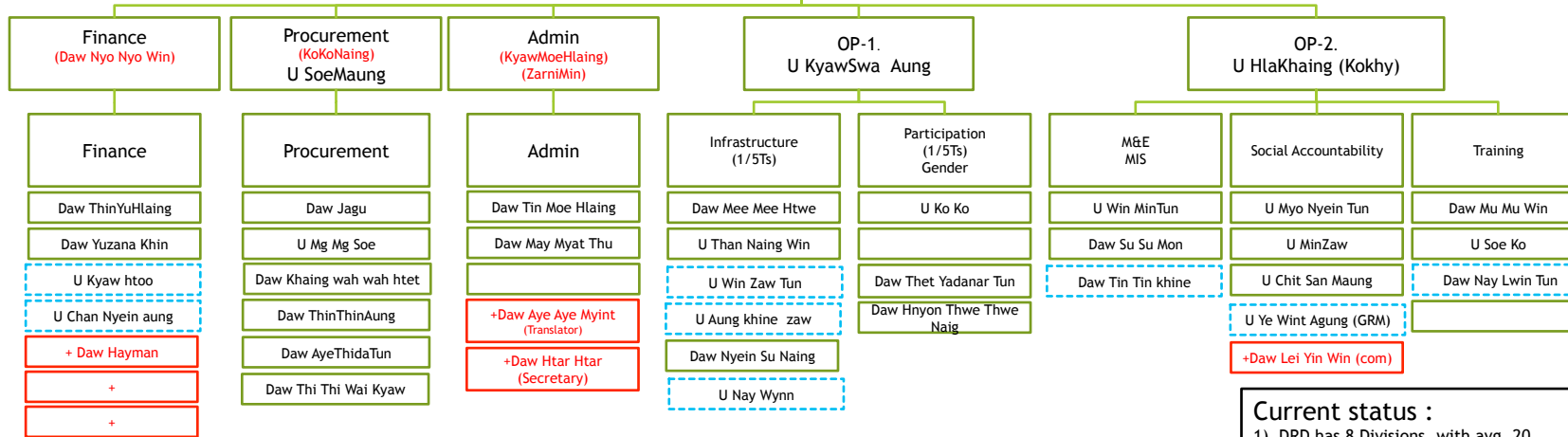
## **Annex VIII**

### **DRD Staffing Organograms (Union and Township)**

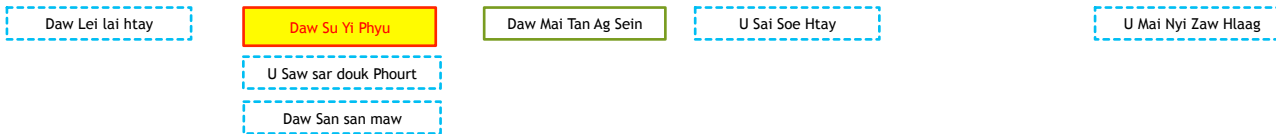
# DRD Union Level Organogram (14/10/14)

U Myint Oo  
U Khant Zaw

As of 14 Oct 2014



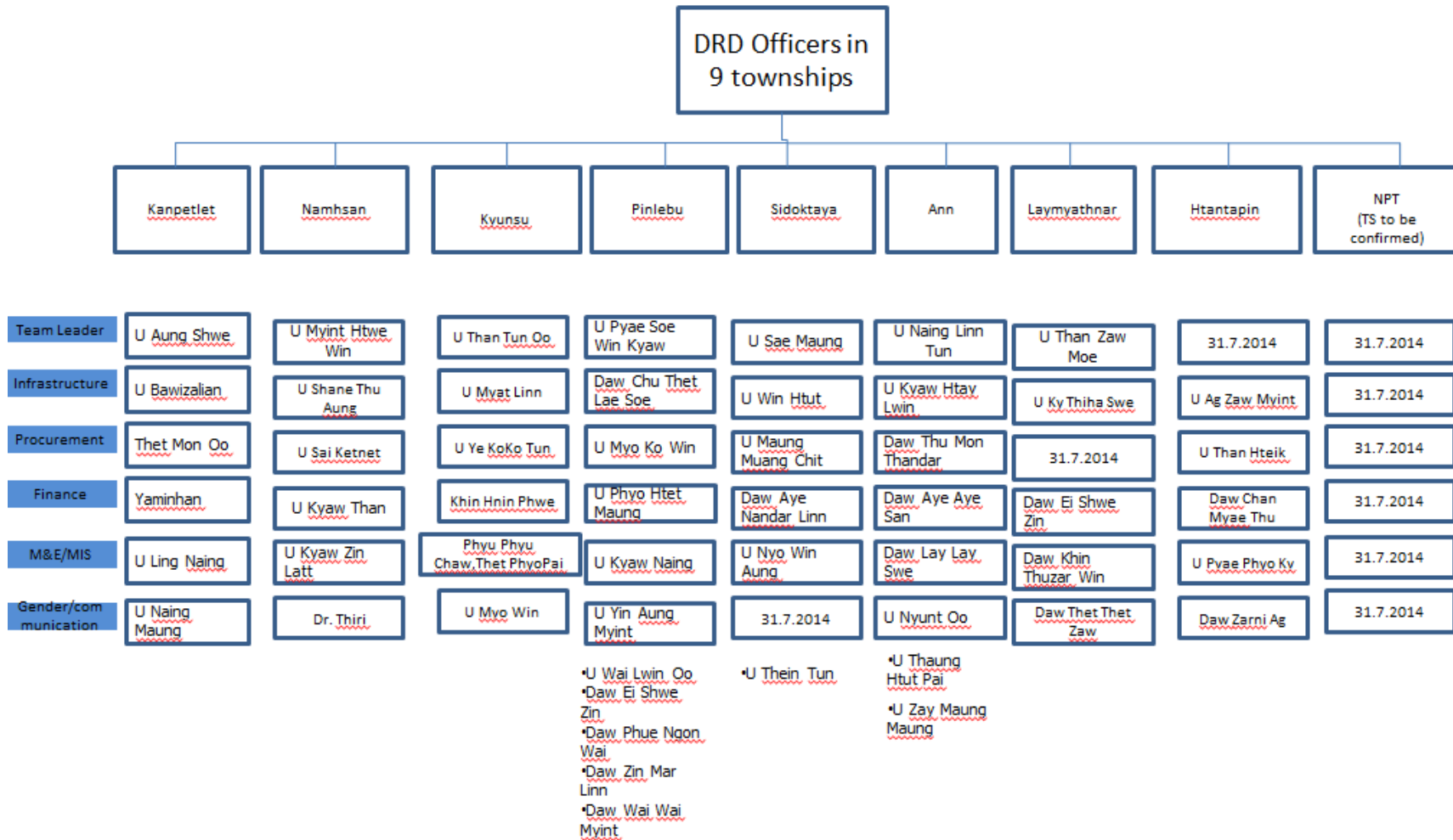
## ATTACH ADB



**Current status :**

- 1) DRD has 8 Divisions, with avg. 20 staff/Division. NCDDP now has 30 dedicated staff, with more to come, thus more than a single Division.
- 2) Of 3000 candidates currently being examined, around 150 will be placed in DRD Union before end December.
  - 1) 2 more staff awaited in Finance Section
  - 2) 7 NCDDP staff currently attached to ADB on a temporary basis

# Annex V: Staffing in DRD Townships





## **Annex IX**

**Expert Inputs (original, used, balance as of Oct 2014)**

### Experts inputs (state 31 Oct 2014)

No.	Name of Staff	Position	Total Time Input (in months)		
			Contractual	Used	Balance
1	Cesar Umali	Team Leader/Lead Community Driven Development Specialist	44	11,02	32,98
2	Banyar Tun	Grievance Handling Officer	30	13,23	16,77
9	Klaus Kirchmann	Training Specialist	22	10,89	11,11
4	Geetha Skarner	Communications Specialist	6	5,29	0,71
5	Praful Soni	Infrastructure Specialist	14	10,13	3,87
6	Manmohan Ruprai	Procurement Specialist	2,06	2,06	0,00
6	Dawei Yang	Procurement Specialist	11,94	3,57	8,37
8	Balasingam Pathmasiri	Finance Specialist	14	5,78	8,22
9	Anura Widana	M&E Officer	8,78	8,78	0,00
10	Luqman Leckie	M&E Officer	25,22	2,68	22,54
11	Mohammad Ilyias	MIS Specialist 1	3,58	3,58	0,00
12	Viktor Klymonchuk	MIS Specialist 1	6,42	0,97	5,45
13	George Paw Tun	MIS Specialist 2	16	12,22	3,78
			<b>204</b>	<b>90,20</b>	<b>113,80</b>

## **Annex X**

**Financial Audit Follow Up Measures: an example from Kanpetlet**

Measure Taken upon the Finding of Financial Audit for CDD Project from the November, 2012 to 2013-2014 Financial Year  
( DRD Union )

No.	Recommended Paragraphs	Audit Findings	Measures Taken									
1.	15( D) (E)	Emphasize to ensure the preparing of the quarterly financial reports	Following the special consideration of ensure the quarterly the financial reports									
2	15	Need the promptly action to the a claim for advanced cash	In near future advanced cash will be claim promptly.									
3	17	Render the comparison of the budget allocation, actual budget and actual expenses of quarterly and annually.	Quarterly and annual budget allocation, actual budget and actual expenses will be compared.									
4	20	According to the findings, although, actually cash return to deposit to DA-B Bank Account, but DRD made cash return to deposit to DRD Bank Account ( MD Account ). It will appear the difference of actual expenses of project cost in DA-B Bank Account. Therefore , there is a requirement of cash return to deposit to DA-B Bank Account.	<p>Total amount of cash return to deposit to DRD Bank Account is (1,415,400) MMK. Due to the financial audit recommendations, DRD has rendered the cash return to deposit to DA-B Bank Account as followings.</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;"><u>MMK amount</u></th> <th style="text-align: left;"><u>Date</u></th> <th style="text-align: left;"><u>Chalan Number</u></th> </tr> </thead> <tbody> <tr> <td>1,377,500</td> <td>14.8.2014</td> <td>203</td> </tr> <tr> <td>37,900</td> <td>19.9.2014</td> <td>140</td> </tr> </tbody> </table> <p>Therefore DRD already made the paid money to the DA-B Bank Account totally (1,415,400 MMK ) with attached chalan copies .</p>	<u>MMK amount</u>	<u>Date</u>	<u>Chalan Number</u>	1,377,500	14.8.2014	203	37,900	19.9.2014	140
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Measure Taken upon the Finding of Financial Audit for CDD Project from the November 2012 to 2013-2014 Financial Year  
( Example from Kyunsu Township )

No.	Recommended Paragraph	Audit Findings	Response the Status of Measure Taken
1	31 ( A) (B)	Need to prompt action of cash in hand money paid into related bank accounts	Balance for procurement cost ( 2.992 ) Kyat Million and Balance for Administrative cost ( 0.148 ) Kyat Million of four village tracts has been already paid into respective village tract bank accounts.

			Therefore DRD submitted to Union Audit this situation with attached chalan copies and balance sheet
2	32	Need to carry out the incomplete plumbing task according to the field inspection.	According to the cost estimate of plumbing task, it is including pipe connection and construction of water tank. Extra water pipe were bought by extra money and, plumbing will be made after completion of agriculture works.
3	33	Need to supervise the CFs and TFs' field trip. Although (5) Community Facilitators are assigned by village tract, they have weak point in regulator field trip. Moreover four Technical Facilitators also assigned to calculate the estimate cost of sub- project. Due to the weakness in field trip of Technical Facilitators, there is a difference between budget estimate and actual expenses.	(4) Technical Facilitators are responsible for (143) village/ (143) sub projects. Due to the insufficient Technical Facilitator and delay the implementation of sub project activities, calculate the estimate cost made very rush, so it has different between budget estimate and actual project expenses. In project second cycle (6) Technical Facilitator will increase to assign and more supervise the field trip of them.

**Measure Taken upon the Finding of Financial Audit for CDD Project from the November 2012 to 2013-2014 Financial Year  
( Namhsam Township)**

No.	Recommended Paragraph	Audit Findings	Response the Status of Measure Taken																
1	34 (A)	Need to take prompt action of cash in hand money paid into related bank accounts	Total cash ( 0.2736 ) Kyat Million return to deposit to respective village tracts' bank account are as follow; <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;"><u>MMK Amount</u></th> <th style="text-align: left;"><u>date</u></th> <th style="text-align: left;"><u>Chalan No.</u></th> <th style="text-align: left;"><u>Name of Bank Account</u></th> </tr> </thead> <tbody> <tr> <td>134,000</td> <td>8-9-2014</td> <td>12</td> <td>Bayar Gyi village tract</td> </tr> <tr> <td>160</td> <td>9-9-2014</td> <td>16</td> <td>Bayar Gyi village tract</td> </tr> <tr> <td>143,200</td> <td>10-9-2014</td> <td>2</td> <td>Namt Lin</td> </tr> </tbody> </table>	<u>MMK Amount</u>	<u>date</u>	<u>Chalan No.</u>	<u>Name of Bank Account</u>	134,000	8-9-2014	12	Bayar Gyi village tract	160	9-9-2014	16	Bayar Gyi village tract	143,200	10-9-2014	2	Namt Lin
<u>MMK Amount</u>	<u>date</u>	<u>Chalan No.</u>	<u>Name of Bank Account</u>																
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143,200	10-9-2014	2	Namt Lin																
2	34(B) (1) (2)	Need to complete the audit findings incomplete works of field visit	Side drain (1769 feet) - sub projects in Man Pan village was completed. (436) ft of this sub project remains to be completed with plastering. This area is hilly region with much rainfall. So this remaining task will be carried out in dry season and the necessary goods prepared now.																

			Another side drain sub-project in Zel Tone Hone village aims to get in come generation by their labour. Due to lack of skill, waste of material and equipment and high price of goods for land slide in rainy season, the side drain was not finish. So the sub-project will be carried out in the dry season.
3	35, 36	Need to estimate cost for sub-projects that are in line with local market prices and technical standards. Because inspection of the sub project, estimated cost is less than or more than local market price and technical standard. Need to deposit money paid into the respective bank account.	This event has been seen in 26 village tracts sub-projects' cost estimate. Estimate costs are more than local market price due to the following reason. <ul style="list-style-type: none"> <li>• Estimate costs are based on township market price.</li> <li>• Transportation (from township to village) and labor costs were not included.</li> <li>• Some villages have no vehicle road, they used man power and donkey to carry the construction material.</li> <li>• Sub project implementation time is in the rainy season, and due to landslide, transportation costs are high than normal.</li> <li>• Sub project implementation happens during tea harvesting time, so labor is very rare and labor wages are high at that time .</li> </ul> Therefore in subsequent years, the estimated cost will be take into account the above mentioned costs.
4	38	Need to keep receipt of travel costs, receipt of other expenses and log book of fuel, in line with rules and regulation of finance.	Supervision on preparing the receipt of travelling cost , other expenses, and log book of fuel in line with rules and regulation of finance will be rendered in project second cycle .
5	43 (A)	Need to complete attachment of all expense receipts and get approval from superiors as step by step.	All of the expense receipts were attached completely. Getting approval from superiors as step by step will be render in sub- sequent year.
6	43 (B)	Need to submit the rental fees for motorcycle hiring. Need the travelling record and work load record for fuel log book.	The requirement of rental fees for motorcycle and travelling record and work load record for fuel log book will be carry out systematically .
7	45 Table (5)	Need to render the complete distribution of materials and equipment to project township by procurement section, DRD Union. In the procurement of motorcycles, 3 motorcycles have been damaged. So it is the responsibility of the purchaser to replace the damaged motorcycle with a new one.	All material and equipment have already distributed completely by procurement section, DRD union. For generator, supplier already changed 10 KW Dynamo type with 5 KW Dynamo in project township.

	Generator distribution to project township is (5 KW Dynamo) instead of (10 Dynamo) type. Need to distribute (10 Dynamo) type of generator to the project township. It is the purchase item.	
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**Measures Taken upon the Finding of Financial Audit for CDD Project from the November 2013-2014 Financial Year  
( Kanpetlet Township)**

No.	Recommended Paragraph	Audit Findings	Response on the Status of Measures Taken
1	23/24	This township received block grants on March and April 2014. Due to the late distribution of block grants, sub project activities were not completed within the financial year.	The block grant allocation time was engaged in slash and burn agricultural activities. So sub project activities were. Therefore in 2014-2015 financial years, DRD union has tried to allocate the block grant to village tracts' bank accounts in time.
2	28(A)(B)(C)	Need to address incomplete work found by the audit  (a) Checking the ground situation of safety and adequate water supply sub- project (including 1500 Gl water	In Ye Laung Pan village, actual sub project activities include construction of two water tanks as per budget plan. But according to the community's request, the contractor made a water pipe line and renovation of two old water tanks. Due to insufficient budget, contractor made drainage canal





3	30	<p>Need the supervision of Technical Facilitator to assist the community to complete the sub project activities, in accordance with technical specification and project design.</p> <p>Need the more active of Community Facilitators to assist to community to complete the financial forms and village meeting minutes record forms.</p>	<p>Technical Facilitators will make a supervision visit to the community to complete the sub-project in line with specification. Supervision of field Community Facilitators to assist in completion of forms related to project expenses and meeting record will be carry out effectively in project second cycle .</p>
4	41 (A) (B)	<p>Incomplete documentation for receipts of all expenses (DA-B), and need to make systematic records in the fuel log book.</p>	<p>The receipt of all expenses (DA-B) are received and attached in documentation. Fuel log book for motorcar and fuel log book for motorbike for CFs, TFs, and DRD staff field trip are recorded systematically. In 2014-2015 it will be very carefully action taken.</p>
5	45 Table (5)	<p>Need to distribute the material to project township completely</p>	<p>The material has been already distributed to DRD Kanpetlet township.</p>
6	46(A)(B)	<p>Need to solve the problem submitted by the community, Kanpetlet township.</p>	<p>Address of the problem is carried out by DRD staff through the township technical assistance, township administrative and submission to higher level and world bank.</p>