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Indonesia Urban Water, Sanitation, and Hygiene

USAID INDONESIA URBAN WATER SANITATION AND HYGIENE

ANNUAL WORKPLAN PROGRAM YEAR 4

OCTOBER 2013 – SEPTEMBER 2014

MARCH 2014

This workplan is made possible by the support of the American People through the United States Agency for International Development (USAID.) The contents of this workplan are the sole responsibility of DAI and do not necessarily reflect the views of USAID or the United States Government.

IUWASH introduced the concept of establishing Local Technical Waste Water Implementation Unit (Unit Pelaksana Teknis Daerah) or wastewater UPTD as an integral part of sustainable sanitation policy. By September 2015, IUWASH will have supported establishment of UPTDs in over 30 locations across IUWASH project sites.

IUWASH has also supported technical exchanges between local governments of more than 20 cities with potential and interest for developing wastewater UPTD to Makassar, which represents a model for successful UPTD setup.

At present, the wastewater UPTD in Makassar City has seven desludging truck with the capacity of 3,500 liters (as shown in cover photo), two mobile desludging vehicle and two mobile toilets to serve Makassar City.

Photo Credit: Ismail/IUWASH South Sulawesi-Eastern Indonesia

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LIST OF ABBREVIATIONS AND ACRONYMS

The following is a list of abbreviations and acronyms commonly used in this report and on the project as a whole.

ADB	Asian Development Bank
AMPL	Air Minum dan Penyehatan Lingkungan / Drinking Water and Environmental Health
APBD	Anggaran Pendapatan dan Belanja Daerah / Provincial or District budget
APBN	Anggaran Pendapatan dan Belanja Negara / State budget
AKOPSI	Aliansi Kota Peduli Sanitasi / Cities Caring for Sanitation Alliance
APR	Annual Progress Report
AusAID	Australian Agency for International Development
Bappeda	Regional Planning Board
Bappenas	Badan Perencanaan dan Pembangunan Nasional / National Development Planning Agency
BCC	Behavior Change Communications
BJB	PT Bank Pembangunan Daerah Jabar Banten / Regional Development Bank of West Java and Banten
BNI	Bank Nasional Indonesia
BPKP	Badan Pengawasan Keuangan dan Pembangunan / State Supervisory Board for Finance and Development
BPLHD	Badan Pengelola Lingkungan Hidup Daerah
BPRS	Bank Perkreditan Rakyat Syariah / Sharia Rural Bank
BPS	National Statistics Bureau
BRI	Bank Rakyat Indonesia
BTPN	Bank Tabungan Pensiunan Nasional / National Savings Pensioners Bank
BTN	Bank Tabungan Negara
CBO	Community-Based Organization
CC	Cross-Cutting
CCFI	Coca-Cola Foundation Indonesia
CCP-I	Cipta Cara Padu Indonesia
Cipta Karya	Directorate General of Human Settlement
CWL	Creditworthiness Ladder
CLTS	Community-led Total Sanitation
COP	Chief of Party
COR	Contracting Officer's Representative
CSO	Civil Society Organization
CSR	Corporate Social Responsibility
CSS	Citywide Sanitation Strategy
DAI	Development Alternatives, Inc. (IUWASH prime contractor)
DED	Detailed Engineering Design
Dewan Pengawas PDAM	Supervisory board of water utilities
DCOP	Deputy Chief of Party
DPA-SKPD	Dokumen Pelaksanaan Anggaran-Satuan Kerja Perangkat Daerah/ Budget Implementation Document - Local Government Work Unit
DPRD	Dewan Perwakilan Rakyat Daerah / Regional Legislative Assembly
EE	Enabling Environment (for improved service delivery, Component 3)
EHRA	Environmental Health Risk Assessment
EMMP	Environmental Mitigation and Monitoring Plan
ESP	Environmental Services Program
FGD	Focus Group Discussion
FY	Fiscal Year
GCM	Global Circulation Model
GEC	Grant Evaluation Committee
GIS	Geographic Information System
GoI	Government of Indonesia
GUC	Grants Under Contract
HR	High Level Result
HRD	Human Resource Development

HWWS	Hand Washing With Soap
IC	Improved Capacity (for service delivery, Component 2)
ICED	Indonesia Clean Energy Development (a USAID project)3
IEE	Initial Environmental Examination
IKK	Ibu Kota Kecamatan
IndII	Indonesia Infrastructure Initiative (AusAID)
IPAL	Instalasi Pengolahan Air Limbah (Waste Water Treatment Plant)
IPLT	Instalasi Pengolahan Limbah Tinja (Septage Treatment Plant)
IR	Intermediate Result
ISSDP	Indonesia Sanitation Sector Development Program
IUWASH	Indonesia Urban Water Sanitation and Hygiene
JICA	Japan International Cooperation Agency
JPA	Joint Partnership Agreement
KDH	Kepala Daerah/ Head of District
KSAN	Konferensi Sanitasi dan Air Minum / National Conference on Sanitation and Drinking Water
KSR	Kupedes untuk Sambungan Rumah / Rural Development Credit for Household Connections
KUA	Kebijakan Umum Anggaran/General Budget Policy
KUPEDES	Kredit Umum Pedesaan / Rural Development Credit
LG	Local Government
LoP	Life of Project
LTTA	Long-term Technical Assistance
M&E	Monitoring and Evaluation
MBR	Masyarakat Berpenghasilan Rendah / low-income communities
MCK	Mandi Cuci Kakus / Bathing, washing, and toilet facilities
MD	Mobilized Demand (for improved service delivery, Component 1)
MDG	Millennium Development Goals
MFI	Micro-Financing Institution
MLD	PT. Mitra Lingkungan Dutaconsult (IUWASH subcontractor)
MoF	Kementerian Keuangan / Ministry of Finance
MoFA	Kementerian Luar Negeri / Ministry of Foreign Affairs
MoH	Kementerian Kesehatan / Ministry of Health
MoHA	Kementerian Dalam Negeri / Ministry of Home Affairs
MPW	Kementerian Pekerjaan Umum / Ministry of Public Works
MoU	Memorandum of Understanding
MSMHP	Metropolitan Sanitation Management and Health Project
Musrenbang	Musyawarah Perencanaan Pembangunan / Multi Stakeholder Consultation Forum for Development Planning
MPW/PLP	Kementerian Pekerjaan Umum/Ditjen Penyehatan Lingkungan dan Permukiman / Ministry of Public Works/Directorate of Environmental Health and Settlement
NAD	Nanggroe Aceh Darussalam / Aceh Province
NGO	Nongovernmental Organization
NRW	Non-Revenue Water
O&M	Operations and Maintenance
ODF	Open Defecation Free
PD PAL	Perusahaan Daerah Pengelolaan Air Limbah / Local Waste Water Company
PDAB	Perusahaan Daerah Air Bersih / Provincial Clean Water Company
PDAM	Perusahaan Daerah Air Minum / Water utility
Pefindo	Pemeringkat Efek Indonesia (rating firm)
Local government	Pemerintah Daerah / Local government (LG)
Perda	Peraturan daerah (District regulations)
Perpamsi	Persatuan Perusahaan Air Minum Seluruh Indonesia / Union of Indonesian Water Supply Enterprises
Perpres	Peraturan Presiden / Presidential Regulation
PI	PDAM Performance Index
PII	Penjaminan Infrastruktur Indonesia / Indonesia Infrastructure Assurance
PKK	Pemberdayaan Kesejahteraan Keluarga / Family Welfare Empowerment
PKS	Perjanjian Kerja Sama/ Cooperation Agreement
PMK	Peraturan Menteri Keuangan / MoF Decree
PMP	Performance Monitoring Plan

PNPM Mandiri	Program Nasional Pemberdayaan Masyarakat Mandiri / National Program for Community Self-Empowerment
Pokja	Kelompok Kerja / Working Group
Posyandu	Pos Pelayanan Terpadu / Integrated (health) Service Post
PP29	Peraturan Pemerintah No. 29
PPAS	Prioritas Plafon Anggaran Sementara/ Provisional Budget Priorities and Funding
PPKM	Program Peningkatan Keberdayaan Masyarakat / Increased Community Empowerment Program
PPP	Public Private Partnership
PPSP	Percepatan Pembangunan Sanitasi Perkotaan/ Accelerated Program for Urban Sanitation
PTI	Participant Training Information
PU	Pekerjaan Umum / Public Works
PY	Project Year
QPR	Quarterly Progress Report
RAD	Rencana Aksi Daerah / Local Action Plan
RAPBD	Rencana Anggaran Pendapatan dan Belanja Daerah/ Provincial or District Government Budget Plan
Renja	Rencana Kerja/ Work plan
RFA	Request for Applications
RIPJM	Medium-Term Investment Development Plan
RPJMD	Medium-term Development Plan
RISPAM	Sanitation and Drinking Water Investment Plan
RKA	Annual Work and Budget Plan
RKAP	Local Government Annual Work Plan
RKPD	Rencana Kerja Pembangunan Daerah/ District Government Annual Work Plan
RT	Rukun Tetangga / Neighborhood Association
RW	Rukun Warga / Community Association, equal to Ward
Sanimas	Sanitasi Berbasis Masyarakat / Community-based Sanitation
SDG	Sanitation Donor Group
SLBM	Sanitasi Lingkungan Berbasis Masyarakat
SKPD	Satuan Perangkat Permerintah Daerah / Local Government Work Unit
SME	Small or Medium Enterprise
SMI	Sarana Multi Infrastruktur (infrastructure finance intermediary)
SOW	Scope of Work
SSE	South Sulawesi and Eastern Indonesia
SSK	Strategi Sanitasi Kota / Citywide Sanitation Strategy (CSS)
STBM	Sanitasi Total Berbasis Masyarakat / Community-based Total Sanitation
STTA	Short Term Technical Assistance
TAMIS	Technical and Administrative Management Information System
UPTD	Unit Pelaksana Teknis Daerah/ Technical Implementing Unit in Region
USAID	United States Agency for International Development
USDP	Urban Sanitation Development Program
USM	Urban sludge management
USRI	Urban Sanitation and Rural Infrastructure (ADB)
WASPOLA	Water Supply and Sanitation Policy Formulation and Action Planning
Watsan	Water and Sanitation
WES	Water, Environment and Sanitation
WRM	Water Resource Management
WS	Water supply
WSP	Water and Sanitation Program (World Bank)
WTP	Water Treatment Plant
YLKI	Yayasan Lembaga Konsumen Indonesia / Indonesian Consumer Institute Foundation

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Program Site Location Map

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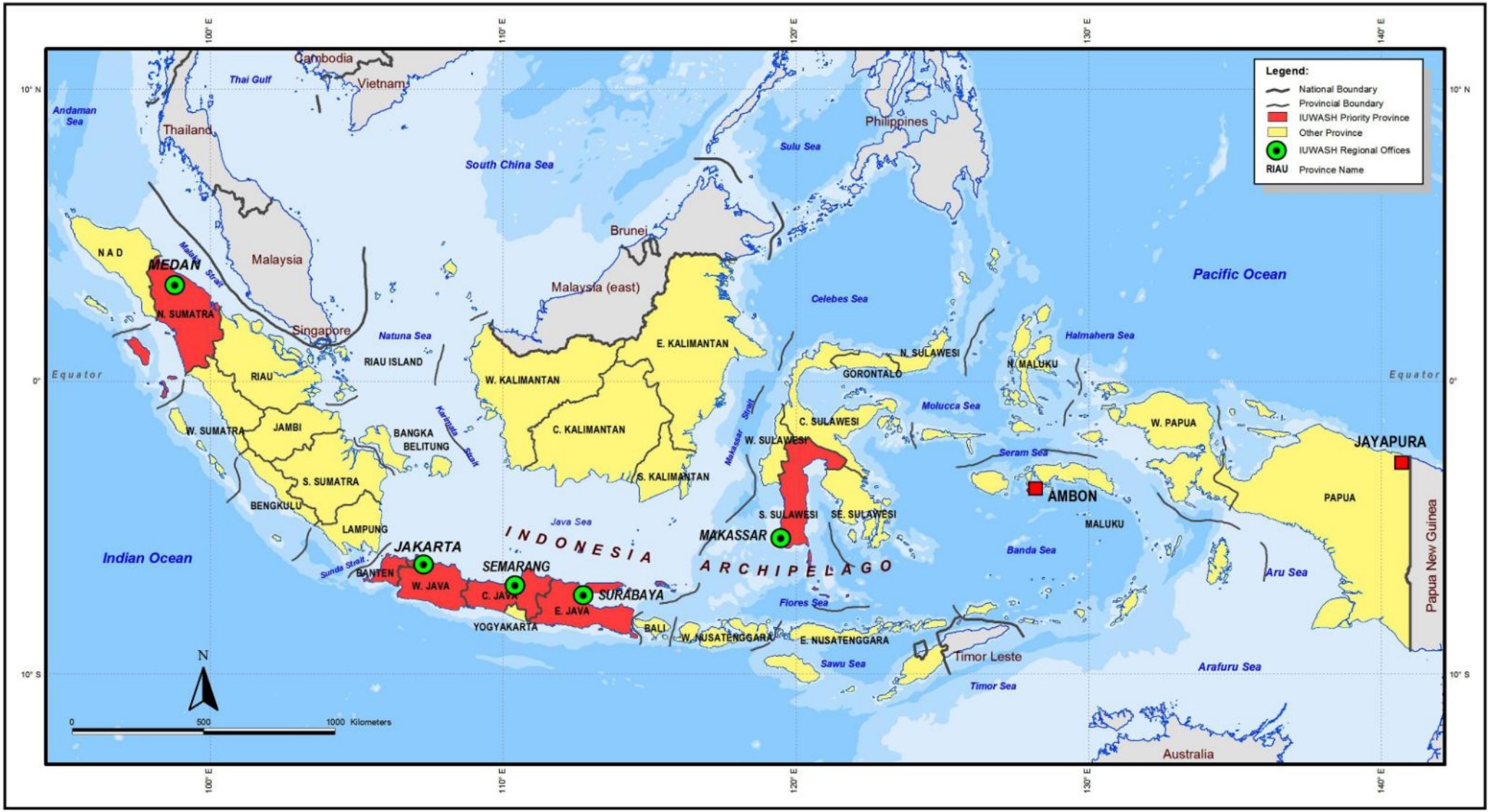

1 INTRODUCTION

1.1 OVERVIEW

This is the fourth Annual Workplan for the USAID Indonesia Urban Water, Sanitation and Hygiene (IUWASH) Project. It covers the period of October 01, 2013 through September 30, 2014 (referred to as "Project Year 4" or "PY4"), and includes detailed information, plans and targets for each of the project's main areas of activity: water supply, sanitation, those that are "cross-cutting" or common to both, as well as on key program management considerations. Its development follows in-depth consultation with project partners at all levels and takes into account many lessons learned during the project's initial years. Importantly, following submission of an earlier version of this Workplan to USAID, the project's Mid-Term Evaluation (MTE) was conducted, and based on a request from the project's COR, some of the more prominent recommendations from the MTE were subsequently integrated into this final version. Based on the above and as discussed in further detail below, the IUWASH Team applied an overriding theme of "Maximizing Resources for Greatest Impact" to guide development of the workplan and the project's overall approach to work in PY4.

1.2 BACKGROUND ON IUWASH

The USAID Indonesia Urban Water, Sanitation and Hygiene (IUWASH) Project, Contract No. AID-497-C-11-00001, is a sixty-month effort designed to support the Government of Indonesia in making significant progress towards achieving Millennium Development Goal (MDG) targets as concerns safe water and sanitation by expanding access to these services. The IUWASH Project (or, the "Project") works with Indonesian government agencies at the central, provincial, and local levels, local government-owned water utilities (PDAMs), sector associations, NGOs, communities, universities, and the private sector. With USAID funding of 38.7 million US dollars, the Project is expected to result in the following benefits to Indonesia:

- Two million people in urban areas gain access to improved water supply as a result of US Government assistance;
- 250,000 people in urban areas gain access to improved sanitation facilities as a result of U.S. Government assistance; and
- The per unit water cost paid by the poor in targeted communities decreases by at least 20% through more participatory, transparent, accountable, and financially enabled services.
- 75,000 trained in IUWASH-related areas of involvement.

To contribute to more equitable access, IUWASH emphasizes expanding access among Indonesia's urban poor, currently those people with the most limited access to these services. To ensure that access improvements are sustained, IUWASH implements activities which contribute to the achievement of three

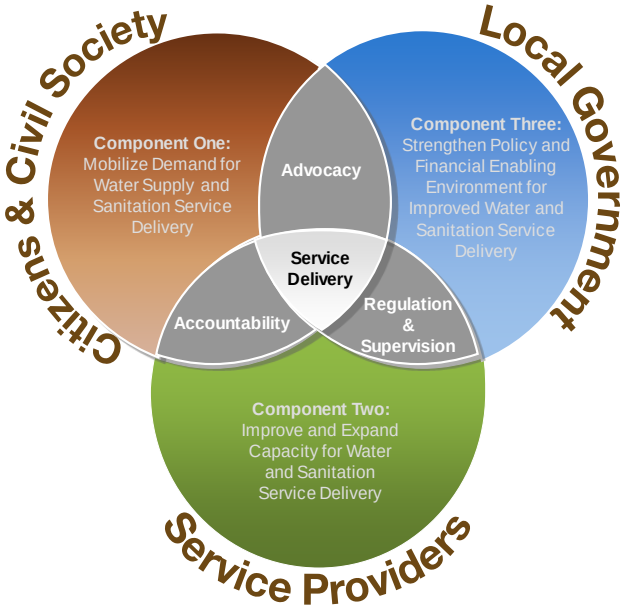

Figure 1: IUWASH – Working at the Intersection of Communities, Local Governments, and Utilities.

distinct types of intermediate results. These results include:

- Demand for safe drinking water access and improved sanitation increased among urban communities and households with currently unimproved access;
- Improved water and sanitation services provided by public and private sector institutions in urban areas have sufficient sustainable capacity to meet increased demand; and
- Improved governance and finance create an enabling environment that supports equitable access to safe drinking water and improved sanitation in urban areas.

Corresponding to the above results, there are three technical components of the IUWASH Project to increase access to water and sanitation services, which will require different, but mutually reinforcing, initiatives to mobilize demand (Component One), increase capacity for service delivery (Component Two), and improve the enabling environment (Component Three). Outcomes in each component are inextricably linked, and success under one component cannot be achieved if there is not commensurate success in the other two components.

Operationally, IUWASH is a regionally-based project supported by a central office in Jakarta. Regional offices are located in Medan, Semarang, Surabaya, and Makassar, while the Jakarta office oversees activities on a national level, as well as serves as a regional hub for West Java. In addition to regional offices, the Project has staff referred to as City Coordinators (CCs) who are technical specialists that are embedded in select agencies at the local level to maximize their engagement cost-effectively.

During the project's initial years and based on detailed assessment exercises, 54 municipalities were selected for long-term IUWASH support. These locations were selected based on: demonstrated need; the commitment of local governments to expand water supply and sanitation services, especially to the urban poor; Government of Indonesia (GoI) priorities; and the potential to undertake complementary activities with other USAID projects and other GoI and donor initiatives.

1.3 FIVE-YEAR VISION

Over a span of five years, the IUWASH team envisions widespread urban water supply and sanitation solutions being incorporated into national and local development strategies, enabling local governments and their service providers to deliver high-quality, efficient water and sanitation services. In achieving the targets set by USAID, we envision that such solutions will lead to further and sustainable increases in coverage well beyond the project's end date, especially for the urban poor.

The IUWASH team's strategic approach for achieving this vision is to:

a) serve as a catalyst for linking local level needs with national-level resources that are often available, but difficult for local sector stakeholders to access;
b) improve the capacity of Indonesian water utilities to reach development targets while accounting for threats to their water resources, including those due to or exacerbated by climate change;
c) improve the prospects for sustainable progress in sanitation improvement through institutional capacity development;
d) implement all activities through a lens of good governance—whether democratic governance (local government and civil society engagement) or corporate governance (such as PDAM operations and service delivery).

As concerns linking local level needs to resources at the national level (funding, programs and initiatives), Indonesia finds itself in an interesting position. Whether a by-product of an on-going process of decentralization or other consideration, in many instances, the resources for substantial

progress in water supply and sanitation service delivery are available among key national agencies and programs, but local stakeholder knowledge of and capacity to access such resources is very limited. The divide between needs and resources is exacerbated by limited resources necessary to bridge the two and which is a role that IUWASH, with its capacity at both levels, is wells-suited to fulfill.

With regards to improving the capacity of Indonesian water utilities to account for threats to their water resources, including those related to climate change, very much needs to be done. Understanding of water resource management in general and climate change impacts in particular remains relatively low; despite the fact that water scarcity is becoming an increasingly important barrier to service provision and coverage extension. IUWASH will build off of formative work undertaken in PY2 to expand the reach of its climate change work, seeking to not only impact the local level, but also the national level which is becoming increasingly engaged in the issue.

In the area of sanitation, early lessons under IUWASH highlight a need for substantial work in institutional capacity development among local government partners, especially in terms of planning, human resources development, as well as the formation, wherever possible, of local institutions that can oversee wastewater management on a municipal level. This will involve the further development of the project's Urban Sanitation Framework which it introduced in draft form in PY3; the application of substantially greater resources to training, as well as planning and coordination; as well as work towards the establishment of local implementation units (UPTDs) or similar structures among local partners that can evolve into robust municipal wastewater management and oversight bodies. In many respects, this latter area of IUWASH involvement targets a core problem within the sanitation sector of perhaps the majority Indonesian municipalities— fragmented institutional responsibility which in turn leads to a host of other ills (low sector visibility and budget allocations, ad-hoc planning, temporary solutions to major systemic problems, lack of monitoring and follow-up, etc.). Importantly, the project's work in PY4 will build on IUWASH efforts in previous years and, most especially, take advantage of very strong interest among its local partners to pursue advances in this area.

In terms of governance, this involves working at the intersection of communities, local governments, and utilities to improve advocacy, accountability and regulation in water and sanitation service delivery (see Figure 1). To do so, the team applies a demand- and capacity-building approach to improve access by engaging citizens and community groups to demand improved services, while simultaneously building capacity of both PDAM and local governments to deliver and oversee the quality of services. IUWASH also engages national government agencies to make improvements in the enabling conditions based on lessons learned in the field that will expand impact on a national scale.

The IUWASH approach as set forth above is not to the exclusion of other areas critical to improved sector performance, such as individual and collective behaviors or the functionality of service delivery systems. Rather, it recognizes that the focus on leveraging resources and sector governance provides a path for engendering substantial and sustainable sector development; bringing to scale sector investments while providing a foundation for their efficient and effective use.

1.4 PROJECT YEAR FOUR (PY4) WORKPLAN, OCTOBER 2013 THROUGH SEPTEMBER 2014

As a project, IUWASH efforts from the beginning of the project to the development of this workplan have evolved in very many respects. In PY1, the project focused much attention on putting into place the essential infrastructure, resources and relationships that are required for

implementation. In PY2, IUWASH looked beyond the basics and focused on building the programmatic foundation to achieve the five-year vision set forth above; and in PY3, IUWASH took advantage of the platform established earlier to support stakeholders across all areas of involvement and identify areas of particular opportunity. Throughout these earlier years, experience has demonstrated that, despite major challenges in improving access to water supply and sanitation services, the political momentum to substantially change this situation continues to grow. The commitment of sector stakeholders at all levels (from the project's national governmental partners to households across all IUWASH locations) and their willingness to contribute directly to improvements in sector performance has been increasingly apparent (through constructing new sanitation systems, increasing budget allocations, accepting higher tariff for water supply delivery, and innumerable other areas).

In addition to continuing to register progress across a variety of fronts, the past year (PY3) was especially noteworthy for calls from the Government of Indonesia (GOI) for increased IUWASH assistance, especially to assist in sanitation programming, as well as USAID's positive response to these calls. This resulted in the modification of the project's contract (effective October 01, 2013) to provide additional resources to not only make this happen, but to also expand the project's work in the areas of climate change adaptation and long-term finance. This fourth IUWASH workplan is designed to make maximum use of these resources and ensuring that they have the greatest impact possible.

This workplan covers the period of October 1, 2013 through September 30, 2014. It provides detail on a wide range of specific tasks planned for PY4, and sets forth specific targets for each area of activity (see Annex 9.1). Consistent with the above, the IUWASH Team has applied an overriding theme of *"Maximizing Resources for Greatest Impact"* to guide development of the workplan, which has involved substantial internal discussion and coordination, as well as substantial consultation with partners at all levels. The theme of PY4 recognizes that there are significant resources being made available to the sector (in particular, for sanitation) and that IUWASH is uniquely positioned to ensure that are of maximum benefit. In this optic, key features of the *"Maximizing Resources for Greatest Impact"* theme are designed to aid IUWASH in:

- Leveraging substantial resources to complement IUWASH's own technical capacity, expertise and geographic reach;
- Supporting local partners (local government, PDAM, community groups, etc.) in their efforts to undertake institutional reforms and capacity building initiatives;
- Serving as a key reference point for national-level agencies and programs as they seek to promote and support local initiatives designed to sustainably improve service delivery and coverage;
- Strengthening systems for planning, coordination and on-going technical exchange while also ensuring flexibility and an ability to adapt to changing conditions and new opportunities and challenges that arise;
- Further developing performance monitoring and measurement systems to ensure that high-quality programmatic and financial information is available and used to full effect;
- Maintaining a high standard of ethics, responsiveness and systems to ensure compliance with USAID and GoI requirements and expectations.

Subsequent chapters of this workplan include:

Chapter 2, Approach to High Level Results and Deliverables: This chapter describes each IUWASH high-level result, the relationship of each result with other technical component outcomes, and reviews specific targeted outcomes.

Chapter 3, Approach to Workplan of Water Supply Sector: This chapter discusses overall aims and objectives and our team's approach to achieving specific water supply-related deliverables, outcomes and results. This section briefly describes the project's approach to the sector; defines key anchor and signature projects; provides an overview of the project's important partnerships; describes key elements of the project's sector workplan; and includes a table summarizing planned tasks for PY4 and their associated activities, input requirements, expected results, and implementation timeframes.

Chapter 4, Approach to Workplan of Sanitation Sector: This chapter discusses overall aims and objectives and our team's approach to achieving specific sanitation-related deliverables, outcomes and results. This section briefly describes the project's approach to the sector; defines key anchor and signature projects; provides an overview of the project's important partnerships; describes key elements of the project's sector workplan; and includes a table summarizing planned tasks for PY4 and their associated activities, input requirements, expected results, and implementation timeframes.

Chapter 5, Approach to Workplan of Cross-Cutting Sector: This chapter discusses the overall aims and objectives and our team's approach to achieving specific aims across a range of cross-cutting areas including: advocacy for needed policy development; advocacy for increased budget allocation and policy development; improved citizen engagement; gender mainstreaming; and the mobilization of Corporate Social Responsibility (CSR) support.

Chapter 6, Approach to Grant Program Implementation: This chapter contains an overview of the project's approach to grant program management; a review of the relationships between IUWASH grant activities and the project's technical components and cross-cutting areas; a detailed description of planned tasks to be implemented during PY4; and a table summarizing these planned tasks and their associated activities, input requirements, expected results and implementation timeframes.

Chapter 7, Project Management Strategy and Activities: This section details IUWASH's management strategy, including the organizational chart and approach to matrix management; and provides a detailed description of planned activities in key management, financial and administrative areas. This includes as program communication, project reporting, monitoring and evaluation, as well as environmental compliance.

Chapter 8, Regional-Level Technical Activities: This chapter focuses on the regional IUWASH locations, providing an introduction to the targeted province(s), contextualizing IUWASH's work and development challenges in the region; presenting an overview of issues confronting each specific target location; and a providing a table summarizing planned tasks for PY4 and their associated activities, input requirements, expected results and implementation timeframes.

1.5 SUMMARY OF PY4 TARGETS AND DELIVERABLES

Through the end of PY3, IUWASH continued to register substantial progress towards achieving outcomes. In PY4, IUWASH will build off of the momentum established to further achieve appreciable results, while remaining realistic in how it sets targets. This process takes into consideration:

- Annual targets set forth in the IUWASH Performance Monitoring Plan (PMP);
- Achievements to-date of IUWASH outcomes;
- The strategy and approach applied for this year program;

- Requests from the National Government on supporting several national programs such as ADB/USRI, SLBP and PPSP; and
- The capacity of IUWASH to achieve such targets.

Importantly, and as mentioned above, this version of the Annual Workplan for PY4 also takes into consideration some key recommendations from the project's Mid-Term Evaluation which was conducted from late October through December. Such key recommendations include those related to microfinance targets, hygiene behaviors (specifically handwashing with soap and point-of-use water treatment which are proposed to be eliminated as targeted project outcomes) and long-term finance (regarding the point at which outcome achievements can be formally registered).

As concerns the project's High-Level Results, the following provides a summary of achievements from PY1 through PY3 and targeted amounts for PY4. Further detail on all IUWASH Outcomes and Targets achieved through PY3 and targeted for PY4 can be found in Annex 9.4.

Outcome Indicator	LOP Target	Achievement to Sept. 2013			Target	Est. Total by End of PY4
		PY1	PY2	PY3	PY4	
HR.1 Number of people in urban areas gain access to improved water supply as a result of US Government assistance	2,000,000	0	251,630	595,885	691,500	1,539,015 (76.95%)
HR.2 Number of people in urban areas gain access to improved sanitation facilities as a result of US Government assistance	250,000	0	13,730	47,710	141,250	202,690 (81.08%)
HR.3 The per unit water cost paid by the poor in targeted communities decreases by at least 20%	20	0	32%	21%	20%	24% (120%)
HR.4 Number of people trained in IUWASH type activities	75,000	417	14,834	22,078	9,965	47,294 (63.06%)

The proposed target of households with improved sanitation facilities for PY 4 (141,250) is double compared to the achievement under PY 3 (47,000) for following main reasons:

1) A lot of programs under individual sanitation syatem (San-1), communal sanitation system (San-2) and small/city sewerage system (San-3) were started in PY 3, but were not yet counted as achievement under PY3, because they were either not yet completed or they were completed, but actual beneficiaries were not yet verified through survey's or other measures.
2) With the additional resources in PY 4 (both staff and budget), the focus on increasing access to improved sanitation will be increased in Py4, especially related to program under San-1 (mobilizing microfinance for improved individual latrines) and San-3 (supporting small scale sewerage systems in partnership with the INDII financed sAIIG program).

2 APPROACH TO HIGH LEVEL RESULTS AND DELIVERABLES

2.1 INTRODUCTION

IUWASH high level results are results that contribute directly to the achievement of the seventh of the Millennium Development Goals of the GoI—expanding access to safe water and sanitation services. From this perspective, the partnership between the Government of the United States and the GoI in this sector will yield essential assistance that directly impacts the quality of life of the Indonesian people. To contribute to more equitable access, IUWASH emphasizes expanding services among Indonesia's urban poor. To ensure that improvements are sustained, IUWASH will adhere to a demand-driven approach that is driven by demand at the local level and grounded in the priorities of the central government. The high level results will flow from activities under the Project's three main components:

- *Demand for safe drinking water and improved sanitation mobilized among urban communities and households with currently unimproved access.* The program activities stimulate demand from both civil society and local governments for improved and increased water supply and sanitation services, which includes making service providers more accountable to the citizens they serve and the local government owners. IUWASH's approach for achieving this result is to give a voice to hidden demand, and to mobilize demand for improved sanitation by creating service demand where previously none existed.
- *The capacity to sustainably meet this mobilized demand with improved water and sanitation services built among the public and private sector institutions best placed to provide these services in urban areas.* The water and sanitation sector is currently facing several challenges, including poor management, insufficient funding, and operational inefficiencies. To address these issues, IUWASH will increase the capacity of key institutions including the local government, PDAM, civil society, small and medium enterprises (SMEs), and community groups.
- *A governance and financial enabling environment created that supports equitable access to safe drinking water and improved sanitation in urban areas.* Facilitating an improved enabling environment for water and sanitation services will involve the active participation of local governments and parliaments as the owners of water utilities. Recent GoI programs to improve sanitation also depend on local governments to lead the development and implementation of citywide sanitation plans that support household, community-based, and centralized solutions in accordance with citywide objectives.

The results of the program activities under the components above are targeted to contribute towards achievement of the high level results.

Corresponding to these intermediate results are three technical components that together lead to increased access to water and sanitation services. These components are mutually reinforcing, and the outcomes targeted in each are inextricably linked, such that success under one component cannot be achieved without commensurate success in the other two. These components are further supported by a small grants program to promote innovation and scaling-up of successful approaches to increasing access.

While IUWASH is designed around the three above components, in PY3 the project transitioned to a workplanning and reporting format based on the project's two main sectors of intervention—water supply and sanitation—and those "crosscutting areas" that are common to each. Though there is no fundamental change in how IUWASH is organized or operates, this format better aligns with the planning processes and management systems of our national and local partners, and better reflects how IUWASH as a project interacts with stakeholders and influences specific areas of concern.

2.2 OVERVIEW OF HIGH LEVEL RESULTS

The principal mandate of IUWASH is the achievement of four "high level results" (HR) that contribute directly to the Millennium Development Goals of the GoI. HR-1 and HR-2 focus on the actual number of people that benefit from improved access to water supply and sanitation. HR-3 addresses the need for affordable services for the poor in the form of reduced costs that low-income households must pay for access to water supply. The last indicator, HR-4, is an additional result proposed by IUWASH concerning the total number of people trained under the Project on issues and approaches that directly impact demand for and access to clean water and sanitation. The matrices provided in each subsection below demonstrate the linkages of each high level result with the outcomes under the respective components.

In September 2013 received a contract amendment which provided additional funding to expand some existing outcomes as well as adding several new outcomes. The additional activities financed by this amendment response to GOI requests to USAID to expand the scope of IUWASH work with special emphasis on increasing sustainable access to Urban Sanitation and also increase awareness on climate change adaptation for local and national stakeholders as well as identifying options on increasing capital financial investment for increasing access to safe water supply. This amendment also impacts to the High Level Results component by adding the target of two outcomes on HR-2 (people gain access to improved sanitation services as a result of US Government assistance) and HR-4 (people participated in IUWASH training activities).

High Level Result HR-1: People gain access to improved water supply as a result of US Government assistance

High Level Result HR-1 focuses on the number of people living in urban and peri-urban areas who gain access for the first time to an improved water supply. An improved water supply is defined as clean water that comes from an improved water source. Within the IUWASH program an improved water source will come in the form of a PDAM connection to the individual household, a master meter connection, or connections guaranteed to be made from several capital expenditure financing programs. IUWASH provides technical assistance to 50 PDAM through various capacity building activities in management, technical and financial aspects so PDAM will improve their performance resulting in expansion of services for the people. This outcome is closely related with the outcome IC-1 on the improvement of PDAM Performance Index. At the end of IUWASH, IUWASH will evaluate the achievement on improvement of PDAM Performance Index. Only those PDAMs that have increased performance index with more then 20% (measured from the baseline at start of IUWASH support) will be included in the calculation of the achievement of the HR-1 outcome.

Beside the increase of PDAM connections, counting towards the cumulative target of providing two million people with increased water supply access, IUWASH is implementing following innovative solutions focusing on increasing access to piped water for poor households:

1. *Communal connections through master meters.* Communal/master meters are PDAM connections established at the entrance to a neighborhood from which point community members themselves organize and manage piped water distribution to households, along with payments to PDAMs and internal operations and maintenance. This method of service provision is especially appropriate in poor communities where land titling is problematic (informal settlements). This year, IUWASH will implement master meter in several cities across most IUWASH regions such as Kota Sibolga (North Sumatra), Kab. Tangerang (Banten), Kota Surakarta (Central Java), and Kota Surabaya (East Java). Possibilities for master meter program in DKI Jakarta will be assessed this year with local government and both private operators. Besides increasing connection for urban poor, Master meter in Jakarta will contribute significally reduction of Non Revenue Water, by reduction of illegal connections.

2. *Microfinance for water supply*. One issue directly influencing household-level demand mobilization for piped water supply is the payment of a connection fee, which often pose insurmountable obstacles for poorer households. To address this issue, IUWASH has promoted the use of microfinance for low income households seeking a new piped connection. In PY4, IUWASH will continue this work through more targeted activities and, based MTE observations regarding difficulties encountered in microcredit promotion, IUWASH will develop an Action Plan for Microfinance work (in both water and sanitation) to review some of challenges the project is facing in achieving this result, the reasons for those challenges, and provide recommendations for adjustments to the target and technical approach as necessary.

Starting the PY3, IUWASH also measure the percent increased of household increased access safe water supply for this Non-PDAM water source IUWASH start to count the total households in the area where the community-based water supply systems developed.

In terms of PDAM connections, there are three methodologies to gauge increased access:
1. Number of new connections for all PDAMs in the IUWASH cluster, provided that through IUWASH support, PDAM Performance Index increased by at least 20%.
2. Number of new connections made through master meters, as explained above
3. Number of new potential connections from PDAMs, whereby IUWASH technical assistance was instrumental in securing capital expenditure financing, but where actual connections are not made yet during the IUWASH project period. However as long as the local government, GOI, local banks and/or private investors have committed to financing the expansion of new connections, IUWASH may include the potential connections under this indicator. IUWASH has developed criteria for the assurance that alternative financing will be obtained and used to increase access to improved water supply, and on how many additional people can benefit.

As PDAM connection, for the percent increased of household increased access to safe water supply will be counted from the total households located in the coverage area of PDAM partners. In the city setting the total households of the city is equal with the coverage area of PDAM while in the district setting, PDAM does not cover the whole sub-districts but usually about 60% of total households in the district are considered as the coverage area of PDAM. This assumption refers to the common definition developed by Ministry of Public Works. IUWASH use the latest Susenas data (formal Indonesian Statistic data) to count these total households. While for non-PDAM connection, for the percent increased of household increased access to safe water supply, the total household will be counted from the total households in the location where the community-based water supply system developed. It is important to note that, per the MTE, it was also recommended to revise the methodology for counting success towards the achievement of E2 (see below) to allow results to be claimed when GOI coordinating committee loan approval is granted. This will be addressed in a fiorthcoming modification to the project's PMP. The following is a list of the outcomes that contribute to the achievement of High Level Result HR-1. Detailed activities under each of the outcomes can be found in the Sector-based and Regional work plan descriptions.

Contributed Outcomes to HR-1	
Indicator: Number of people gain access to improved water supply as a result of US Government assistance	
Outcome MD.2	Civil society groups and/or government cadres implementing programs to mobilize improved access to safe drinking water and adequate sanitation
Outcome IC.1	PDAMs with improved technical, financial and management performance
Outcome IC.4	Local government institutions implementing necessary climate change adaptation measures, on preliminary raw water sources vulnerability assessment
Outcome EE.2	PDAMs / local government obtain access to long-term funding for watsan investment plans
Outcome EE.3	Percent increased (%) in financial resources accessed by service providers from public and private sources for expansion of improved watsan services
Outcome EE.4	Low income households accessing micro finance for household improvements in watsan

High Level Result HR-2: People gain access to improved sanitation services as a result of US Government assistance

The High Level Result 2 (HR-2) focuses on the number of people that obtain access to improved sanitation services. According to the standard provided by the Ministry of Public Works, the areas that are categorized as peri-urban are area with population density of at least 150 people per hectare. An improved sanitation facility is defined as a facility that uses the proper technology to ensure privacy, personal hygiene, and the avoidance of negative environmental impacts (such as through connection to a public sewer system, connection to a septic system, and/or pour-flush latrine). Unimproved latrines, which are not counted in the USAID Standard Indicators, include public or shared latrines, and bucket latrines. During the implementation of this workplan, and for meaningful project-level monitoring, IUWASH will work to reconcile the USAID definition with that of the GOI.

This outcome is adjusted starting this program year due to contract amendment which increases target of HR 2 form 200,00 people to 250,000 people with improved access to sanitation. To reach the total target of 250,000 people IUWASH will focus on several improved sanitation system as follows:

- Increase access through individual sanitation systems. This system is implemented through promotion of the STBM-Urban approach supporting the overall GOI program on STBM (*Sanitasi Total Berbasis Masyarakat)*. In this approach, IUWASH is mainly working with sanitarians and STBM facilitators (community cadre) and starts from creating demand through triggering activities then continues with technical support for construction of the individual facilities and capacity building of sanitarians and STBM facilitators (community cadre) to better implement behavior change activities in support of increased access to improved sanitation facilities. Behavior change activities will focus on triggering people to connect to improved sanitation facilities, properly use the improved facilities, and properly maintain the facilities to ensure their sustainability.
- Increased access through communal systems. The communal systems developed through the development of communal septic tanks (including house connections) and public toilets (already existing but underutilized). This program is implemented directly by Regional IUWASH Teams and/or IUWASH Grantee and includes partnerships program Ministry of Public works to support ADB/USRI program. IUWASH is providing support in capacity building/training of facilitators, promotion campaigns to trigger positive responses from community who will have more willingness to provide land and connect to the facilities. The same package of the program activities will be conducted to support the SLBM and Sanimas programs implemented by the LG institutions (District Public Works office and Provincial Public Works Office/*Satker PU*). Furthermore, IUWASH will support the institutional strengthening (through UPTD, or others) to support future operations and maintenance
- Increased access through off-site sanitation (sewerage). For this program, IUWASH is supporting local government and/or PDAM to develop and implement concrete plans for the development of small scale or large sewerage systems, focusing on promotion and designs, and institutional strengthening and where needed mobilize financing for physical construction for sewerage expansion, including house connections provided by central and local government.
- Improved Urban Sludge Management (USM) systems, which is an integrated program of desludging management system and sustainable system with adequate support by infrastructure, institutional, financial, administrative management and proper regulation. IUWASH is collaborating with Ministry of Public Work to expose implementation of this program.

These sanitation programs will be implemented through several potential groups as follow:

- Support communities and local governments in mobilizing funds and rolling out appropriate sanitation systems. The funds may come from several sources, including local and/or national government grants, household contributions (in cash or through microfinance), and CSR funds.
- Support the development of new technologies using grants to universities, small and micro enterprises, and local NGOs. IUWASH support will develop and test other low-cost sanitation systems that are technically appropriate and more affordable for poor urban households.
- Support the capacity of the local government staff and institutions to provide better support for community groups to maintain and manage the communal systems developed. This institution will need more additional support such as financing for operation and regulation on the establishment of the institution support.

The following is a list of the outcomes that contribute to the achievement of High Level Result HR-2. Detailed activities under each of the outcomes can be found in the Sector-based and Regional work plan descriptions.

Contributed Outcomes to HR-2	
Indicator: Number of people gain access to improved sanitation services as a result of US Government assistance	
Outcome MD.2	Civil society groups and/or government cadres implementing programs to mobilize improved access to safe drinking water and adequate sanitation
Outcome MD.4	Sanitation for the poor toolkit developed
Outcome IC.5	Local government implementing integrated sanitation and hygiene interventions that reflect their CSS plans
Outcome IC.6	SME providing affordable construction and sanitation facility management services
Outcome EE.2	PDAMs / Local government obtain access to long-term funding for watsan investment plans
Outcome EE.3	Percent increased (%) in financial resources accessed by service providers from public and sources for expansion of improved watsan services
Outcome EE.4	Low income households accessing micro finance for household improvements in watsan

High Level Result: HR-3 The per unit water cost paid by the poor in targeted communities decreases by at least 20% through more participatory, transparent, accountable and financially enabled services

Higher Level Result 3 (HR3) addresses the ability of the poor to pay for their daily water needs. Demand for affordable and safe drinking water is high among the poorest Indonesian households. Surveys show that the urban poor pay on average 10-20% of their monthly income on water. The water that most of these households purchase is expensive or of questionable quality. The challenge, then, is to mobilize this existing demand so that communities can work with water utilities to access more affordable and increasingly high quality piped water services.

The per unit water cost of water under this result is defined as the cost of water consumption per household per month. The determination of whether a household is "poor" shall be based upon the standards of the local jurisdiction. Information will be gathered from targeted IUWASH intervention sites (sampling). The target communities are the communities within IUWASH cities where IUWASH directly supports water for poor programs, such as master meter, micro-finance, output based aid (OBA) or other programs. The communities are in the RW (neighborhood unit) level. A participatory, transparent, and accountable, and financially enabled service is required to be implemented by IUWASH to support the achievement of this result. The service is defined as a

process for the provision of support to increase access to improved water services that are highly participatory by the targeted beneficiaries of the program, and, if required, could include subsidized connections (either through master meter, micro-finance, etc).

Starting last year, IUWASH have already conducted water cost surveys for Micro Finance program in Kudus and Mojokerto district and Master Meter Program in Sidoarjo district. The result shows an average decrease of 27% of water cost. This Year, IUWASH will continue to conduct water cost survey's for Micro Finance and Master Meter Programs in all cities have results on both programs.

The following is a list of the outcomes that contribute to the achievement of High Level Result HR-3. Detailed activities under each of the outcomes can be found under the National and Regional work plan descriptions.

Contributed Outcomes to HR-3	
Indicator: Percent decreased (at least 20%) of per unit water cost paid by the poor in targeted communities through more participatory, transparent, accountable and financially enabled services	
Outcome MD.2	Civil society groups and/or government cadres implementing programs to mobilize improved access to safe drinking water and adequate sanitation
Outcome IC.1	PDAMs with improved technical, financial and management performance
Outcome EE.2	PDAMs / local government obtain access to long-term funding for WATSAN investment plans
Outcome EE.4	Low income households accessing micro finance for household improvements in watsan
Outcome EE.5	Local Governments adopt new or improved mechanisms for citizens to engage local government in watsan

High Level Result: HR-4 People participated in IUWASH training activities

HR4 represents an additional result proposed by IUWASH in accordance with USAID reporting requirements for Participant Training Information (PTI). Specifically, this result complies with reporting requirements for programmatic training as described under AIDAR 752.242-70. The guidance on how to implement USAID-funded training programs is based on the ADS 253.

The "people" mentioned in this indicator consist of community members, government officers from different levels, private sectors officers, donor agency staff, etc. who participate in IUWASH training activities. The training activities are defined as all types of training related initiatives aimed at increased capacity and understanding of IUWASH programmatic objectives. Illustrative topics may include water supply, sanitation services and hygiene improvement as well as the technical aspect which is related to IUWASH components (demand mobilization, increasing of capacity and providing enable environment).

With the contract amendment received in September 2013, incorporating more training activities in sanitation, climate change adaptation and capital expenditures investment programs, the target of this outcome is increased from 50,000 people trained to 75,000 people trained.

There are no specific outcomes that contribute to this result. All the training activities under all IUWASH outcomes will contribute to the achievement of this result.

Contributed Outcomes to HR-4
Indicator: Number of people trained in IUWASH training activities
There is no specific task. All the training activities under all IUWASH outcome activities will contribute to this outcome

3 APPROACH TO WORKPLAN OF WATER SUPPLY SECTOR

3.1 INTRODUCTION

One of the primary objectives of IUWASH is to increase access to improved (piped) water supply for two million people, or 400,000 households, assuming an average of five people per household. To reach this target, IUWASH is providing direct support to 50 local water utilities (PDAMs) as continuation of support provided during PY 3. The technical support provided by IUWASH covers not only the internal aspects of PDAM operations (technical, financial and institutional), but also external factors related to: good governance by PDAM owners and other local decision makers; protection and enhancement of raw water sources combined with Climate Change Adaptation Planning; and mobilizing additional financing for sustainable expansion of services. These combined efforts will result in improved services for all PDAM customers, with special emphasis on low-income families. Details of this support can be found in the Water Supply Matrix in Annex 9.4.

In accordance with the organization of the previous PY 3 Work Plan, the PY 4 Work Plan is organized by technical sector as opposed to components. This "Sector-based" approach better aligns with corresponding GOI and donor programs. Within the IUWASH Water Supply program, all IUWASH interventions are now grouped under eight programs, which are listed in the table on the right and which can also be found in Annex 9.2.

IUWASH programs in Water Supply Sector:	
WS 1	Improve PDAM Operational Aspects
WS 2	Improve PDAM Financial Aspects
WS 3	Improve PDAM Customer Engagement
WS 4	Raw water & Climate change Adaptation
WS 5	Water for the Poor - Micro Finance
WS 6	Water for the poor – Master Meters
WS 7	PDAM Capital Expenditure Financing
WS 8	PDAM Institutional & Governance Aspects

Figure 2: Summary 8 Water Supply Programs.

Although the eight Water Supply Sector programs are described separately in this chapter, they are very much interconnected, with activities under each program playing a crucial role in improving PDAM performance and expanding service delivery. The Figure below illustrates the connections between the eight IUWASH Water Supply programs:

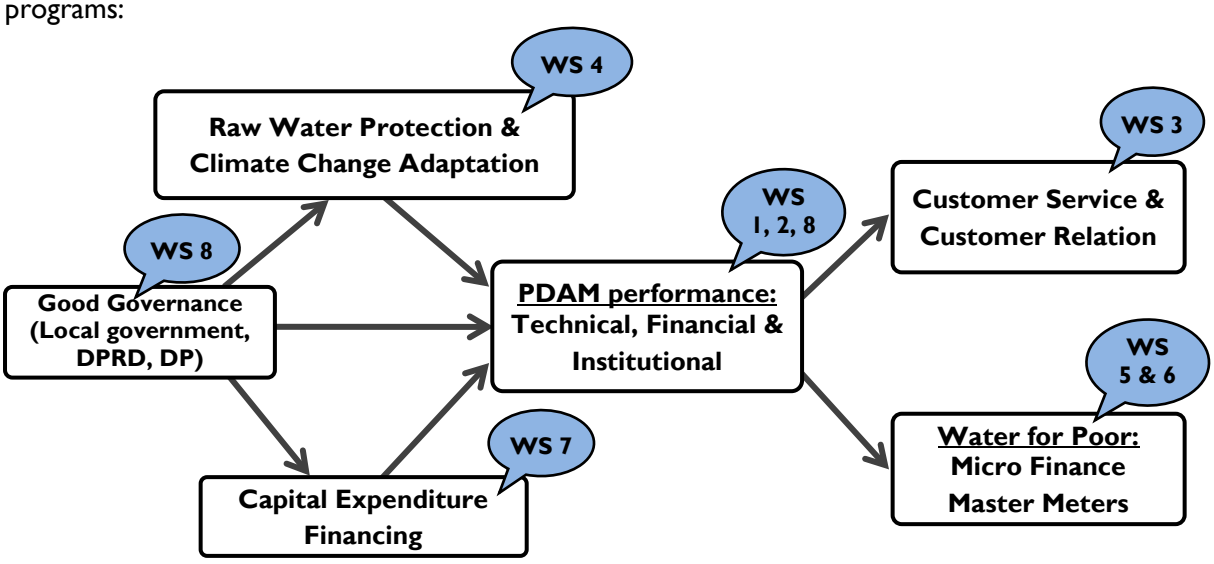

Figure 3: Connection between 8 IUWASH Water Supply Programs.

The following sections provide more detail on all programs in the Water Supply Sector.

- Section 3.2. highlights IUWASH signature approaches and summarizes regional Anchor sites.
- Section 3.3. describes collaboration with important IUWASH partners to jointly achieve IUWASH and GoI goals.
- Section 3.4 provides more detail on each of the eight Water Supply programs, including short descriptions of the various subprograms.
- Section 3.5 provides information on the specific tasks and activities planned for the IUWASH National team, which both supports the IUWASH Regional offices and liaises with the national-level stakeholders in the urban water supply sector.

3.2 ANCHOR SITES AND SIGNATURE APPROACHES

This section provides a short explanation of the concepts of Signature Programs and Anchor Projects, followed by a summary of the activities planned for PY 4 under each program.

IUWASH Signature Approaches

In the previous Workplan IUWASH started to identify *Signature Approaches,* which IUWASH defines as, "out-of-the-box" innovative approaches that can be used as examples by the GoI and/or other donor agencies. Signature *Approaches* include concept development, piloting/field testing, exposure through national workshops and/or exchange visits, and development of guidelines for scaling up and monitoring progress and lessons learned. *Signature Approaches* are implemented by combining direct assistance from IUWASH experts and subcontracted third parties. *Signature Approaches* are implemented in all IUWASH regions.

The IUWASH Signature Approaches identified for Water Supply sector for PY 4 are listed below:

Title	Type of activities to be conducted	Goal
PDAM Energy Efficiency & Non Revenue Water reduction	• PDAM Energy Efficiency Audits (EEA) • EEA manual/guidelines (with ICED and MPW) • Exposure through (national) workshops • Assessment of financing options (by ICED) • Collaboration with / support of private sector in NRW and EE studies • NRW reduction pilots and staff training	Model of EEA, including success stories and choice of financing options adopted by PDAM, GoI and donors Innovative approaches for NRW reduction with private sector and PDAM
Water for the Poor (MBR)	• Microfinance (MF) to pre-finance individual house connections through a bank/cooperative • Master Meter (MM) systems connecting low-income (MBR) families to group connections managed by CBOs	Model MF and MM programs used in all regions and adopted by PDAMs, GoI and others as viable option to expand service to MBR
Climate Change Adaptation Plans	• Climate Change Vulnerability Assessments describing current and future threats to raw water and PDAM infrastructure • Climate Change Adaptation Planning, obtaining commitment from local decision makers and included in PDAM business plan and local medium-term development plans (RPJMD)	Models developed in all IUWASH regions with local commitment and adopted by national agencies as means to safeguard against future risks of climate change

Title	Type of activities to be conducted	Goal
Capital Expenditure Financing	• Technical and financial feasibility studies to determine overall project viability; • Detailed engineering designs and project costing; • Advocacy support with local government, central government, potential customers, and other stakeholders; • Negotiation facilitation with private sector investors and lenders; and • Structuring of PPP contracts and commercial loan agreements.	Comprehensive creditworthiness analysis; Innovative financial models that clearly identify projects strengths and weaknesses; Utilization of alternative financing approaches, including PPP's and commercial loans.

Anchor Sites

IUWASH is implementing many Programs with PDAMs in 50 locations, as can be seen throughout this Workplan. Accordingly, IUWASH developed the concept of *Anchor Sites for Water Supply and Sanitation* to assist Regional teams in prioritizing their limited resources (manpower, time and budget) to those Sites that provide the greatest contribution towards achieving IUWASH Higher Level Results and/or critical outcomes. For the Water Supply Sector, critical outcomes include Water for the Poor, Climate Change Adaptation Plans, and mobilization of Capital Financing.

The Water Supply Anchor Sites (one and three per region) have the following characteristics:

- make a substantial contribution to IUWASH Higher Level Results and/or Critical Outcomes;
- clearly demonstrate that IUWASH plays a key role in program success; and
- can be used as a showcase for USAID, GoI, other donors, and CSR partners.

The Water Supply Anchor Sites for all regions in PY 4 are listed below:

Title	Activity Description	Target	Location
North Sumatra			
Water for the Poor	• Microcredit Program with PDAM Langkat and PDAM Labuhan Batu • Master Meter program with PDAM Sibolga	1,150 hh	PDAM Langkat PDAM Labuhan Batu PDAM Sibolga
Capital Expenditure Financing	Support PDAM, LOCAL GOVERNMENT with raw water supply (200 lps) for 2 locations	15,000 hh	PDAM Tebing Tinggi & Serdang Bedagai (non-IUWASH location)
West Java			
Climate change adaptation program	Development of CCVAAP, combined with exposure workshops, legislation, promotion for raw water conservation	1x CCVAAP action plan	PDAM Kab. Bandung
Central Java			
Capital Expenditure Financing	Water Treatment Plant (300 lps), financed through PPP, with IUWASH supporting DED, mechanism for obtaining capital finance, regulations, obtain commitment all parties	22,500 hh	PDAM Kendal
East Java			
Capital Expenditure Financing	Three Water Treatment Plants (total 900 lps), financed by Perpres 29 and PPP	65,000 hh	PDAM Lamongan PDAM Mojokerto PDAM Gresik
Water for the Poor	• Over 10 Master Meter systems (Sidoarjo and Surabaya) financed by IUWASH, and CSR • Large micro finance program (Mojokerto) with local Cooperative and BSM	7,000 hh	PDAM Sidoarjo PDAM Surabaya PDAM Kab. Mojokerto

Title	Activity Description	Target	Location
Climate change adaptation program	Development of three CCVAAPs combined with construction of infiltration ponds, financed by IUWASH and CSR	3x CCVAAP + 850 infiltration ponds	Kab. Mojokerto PDAM Kota/Kab. Probolinggo
South Sulawesi			
Water for the Poor	Water Treatment Plant (2 x20 lps) combined with programs on water quality improvement followed by promotion microcredit program	3,000 hh	Kab Jeneponto

3.3 PARTNERSHIPS WITH OTHER STAKEHOLDERS

IUWASH recognizes that achieving the ambitious targets set out above and ensuring the sustainability of the solutions provided—especially long-term improvements in PDAM performance—can only be achieved through strong partnerships with key national government ministries, donor agencies, and other institutions, both public (BPPSPAM, PERPAMSI, etc.) and private (Coca Cola Foundation Indonesia (CCFI) and other CSR partners). This collaboration can take many forms, including regular exchanges to avoid duplication of efforts and to share lessons learned, as well as developing joint programs such as PDAM Energy Efficiency (with the Ministry of Public Works and ICED) and the construction of infiltration ponds (with CCFI). IUWASH will continue building on the strong relationships developed under PY3 and is open to developing new partnerships and collaborative efforts with other parties, as long as they are in line with IUWASH's mandate and will strengthen national and local partners, in particular key GOI ministries, target local governments, PDAMs and local communities.

For the PY 4 Workplan, several partnerships are planned as can be seen in Table below:

Partner	Summary of Activities
USAID Water.org	Collaboration on promotion micro finance for water supply (and sanitation) access through strengthening local institutions and mobilizing finance
USAID Indonesian Clean Energy Development (ICED) program	Joined program on PDAM Energy Efficiency, with Ministry of Public Works. Programs include development of Energy Efficiency guidelines, assessment of financing options, investment grade analysis, and national workshop
Ministry of Public Works/Water Supply	Joined collaboration on PDAM performance improvements programs, including Energy Efficiency, Non-Revenue Water (NRW) Reduction,
Ministry of Finance	Monitoring of PDAM debt restructuring programs
Ministry of Environment & DNPI (National Climate Change Council)	Regular communication and exchange experience on climate change adaptation programs and opportunities
BPPSPAM	Joined collaboration on roundtable on PDAM sustainability and PDAM long-term financing (including PPP, Perpres 29)
Perhutani	MoU on construction of infiltration ponds in Perhutani managed forests
Asian Development Bank	Exchanging experience on PDAM Energy Efficiency and Non-Revenue Water reduction programs
Indonesia Infrastructure Initiative (IndII)	Regular communication and exchange experience on Water Hibah and other PDAM performance improvement programs
Coca Cola Foundation Indonesia	Close collaboration to complete construction of infiltration ponds (*Sumur Resepan*) in North Sumatra and East Java and start new program in Central Java;
HSBC bank	Develop collaboration in development of Master Meter systems for MBR in Surabaya
Bank Syariah Mandiri and Bank Rakyat Indonesia	Joined operation and expansion of microfinance program for MBR to obtain easy access to PDAM connections

Aside from national partners, IUWASH also fosters partnerships with local government agencies, NGOs, CSR partners and others at the regional and local level. Details of these relations can be found in the regional workplan sections of this Workplan.

3.4 WORKPLAN IMPLEMENTATION

In this section a summary description is given of each of the eight IUWASH programs in the water supply sector, numbered WS 1 to WS 8. Some of these programs (e.g., WS 1 and WS 2) are divided in subprograms (e.g, NRW Reduction, Billing and Accounting) to clarify further the approach and strategies applied by IUWASH to achieve the main program objectives. All of these programs are inter-related (as explained in the introduction to this Chapter) and they are also closely related to all programs described in Chapter 5 on Cross-Cutting Programs, with special emphasis on CC 1 (Local government policy development), CC 2 (increased APBD budget for watsan sector) and CC 3 (increased citizen engagement).

Program WS 1: Improved PDAM Operational Aspects

The focus of this program is to improve PDAM performance, as measured by a PDAM Performance Index, and increase water supply to communities. This program includes six subprograms:

1) Monitoring of PDAM Performance Index;
2) Energy Efficiency Audit and Energy Efficiency improvements;
3) Non-Revenue Water (NRW) reduction;
4) Distribution network improvement;
5) Optimization of production capacity; and
6) Support to GIS/MIS system improvements.

By implementing these programs, it is expected that (i) water availability for existing and new customers will increase (through NRW reduction and optimization of production capacity); (ii) PDAM financial performance will be improved (through Energy Efficiency, NRW reduction and MIS); and (iii) technical performance, including water flow and pressure, will be improved (through distribution network improvement, application of GIS, etc.). GIS/MIS is particularly cross-cutting as concerns PDAM performance improvement since improved management information impacts almost every aspect of PDAM operations (technical, financial, operational) down to the level of the individual customer.

PDAM Performance Index Monitoring
IUWASH developed a PDAM Performance Index (PI) on critical aspects which are influencing PDAM performance: financial, technical and operational affairs; raw water protection; customer relations; good governance; and human resources management. For each participating PDAM, IUWASH collected relevant data to establish a PDAM PI baseline in June 2011 (first batch of 24 PDAMs) and December 2012 (for second batch of 26 PDAMs), which is then updated every six months. Results are discussed with the PDAM management to identify critical areas of weakness that can be addressed through technical assistance (TA) from IUWASH or other organizations. The aim is to improve the PI for each PDAM participating in IUWASH by minimum 20% from the baseline.

Energy Efficiency Audits
One problem facing many PDAMs is high energy costs, especially for PDAMs using pumping systems. PDAM management are usually not aware that PDAM energy consumption is not efficient, nor which steps can be taken to improve it and how much benefit it will provide to them. As a follow-up to the Energy Efficiency kickoff workshop conducted by IUWASH and Ministry of Public Works (PU)

in 2012 to socialize the benefits of PDAM Energy Efficiency Audits, in PY 3 IUWASH collaborated with PU and ICED (a USAID program focusing on clean energy development) to prepare Energy Efficiency Audit (EEA) guidelines for PDAM managers and operators. For PY 4, IUWASH will continue with ICED and PU to conduct a national seminar to disseminate these EEA guidelines in combination with result EEA completed at 7 PDAMs during PY 2 and PY 3. IUWASH will also continue in PY 4, in collaboration with ICED and private sector to conduct EEA at 5 PDAMs (Tanjung Balai, Asahan, Kab Bekasi, Salatiga, Gresik) that have requested this and where high impact can be expected.

NRW Reduction

From the previous NRW programs implemented by USAID, it is apparent that NRW reduction programs, which involve the establishment of District Monitoring Areas (DMAs) and intensive participation by PDAM staff at all stages, greatly increase their understanding and capacity to implement NRW programs themselves, and to reduce NRW significantly within the DMA. Unfortunately, this model is not easy to replicate in many PDAM service areas due to the often very poor condition of the network and low or intermittent water pressure. Therefore, the implementation of NRW program at PY 3 was not only conducted through development of DMA but also to reduce non-technical NRW aspects, especially improving the accuracy of customer meter reading, increasing billing efficiency, and identifying and reducing illegal connections. The methods used include both on-the-job training and direct implementation in the field. In PY4, IUWASH continues provide technical support during implementation for ca 15 PDAMs and through monitoring of the results will develop factsheets on lessons learned of NRW reduction, which can be used by other PDAMs, PERPAMSI, donors and GOI.

IUWASH PDAMs receiving NRW support under PY 4

Region	Location	
North Sumatra (2)	PDAM Tanjung Balai and PDAM Labuhan Batu	Capacity building on the NRW non-technical aspects
West Java (2)	PDAM Serang and PDAM Lebak	data collection and evaluation existing NRW
Central Java (5)	PDAM Batang, PDAM Rembang, PDAM Salatiga, PDAM Klaten and PDAM Sukoharjo	NRW training by IUWASH regional team
South Sulawesi & Eastern Indonesia(6)	PDAM Sidrap, PDAM Bantaeng and PDAM Jayapura	training and pilot project of customer meter replacement
	PDAM Maros and PDAM Takalar	training and prepare DMA
	PDAM Pinrang	improvement of meter reading

From the evaluation of NRW in DKI (with Aetra and Palyja) it was indicated that both PAM Jaya and operators do not yet use same methodology to evaluate of NRW, therefor to minimize different perception, during PY 4, IUWASH will conduct training in for PAM Jaya and operators regarding evaluation of NRW. IUWASH will also continue to facilitate Miya, an international company specializing in NRW reduction, to cooperate with between 2 – 4 PDAMs to reduce NRW through Performance Based Contract.

Distribution Network Improvement

One of the main reasons for low consumption and customer complaints is the low and intermittent water flow and pressure in the distribution network. The aim of the distribution network improvement program is to address this issue by training PDAM staff in 9 locations (4 in Central Java, 2 in East Java and 3 in South Sulawesi) how to evaluate existing network capacity and make improvements. The training will consist of (i) how to prepare as- built drawing (ii) classroom

training explaining how to calculate water demand at each zone and how to use the EPANET hydraulic software program (network modeling program developed by EPA) to calculate pressure and flow, and (iii) on-the-job training to prepare as-built drawing, measure water pressure in the distribution network, the elevation and length of pipes using GPS, and to demonstrate ways to improve network maintenance, including proper pipe repairs and flushing.

Larger technical assistance programs (through subcontracts) will be implemented in Medan, Makassar and Pare Pare, providing direct technical support (through subcontract with local consultant firms) for specific areas of their distribution network, where unclear water flow and low pressure results in customer problems and impossibility to increase access for new households

Production Capacity Optimization

To minimize costs and accelerate additional production capacity, it is often possible to optimize the existing production capacity rather than add a new production unit. In PY4, IUWASH will work with 7 PDAMs (2 in North Sumatra, 1in Banten and 4 in East Java regions) to support the optimization of the water treatment Plants, either through a pre-Feasibility Study (FS), Detailed Design of up-rating production facilities, assess availability of raw water; For those parts of the production unit which can be optimized (intake, raw water pump or the treatment process itself), IUWASH will work with PDAM and local government to identify resources needed to conduct a more detailed study, as well as mobilization of required budget allocation under PDAM, local government (APBD) or GoI (APBN)

GIS/MIS support

IUWASH GIS/MIS support in PY 4 will continue focusing on activities on improving PDAM capacity, especially in the management of spatial data (both customer and network data). Increased understanding and capability of the PDAM to operate water supply GIS/MIS to improve operation and maintenance of the distribution network, improve services to customers through better water billing, and accelerate network expansion and the number of customers served. For PDAMs not yet familiar with GIS technology, IUWASH will introduce and provide basic GIS training, while for PDAMs already using GIS, IUWASH will assess how to improve and optimize their capacity and, where requested, introduce MIS for customer data. The GIS training will involve classroom training and follow-up in the field. GIS programs in PY4 will support 28 PDAM as follows:

IUWASH PDAMs receiving GIS support

Region	Location	Type of GIS / MIS support
North Sumatra (3)	Kab Pematang Siantar, Kota Tebing Tinggi and Kab Langkat	on-the-job training in developing customer spatial data
West Java (3)	Kota Bekasi and Kab Bekasi	spatial data customers and distribution network
	Kota Bogor	Spatial data for customers and optimization of customer billing system
Central Java (9)	All 9 PDAMs	GIS technology introductory training
	Kab Kendal, Kota Semarang, Kota Salatiga and Kota Surakarta	development of distribution network and customer spatial data
East Java (10)	10 PDAMs	Introduction to water supply MIS systems (through classroom training) with PDAM Kab Bandung
	Selected PDAMs from initial group of 10 PDAMs	Implement MIS system for water supply, with PDAM Kab Bandung as main trainer.
South Sulawesi (3)	Kab Sidrap, Kab Pinrang and Kab Bantaeng	GIS technology introductory training

Program WS 2: Improved PDAM Financial Aspects

Strengthening PDAM financial aspects continues to be a crucial program in PY 4 to improve overall PDAM performance. The subprograms to improve PDAM finances include:

1) Development of PDAM Business Plans;
2) Facilitating the PDAM to conduct tariff adjustment and tariff reclassification;
3) Processing and monitoring debt restructuring for outstanding loans to Ministry of Finance;
4) Providing accounting and billing systems and training to improve PDAM customer service and cash management, including accounting records system.

PDAM Business Plan development
Support for PDAM Business Plan (BP) development will be undertaken on participatory basis, considering that full involvement of PDAM staff is crucial for sustainability of the process. The Municipal Finance and Urban Water Specialists in each region will take the lead of the majority of field activities, with assistance by the governance specialists for matters requiring local government approval. The activity will start with identification of PDAMs that require new BPs or need to review their current one. In this regard, the greatest need for BP preparation during PY 4 will be in West Java, Central Java, and East Java.

IUWASH always kicks off the BP process with the provision of a training seminar for the PDAM's BP development team. This is generally then followed by a customer satisfaction survey, which provides critical information from customers on the strengths and weaknesses of the utility's performance. Finally, IUWASH then assists the PDAM to present key aspects of the plan to local decision-makers in order to garner support and, ultimately, obtain the mayor's approval. Notably, BP development closely relates to the debt restructuring process given that both require a detailed analysis of debt payment capacity over the medium and long term. Detailed information on PDAMs receiving support on Business Plan development can be found in Annex 9.10.

PDAM tariff review & adjustment
In PY 3 IUWASH will continue providing support to improve PDAM tariff performance, since regular tariff adjustments strengthen the financial health of PDAMs and enhance their overall capacity to improve and extend water supply services. IUWASH support will specifically focus on assisting PDAMs in preparing tariff adjustments (adjusting rates and/or re-classifying structures), socializing these adjustments to the general public to garner their support, and obtaining approval from the local government as the PDAM owner.

Building from successes and lessons learning in PY 3, IUWASH will facilitate in-depth discussion with local government officials from the outset of the tariff adjustment process. The tariff adjustment approved during PY 3 in Pematang Siantar, for example, demonstrated how important a participatory process is to pave the way for the approval of the local executive. As such, IUWASH will replicate this strategy in new municipalities in PY 4. Detailed information on PDAM receiving support on tariff review and adjustment can be found in Annex 9.10.

PDAM debt restructuring
The restructuring of overhanging debts can have a substantial impact on the financial performance of a PDAM, particularly when this restructuring is combined with a partial or complete write-off of interest liability, as provided for under PMK No. 114/05/2012. Importantly, the focus of IUWASH debt restructuring assistance in PY 4 will shift from the preparation of restructuring proposals to the monitoring of approved restructuring proposals given that that the window for submission closed in July 3, 2013. The Ministry of Finance, in other words, will review and approve only those proposals that were submitted prior to the deadline. While several outstanding approvals remain for 8 PDAMs

(PDAMs Lebak, Pare Pare, Takalar, Enrekang, Sidrap, Pinrang Jeneponto and Maros), these are expected prior to the end of 2013.

As part of its monitoring support to the Ministry of Finance during PY 4, IUWASH will assist in the socialization of a new regulation expected early in 2014 on PDAM adherence to approved debt restructuring plans. IUWASH will also continue to report on the progress of our PDAM partners using the monitoring tool developed by the Project during PY3. The detailed status of IUWASH support to the development of debt restructuring proposal is described in the Table below. In PY4, IUWASH will continue to monitor the results of recently submitted proposals as well as the monitoring of the implementation of debt restructuring program.

IUWASH PDAMs receiving debt restructuring support

Region	No	Location	Debt restructuring stage	Progress
North Sumatra	1	Medan	Approved	To be monitored using 2013 financial data.
	2	Tanjung Balai	Monitoring	Monitored by IUWASH and MoF
	3	Tebing Tinggi	Monitoring	
	4	Pematang Siantar	Monitoring	
	5	Sibolga	Monitoring	
	6	Langkat	New	Local government approval is pending
West Java/DKI Jakarta/Banten	7	Lebak	New	Proposal submitted to MOF
	8	Karawang	Monitoring	Monitored by IUWASH and MoF
	9	Tangerang (Kab.)	Monitoring	
Central Java	10	Semarang (Kota)	Monitoring	
	11	Semarang (Kab.)	Monitoring	
	12	Surakarta	Monitoring	
	13	Grobogan	Monitoring	
East Java	14	Lamongan	New	Proposal submitted to MoF
	15	Probolinggo (Kab.)	New	
	16	Gresik	Monitoring	Monitored by IUWASH and MoF
	17	Mojokerto (Kab.)	Monitoring	
South Sulawesi/Eastern Indonesia	18	Makassar	Monitoring	
	19	Jayapura	Monitoring	
	20	Parepare	New	Proposal submitted to MoF
	21	Enrekang	New	
	22	Maros	New	
	23	Jeneponto	New	
	24	Takalar	New	
	25	Sidrap	New	
	26	Pinrang	New	

PDAM billing and accounting systems

A final initiative to improve PDAM financial performance is through the support of billing and accounting systems, including their integration such that all billing revenue is recorded on a daily basis and the current cash position can be monitored by PDAM management at all times. Despite the obvious benefits of such a system, many medium and smaller PDAMs still do not possess such capacity. During PY3 IUWASH assisted 9 PDAMs in the installation of such systems combined with the requisite capacity building. Under PY 4, IUWASH will complete the final stages of several of these systems as well as implement two additional billing and accounting systems in two PDAMs in South Sulawesi.

Program WS 3: Improved PDAM Customer Engagement Aspects

A good, professional customer engagement program is crucial for the PDAM's reputation, its ability to garner support for system changes (e.g., tariff increases), and the willingness of customers to connect to the system and regularly pay their bills. One of the most commonly used tools to engage both existing and potentially new customers is the Customer Satisfaction Survey (CSS), which provides important information on the level of customer satisfaction with PDAM services and plays a prominent role in the development of PDAM Business Plans. The survey focuses on satisfaction with technical services (water quantity, quality, continuity and pressure), general services, customer complaints, and water tariffs. Through conducting the CSS on a regular basis, the programs in the PDAM's Business Plan will better meet customer requirements. Another important program PDAM customer relation program, which started in PY 3 is establishment of new PDAM customer forum for PDAMs which do not have a forum yet, or the revitalization / improvement of existing forums

Customer Satisfaction Survey (CSS)
Up to now, most PDAM Business Plans have been prepared without the benefit of a CSS. In PY 2 and PY 3 IUWASH started to encourage PDAMs to include these surveys in preparing and updating of their Business Plans; CSSs are usually financed on a cost sharing basis between IUWASH and PDAM and implementation involves PDAM staff, in order for them to understand the entire process and be able to conduct future CSS surveys independently in the field. Data collection in most cases is done by a third party in order to avoid conflicts of interest, but PDAM staff is fully involved in implementation of the survey, verification of data, and preparation of the report. After conducting CSs with 10 PDAM during PY 1-3, IUWASH is planning to support CSS in 4 locations under PY 4 (Surakarta, Bantaeng, Kota and Kabupaten Jayapura).

Real Demand Survey
Real demand surveys are conducted with the aim of obtaining information on water demand and affordability for new customers. The result is a crucial input to the Feasibility Studies prepared by IUWASH, PDAM or other parties on water demand projections, water tariff adjustments, and increasing or expanding water access. The method used to conduct real demand surveys is similar to that for the CSS, but focusing on specific areas, where system expansion is planned. In PY4, IUWASH will support 2 PDAMs (Medan and Lamongan) to conduct real demand surveys for ca 1,200 households, covering locations of PDAM expansion program for an estimated 25,000 households. The number of randomly selected households surveyed provide 95% accuracy of the responses on water demand, willingness to connect, affordability to pay the water bill, etc.

Customer Engagement
Active participation of civil society in monitoring and reporting on the quality of service provision is fundamental to the achievement of sustainable improvements in water supply services.
For this purpose, IUWASH encourages mechanisms (existing or new) that can facilitate dialog between consumers and both service providers and local government officials. This includes establishment of PDAM customer forums that bring together PDAM customers and service providers to exchange ideas and concerns, which ultimately will serve as a catalyst for improved service and subsequently increased billing efficiency and lower Non Revenue Water levels.

To implement this, IUWASH conducted pilot program in PY 3 at five PDAMs and results were used in workshops with PDAM management, staffs and customers, using various tools to increase their participation. In PY 4 this will accelerate the implementation of the program through use of third party services (by grant or FPPO), especially for establishing new customers forums. At National level a Short Term consultant will be engaged as a resource and facilitator of the process.

Specific Program activities in PY 4 to establish new or strengthen existing customer forum are:

- Give support to regional offices in Customer Forum establishment, incl. hire STTA and provide activity modules. A facilitation module will be provided by national team as a guide for regional teams and vendors in facilitating forum establishment and / or improvement. STTA with limited man-days can be assigned as workshop facilitator or resource person.
- National workshop on PDAM Customer Forum (Joint with BPP-SPAM, DPP PERPAMSI, and Forum Pelanggan Air Minum Nasional (Forpamnas), in order to celebrate National Customer Day in September. A national level workshop, attended by policy makers in water sector, is an effective way to raise issue on the importance of water customers.
- Develop a module of "*Penyelenggaraan Pelanggan Air Minum*" (Implementation of customer service in water supply) to be used as guide for regional team and vendors.
- Development of Best Practices of "*Forum Pelanggan Air Minum*" (customer forum), highlighting the experiences of customer forum establishment at IUWASH program to be applied in other PDAMs.
- Specific support for PDAM Jayapura in image improvement, to reduce non-payment by customer and illegal connections, which is mayor problem of PDAM Jayapura. They requested support to improve the situation through innovative methods, amongst others by using forum as "spokesperson" to customers and other related stakeholders.

During PY 3 already two PDAM Customer Forums have been developed and during PY4 a minimum of 18 additional customer forums will be established or improved from following list of 23 PDAMs:

IUWASH locations for PDAMs customer forum

Region	Location
North Sumatra (2)	Kab Pematang Siantar, Kota Sibolga
West Java / Banten (6)	Kota Bekasi , Kab Purwakarta, Kab Tangerang, Kab. Serang, Kab Lebak, Kab. Bandung
Central Java (8)	Kota Semarang, Kab Semarang, Kab Rembang, Kab Batang, Kab Klaten, Kab Sukoharjo, Kota Surakarta, Kab Kendal
East Java (3)	Kota Probolinggo, Kab Lamongan, Kab Jombang
South Sulawesi (4)	Kab Maros, Kab Takalar, Kab Sidrap, Kab Bantaeng

The following shows example activities by the PDAM Customer Forum:
- Arrange and conduct customer gathering in different service areas to discuss issues related to PDAM's services
- Regular meeting with PDAM management and supervisory board on customer related issues
- Capacity building and training on water provision
- Field visit to PDAM's facilities to learn about water services and key issues such as pollution on raw water
- Provide regular reports to PDAM management on services

Program WS 4: Raw Water Management and Climate Change Adaptation Planning

In PY 4, IUWASH Raw Water Management and Climate Change Adaptation Planning will work in 21 locations throughout all IUWASH Regions, namely:
- North Sumatra 3 locations (Medan, Pematang Siantar, Sibolga)
- West Java/Banten 3 locations (Kab Serang, Kab Bandung, Lebak)
- Central Java 4 locations (Kudus, Salatiga, Kab Semarang, Batang)
- East Java 6 locations (Kab Mojokerto, Kab/Kota Probolinggo, Kab/Kota Malang, Batu)
- South Sulawesi 5 locations (Parepare, Enrekang, Pinrang, Sidrap, Bantaeng)

Eight (8) of the 21 locations are continuations from PY 3 where climate change vulnerability assessments (CCVAs) were completed or ongoing. For PY 4 the program activities will include development of climate change vulnerability assessments and adaptation plans (CCVAAPs) through participation of stakeholders from the PDAM and related local government agencies. The additional 13 locations in PY 4 will start with development of CCVA, followed by stakeholder meetings.

The approach to achieve the IUWASH targets under the CCVAAP program and through subsequent implementation is made up of two subprograms:

1) Climate Change Vulnerability Assessment and Adaptation Planning (CCVAAP), and
2) Implementation of Infiltration Ponds (*Sumur Resapan*).

Climate Change Vulnerability Assessment and Adaptation Planning
A series of nine steps have been developed to implement the CCVAAP program (see Table below), which are described in detail in the "*CCVAAP Inception Report*". The PDAM and Local government first learn about current conditions. This is followed by collection of the background information required to prepare the Climate Change Vulnerability Assessment (CCVA), which is the starting point for the Climate Change Vulnerability Assessment Adaptation Plan (CCVAAP).

To develop a comprehensive CCVAAP at the city level, both primary and secondary data are required, which involves mapping all natural resources, infrastructure (built resources), historic hazards, and social and economic conditions. These data are then combined in a CCVA baseline study. This study leads to several stakeholder discussions on trends and possible impacts of climate change on the natural resources and built infrastructure, using risk matrixes and tables to explain the potential risks and impacts. These discussions involve staff from the PDAM, Local government and other local institutes. The CCVA baseline study and subsequent stakeholder consultations will be organized by the IUWASH team together with a third party (where possible, a local university), to increase understanding and capacity at local level concerning the impacts of climate change on water security. A final workshop will include local decision makers (mayor, DPRD head) and should result in a strong commitment to support completion of the CCVAAP.

Based on the results of the CCVA baseline study and subsequent seminars and commitment, the CCVAAP will be completed, including within it concrete action plans. This document will be the reference for all local stakeholders (PDAM, local government and others) to be included in the PDAM Business Plan and Local government annual plans and budgets. The CCVAAP provides information on short- and long-term budget allocations, priority activities, and local policies and regulations required to implement the climate change adaptation programs sustainably.

Approach for Climate Change Adaptation Action Planning

9 Step Action Planning		Outputs
1. Initial site assessment	• Engage PDAM and Local government to determine need and commitment for CCVAAP	• Site selected • Kick-off meeting held
2. Climate Change Vulnerability Assessment (CCVA) Baseline Study	• Prepare Scope of Work for third party • Tender fixed price contract • Implement CCVA Baseline Study • Review/approve Baseline Study Report	• Stakeholder consultations • Approved CCVA Baseline Report
3. Asset Risk Matrix (ARM) Analysis	• Prepare Baseline ARM for presentation/discussion with PDAM	• Baseline ARM prepared

9 Step Action Planning		Outputs
4. Workshop with PDAM Operators and LG (SKPD)	• Review results CCVA with PDAM and Local government • Present ARM Baseline • Collaboratively consider how climate change may alter ARM baseline • Discuss long-list of adaptation options	• ARM Baseline revised • Climate-change driven ARM • Long-list of adaptation options
5. Synthesize Workshop Results and Prepare VAAP Draft Report	• Record results workshop and finalize ARM • Draft Vulnerability Assessment and Adaptation Plan (VAAP) Report • Prepare Draft VAAP Presentation	• Draft VAAP Report • Draft VAAP Presentation
6. Decision-Makers Workshop	• Present overall results of VAAP • Present adaptation long-list • Collaboratively discuss short-list using multi-criteria analysis	• Prioritized adaptation options
7. Finalize CCVAAP Report	• Integrate results of decision-makers' workshop into VAAP report	• Final CCVAAP Report for PDAM
8. Integrate Results into PDAM Business Plan	• Work with PDAM managers to integrate results into their Business Plan	• Agreed to integrate results in business plan
9. Support Implementation of Adaptation Measures	• TA to support PDAM to implement measures under its control • Advocate for new Local government policies where needed • Identify/leverage new financing	• At least one adaptation measure under implementation

Infiltration Ponds

Some of the most noticeable effects of climate change related to water resources are changes in rainfall patterns (intensity, duration, number of rainy days) which, combined with mismanagement of catchment areas, has already led to a substantial decline in runoff infiltration, leading to reduced spring discharge and increased flooding. One adaptation technique to protect and ensure availability of raw water resources from springs and surface water is the construction of infiltration ponds that can channel rainfall runoff into groundwater during the rainy season and produce steady flow and quality in local springs and rivers during the dry season.

Implementation of an infiltration pond program follows a detailed analysis of the primary and secondary data to determine the location of declining water resources. Further technical assessments and designs are then completed (including budgets and engineering design) in close coordination with all relevant local stakeholders (PDAM, local government, Perhutani, CSR partners, etc.) to obtain all formal approvals and ensure sufficient financial resources are available before commencing construction of the infiltration ponds. The next step is to select the implementing institute (local contractor and/or NGO), which then receives intensive technical training and guidance on the construction, monitoring and maintenance of infiltration ponds. Finally, to ensure that development of infiltration ponds can be replicated by other parties, they need to be included as a critical program in the CCVAAP, and local policies, regulations and budgets should be agreed to protect these valuable assets.

In PY 4, IUWASH will continue to replicate the successful construction of infiltration ponds in Medan, Pematang Siantar, and Kabupaten Mojokerto (with CCFI funding) to Kota Salatiga and Kabupaten Semarang, including promoting the concept to other PDAM, local government, and potential CSR partners.

Collaboration with National Partners

As IUWASH continues with the CCVA study and engagement of stakeholders (PDAM and local government agencies) into development of CCVAAP in PY 4, IUWASH will also deepen its relation with national partners, especially KLH (Ministry of Environment) and DNPI (National Council on Climate Change) to create opportunities for them to share and provide guidance on adaptation efforts being led by national initiative(s). In parallel, IUWASH will share the adaptation development process, particularly in water supply sector. That way, IUWASH can provide information on local adaptation planning that can be useful for national agencies in defining and refining their efforts.

Program WS 5: Microfinance for Water Supply Connections

Over the course of PY 3 a total of seven PDAMs contributed new water supply connections under the microcredit program, including three from Central Java (Klaten, Sukoharjo, and Rembang), two from North Sumatra (Labuhan Batu and Langkat), and two from East Java (Surabaya and Mojokerto). These PDAMs have partnered with a range of financing parterns, including large banks such as BRI and BSM and small lending cooperatives. In some cases, the PDAM itself has used an internal budget allocation to establish a microcredit program. Of these PDAMs, Mojokerto demonstrated particularly strong performance over the course of the past year, with more than 60% of its customers using microfinance to obtain household taps. All told, approximately 6,000 households (or 30,000 people) have obtained access to piped water using microfinance partnerships through September 2013.

Despite these successes, however, the pace of new connections has remained slower than anticipated. Specific issues which constrained the growth of new connections include the following:

- There remains a low level of awareness of microcredit financing options for new connections in many communities that are eligible for new connections;
- Many low income communities are reluctant to approach financing institutions given their lack of familiarity with formal banking procedures and requirements;
- The banks themselves often lack the resources to conduct regular community visits to evaluate the interest and potential of specific neighborhoods, as well as to ensure that potential applicants possess the necessary documentation, such as identity card or personal photo.

The above constraints were also recognized during the course of the MTE, and as IUWASH implements activities in PY 4, the project will focus efforts on further reviewing issues affecting microcredit utilization and developing an associated Action Plan to address related obstacles (and which may also include revising the targeted number of microcredit beneficiairies). IUWASH will also focus on deepening existing partnerships as opposed to adding more microcredit locations. As a part of deepening existing partnerships, regional offices may further target marketing and logistical support to high-potential locations. The revised target for this outcome will be integrated into a revised PMP that will be developed during the course of PY4. In the City of Surabaya, for example, IUWASH has already recruited a marketing specialist using a performance-based contract to support the PDAM's aggressive growth targets in lower-income neighborhoods. The specialist will introduce the microcredit concept to new community sites, facilitate communications between the financing institution and the PDAM, monitor the progress of customer applications, and assist all relevant parties to resolve bottlenecks.

For PY 4, IUWASH will seek to support the water supply connections of 7,000 households under the microcredit program. The priority municipalities in each province are as follows:

- 2 PDAMs in North Sumatra: Langkat and Labuhanbatu
- 3 PDAMs in West Java and Banten: Lebak, Serang and Karawang
- 5 PDAM in Central Java: Kota and Kab. Semarang, Sukoarjo, Klaten, Rembang
- 3 PDAMs in East Java: Surabaya, Kab. Mojokerto, Sidoarjo,
- 3 PDAMs in South Sulawesi: Jeneponto, Maros, Sidrap

Importantly, the above figures will be revised as part of the development of the Action Plan for this outcome area. At each location, the IUWASH regional team will work with the PDAM and microfinance provider to map out priority communities, develop a comprehensive promotional strategy, design locally tailored promotional materials, and build the outreach capacity of the field staff. In locations where demand is particularly strong, IUWASH will utilize a dedicated, short-term marketing specialist as described in the aforementioned Surabaya case.

Program WS 6: Master Meter

Under the IUWASH program, poor residents are defined as the population within targeted communities considered as MBR (*Masyarakat Berpenghasilan Rendah*, i.e. low-income communities) according to GoI standards. Promotion and development of Master Meter (MM) systems is one of two key IUWASH strategies (promotion of microfinance being the other, as explained above) to support increased access to water for low-income families. With an MM system, a group of households have individual meter connections, but the community network is connected to one bulk meter registered with the PDAM. Within the community, a CBO manages the system, collecting monthly tariff payments and providing the necessary operation and maintenance (O&M) services for the system. Lessons learned from previous implementation of MM schemes show that one key determinant of the success (or failure) of MM systems is the availability of sufficient water from the PDAM (in terms of quantity, quality and pressure) and the PDAM's commitment to serve the master meter area in a professional manner. The water tariff to be charged by the PDAM to the CBO, and subsequently by the CBO to individual households, needs to be agreed before the master meter scheme can be implemented.

Considering the issue discussed above, the first step in identifying the potential of a Master Meter scheme is for IUWASH to ensure that there is sufficient water, that there is strong commitment from the PDAM's management, and that the agreed water tariff is acceptable to both the PDAM and the community. This will be followed by arranging financing aspects, community mobilization and training, and technical support, including system design. For the implementation of master meter programs during the coming years, IUWASH will collaborate with other parties interested in developing these systems, especially PNPM Mandiri for the community mobilization and training. During and after implementation, IUWASH regional teams will conduct regular monitoring and evaluation of both the program itself and the impact of using master meters for poor families in terms of reduced water cost and improved satisfaction. To further promote and accelerate use of master meters, IUWASH will work with Perpamsi to expose best practices and lesson learned to relevant parties, at local and national level, including the GoI, donors, the CSR community, and other PDAMs.

In PY14 IUWASH will continue the direct implementation of master meter systems in Kab Tangerang, Kota Surakarta and Kota Sibolga, which are all financed through IUWASH grant. For Kota Surabaya IUWASH continues collaborating with PDAM and local government to set up 4 mater

meter system for 500 households, but the funding will come from IUWASH grant, rather than an earlier anticipated partnership with private party.

For Jakarta, IUWASH will continue lobbying PAM Jaya, AETRA and Palyja to increase piped water access by master meter for poor households, who cannot obtain a regular PDAM connection. IUWASH will provide technical assistance, capacity building and facilitation of all related institutions (Provincial Government of DKI, PAM Jaya, AETRA, Palyja, local NGO, donor agency) to set up more Master Meter systems in Jakarta.

Following table is summary of planned Master Meter program by IUWASH in PY 4:

Region	Location	Number Connection	Progress
North Sumatra	Sibolga	150 HH	• Continuation of PY3 • Program will be completed in PY4
West java	Kab Tangerang	450 HH	• Continuation of PY3 • Program will be completed in PY4
DKI Jakarta	North & East Jakarta (AETRA)	Number of HH not yet identified	• New program in PY4 • Initial target: agree on construction more MM in DKI, financed by ADB and LOCAL GOVERNMENT • Second target: provide TA during preparation and implementation
Central Java	Surakarta	100 HH	• Continuation of PY3 • Program will be completed in PY4
East Java	Surabaya	500 HH	• New program in PY4 • Program will be completed in PY4

Program WS 7: Capital Expenditure Financing

Obtaining sufficient financial resources is a critical issue for PDAMs in their efforts to improve and expand water services. The GoI has developed several mechanisms to encourage PDAMs to obtain capital, especially to expand their service coverage, which is still below the MDG targets. Specific activities conducted under WS 7 to leverage investment in the water sector include the following:

- Facilitate discussion among local stakeholders concerning priority infrastructure needs as identified in the PDAM's corporate plan;
- Conduct preliminary feasibility study (often referred to as a "desk study") to ascertain the basic project requirements, including estimated costs and tariff;
- Following consensus to proceed among stakeholders, carry out full feasibility study for the capital expenditure (capex) project. In many circumstances, a full FS requires the preparation of supporting analyses, such as a demand survey, detailed engineering design, and financial model;
- Support PDAM and local government in the selection of the most appropriate source of financing. Often capex financing is composed of a blend of funds from multiple sources.
- Assist the PDAM to secure the financing, including facilitating negotiations between the PDAM and the local/central government, commercial lenders, and private sector investors;
- Once founding source(s) is selected and terms are clarified, revise financial projection accordingly and obtain final approvals from local decision-makers; and
- Prepare tender documentation.

It is important to note that IUWASH has changed the name for WS 7 from "Long Term Financing" to "Capital Expenditure Financing" to better reflect the overriding objective of this program, namely,

supporting investment in water sector capital assets. While such financing may indeed come in the form of a "long-term" loan from a commercial lender, it may also come in the form of local government equity, and central government grant, or a public-private-partnership. More commonly, the financing package consists of a blend of two or more of these sources. Thus, the descriptor "Capital Expenditure Financing" is more inclusive as well as being the more recognized term internationally.

In PY 4 IUWASH will assist in obtaining capex financing for 16 projects. Given the multi-year nature of capital investment planning, these projects are at different stages of preparation. Project such as the Teluk Buyung facility in Kota Bekasi and the treatment plan in Tanjung Balai have already reached the bidding stage, with construction likely to begin during 2014. Other projects such as the expansion of treatment capacity in Kendal remain in the evaluation stage (specifically for a raw water study). Please see Annex 9.8. at the close of this section for complete enumeration of capex projects during PY 4.

In addition to the above, IUWASH will amend and present for approval to USAID the PMP indicator related to long-term finance for water supply. In response to the MTE which considered as too stringent the point at which success can be claimed, IUWASH will revise the indicator to be the point at which loan approval is given by the GOI co-ordinating committee.

Creditworthiness monitoring

The monitoring and targeted strengthening of PDAM creditworthiness—or the extent to which a utility can meet its short term and long term liabilities—supports the overarching objective of WS 7 to encourage the expansion of water sector services through new investment. In order to identify areas of potential credit weakness as well as to track progress more broadly, IUWASH designed the "Creditworthiness Ladder" CWL in PY 2 and field tested the tool in 20 water utilities in PY 3. Looking ahead to PY 4, IUWASH will continue to undertake CWL ratings for the previous 20 water utilities, but will also expand its application to another 10 utilities. Further, IUWASH plans to disseminate the results of the ratings to the central government and PDAM partners through an event in Q2 of PY4. Where applicable, IUWASH will also support the acquisition of a full credit rating from Pefindo, Indonesia's largest credit rating agency. Table below describes list of PDAMs receiving support on creditworthiness improvement and the reason of selecting these PDAMs.

Region	PDAM Partners	Reason for selection of Selected PDAM
North Sumatra	PDAM Kota Medan	One of largest PDAMs in Indonesia
West Java, DKI and Banten	PDAM Kab. Tangerang	Well performing PDAM
	PDAM Kab. Lebak	Small PDAM in process of obtaining debt restructuring
	PDAM Kab. Bandung	Well performing PDAM
Central Java	PDAM Kota Semarang	Monitoring business plan targets for debt restructuring
	PDAM Kab, Semarang	Monitoring business plan targets for debt restructuring
East Java	PDAM Kota Surabaya	One of largest PDAMs in Indonesia
	PDAM Kab. Mojokerto	PDAM successful in meeting targets for debt restructuring
	PDAM Kab. Malang	Examining difference before and after PDAM split up in two
South Sulawesi & East Indonesia	PDAM Kab. Sidrap	small weak PDAM, but potential for improvement

Identification additional finance mechanisms
Investments in public infrastructure, continue to lag behind the levels needed to substantially increase access for water and sanitation services. While a series of centrally-driven policy initiatives over the past five years has helped to direct more funds to the water sector, the funding gap remains formidable. Importantly, the rapid growth of the nation's cities—as well as its economy as a whole—will only elevate the strain placed on the assets of municipal water utilities, many of which are already struggling to cover operating and maintenance costs alone. IUWASH is already actively engaged in the provision of technical support to service providers to help unlock financing sources and move capital investments forward. While such assistance is crucial for cities able to follow the requirements, the achievement for wider sector is still limited.

In response to the expanded SoW, IUWASH will identify strategic entry-points to constructively contribute to the broader enabling environment for capital investments in the water sector. Starting from PY 4 IUWASH will commence following activities, through short term consultancies:

- Carry out assessment of existing sources of capital financing for water utilities and sanitation institutions, updating assessment carried out under Environmental Services Project.
- Initiate dialogue with GOI and potential local government introducing a variety of approaches to financing water and sanitation sectors infrastructure and services.
- Identify mechanism with the potential use of DCA to increase local government utilization rate to the GOI-created combination of subsidies and guarantees through Presidential Decree 29/2009.
- Identify mechanisms for use of alternative financing, including initiatives with other donors, such as the Water and Sanitation Financing Facility (World Bank) and Water Hibah (AusAID).

Program WS 8: PDAM Institutional Support

The PDAM institutional support program will assist PDAMs to become strong, professional institutions that can realize sustainable performance. This program has three parts:

- Strengthening PDAM internal structures
- Capacity Building for Stakeholders (DP, DPRD, Local government)
- Regionalization of Raw Water sources

Strengthening PDAM internal structures
Strengthening PDAM internal structures involves three activities: (a) improvements in organizational structure, (b) improvement and development of job descriptions, and (c) recruitment and human resources development. Both the baseline assessment and recommended modifications are based upon Home Affairs Ministerial Decree 2/2007, which sets forth the recommended roles and responsibilities for staff within each PDAM.

During PY 3 IUWASH implemented a PDAM structural assessment in partnership with a local university in Kota Binjai. IUWASH will continue to support the implementation of the recommended changes in the first and second quarters of PY 4 based upon the forthcoming decree by the mayor. While there are no immediate plans for a similar organizational assessment for another PDAM at this time, IUWASH will consider additional locations on a demand-driven basis. Such is also the case for facilitating the "fit and proper" test for new PDAM leadership; IUWASH performed this function in Kota Bekasi in PY 3 and will look for other possibilities during PY 4.

Capacity Building for Stakeholders (DP, DPRD, Local government)
Based on Permendagri 2/2007, the PDAM Supervisory Board (DP) functions strategically to (a) monitor, control and assist PDAM management; (b) provide advice and recommendations to the Local government on improving and developing the PDAM, and (c) examine PDAM Business Plans

and annual budgets. The DPRD and Local government as the main stakeholders of the PDAM are key players that determine the ultimate success of the PDAM management, especially in terms of legislation, business planning, budgeting, and tariff approval. Consequently, a shared perception among the DP, DPRD, Local government and PDAM directors on how to manage and monitor PDAM performance is crucial for the PDAM's future.

Toward this end, specific activities during PY 4 will include:

- Capacity building for Supervisory Board will continue, including how the Board can more effectively evaluate PDAM performance and plot an effective path towards achieving its objectives. In North Sumatra, support will target the preparation of the Business Plan;
- Compilation of PDAM Annual Performance Report with PDAM and local government stakeholders (*Laporan Kinerja*). A little followed requirement according the Ministry of Home Affairs, the Annual Performance Report should be submitted to the District Executive and the DPRD, complete with the signature of the directors and supervisory board. IUWASH will therefore work to instill broader adherence to this policy with our PDAM partners. The West Java team plans to conduct "one-on-one" training sessions with each utility; and
- Vision Workshops will also be carried out in 3 districts across the provinces. These integrated meetings provide an ideal opportunity for all stakeholders to be in the same room and establish a common perception of the condition of water and sanitation services within their jurisdiction.

Regionalization of raw water sources and water supply services

A growing number of PDAMs face considerable difficulty in obtaining sufficient raw water to improve and expand services to their customers, specifically in relation to the MDG targets. Greater cooperation among regions, including potential regionalization of raw water sources, is often the only solution for these PDAMs. The IUWASH subprogram supporting regionalization has three phases: (a) needs assessment on raw water sources regionalization; (b) development of concept for raw water regionalization; and (c) facilitating commitment from all parties by their signing a joint agreement.

In PY 4 regionalization support will focus on two provinces, namely, North Sumarta and Central Java. Regarding the former, IUWASH will continue assistance to PDAM Tebing Tinggi as it seeks to construct treatment facilities that will serve both its franchise areas as well as that of the neighboring District of Serdang Bedagai. One of the principle challenges facing this project at the moment, however, is the ownership of the facility itself must be under the province in order to be eligible for funding from the central government. In Central Java, three parties—PDAM Kabupaten Semarang, PDAM Kota Salatiga, and PDAB (the Provincial Government's Drinking Water Company)—have agreed in principle to proceed with an in-depth analysis of off-taker affordability for a new bulk water treatment facility operated by PDAB. IUWASH will assist with this affordability analysis in PY4.

Concerning PDAM cooperation in the provision of services, IUWASH will work with Kabupaten Tangerang and the newly formed Kota Tengeran Selatan to structure a joint venture to provide water supply services within the respective jurisdictions.

3.5 SUMMARY OF ACTIVITIES

The three main tasks to be implemented by the IUWASH national team in PY 4 are:

(a) support for all IUWASH regional program activities;

(b) liaison with national government ministries, donor agencies and other organizations, including organizing joint events and programs; and

(c) monitoring and quality control for all IUWASH programs in the Water Supply Sector.

The activities to be performed under each of these tasks are collated in Table below

Task	Activity	Input	Timeline
Water Supply 1: Improve PDAM Operational Aspects			
PDAM Index	Compile and evaluate PDAM index results on a six-monthly basis	Regional and national PDAM and local government	Feb 14 Aug 14
Energy Efficiency Audit Guidelines	Collaborate with ICED and PU to (1) complete Efficiency Audit Guidelines, and (2) hold a national seminar	Meetings; third party to prepare guidelines; national seminar	Dec 13
Follow up Efficiency Energy Audit Result	Support regions to prepare SOW, identify financing opportunities and explain to PDAM management	Coordination with regional LTTA	Dec 13 – May 14
Efficiency Energy Audit (new audit)	Support regions to prepare SOW, tender process, and audit implementation	Coordination with regional LTTA	Oct 13 – Sep 14
Non Revenue Water Reduction	Support regions to evaluate program needs, SOW, implement NRW program and identify follow-up program	Coordination with regional LTTA	Oct 13 – Sep 14
NRW Performance Based Contracts	Support private sector and PDAMs to conduct NRW study and (if possible), followed by Performance Based Contract	National & Regional, BPPSPAM, PU Private sector	Oct 13 – Sep 14
NRW Evaluation in Jakarta	Continue evaluation of NRW in Jakarta; prepare SOW and conduct next activity	Coordination with implementation team	Jan 14 – April 14
Distribution Network Improvement	Support regions to evaluate main problems, prepare and implement SOW and showcase results for further replication	Coordination with regional LTTA	Oct 13 – Sep 14
Production Capacity Improvement (PCI)	Support regions to identify opportunities to improve production facilities, prepare SOW, and support implementation	Coordination with regional LTTA	Oct 13 – Sep 14
GIS/MIS support	Support regions to introduce GIS, , prepare SOW for training, and support third party monitoring	National (LTTA) supporting regional teams	Oct 13 – Sep 14
Water Supply 2: Improve PDAM Financial Aspects			
Training on Business Plan Development	Support training for PDAMs to develop business plans in all regions, including Financial Projection and business plan socialization for local government approval,	National (LTTA) team support regional teams	Oct 13 – May 14
PDAM tariff adjustment	Support region with tariff calculation and promoting tariff proposal to Local government	National (LTTA) support regional teams	Oct 13 – Sep 14
Support MoF on debt monev tool	Support MoF in socializing PerDirGen on PDAM debt restructuring		
Monitoring debt restructuring plans	Support regions with monitoring of PDAM debt restructuring programs	National (LTTA) support regional teams	Oct 13 – Sep 14
Develop billing and accounting system	Support PDAM training in IUWASH regions on new accounting and billing system	National (LTTA) support regional teams	Jan 14 – Jun 14
Water Supply 3: Improve PDAM Customer Engagement			
Customer Relations	Support Regions with development of PDAM Customer Forum in all regions	National (LTTA) to support regional teams Target PDAMs	Oct 13 – Sep 14
Exposure of PDAM Customer Forum	Develop Report on “best practices” of PDAM Customer Forum	National & third party, field visits, desk studies	Dec13 – May 14
Workshop on PDAM Customer Forum	Conduct National Workshop to expose results and benefits of DPAM customer forum	PERPAMSI & PU IUWASH LTTA + regional support,	Aug 14

Task	Activity	Input	Timeline
Support PDAM Jayapura image improvement	Support SSEI region to develop and implement PDAM Jayapura image improvement program	National (LTTA) and SSEI regional teams	Oct 13 – Sep 14
Water Supply 4: Raw Water Management & Climate Change Adaptation			
CCVA initial site assessment	Support Regions with data collection, and SoW development for 3 new locations	National +regional PDAM and local government	Oct 13 – May 14
Implement CCVA baseline study	Support regions in tender process and monitor progress and share recommendations with local stakeholders	Coordinate with regional teams, third parties, local FGDs	Oct 13 – Sep 14
Prepare Climate Change Adaptation Plan (CCAP)	Support regions in climate change risk assessments, writing climate change adaptation action plans	national and regional teams and stakeholders	Dec 13 – Sep 14
Adoption of CCAP by PDAM and LOCAL GOVERNMENT	Support regions to adopt CCVAAP in PDAM business plans and local government mid-term plans, budgets and (if needed) legislation	National & regional teams and stakeholders	Jan 14 – Sep 14
Supporting infiltration pond program with CCFI	Support regions in implementation of infiltration ponds financed by CCFI including technical training to third parties and PDAM; technical oversight ; support exchange visits to completed program sites	National & regional teams and stakeholders (CCFI, NGO, PDAM, local government)	Oct 13 – Sep 14
National Exposure of IUWASH Climate Change program	Develop toolkit on Climate Change Adaptation Planning, based on experience of IUWASH and others; conduct National workshop on Climate Change	National team, third party (toolkit) and GOI partners: PU, Min of Environment, DNPI	Jan 14 – Aug14
Water Supply 5: Microfinance for Water Supply			
Assess PDAM commitment and water sources	Support regions with PDAM analysis and provide microfinance benefits, training, best practice for PDAM management	National (LTTA) to support regional teams	Oct 13 – Mar 14
Arrange financing (local bank, MFI, revolving fund, etc)	Support regions to assess local MFI through Dinas Koperasi and identify potential local banks	National (LTTA) to support regional teams and local partners	Oct 13 – Sep 14
Promotion/ marketing campaign	Support regions to conduct microfinance marketing through use of Microcredit Marketing Agents	National (LTTA) to support regional teams Third parties	Oct 13 – Sep 14
Surveys on water cost for the poor and customer satisfaction	Support regions with regular monitoring with PDAM and local MFI and, where needed, provide troubleshooting; conduct water cost and satisfaction survey	Coordination of national and regional monitoring and surveys	Oct 13 – Sep 14
Institutional strengthening	Building partnership with BSM at regional level by signing agreement between IUWASH and BSM Headquarters	MOU, signing event	Nov 13
Expose lessons learned	Conduct exposure visits for stakeholders and workshop on WatSan microfinance	National team with regional teams	Mar 14 – May 14

Task	Activity	Input	Timeline
Water Supply 6: Master Meter			
Implement Master Meter Program	Support regions in implementing master meter program, including consultations with CSR partners, PDAM and Local government; develop SOW and resolve contracting/ tariff issues	National team in coordination with regional teams. CSR partner (HSBC)	Oct 13 – Sep 14
Support Master Meter program in DKI	Support WJDB region and ADB to introduce master meter program to Pamjaya and operators and if possible implement in selected locations	National team with regional team and ADB Pamjaya, AETRA, Palyja Third party	Nov 13 – Sep 14
Water Supply 7: PDAM Capital Expenditure Financing			
Support Capital Expenditure projects	Support regional teams to identify and potential capex projects, including possible financing options from PerPres29, etc	LTTA/National and Regional PDAM, BPPSPAM, PU	Oct 13 - Sep 14
Support Capital Expenditure projects	Support regional teams with preparation of financial projections and expose to local and national stakeholders	LTTA/National and Regional	Nov 13 - Jan 14
Investment by Private sector	Facilitate legal drafting of contracts between PDAM and private sector	LTTA/National and Regional & third party	Jan 14 May 14
Credit Worthiness	Conduct one credit rating and expose results in National Workshop on PDAM credit worthiness	LTTA/National and Regional & Pefindo	Oct 13 - Mar 14
Identification Additional Finance Mechanisms	Carry out assessment of existing sources of financing for watsan institutions,	LTTA/National and STTA, GOI, donors	Jan 14 – June 14
	Initiate dialogue with GOI and LOCAL GOVERNMENT of approaches to financing watsan		
	Identify potential use of DCA to increase use of PerPRes29		
	Identify mechanisms for alternative financing, including by other donors		
Water Supply 8: PDAM Institutional Support			
Strengthen PDAM internal structure	Support regions as facilitator in implementation of training programs	LTTA (National) with regional teams	Oct13 – Sep14
Capacity Building for stakeholders	Support regions to monitoring performance of Dewan Pengawas and provide more training if required	LTTA (National) with regional teams	Oct13 – Sep14
Capacity Building for stakeholders	Support regions to conduct visioning workshop for PDAM and Local government	LTTA (National) with regional teams	Oct13 – Sep14
Regionalization of Water Sources	Support specific regions with initiatives on regionalization of raw water sources	LTTA and STTA with PERPAMSI and PU/SDA	Oct13 – Sep14
Regionalization of PDAMs	Support regions to prepare PDAM regionalization (Bekasi, Tangsel)	LTTA and STTA with regional teams	Oct13 – Sep14

4 APPROACH TO WORKPLAN OF SANITATION SECTOR

4.1 INTRODUCTION

The IUWASH mandate on sanitation is to improved access to sanitation for 250,000 people or 40,000 households. To achieve this target, IUWASH integrates the three component interventions: increasing demand, improving service provider capacity as well as strengthening the sanitation enabling environment (legislation and financing). IUWASH provides variety of technical support to over 50 Local Governments through direct assistance, subcontracts and/or grant program implementation designed according to program needs. For details on the planned sanitation programs in IUWASH locations, see Annex 9.3. (IUWASH Urban Sanitation Matrix). Similar matrix to present the progress of sanitation program that consists of planned, completed, ongoing activities will be updated in the IUWASH Quarterly Progress Report.

Implementing the sanitation program last year, provided IUWASH with better understanding of household's decision to invest in sanitation and how this is influenced by variety of factors often beyond the health issue. Further research into sanitation marketing conducted during PY 3 indicated that, while traditional health education is important, most people do not adopt improved sanitation facilities or practices based on this alone. Other "triggers" to motivate people include promoting sanitation as a lifestyle improvement; the underscoring economic benefits; using local competitions; engaging local religious leaders, celebrities or others who can act as sanitation champions; etc.

For PY4, the IUWASH sanitation programs will adjust the sanitation promotion strategy in response to the new understanding of the main sanitation access triggers for households. IUWASH will use diverse and more effective communications approaches to stimulate improved sanitation access promotion and adoption of new behavior. Also in response to the request by GOI and USAID and subsequent contract amendment personnel will be added for the IUWASH Sanitation sector, both at National level (Sanitation Marketing Specialist and Sanitation Institutional Specialist) as well as Regional sanitation staff to strengthen the implementation of new approaches for sanitation promotion & marketing as well as sanitation management institutions.

PY 4 marks the advancing sanitation programming by implementation a new conceptual sanitation framework, shown in the picture below, which shows both different programs that IUWASH is working on and their interrelationships.

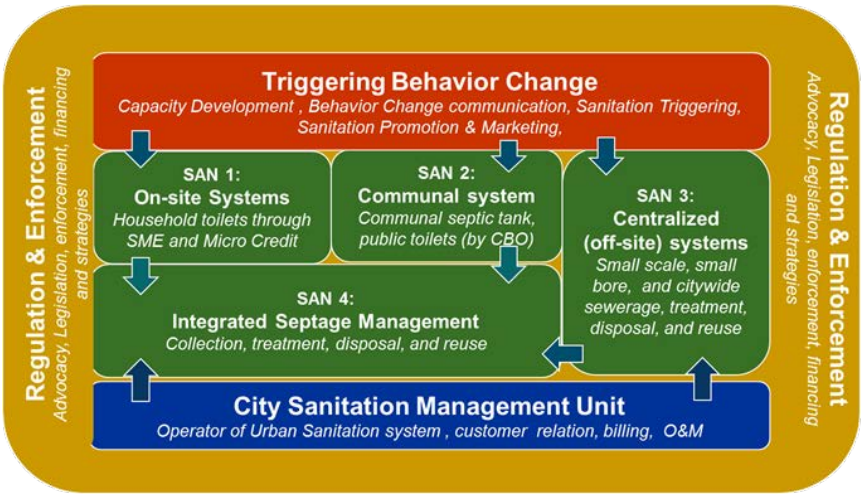

Figure 4: IUWASH Urban Waste Water Framework.

Based on this framework, IUWASH further developed strategies for each type of sanitation system that will increase demand for better services as well improved performance of sanitation operators resulting in more sustainable achievement. This overall framework and related strategies will be strengthened in PY 4, as well as rolled-out to all IUWASH partners at National and local level.

IUWASH technical assistance is still divided in the following five sanitation support programs

- *San 1*. Increase access through individual sanitation systems
- *San 2*. Increase access through communal sanitation systems
- *San 3*. Increase access through off-site (sewerage) sanitation
- *San 4*. Improved urban sludge management
- *San 5*. Strengthening Waste Water Institutions

In addition to the above, it can be noted that IUWASH will promote both handwashing with soap (HWWS) and point of use (POU) water treatment and other behavior change activities within the above framework when such activities can be expected to reinforce behavior change related to increasing access to improved sanitation facilities (which encompasses SAN-1 through SAN-3).

The following sections provide more detail on all programs in the Sanitation Sector.

- Section 4.2. summarizes IUWASH signature approaches and highlights regional Anchor sites.
- Section 4.3. describes collaboration with important IUWASH partners to jointly achieve IUWASH and GoI goals.
- Section 4.4. provides more detail on each of the five Urban Sanitation programs.
- Section 4.5. provides information on the specific tasks and activities planned for the IUWASH National team, which both supports the IUWASH Regional offices and liaises with the national-level stakeholders in the urban sanitation sector.

4.2 ANCHOR SITES AND SIGNATURE APPROACHES

IUWASH Signature Approaches

In the previous Workplan IUWASH started to identify *Signature Approaches,* which IUWASH defines as, "out-of-the-box" innovative approaches that can be used as examples by the GoI and/or other donor agencies. Signature *Approaches* include concept development, piloting/field testing, exposure through workshops and/or exchange visits, and guidelines for scaling up and monitoring progress and lessons learned. *Signature Approaches* are implemented by combining direct assistance from IUWASH experts and subcontracted third parties. *Signature Approaches* are implemented in all IUWASH regions. The Signature Approaches in the Sanitation Sector can be found below.

Program	Activity Description	Goal
Demand Creation for Individual Sanitation Systems (SAN 1)	• Demand creation for individual HH system access (toilet and septic tank) in urban communities • Using comprehensive interventions including triggering, support for financial access, capacity building, and governance	Manual and/guidelines from field activities for urban sanitation system demand creation model
Promotion sewerage connection (SAN 3)	• Capacity building for promotional strategy development and implementation using 10 Step Promotion Toolkit • Technical assistance during implementation	Capacity building package and promotional model for sewer connection campaign by PDAM and Local government.

Program	Activity Description	Goal
Urban Sludge Management (SAN 4)	• Studies on urban sludge management • Creation of pilot areas for project implementation as models for replication • Identifying role of private sector/SMEs in more efficient sludge collection • Identify financial model for full cost recovery in sludge collection and treatment • Identify institutional arrangements, local regulation, and enforcement measures	Model sludge services provision for urban areas based on full understanding of improved management and service provision
Formation Sanitation Management units at city level (SAN 5)	• Capacity building and policy support development to support creation of sanitation services unit as LG entity • Supporting regulations and SOP for sanitation unit staff to support all urban sanitation programs in city	Unit established and functioning to support growing number of sanitation systems in > 25 cities

Anchor Sites

In PY3 IUWASH started with the Sanitation Anchor Site approach to prioritize work in sanitation development, with integrated and cohesive teamwork in cities with high potential will result in higher achievements for increased sanitation services. The Anchor Sites are supporting specific local government and donor programs by combining all their existing and proposed sanitation resources and plans with IUWASH agenda . By introducing stronger coordination, IUWASH facilitation will contribute to the sustainability of other stakeholders' support for improved sanitation services.

The Sanitation Anchor Sites (one and three per region) have the following characteristics:

- make a substantial contribution to IUWASH Higher Level Results and/or Critical Outcomes;
- clearly demonstrate that IUWASH plays a key role in program success; and
- can be used as a showcase for USAID, GoI, other donors, and CSR partners.

The Sanitation Anchor Sites for all regions in PY 4 are listed below:

Project	Activity Description	Target	Location
North Sumatra			
Sewerage system development assistance program	(1) Support Local government on Sewerage System Revitalization by DED development (2) Support promotion of PDAM sewer treatment services for customer connections through development and execution of communication strategy (3) Support development sludge treatment plant (IPLT) Cemara	7,000 HH 3,000 HH	Kota Medan
Community-based sludge management	(1) Improve citywide sludge management through community empowerment, SME involvement, and behavior change intervention	1,800 HH SME involved	Kota Medan
Sanitation Institution & Regulation combined with small scale sewerage and sludge management	(1) TA to prepare Local government regulation and institution in improving citywide wastewater/sludge management (2) Support small scale sewerage systems (3) Support start-up of improved sludge management systems	UPTD established 600 HH 75 HH	Kota Tebing Tinggi

Project	Activity Description	Target	Location
West Java/DKI Jakarta/Banten			
Centralized Sanitation Management by UPTD PAL	Strengthening UPTD Kota Bogor combined with new regulations on expanded responsibilities, replication Individual and Communal sanitation systems, introduction regular desludging + promotion for small scale sewerage.	UPTD & legislation + 1,500 HH	UPTD PAL Kota Bogor
Microfinance for Sanitation	Strengthening local cooperatives AKR and KPP-UMKM in behavior change promotion and construction of individual toilets for their members, including technical support on construction for mason, molds, etc	2,200 HH	Tangerang and Serang
Central Java			
Urban Santiation Surakarta	(1) Supporting PDAM with regular desludging for all PDAM customers, including legislation, contract with private sector, promotion (2) "Kampung Sanitasi" : pilot communal sanitation system, integrated with city sanitation program and master meter, as example for USRI program (3) Supporting PDAM with promotion activities to expand sewerage system,	Regulations + financing + 6 SME (sludge collection) 90 HH 1,500 HH	Kota Surakarta
East Java			
Increasing Individual Sanitation System Access	Implement integrated demand creation for individual systems using CLTS approach	1,360 HH 2,400 people trained	Kab. Mojokerto Kota Mojokerto Kab. Jombang
Increasing Communal Sanitation System Access	Support implementation of integrated communal system project to increase access for wastewater channeling	1,265 HH	Kab. Probolinggo Kota Probolinggo
Increasing Communal Sanitation System Access	Support implementation of SSK in the communal sanitation system, integrated with USRI program and development / strengthening UPTD	1650 HH	Malang Raya = Kota/Kab. Malang, Kota Batu
South Sulawesi/East Indonesia			
Access to communal Sanitation systems	Strengthening UPTD to promote & support communal systems construction (USRI) and improve system sustainability – both during construction and post-construction (USRI)	Strong UPTD + 4,000 HH (80 systems)	Kota Makassar
Access to small scale sewerage systems	Supporting 3 local government with promotion , implementation and institutional capacity to operate small scale sewerage systems under INDII/sAIIG	3 UPTD with Regulations + 2,800 HH	Kota Makassar Kab Maros Kota Ambon

4.3 PARTNERSHIP WITH OTHER STAKEHOLDERS

IUWASH partnership building with all related sanitation development stakeholders is crucial for realizing tangible cooperation with measurable results in the field. IUWASH collaborates on specific programs and enters into relationships with key partners at national, regional and local level that can benefit the community and local government by ensuring increased access to watsan facilities is more sustainable. IUWASH will continue building on the strong relationships developed under PY3 and is open to developing new partnerships and collaborative efforts with other parties, as long as they are in line with IUWASH's mandate and will strengthen national and local partners, in particular

key GOI ministries, target local governments, Pokja's and local communitiesThe main partnerships in PY 4 to support the IUWASH sanitation program are summarized in Table below:

No.	Partner	Activity
1	High 5-CCP Indonesia	Joint collaboration to develop urban sanitation implementing guidelines, specifically related to community triggering
2	Ministry of Public Works	• Strengthening USRI in Central- East Java and South Sulawesi • introduce improved Urban Sludge Management system in target cities, including promotion to senior officials • Support DED of typical modular Sludge Treatment Plants to accelerate construction of improved systems • Promotion increased access to small scale sewerage systems
3	Ministry of Health	collaboration to develop urban sanitation implementing guidelines, specifically related to community triggering and promotion
4	Ministry of Home Affairs	Collaboration on development institutional framework and local sanitation management units (UPTD)
5	Asian Development Bank	Strengthening USRI program in Central Java, East Java and South Sulawesi and MSMIP (sewerage) in Medan and Makassar
6	Water and Sanitation Program (WSP)	Joint program on improved Urban Sludge Management system in target cities, including promotion to and training of senior officials
7	Urban Sanitation Development Program (USDP)	Collaboration on development institutional framework and local sanitation management units (UPTD) and introduction of improved septage management
8	Indonesia Infrastructure Initiative (IndII)	Strengthening sAIIG and Sanitation Hibah programs in North Sumatra, Banten, Central Java, East Java and South Sulawesi
9	Pokja AMPL	Development of Sanitation for the Poor Toolkit; development of urban sanitation implementing guidelines

Other potential partnerships will also be pursued to expand the Project and increase its impact. IUWASH has begun promoting partnership for program support among several organizations with a potential interest in implementing WASH programs, including: Ministry of Cooperation on microfinance support for individual sanitation facilities. Aside from these partners, IUWASH also fosters partnerships with other donors, government agencies, NGOs, media organizations and others at the regional and local level. Details of these regional partnerships can be found in the regional sections of this Workplan.

4.4 WORKPLAN IMPLEMENTATION

This section contains a summary description for each of the five IUWASH urban sanitation programs described at the start of this chapter (numbered SAN 1 through SAN 5). All programs are inter-related, as explained in the introduction. They are also closely related to programs described in Chapter 5 (Cross-Cutting), with special emphasis on CC 1 (Local government Policy development), CC 2 (Increased APBD budget for WatSan sector) and CC 4 (Increase practices on Point of Use Water and Handwashing with Soap).

Program SAN 1. Increased access through Individual Sanitation Systems

By far the majority (> 90%) of waste water disposal systems in Indonesia supporting MDG target 7 on access to improved sanitation systems are individual (household) systems. Even with all the currently ongoing and planned efforts by GOI and donors to increase waste water access through communal and sewerage systems this will be the case for at least the next generation. However

recent research by WSP highlighted that over 90% of these individual systems do not have properly constructed septic tanks eventhough according to GOI guidelines individual systems in (peri-) urban area's have to be built according to PU standards, including closed septic tank with overflow to a soakaway pit or trench. In rural area's this is not a big issue, as space around the houses is usually sufficienct to avoid pollution of groundwater sources, but in urban area's this is quickly becoming a critical issue and as IUWASH always refers to the Indonesian government policies, it has become a critical issue for IUWASH as well. Table below describes detailed information on the locations of development of individual sanitation system (San-1) and the estimated household targeted in PY4.

Region	Program of Individual Sanitation System (San-1)	Locations within each IUWASH Region	Estimated households
North Sumatra	IUWASH grant SME (microcredit)	Tanjung Balai, Asahan, Labuhan Batu	900 households
West Java, DKI and Banten	IUWASH grant SME (microcredit)	Bogor, Purwakarta, Bandung, DKI, Tangerang, Serang, Lebak	4,000 households
Central Java	IUWASH grant SME (microcredit)	Kota Semarang, Surakarta, Kudus, Rembang, Sukoharjo	500 households
East Java	IUWASH grant SME (microcredit)	Large program: Lamongan, Jombang, Batu, Kab & Kota Probolinggo, Kota & Kab Malang Smaller program: other 5 IUWASH locations	4,000 households
South Sulawesi & East Indonesia	IUWASH grant SME (microcredit)	Takalar, Sidrap, Pinrang, Jeneponto,	350 households

STBM-urban triggering modules

Regarding demand creation of improved individual systems, IUWASH reference is the National Strategy for Community-Based Total Sanitation (STBM), which was developed for rural area's. However these approaches and modules can not easily be copy-pasted form rural to urban areas, as the conditions and requirements are quite different: the biggest differences between rural and urban conditions are different characteristics of urban communities, higher population density, easier disposal opportunities for waste water in nearby rivers and (drainage-)canals and higher cost to construct septic tanks in accordance to MPW standards. This means new triggering tools need to be developed as well as promotion policies and strategies, combined with developing easy financing option for households willing to improve their current toilets to GOI standards.

During PY 3, under guidance of Ministry of Health, and assisted by team from High Five, Plan Indonesia and IUWASH a good start was made to adapt the STBM-rural triggering and promotion modules to urban conditions. Towards the end of PY 3, this guide was shared with MoH and in PY 4 it will be completed and used by Ministry of Health (MoH) sanitatarians and their local health cadre as well as facilitators from other donors, including IUWASH regional teams.

Development of Local Sanitation Technology

In middle of PY 3 IUWASH partnered with High Five, World Vision and Ministry of Health to initiate development of appropriate, low-cost designs for individual sanitation technology through a competition model. 15 designers were selected by a jury, who are now building their prototypes in 15 cities, 5 of which are sponsored by IUWASH. The Designs cover all 5 STBM pillars. By March 2014 the final winner will be chosen and the most appropriate designs promoted for further replication by government, donors and/or CSR programs.

Micro finance for improved individual toilets
Regarding the financing of improved individual systems, situation in rural and urban area's are also very different. While it is possible in rural area's to promote simple latrines, which are affordable by local households without any form of subsidy of credit, for (peri-)urban area's this is no longer possible as prices quickly go up to between Rp 1 – 2.5 million, depending on population density, groundwater level conditions, closeless to water source, etc. This prompted IUWASH in PY3 to start developing a micro- credit scheme for financing individual waste water systems sanitation for low-income comunities.

In PY 4, this will be intensified through introduction of different type of SME models:

1) Establish new or stengthening of exising *sanitation entrepreneurs* (usually small family businesses) to offer affordable individual toilets, including septic tanks to households.
2) Identify and strengthen *local cooperatives* to provide improved toilets to their members
3) Support *Community Groups* (Hippam) already operating a Water Supply system, to offer toilets to their customers.

Selection which SME model will be used in each area will depend on local preference and experience, availability of existing cooperatives or SME and possibility to obtain financing, either through own resources or through devleopment of formal relation between a Cooperative and Department of Cooperatives, under the local government.

In addition to identifyfing the most appropriate SME model to support construction of individual toilets through micro financing, IUWASH will also provide intensive capacity building support for the SME, technical training on toilet construction, mobilizing seed capital (or revolving fund) for toilet construction as well as promotion of SME services both directly to a households as well as through local sanitarians.

While this program already started in three regions during PY3, for PY 4 it will be intensifed and implemented in all 5 IUWASH regions. IUWASH support to the SME will be either through direct technical assistance by IUWASH team or by third parties through IUWASH grant mechanism, which then also includes purchasing of molds to fabricate concrete rings used as septic tanks as well as the training of SME staff and promotion campaigns. The national team will support regional teams through development of implementing guidelines and training modules based on a program framework that aims to rapidly increase access to individual systems, but in a sustainable manner. This will ensure that communities are ready and eager to accept the improved sanitation facilities. The target for PY 4 for new household toilets constructed through microfinance is 6,500 units, which will provide increase access to ca. 32,500 people (assuming 5 people per household)

The main steps in IUWASH support for increasing individual toilets can be summarized as follows:

1. *Baseline data collection* on existing sanitation facilities, SME providers and opportunities
2. *SME identification* combined with introduction and promotion to Local Government
3. *Training activities* for SME, and sanitarians on community preparation, technical, gender awareness and O&M
4. *Community triggering* by SME staff and sanitarians to motivate communities to improve/upgrade their sanitation systems
5. *Community assistance at post-triggering* to maintain community interest and determine technical standards for construction of improved household latrines
6. *Mobilizing financial access*, through local government, MFI or CSR to prefinance construction of improved latrines, to be repaid in installments and to strengthen SMEs to provide construction services and (if required) empty septic tanks
7. *Facilitators gathering* to increase capacity based on lessons learned during fieldwork
8. *APBD planning* for replication, budget allocation and policy formalization support

9. *Sanitation for the Poor Toolkit* to document results of all monitoring and evaluation on approaches, best practices and lessons learned

Program SAN 2. Increased sanitation access through communal systems

The GoI (through the MPW) has made this sector program a high priority, as shown by the strong level of support given to local governments to implement numerous communal sanitation systems. IUWASH has been very active in promoting this system as an option for improving sanitation services in urban areas, especially where most households already have a basic toilet but no space to construct a proper septic tank, and thus are polluting their own environment, especially the groundwater and open waterways. Communal systems generally include a communal septic tank and a piping system to each house. In areas where households lack toilets in their homes, IUWASH is following recommendation from MPW to conduct intensive triggering and promotion for households toilets, connected to piped system rather then continuing supporting construction of public toilets (MCK++) as evidence over whole Indonesia clearly shows that most are not maintained well or used much. During PY 3, IUWASH also continued support for technical design, community preparation, and converting unused public facilities to *hybrid systems*, which combines small public facility with piping system to connect individual toilets, in several communities using both direct technical assistance and the IUWASH small grants program.

In PY 4, IUWASH will continue its key role in developing these systems with special focus on continuing its partnership with MPW/PLP and the ADB financed USRI (Urban Sanitation Rural Infrastructure) Program. IUWASH National and regional teams will provide significant support in program preparation, implementation and sustainability in three target provinces (Central Java, East Java and South Sulawesi) by contributing the following activities, which are integrated under the USRI Program package (see for detailed locations in the respective Regional workplans as well as the Sanitation Matrix in Annex 9.3.):

1. *Capacity building/training* for USRI facilitators and local sanitarians, through classroom training and on-the-job at their locations and/or IUWASH grants;
2. *Promotion campaigns* to trigger positive responses from the community and increase their motivation to join, provide land, connect, and pay the regular maintenance fees; and
3. *Institutional strengthening* (by UPTD, PD PAL or other local sanitation institutes) to support sustainability of these systems through O&M, troubleshooting, effluent control, desludging, etc.

IUWASH will also continue to support central and local governments in implementing other communal sanitation programs (SLBM, Sanimas, DAK, among others), using a similar approach to that described above for the USRI programs. Besides supporting the critical software components for newly built communal sanitation systems, IUWASH was also requested by MPW to conduct intensive promotion for existing system, which still have low connection rate, to optimize the already installed piping system and small waste water treatment plant. The entire program for USRI, SLBM, Sanimas, and others includes construction of over 1,000 CBS systems, from which ca. 200 systems are located within IUWASH regions. These systems can increase access to improved sanitation for around 55,000 people as can be seen in table below:

Region	SAN 2 programs	Locations within each IUWASH Region	Estimated households
North Sumatra	APBD	Sibolga, Pematang Siantar	200 households
West Java, DKI and Banten	IUWASH grants SANIMAS/SLBM	Bogor, Kota & Kab Bekasi, Karawang, Bandung, Purwakarta, DKI, Tangsel, Tangerang, Serang	3,700 households

Region	SAN 2 programs	Locations within each IUWASH Region	Estimated households
Central Java	IUWASH grants, USRI SANIMAS/SLBM	Kota Semarang, Surakarta, Kudus, Rembang, Klaten, Sukoharjo	3,500 households
East Java	IUWASH grants, USRI	Surabaya, Gresik, Kab Probolinggo, Jombang, Kota & Kab Malang, Batu	2,400 households
South Sulawesi & East Indonesia	USRI program SANIMAS/SLBM	Makassar. Ambon, Jayapura, Pinrang, Jeneponto, Takalar, Bantaeng	3,500 households

Support by IUWASH for all these programs will be done in different manner, depending on the region and their resources; If the number of systems is not too high then direct capacity building support can be provided by IUWASH regional teams, but where number of sanitation systems are higher and spread out over more locations, IUWASH will engage a third party, through the grant mechanisms to support the demand creation through triggering and promotion, capacity building and institution building.

In general IUWASH does not provide detailed support on technical issues, as this is usally already covered by local technical Dinas or donor agency; However when requested IUWASH will continue in PY 4 to provide an expert opinion especially for the more complex situations, like area's with high water tables or very flat area's, where small pumps might have to be installed and managed by the Community Group.

Program SAN 3: Increase access through off-site sanitation (sewerage)

IUWASH programs to support increased access to sewerage connections during PY 3 will continue, and will be implemented in cities that already have a sewerage system (Medan, DKI Jakarta, Bogor, Surakarta) as well as those with concrete plans to develop small- or large-scale sewerage systems. IUWASH support does not cover financing for physical construction, since costs for sewerage expansion, including household connections, are covered by local, central government or donor.

IUWASH thus focuses on addressing the software requirements to make the system sustainable and affordable for users, with special emphasis on following three points:

(1) stimulating demand from households to connect, through various campaigns and marketing efforts, including capacity building of appropriate sewerage operational staff;
(2) institutional strengthening for sewerage operators (UPTD, PD PAL or PDAM) to improve their organizational structure, legislation, operation and management of these sewerage systems; this is explained in more detail under IUWASH Program SAN 5: Institutional Support
(3) supporting sewerage operators to obtain additional financial resources from local or state budgets (APBD, APBN) or donor agencies (ADB, AUSAID) to both expand their sewerage network and subsidize house connections; and

The Table below summarizes the areas in which IUWASH will support increased sewerage access:

Location	Summary of planned activities in 2014/ 2015	Expected results (2014/15)
Medan *North Sumatra*	Intensive promotion for new connections with PDAM & sAIIG; institutional strengthening at PDAM Tirtanadi's wastewater section, including legislation and field monitoring systems	3,000 hc (2014) 7,000 hc (2015) Improve operation

Location	Summary of planned activities in 2014/ 2015	Expected results (2014/15)
Tebing Tinggi *North Sumatra*	support promotion and marketing and legislation for tariff setting; Support sAIIG program with promotion, establishment UPTD and training UPTD staff on O&M of sewerage systems	200 hc (2014) 475 hc (2015)
Tanjung Balai *North Sumatra*	Support sAIIG program with promotion, prepare DED, establish UPTD and training UPTD staff on O&M of sewerage systems	400 hc (2015)
Binjai *North Sumatra*	Support local government to develop three small scale sewerage system, including surveys, DED, promotion, establish UPTD	600 hc (2015)
DKI Jakarta	Promote additional connections and system for replication	120 hc (2014)
Kota Bogor *West Java*	Promote additional connections for existing small scale sewerage systems	150 hc (2014)
Serang *Banten*	Support sAIIG program with promotion, establish UPTD and training UPTD staff on O&M of sewerage systems	2,500 hc (2014/15)
Surakarta *Central Java*	Promotion campaigns for new connections through sAIIG plus capacity building for PDAM staff and financial projections for full cost recovery waste water tariff	1,500 hc
Kota Malang *East Java*	Support capacity building for Local government in O&M of small-scale sewerage system currently operated by community groups, but too large (2,000 connections) to continue sustainably	Improved management 2,000 hc + expansion
Gresik *East Java*	Support sAIIG program with promotion, establish UPTD and training UPTD staff on O&M of sewerage systems	3,000 hc (2014/15)
Kab Probolinggo *East Java*	Support sAIIG program with promotion, establish UPTD and training UPTD staff on O&M of sewerage systems	500 hc (2014)
Makassar *South Sulawesi*	Organizational strengthening of UPTD for new sewerage systems, especially on organization structure and promotion campaigns for sAIIG and ADB (USRI and MSMIP)	600 hc (2014)
Maros *South Sulawesi*	Support sAIIG program with promotion, prepare DED, establish UPTD and training UPTD staff on O&M of sewerage systems	1,700 hc (2014/15)
Ambon *East Indonesia*	Support O&M of small-scale sewerage systems in several locations in Ambon, financed by sAIIG, APBD and APBN	200 hc (2014) 400 hc (2015)

As can be seen from the table above, under this program 2 types of off-site sanitation (sewerage) systems are supported in IUWASH working areas, namely :

1. City-wide Sewerage System scale, with usually > 10,000 connections and located in Kota Medan , Kota Surakarta, DKI Jakarta and planned for Kota Makassar
2. Small-scale Sewerage System, with usually between 200 – 500 connections per system and located in 12 cities, including 8 cities where IUWASH collaborates with the AUSAID financed sAIIG (Sanitation Australia Indonesia Infrastructure Grant)

For the large sewerage systems IUWASH will continue providing support to the sewerage operators (PDAM and PD PAL) in promotion campaigns to accelerate new connections and if required financial projection for reaching Full cost Recovery through appropriate Waste Water Tariff. IUWASH will also facilitate coordination for local government Medan to implement the rehabilitation of the existing sewerage system following the DED prepared by IUWASH under PY3. Through this support 3,000 new connections will be made. IUWASH will also support PDAM Medan with intensive promotion for 1,500 new connections under sAIIG program. In Jakarta, IUWASH facilitated PD PAL to begin providing sewerage connections to low-income communities through IUWASH grant. For PY4 IUWASH will encourage PD PAL to replicate this program in other areas. In Solo, IUWASH will support PDAM and sAIIG to promote 1,500 new house connections and to calculate cost recovery tariff for all waste water services provided by PDAM Solo.

Regarding the Small Scale sewerage system, IUWASH main support focuses on strengthening the sAIGG programs through willingeness to connect survey's, promotion campaigns and developing local insitutions for O&M of the constructed systems, including training of local operators through

SOP. Critical topic for O&M of these small scale sewerage systems is determining the most appropriate tariff (affordable for customers but at same time as close as posssble to cost recovery) as well as the most efficienct collection system. In only exceptional situations will IUWASH directly support development of DED, as this is usually the responsibility of Local Government.

Program SAN 4: Improved Urban Septage Management

Improved Urban Septage Management (USM) is an integrated desludging management system for urban areas where all operational, financial and institutional components (collection, retributions, processing and utilization of sludge) are combined to provide a sustainable system with adequate support in terms of infrastructure, institutional and financial support, administrative management, and proper regulation. In Indonesia sludge management is still understood by local and central government departments to mean the constructing and operating of a Sludge Treatment Plant (IPLT), with sludge collection as a passive system waiting for customers to contact public or private desludging services ; paying is usually made in full to the drivers, who often dump the sludge in a nearby river rather than delivering it to the IPLT. Consequently, over 90% of the IPLTs constructed in Indonesia do not function as designed.

In PY 3, IUWASH conducted first phase of improving USM in Kota Surakarta, Kota Probolinggo and Kota Bogor together with WSP and MPW/PLP through regular meetings, trainings and workshops, amongst others in July 2013. At MPW/PLP's request, IUWASH also developed typical DED for IPLT, which are now included in the new regulation by MPW/PLP and also supported several cities with DED for their IPLT with construction budget secured APBN.

The pilot in three cities demonstrated their financial viability through promotion of scheduled desludging combined with regular payment systems. Other cities expressed interest in this concept as well and by end of PY 3, Phase 2 was started which also include Kota Makassar. This program will continue during the whole of PY 4 include promoting of the private sector in operating the collection systems, where possible. IUWASH will also continue and deepen its already close collaboration with WSP and MPW/PLP on this program such that during PY 4 at least 26 cities will be exposed to improved USM systems (20 with IUWASH and 6 with WSP); also in collaboration with MPW/PLP another national workshop will be held to present the results to date and opportunities for new cities as well as large scale training programs will conducted between March – May 2014 , fully financed by MPW/PLP for 400 operators and managers of over 100 IPLT. IUWASH, USDP and WSP will provide training materials and be the resource persons for these USM training.

UPTD Kota Makassar
In PY 4, IUWASH will further strengthen UPTD Makassar in improving the collection of sludge from individual and communal septic tanks, both through improved planning and operation of the current "on call systems" as well as introduction of regular desludging in selected RW and for government offices. Payment for regular desludging of the RW will be done on a monthly basis through the usual collection system of the RW. Payment for desludging of government offices will come directly from APBD. IUWASH will further support UPTD with development of GIS based customer database.

DKI Jakarta
During the last month of PY 3, IUWASH was invited to discuss the concept of regular desludging with PD PAL, which is managing Waste Water in DKI Jakarta. In the new District regulations (Perda) 3/2013, the responsibility for desludging is transferred from Dinas Kebersihan to PD PAL and the District regulations also states that within 5 years a regular desludging system has to replace the current "on call" system.
PD PAL has requested IUWASH to explain the concept to local government DKI as well as PD PAL staff and provide technical support during PY 4 in starting up the system, through trainings, pilots, etc

PDAM Kota Surakarta

In PY 4, IUWASH will provide specific and intensive support to Kota Surakarta, where USM is managed by PDAM as part of their Waste Water management program. During the earlier pilot phase, PDAM and local government were so enthusiastic with the concept of regular regular desludging expressed commitment to start implementing it for all PDAM customers starting July 2014, including the collection by 6 private sector operators under contract with PDAM. All aspects required to setup a regular desludging system are included as can be seen in the action plan below. As this will be first town in Indonesia where regular desluding will be initiated at scale, there is a lot of interest from other donors (WSP, ADB), government and other cities which IUWASH or WSP are supporting like Kota Bandung, Kota Makassar, Medan and DKI Jakarta.

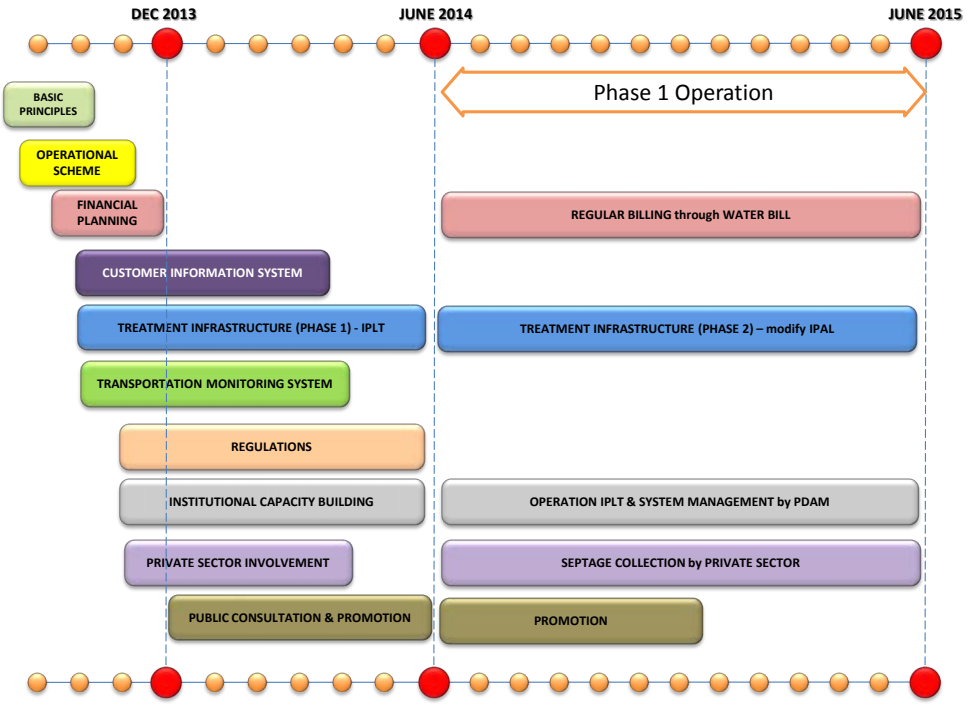

Figure 5: Preparation scheduled desaludging for Kota Solo.

Finally, IUWASH will continue promoting the introduction of improved USM systems in all cities engaging in large Community Based Sanitation programs (like USRI, IDB, SANIMAS, etc) or small scale sewerage systems (like sAIIG). IUWASH is already supporting local government to establish Sanitation Management Unit to operate all Waste Water Programs in these cities (UPTD), as explained further under IUWASH Program SAN 5. The main components of the USM management introduction for these cities are as follows:

- Area's in the city where pollution of groundwater is more critical
- Development of database on septic tanks availability (from DinKes & Puskesmas)
- Development of database of households requiring desluding
- Develop strong(er) relation with private sector usually handling the septage collection
- If possible make agreement with private sector on licencing their operation as well as dumping of sludge in the designated location (IPLT)
- Review of IPLT Operation and where needed provide training and SOP
- If possible start regular desluding in pilot area, like housing estates or government offices

Program SAN 5: Strengthening Waste Water institutions

Besides the support explained in sections above, which are focusing on triggering, promotion and various technical topics, it is critical that sanitation management units are established in each city / district, where access to sanitation is increased, either through individual, communal, sewerage or septage management systems. Without a professional operator at city level, these systems will never be managed in a sustainable manner, cost recovery will be low and service delivery will be poor. Eventually all or most of these systems will fail, as can be seen clearly from GOI stastistics showing:

- only <10 % of the 130 constructed IPLT are functioning well;
- majority of communal systems are not managed properly by CBO;
- > 90% of individual sanitation systems are not built in accordance to MPW basic standards
- <10% septage from all sanitation systems in a city is collected, with majority not delivered to the designated IPLT, but dumped in the nearest stream or river.

Since 2006 GOI, supported by several donor programs (ISSDP/USDP, ESP, INDII) pushed cities to develop Citywide Sanitation Strategies (SSK), based on Sanitation White Books ("Buku Putih") and Environmental Health Risk Assessment (EHRA). This resulted in more then 300 cities currently with a SSK and during PY2 and PY3, IUWASH facilitated 10 cities with development of new SSK or reviewing existing ones. However because this facilitating of local Pokja is very time consuming for the IUWASH regional teams and does not directly lead to increased or more sustainable waste water services, which is IUWASH' mandate, IUWASH agreed with GOI to no longer directly support development of more SSK in PY4. It was agreed that IUWASH will focus on supporting all local government with implementation of their SSK, particularly in obtaining finance and strengthening local institutions to operate and maintain the new waste water infrastructure. For the few cities under IUWASH, which do not yet have SSK, IUWASH is only facilitating local government to prepare the readiness criteria to participate in this program and receive support from GOI for development of their SSK.

Local Waste Water Management unit:
Since mid 2013, IUWASH shifted its focus from SSK development to the establishment and development of Waste Water Management Technical Unit (UPTD), which has been identified as the most suitable institution to carry out the wastewater management function, based on an example in Makassar. The proposed mandate for the UPTD will be as follows:

- Management of the improved Septage Management systems (see SAN 4)
- Management of the sewerage systems, both small scale as well as citywide (see SAN3)
- Co-management of Communal systems, supporting CBO of each system (see SAN 2)
- Database of individual household septic tanks, especially in high risk area's

The establishment of UPTD and strengthening their responsibility on managing citywide waste water services will also increase commitment by local government to adopt required legislation and prioritize budgeting for improved waste water operation.

To establish UPTD at city level with the above explained mandate, requires not only close collaboration by IUWASH with respective local governments, but also at National level with Ministry of Home Affairs and Public Works, as the key Ministries which can push the local governments to establish strong UPTD through supportive National regulations (PerMenDagri or PerMenPU) as well as provide (financial) incentives where needed. IUWAS started engagement with MoHA in PY3, through close collaboration with USDP and INDII, which both also have the mandate to strengthen local sanitation units. In PY 4 this collaboration will continue through completion of 15 case studies, highlighting current sanitation management systems in different locations. Also IUWASH will support USDP and MoHA in conducting National workshop on this topic towards the end of 2013.

Because in PY 3, Local governments constructing waste water infrastructure expressed strong interest in the establishment of new or strengthening of existing UPTD in line with the mandate explained above, in PY 4, IUWASH national and regional teams will support at least 30 locations with development of required legislation to establish UPTD as well as the necessary capacity building on institutional and technical issues, development and adoption of SOP, obtaining required APBD support, etc. To facilitate the development of strong UPTD, IUWASH will continue providing intensive support to the existing UPTD/Waste Water of Kota Makassar, to be the *centre of excellence* for all other IUWASH cities. During PY 4, IUWASH regional team will develop more of these in other IUWASH regions, like Kota Bogor, Kota Malang, Kota Tebing Tinggi and Kota Makassar. These can then also be examples for other GOI and donor initiatives.

In PY 4, IUWASH also continues to provide institutional support to existing PDAM and PD PAL already charged with managing waste water systems, especially in Kota Solo, Kota Medan and DKI Jakarta. These can also become example of other institutional arrangements on Waste Water management, but will only be promoted for PDAMs which are already providing excellent water supply services, have high coverage and operate with financial full cost recovery. Detailed information on the UPTD development program is described in Annex 9.11.

Urban Waste Water Framework
The current large scale, but fragmented and often ad-hoc, construction of waste water facilities by GOI (SANIMAS, SLBM/DAK, etc) and main donor agencies (ADB/MSMIP &USRI and INDII/sAIIG), focuses primarily on the construction of facilities. However the crucial "software" component of creating real demand, sanitation triggering/promotion and hygiene behavior change as well as developing strong institutions to manage the facilities afterwards and be able to collect fees for at least the operation and maintenance is often ignored or only included as a site program. This creates confusion at city level, with different Departments responsible, lack of funding and no clear strategy to move forward the SSK, which often was developed several years ago. For this reason IUWASH start to develop a Urban Waste Water Framework, which was shown already at the start of this Chapter (Figure 4). During PY 4, IUWASH will continue developing and promoting this Framework both at city and national level to make sure all critical element to provide sustainable waste water services to the public are included in local and national policies, budgets and operation.

In line with the recommendations of the draft MTE report we will refine the urban sanitation framework in close collaboration with key GOI stakeholders MOH, MPW and BAPPENAS and the main donor programs PPSP, IndII, USRI, WSP to reach consensus for the adoption of the framework at the highest levels in GOI. Besides bilateral talks and agreements IUWASH will kick-off the introduction of the framework through a national workshop.

For achieving best possible level of sector sustainability the framework will be aligned to and promoted as the national approach for increasing waste water collection and treatment coverage and effectiveness. The national PPSP program (2010 – 2014) represents the current GOI strategy for the acceleration of the Indonesian urban sanitation sector (including waste water, solid waste and drainage).

The main PPSP components are (1) Campaigns, education, advocacy (2) Regulatory and institutional development (3) Development of citywide sanitation strategy (4) Preparation of implementation planning (5) Program implementation and (6) Evaluation and monitoring, leadership and guidance. The broader aspects of PPSP directly correlate with the IUWASH framework which allows its application at LG level without facing the risk of dealing with competing interest.

Concrete intervention for the introduction of the IUWASH sanitation framework at the local level will include:

- Working meeting: Agreement on a regulatory and institutional 'road map' that is spelling out the regulatory and institutional preconditions for the acceleration of safe sanitation practices
- Stakeholder workshop: Identification of current gaps
- Stakeholder workshop: Agreement on collaboration and support for 'closing' the gaps (LG Action Plan)
- Scheduled support during implementation

4.5 SUMMARY OF ACTIVITIES

Table below lists the main tasks and activities of the IUWASH national team in PY 4 to:
(a) support all IUWASH regional program activities;
(b) liaise with national government ministries, donor agencies and other organizations, including in the organization of joint events and programs; and
(c) conduct monitoring and quality control of all IUWASH programs in the sanitation sector.

Task	Activity	Input	Timeline
Program SAN 1: Increasing demand for individual sanitation systems			
Baseline data collection	Develop tools for baseline data collection and analysis and conduct mini survey's	LTTA + regional teams	Oct 13 – Dec 13
STBM –Urban module completion	Collaborate with Ministry of Health staff and other donors for adoption of IUWASH Urban Sanitation TOT module and field guide	LTTA High 5, Plan	Oct 13- Dec 13
Training activities	Support training of cadres in STBM –Urban program	LTTA, regional teams trainings	Oct 13 – Jun 14
Microcreidt for sanitation	Support mobilization of local entrepreneurs (SME) as well as financial resources including CSR, APBD, and others	LTTA, MFI local partners	Oct 13 – Jun 14
Microcredit: Promotion / marketing campaign	Support SME capacity building, technical training, and promotion materials for microfinance at regional level.	LTTA, regional teams events, grants	Nov 13 – Sep 14
Appropriate Technology competion	Support competition on appropriate technology for STBM pillars in collaboration with High 5 and World Vision	LTTA, High 5, World Vision, events	Oct 13 – Mar 14
Expose best practices on microfinance	Showcase success of microfinance for WatSan services with MoH and other national partners through mass media, seminars, etc	LTTA, water.org events, media	Jan 14 – Sep 14
Monitoring and Evaluation	Field monitoring on results of program implementation in all program areas	LTTA, event, field visit	Oct 13- Sep 14
	Develop sanitation for poor toolkit for individual and other waste water systems	STTA (Manoff sub), field visits	Nov 13- Sep14
Program SAN 2: Increasing demand for communal systems			
Capacity building support for USRI program	Develop training materials for capacity building and TOT for FTL/USRI and local Sanitarians	LTTA (National 7 Regional), MoH	Oct 13- Apr 14
	Support regions with pre-construction community triggering for USRI and SANIMAS programs	LTTA, field visit	Oct 13- Sep 14
	Support capacity building for BKM/KSM USRI and SANIMAS	LTTA, field visit	Oct 13- Sep 14

Task	Activity	Input	Timeline
	Inclusion of implementation guidelines in MoH urban STBM training package	LTTA/STTA, meeting, workshop	Dec 13
Monitoring program implementation	Support monitoring of progress in all activities: USRI program, grants, direct implementation	LTTA, field visit	Oct 13- Sep 14
Program SAN 3: Increase access to off-site sewerage systems			
Promotion campaigns	Support all regions in developing and conducting promotion and marketing campaigns to increase access to offsite systems (including sAIIG)	LTTA events, third party, sAIIG	Oct 13 – Sept 14
Financing for increased access	Support regions in promoting and obtaining financing from APBN, APBD and/or donors	LTTA meetings	Oct 13 – Sept 14
Adoption of local policies	Support regions in developing and promoting legislation to increase access, including tariff setting and collection efficiency	LTTA	Oct 13 – Sept 14
Program SAN 4: Improved Urban Sludge Management (USM)			
USM model development	Complete USM in four selected locations with regional teams (Bogor, Solo, Probolinggo, Makassar) including city reports	LTTA, third party, meetings, MPW/PLP	Oct 13- Jun 14
SME involvement	Support regions to identify possible SME partners in pilot locations and strengthen the enabling environment (legislation and tariff mechanisms)	LTTA, third party, meetings, WSP, MPW/PLP	Oct 13 - Jun 14
USM exposure	Expose and socialize at national level the results and lessons learned from model locations; Also support national training programs organized by MPW on USM for locations with existing IPLT	LTTA, third party national workshops WSP, USDP training events by MPW	Jan 14 – May 14
USM expansion	Support regions to develop USM concept for new locations	LTTA , third party, meetings	Dec 13- Sep 14
USM financing	Determine financing needs for USM system and options (APBN, APBD, private, donors, etc.)	LTTA, meetings	Dec 13- Apr 14
USM institutional strengthening	Reach agreement with Local government on improved USM institutional framework, including APBD budgeting	LTTA (Regional), FGD, event	Jan 14 - Sep 14
USM monitoring and evaluation	Support regions with primary and secondary data on willingness to pay for pilot locations	LTTA survey	Oct 13 – Dec 13
Program SAN 5: Support Pokja Sanitasi/AMPL			
Support PPSP programs	Support regions with preparation of readiness criteria for Local government to join PPSP 2014 and 2015	LTTA local events, meetings, workshops	Oct 13- Sep 14
Capacity building for Sanitation/ AMPL Working Groups	Support regional teams in strengthening role of Sanitation/AMPL Working Group in monitoring SSK implementation	LTTA, local events	Nov 13- Sep 14
Institutional strengthening	Support regions and National government (especially MoHA) with examples and guidelines on improved waste water management by UPTD, PD PAL, or PDAM	LTTA (National 7 regional), STTA USDP, INDII, MOHA	Oct 13 – Sep14

5 APPROACH TO WORKPLAN OF CROSS-CUTTING SECTOR

5.1 INTRODUCTION

IUWASH achievement in PY3 showed a great contribution towards the improvement of water supply and sanitation services, with a strong foundation built to reach achievements in PY4 and PY5. Main achievements of PY3 were in engaging and approaching local lovernment to give better understanding to the water supply and sanitation conditions in their municipality, which is the foundation ofr improving existing or developing new policies and increasing budgets. IUWASH conducted visioning workshop in almost all cities as the initial approach to increase the decision makers' awareness. The commitment made during the workshop helped IUWASH to engage better with key LG institutions. Six policies were signed by mayors of IUWASH locations on the securing PDAM equity fund and improving tariff adjustment, general development of watsan sector and in the development of Citizen Engagement Mechanism. The changing approach of IUWASH Programs from component-based to sector-based approach proved to be effective approach also for the cross cutting program to support both water supply and sanitation sector. Additional key successes made in PY3 was advocating the LG to allocate funding, leveraging other financial support from public and private services, gender mainstreaming program, building strong foundation for development of Citizen Engagement Mechanism and behavior change promotion strategyand finally engagement with private sector on crucial CSR initiatives.

This year, IUWASH team will continue to sthrengthen key local and national partners working in water supply and sanitation sectors through direct communications with mayors, DPRD heads and related local government institutions as the follow up of the visioning workshops, to support priority programs on increasing access to water supply and sanitation and provide better service. Several programs started in PY 3, such as development of regulation on obtaining PDAM equity fund, tariff adjustment and development of sanitation management units will be completed in PY 4 as well as continuation of advocacy to increase the LG budget supporting PDAM operations, development of sanitation programs, innovations in Citizen Engagement Mechanism, promotion of improved hygiene behavior, and gender integration. Finally IUWASH will continue to work with private sector to support the improvement of water supply and sanitation sectors.

This year, six programs will be implemented to support the water supply and sanitation sector:

1. Increase local government policies (CC-1)
2. Increase local government/APBD budget (CC-2)
3. Improved citizen engagement (CC-3)
4. Gender mainstreaming (CC-4)
5. Mobilize Corporate Social Responsibility (CSR) funding (CC-5)

These six cross-cutting programs are same as previous years and all have close interconnections across the whole IUWASH program. The first three programs (CC-1 to CC-3) directly support all other sector programs, while other two programs (CC-4 and CC-5) are strengthening the whole IUWASH implementation framework. Figure below illustrates this interconnectedness among the programs in the cross-cutting sector including relation with other technical programs.

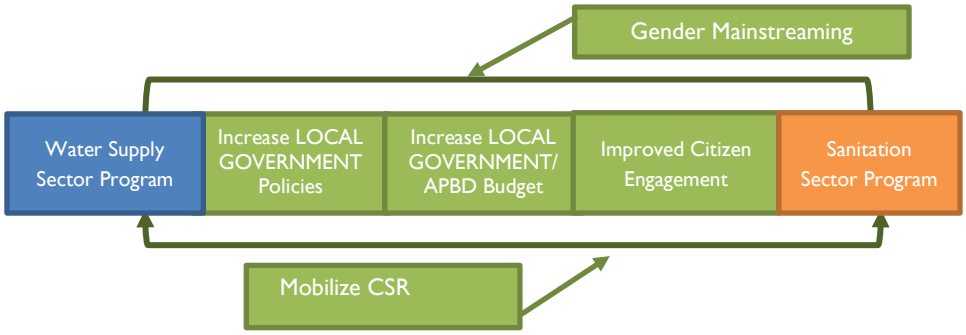

Figure 6 : Interconecting among programs in the cross-cutting sector.

As described above, the cross-cutting programs effectively support and be interconnected with the two technical sectors, where the water supply and sanitation sectors aim to increase people's access to a safe water supply and improved sanitation services by working with local government institutions, service providers and target communities. The cross-cutting programs to increase LG policies (CC-1) and increase LG/APBD budgets (CC-2) mostly work with LG institutions and watsan service providers. Meanwhile, the improved citizen engagement (CC-3) component works with LG institutions, watsan service providers and community groups, as do gender mainstreaming (CC-4) and mobilizing CSR funding (CC-5).

Figure 7 below shows how the cross-cutting program supports program activities in both IUWASH technical sectors.

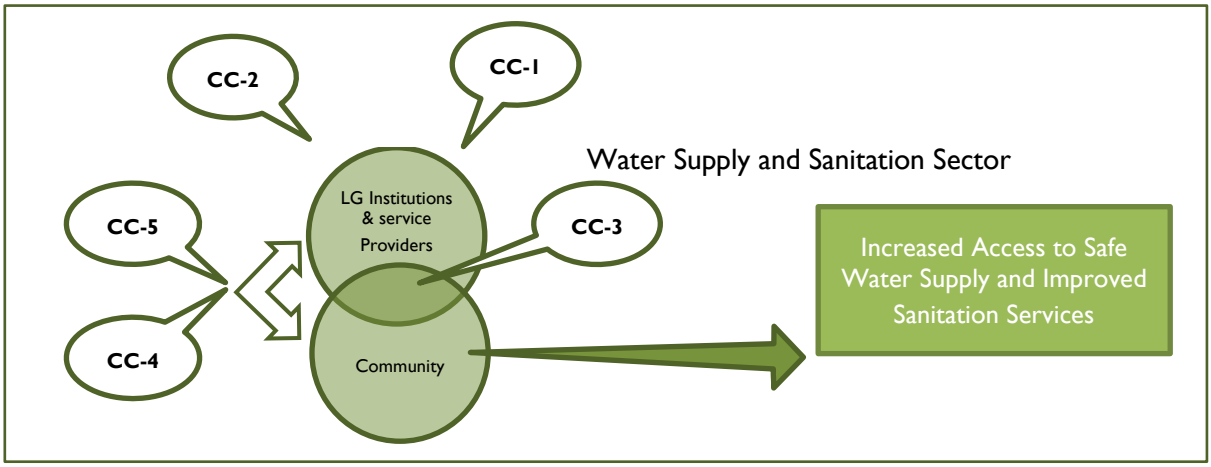

Figure 7 : Cross-cutting program supports program activities in IUWASH water supply and sanitation sectors.

The following sections provide more details on all programs in the Cross Cutting Sector:

- Section 5.2. describes collaboration with the key IUWASH partners to jointly achieve IUWASH and GoI goals;
- Section 5.3. provides more detail on each of the six cross cutting programs, including short descriptions of the various subprograms;
- Section 5.4. provides information on the detailed tasks and activities planned this year conducted by the IUWASH National team, which both supports the IUWASH regional offices and directly are implemented at national level together with the national-level stakeholders.

5.2 PARTNERSHIPS WITH OTHER STAKEHOLDERS

Generally, cross-cutting programs require collaboration with others, in this case GoI agencies, other donors, other USAID programs, and other development programs. IUWASH develops partnerships with other stakeholders to maximize the impact of the program. In this sector, there are several stakeholders working with IUWASH to support the enabling environment required to increase access for people to safe water supply and sanitation services.

Table below lists the potential partnerships planned in this sector:

Partner	Summary of Activities
USAID High Five	Support for implementation of increased practices in Point of Use Water and Handwashing With Soap (HWWS) under STBM program
Ministry for Women's Empowerment	Joint program involving various gender training activities and potential pilot program for specific program activities
FIPO	Development of IUWASH Citizen Engagement Mechanism for Water Supply and Sanitation Sectors (especially in South Sulawesi)
Coca Cola Foundation Indonesia	Close collaboration to develop infiltration ponds (*Sumur Resepan*) in North Sumatra, East Java and Central Java;
HSBC Indonesia	Possible collaboration on Master Meter systems for MBR in Surabaya
PKK	Collaborate on increased practices on Point of Use Water and HWWS and promotion of the expansion of sanitation access of individual system especially through micro credit program and communal sanitation system

5.3 WORKPLAN IMPLEMENTATION

This section describes each program in the Cross-Cutting (CC) sector. There are five (5) program activities in this sector (CC1 to CC 5). Each program and related activities are described briefly and concisely, followed by a matrix of program activities planned for PY 4.

Program CC-1: Increase Number of Local Government Policies

Development of local policies that support safe drinking water and sanitation lies at the heart of the governance process. In PY 3, the Project contributed substantially to local policy development by conducting a baseline analysis of existing policies; improving the understanding of policymakers about important sector issues, notably by conducting Visioning Workshops and Training Programs for Water Utility Supervisory Boards; and through direct technical assistance in policy development (which led to the development and execution of six policies in two IUWASH municipalities). Crucially, the pipeline of new local policies in the planning and early development phases swelled to more than 70 across all 50 municipalities during PY3. Thus, PY4 represents a turning point for IUWASH policy development, with technical assistance and advocacy from the past 2.5 years laying the foundation for significant progress during the upcoming year. That said, the large pipeline of potential new policies will also demand concentrated support by all regional offices, not only for the policies themselves but for the technical areas that they are intended to address.

Annex 9.9. reviews the full portfolio of water and sanitation policies currently being tracked by IUWASH. Notably, the technical areas cover the full range of IUWASH activities and include community-led total sanitation (CLTS), raw water protection, urban sludge management, PDAM organizational structure, illegal connections, development of UPTD in support of sanitation

initiatives, and citizen engagement mechanisms. There are, however, a growing number of local governments seeking to strengthen the sanitation regulatory environment, so IUWASH anticipates that the establishment of UPTDs and sanitation services guidelines will represent an important focus for PY4. Table below describes the topic of the policy and its number of policy for each topic.

Sector	Topic of Policy Developed	Number of Policy	Percentage
Water Supply	PDAM Business Plan	5	6%
	PDAM tariff adjustment	6	8%
	PDAM equity	5	6%
	Raw water protection	7	9%
	optimize PDAM performance	3	< 5%
	PDAM regionalization	1	< 5%
	PDAM customer reclassification	1	< 5%
	PDAM illegal connections	2	< 5%
Sanitation	Establishment UPTD	27	35%
	Waste Water management	2	< 5%
	Comm Based Sanitation	5	6%
	Waste Water tariff	2	< 5%
	Citizen Engagement	8	10%
	Environmental Management	3	< 5%
Total Policy Developed		77	

Program CC-2: Increase Local government/APBD Budget

The extent to which local governments acknowledge their support to safe drinking water and sanitation through supportive budget allocations is a central concern of IUWASH. Not only do increased allocations directly contribute to IUWASH's own goals, but they can also serve as an important indicator of the sustainability of program interventions after IUWASH ends, insofar as such allocations demonstrate local government "buy-in" and commitment to substantive change. While the impact of increased budget allocations is relatively clear, attaining such increases requires a broader approach than simple advocacy. In the IUWASH optic, increasing budget allocations are a function of: 1) clearly understanding current levels of allocation and closely monitoring changes over time; 2) the extent to which the decision-making authorities are aware of the current levels of allocation and what is required to reach their sector objectives; 3) how the budgetary process reflects the needs of the population (i.e., through participatory methodologies); and 4) the manner in which the budgeting process is synchronized with companion planning processes.

In PY3 IUWASH local government partners made laudable progress in the allocation of budget resources, with local governments such as Tebing Tinggi in North Sumatra and Kabupaten Kendal in Central Java making sizable investments into new and expanded services. IUWASH will build on these successes in PY4 using the following mechanisms as entrypoints into the complex budget allocation process:

- **Innovative Service Models**. By using small grants and subcontracts to establish innovative service models where local governments can directly see the positive impacts, these same local governments are then much more likely to allocate funding in subsequent years to replicate the model in other locations. The funds allocated by Tebing Tinggi to replicate a community-based sanitation system represents one example of this "APBD entry point."

- **Capital Expenditure Feasibility Studies**. By providing objective and easily understandable analysis on the need for and feasibility of specific investments, local government decision-makers are then more likely to allocate public funds to jumpstart these projects. The budget allocation by Kota Bekasi for the acquisition of land associated with WTP Teluk Buyung following the compilation of a feasibility analysis by IUWASH is an example of this approach during PY4. The justification for funding can often be strengthened even further through the implementation of a real demand survey or, where necessary, a detailed engineering design.
- **PDAM Business Plans**. The development of PDAM 5-year business plans offers an ideal opportunity to engage the local government owner in a discussion of infrastructure needs and the associated funding streams. In PY3, for example, IUWASH assisted PDAMs such as Kabupaten Kendal and Kabupaten Kudus to compile their 5 year business plan, which laid need for equity financing from the local government.
- **"Whole System in the Room" Events**. Where possible, IUWASH facilitates dialogues among local stakeholders by getting all pertinent parties into the same room to (a) establish a common point of departure, (b) articulate a vision for the future, and (c) decide on priority actions to achieve that vision. Often referred to as "visioning workshops" in previous work planning documents, this entrypoint has been effective in places such as Kabupaten Lamongan and Kabupaten Sidoarjo.

At the national level, IUWASH will continue to track APBD budget allocations in the water and sanitation sector using the APBD Index tool. This data—the first of its kind in Indonesia—will be shared with national stakeholders as a means for advocacy for APBN appropriations in the water sector as well. The next iteration of the APBD Index will be released in the third quarter of PY4.

Program CC-3: Improve Citizen Engagement

While local governments have been responsible for the delivery of basic public services since 2001, many continue to demonstrate minimal interest in establishing mechanisms that inform and engage the public in the planning and decision-making processes for water supply and sanitation services. Not surprisingly, the public's historic lack of involvement has led to complacency and a sense that citizens have no input into service delivery issues.

IUWASH recognizes that citizen engagement is fundamental to long-term improvement in the sector, working with local government partners and civil society to improve the flow of communication and accountability. As much as possible, IUWASH seeks to identify and strengthen *existing* engagement mechanisms—be they regular community meetings, customer forums, citizen advisory boards, or radio call-in shows. In instances where no mechanisms exist, IUWASH shares a menu of options based on experiences in other local governments, discussing which approaches may be transferable to the local context. Notable, National Law No. 14/2008 on transparency of public information represents a major driver to push local governments into action.

Building on the assessments of citizen engagements mechanisms conducted during PY2 and PY3, the focus of PY4 will be the establishment of a citizen engagement mechanism (CEM) pilot program in at least one city in each IUWASH region. Specifically, cities with a recently started or planned pilot program include: Kota Binjai, Kota Tanjungbalai, Kab. Labuhanbatu, Kab. Langkat (North Sumatra), Kota Bogor, Kota Bekasi, Kab. Purwakarta, Kab. Bandung (West Java), Kota Semarang, Kab. Kudus, Kab. Klaten, Kab. Sukoharjo (Central Java), Kab. Probolinggo, Kab. Mojokerto, Kab. Sidoarjo (East Java), and Kota Parepare, Kab. Takalar, Kab. Jeneponto, Kab. Bantaeng, Kab. Enrekang (South Sulawesi). Specific steps in the development of each pilot program are:

1. Preparation and coordination, including meetings with related stakeholders and FGDs to review existing programs and their accessibility to citizens, joint action planning, etc.;
2. Mechanism development and/or improvement, such as standard operating procedures, water utility training, etc.;
3. Capacity building for selected communities and civil society organizations for new mechanism;
4. Capacity building for implementing local government department (*dinas*);
5. Regulation development and public consultation;
6. Publication of new/improved mechanisms; and
7. Monitoring and evaluation.

During the second half of PY4 IUWASH will seek to begin replication of successful pilots in adjacent municipalities, accelerating the implementation process through the engagement of local NGOs and universities.

IUWASH will also recommend the introduction of new, innovative Citizen Engagement Mechanisms, including using local media, radio, SMS systems, watsan monitors, for reporting on water and sanitation issues. Especially The use of local radio as CEM for watsan can create good dialogue between citizen and LG representative on specific watsan related issues. IUWASH will continue to collaborate with FIPO in South Sulawesi province and others engaged in related areas.

Program CC-4: Gender Mainstreaming

A significant achievement in PY3 was increased awareness and understanding among the IUWASH key partners of gender mainstreaming in water suppy and sanitation sectors. The involvement of men and women in all IUWASH capacity building activities was conducted in all level of IUWASH training related activities. To-date, women participation in IUWASH training related activity is 33.56%. This achievement is a strong modality to support the efficiency, impact and sustainability of all watsan programs. In PY4, IUWASH will continue to work with CSOs such as PKK, PDAMs, local government officials, Pokja AMPL/Sanitation members, school teachers and local health sanitarians in target communities to ensure that both men and women benefit from IUWASH activities. Program activities will also receive support from The Manoff Group (TMG), especially for activities related to mobilizing demand for water supply and sanitation services.

IUWASH established close collaboration with USRI Program to support the gender mainstreaming for sanitation sector especially in the development of communal sanitation system. In this program, IUWASH support USRI team to develop gender-based criteria for the design of the communal sanitation system, strategy to increase the quality of women participation in all USRI activities and in gender integration for operation and maintenance of the communal systems. All these considerations were included in several USRI technical guidelines. In PY4, IUWASH will continue to support the implementation of gender mainstreaming of communal sanitation systems through the development of communal septic tank and combination s of piped network and public toilets.

As part of the support to improve hygiene behavior, in PY4 IUWASH continues on engaging PKK and, through this agency and the MOH, the program will engage the Posyandu as a key partner to support the gender mainstreaming program. Involving PKK is a fundamental strategy because the network of this organization has been established from the national level down to the grassroots. This is in recognition of the extensive coverage these agencies provide nationally and of the effective inroads they provide to households. The vast network of the PKK at every level of government as well as its important role in operating *posyandu* (community health posts) provides an ideal means for communicating critical health and hygiene messages.

Under collaboration with Ministry for Women's Empowerment and the Child's Right to Protection, which is a member of the IUWASH Technical Team led by the Ministry of National Development/National Planning Development Agency (Bappenas), IUWASH will continue to conduct gender capacity building programs supporting Local Government institutions in their planning and budgeting based on gender concerns. By conducting this program activities, IUWASH will contribute on the increasing access to safe water supply and sanitation services and to promote gender-sensitive program development.

Finally, to strengthen the gender mainstreaming in several IUWASH program activities, IUWASH will conduct demonstration programs in each region, showcasing best practices of the gender mainstreaming in different IUWASH programs. Results of these programs will be documented especially on how gender is mainstreamed in several steps of the program providing foundation for program sustainability because of strong gender intervention. Below is planned on the implementation of Gender Mainstreaming Pilot Program.

Region	Program description
North Sumatra	Gender Mainstreaming on Increased Access of People to Improved Sanitation Services through Providing Biofilter Septic Tank in Belawan Bahari, Kota Medan
West Java & Banten	Gender Mainstreaming to Increase Access of People to Improved Sanitation system through individual sanitation system using credit micro approach implemented by Koperasi AKR in Tangerang
Central Java	Gender Mainstreaming to Increase Access of People to Improved Sanitation system through communal sanitation system under collaboration with USRI Program in Kota Surakarta
East Java	Gender Mainstreaming to Increase Access of People to safe water supply thorugh Master Meter system in Kota Surabaya
South Sulawesi & East Indonesia	Gender Mainstreaming of the development of PDAM Customer Forum in Kab. Maros

Program CC-5: Mobilize Corporate Social Responsibility (CSR) Funding

IUWASH has recognized the pivot role of the private sector, especially in the rising presence of social development programs through Corporate Social Responsibility (CSR). The project sees this as a potential opportunity to enhance private sector attention and involvement, and to expand the resources made available for water and sanitation sector development. In response, IUWASH has formulated defined roles in the context of CSR program support:

- Facilitating increased participation of the private sector in water supply and sanitation programming through awareness building;
- Establishing linkages between private sector entities interested in CSR and appropriate local NGOs and community-based groups that are active in the sector; and
- Serving as a technical resource to those local NGOs and community-based groups that may be selected to implement CSR programs being conducted in IUWASH target areas.

In PY3, IUWASH engaged in several activities to implement the Project approach and, at the same time, to implement CSR programs in partnership with Coca Cola Foundation Indonesia (CCFI) and different local NGOs in North Sumatra, East Java and Central Java. Total amount leverages from CCFI for these 3 regions is around US$ 750,000 and in total 2,150 infiltration ponds will be completed by end of PY4 and 12 local stakeholders will be exposed to this technology.

From mid 2013, several meetings were also conducted to promote a potential partnership for the watsan program with HCBS with specific emphasis of constructing several five master meter systems for 500 poor families in Surabaya in collaboration with PDAM Surabaya.

Follow-up to these meetings will be conducted in PY4 with specific emphasis on continuing strong relationship with Coca Cola Foundation, especially on finalizing the construction of infiltration ponds in Kabupaten Mojokerto through a final exposure workshop to be held in early December, with participation of local government Kab Mojokerto, PDAM, local communities and Provincial delegates as a showcase of the program success. Also a new Water Replenishment Program with the support from CCFI will be started in Central Java (Kota Salatiga and Kab. Semarang) during PY4, with the aim to construct 800 infiltration ponds in Senjoyo and Ngablak watershed catchment area of springs used by PDAM Kab. Semarang and Kota Salatiga.

The National team will continue support all IUWASH regions when the require basic CSR promotion materials to be exposed in meetings with local Pokja AMPL or other local government initiatives. The actual progress of this work will be updated in Quarterly Progress Report (QPR).

5.4 SUMMARY OF ACTIVITIES

Main tasks and activities implemented by the IUWASH national team in PY 4 will include:

a. supporting all IUWASH regional program activities:
b. liaising with national agencies and institutes; and
c. conducting monitoring and quality control on all program activities in the cross-cutting sector.

Task	Activity	Input	Timeline
Program CC-1: Increase Local government Policies			
Preparation	Collect existing watsan policies/regulations within and outside IUWASH location and share amongst IUWASH regions	LTTA (National & Regional) Third party GoI, donors	Oct 13 - Sep 14
Development WatSan policies/ regulations	Catalogue model watsan policies to be used as example for IUWASH location	LTTA (National)	Oct 13 - Sep 14
	Support Regions to discuss/promote improved watsan policies with Local government / DPRD	LTTA (National & Regional)	Oct 13 - Sep 14
	Support Regional team with conducting Visioning Workshop to promote increased policies and APBD budgets	LTTA (National & Regional)	Oct 13 - Sep 14
	Support Regions with institutional aspects of establishing Local Sanitation Units (UPTD, PD Pal, etc.)	LTTA (National & Regional) Local government, GoI	Oct 13 – Sep 14
Program CC-2: Increase Local government/APBD Budget			
6 monthly APBD assessment	Conduct (semi-) annual data collection and verification with local government on APBD budgets	LTTA (National & Regional)	Feb 14 and Aug 14
Implementation	Support regions in implementing strategies to increase APBD for watsan programs, including cost-sharing budgets for APBN-financed programs	LTTA (National & Regional) Local government	Nov 13 - Sep 14

Task	Activity	Input	Timeline
	Maintain regular contact with national stakeholders, especially MPW, to support channeling of APBN funding to IUWASH locations for watsan projects	LTTA (National & Regional) GoI PERPAMSI	Nov 13 - Sep 14
	Collect best practices/lessons learned from IUWASH locations and share among IUWASH and other stakeholders as good examples	LTTA (National & Regional) GoI, PERPAMSI	Nov 13 - Sep 14
Program CC-3: Improved Citizen Engagement			
Assessments	Continue assisting regions to collect and catalog existing CEM within and outside IUWASH cities (especially in new IUWASH cities)	LTTA (National & Regional) GoI, donors	Nov 13- Aug 14
Improve/develop Citizen Engagement Mechanism (CEM)	Develop "menu of options" of all CEM options, their benefits, examples, introductions, implementation method, partnerships, etc.	LTTA (National) third party Other donors	Jan 14 - May 14
	Support regions with implementation of new or improving existing CEM for specific locations.	LTTA (National)	Nov 13 - Sep 14
Monitoring and promotion	Collect best practices and lessons learned and support exchange between IUWASH regions	LTTA (National and Regional)	Nov 13 - Sep 14
Program CC-4: Gender Mainstreaming			
Assuring Proper Participation of Men and Women	Monitoring on number of Men and Women participated in training activities	LTTA, event	Oct 13 - Sep 14
Gender Awareness Training	Support the implementation of Pilot Gender Program	LTTA, STTA, event of all technical sectors	Oct 13 - Sep 14
	Conduct TOT on PPRG for IUWASH Gender Working Group	Gender Working Group	May 14
Development of Gender Friendly Water Supply and Sanitation Facility	Support the integration of gender aspect in all technical IUWASH activities (focus in Pilot Gender Programs at regional level)	LTTA, event	Oct 13 - Jan 14
Program CC-5: Mobilize Corporate Social Responsibility (CSR) Funding			
CSR Program implementation with Coca Cola Foundation Indonesia	Support region to monitor implementation of infiltration wells in target locations, including quality control and reporting	LTTA (National and Regional), CCFI, MoF/ Perhutani	Oct 13 - Sep14
	Arrange regular communication and promotion project opportunities for infiltration wells	LTTA (National) CCFI, visits	Oct 13 - Sep 14
	Capacity building for local stakeholders and others as necessary	LTTA (National and Regional)	Oct 13 - Sep 14
Regional support	Support regions in developing CSR promotion materials and conducting promotion activities where requested	LTTA (National and Regional)	Oct 13 - Sep 14
National partnership development	Follow-up discussions with HSBC on supporting Master Meter program in Surabaya	LTTA, CSR partner, visits meetings,	Nov 13 - Jan 14
	Identify potential new CSR partners to support/strengthen IUWASH WatSan programs	LTTA (National)	Oct 13- Sept 14

6 APPROACH TO GRANT PROGRAM IMPLEMENTATION

6.1 INTRODUCTION

The total value of the Grants Under Contract (GUC) activity of IUWASH is $2.0 million over five years (an amount which was lowered from $2.5 million per a contract modification effective Oct. 01, 2013). The IUWASH Grants Program is implemented in accordance with all applicable USAID rules and regulations as stipulated in ADS 303 and 22 CFR 226, and the guidelines described in the USAID-approved IUWASH Grants Program Manual and Grants Implementation Plan. The Grants Manual includes: an overview of the Grants Program; with a review of the types of grants that can be issued; grantee eligibility requirements; the grant award process; grant evaluation and selection procedures; details on grant program administration; and information on processes related to grant termination, suspension and modification. Compliance with all related regulations and procedures is ensured by a national-level Grant Manager together with Procurement and Grant Assistants posted in all regional offices.

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While the grant program is important in and of itself, IUWASH is careful to ensure that grant activities contribute directly to the project's targeted outcomes. Other sought-after attributes of grants include the degree to which they are innovative and unique, and their ability to be replicated or scaled up by communities, the local government or interested private sector partners.

6.2 WORK PLAN IMPLEMENTATION

Currently IUWASH is overseeing 15 grant programs valued at $926,858.32 or approximately 46.34% of available grant funding. Of these, four (4) grant programs have been completed in programmatic terms and are awaiting administratively close-out. Some grant programs that were originally planned to begin in PY3, as reported previously, could not begin implementation as foreseen and have been shifted to PY4.

During the first years of grant program implementation, IUWASH observed that many grantees lacking appropriate financial and administrative management systems and require substantial guidance. This prompted the development in PY3 of additional monitoring tools and systems to improve the Project's ability to identify and respond to issues quickly and effectively. Current grant programs are being monitored regularly, on at least a monthly basis, in respect to progress, issues and constraints related to technical, financial, institutional, scheduling, and environmental compliance. With this monitoring, the grant programs are generally progressing very well and no major issues are faced. Grant program monitoring will receive further attention as additional grants are awarded and the scope and scale of the program increases.

Planned grant program for PY-4/5: In PY4/5, IUWASH will increase the number of active grant programs and ensure that there is relatively even distribution of grant programs across regions—and with the goal of programming all remaining grant funds. As in the past, grant programs will directly support IUWASH outcomes. During grant program implementation, attention will continue to be devoted to monitoring systems and procedures, especially in terms of environmental compliance which will be increasingly necessary as some grant programs begin construction activities. Based on current estimates and detailed discussions, IUWASH has identified more than $1 million in possible new grant programs for PY4. A matrix summarizing the grant programs, both those initiated in previous years and those foreseen in PY4, can be found in the table below:

No.	Description	Status, 11/13	Grants Signed up to 10/2013	Planned Grants in PY04/05	Total Grant Amount
NORTH SUMATRA					
1	Optimization of communal latrines & WWTPs	Grant to YAKMI	$ 57,217.50		$ 57,217.50
2	Community sludge management/ Belawan	Grant to SMI	$ 98,145.43		$ 98,145.43
3	Access to water supply "Master Meter" Sibolga	Pre-App. Mtg Dec '13		$ 80,842	$ 80,842
4	SAN-1: Micro-credit sanitation program/Tj. Balai, Asahan, Labuhan Batu	SOW finalized		$ 99,263	$ 99,263
	Sub-Total		**$155,362.93**	**$ 180,105**	**$335,467.93**
WEST JAVA/DKI/BANTEN/TANGERANG					
1	Septage management/Jakarta	Completed	$ 99,975		$ 99,975
2	Community-based sewerage system/Jakarta	Grant to Forkami	$ 68,800		$68,800
3	Master Meter support/Rajeg -Tangerang	Grant to Forkami	$ 61,620		$ 61,620
4	Community-based sanitation/Teluk Naga - Tangerang	Grant to BSK	$30,061.11		$30,061.11
5	Improved Access to Communal System/Kronjo-Tangerang	Grant to Best	$48,859.82		$48,859.82
6	Fiberglass molds for improved septic tanks	Completed	$ 8,179		$8,179
7	Fiberglass molds for improved septic tanks	Completed	$1,636		$1,636
8	CBS and School-based Sanitation/Margasana-Serang	NegMem being prep.		$ 99,993	$99,993
9	Development of KampungSanitasi/Kota Bekasi	SOW preparation		$ 73,684	$ 73,684
10	SAN-1:Sanitation promotion and Marketing/Serang	SOW preparation		$100,000	$100,000
11	SAN-4: Sludge Management, SME and Micro Credit/Kota Bogor	SOW preparation		$52,632	$52,632
	Sub-Total		**$319,130.93**	**$ 326,309**	**$ 645,439.93**
CENTRAL JAVA					
1	Communal septic tanks and MCK/Kendal	Completed	$ 64,269.89		$ 64,269.89
2	Support to KampungSanitasi/Surakarta	Grant to LPTP-Solo	$98,127.01		$98,127.01
3	Communal Sanitation (100 HH) Jomblang/Semarang	Grant to Gita Pertiwi		$ 76,310.21	$ 76,310.21
4	Customer Forum Development of PDAM	Pre-App. Mtg Nov 2013		$ 84,650	$ 84,650
5	SAN-2: USRI program	TBD		$ 93,983	$ 93,983
6	SAN-5: UPTD Development for Sludge Management	TBD		$ 94,747	$ 94,747
	Sub-Total		**$ 162,396.90**	**$ 349,690.21**	**$ 512,087.11**
EAST JAVA					
1	STBM support/Probolinggo, Sidoarjo, Surabaya	Grant to ITS	$ 92,726.06		$ 92,726.06
2	Master Meter support triggering/Kab. Sidoarjo	Grant to Spektra	$ 56,810.27		$ 56,810.27
3	SAN-2: Capacity Building of KSM, Pre-post USRI Program/7 locations	SOW draft on revision		$ 100,000	$ 100,000
4	SAN-1: Micro-Credit for Healthy Latrines/6 kota and districts	SOW draft on revision		$ 100,000	$ 100,000

No.	Description	Status, 11/13	Grants Signed up to 10/2013	Planned Grants in PY04/05	Total Grant Amount
5	Master Meter Program Surabaya	TBD		$ 20,000	$ 20,000
	Sub-Total		**$ 149,536.33**	**$ 220,000**	**$ 369,536.33**
SOUTH SULAWESI/EAST INDONESIA					
1	Sanitation improvement project/Ambon	Grant to Murkele	$ 88,072.34		$ 88,072.34
2	Urban sanitation advancement/Jayapura	Grant to CV. Geoteknik Konsultan	$ 52,358.89		$ 52,358.89
5	SAN-2: Capacity Building of KSM, Pre-Post USRI/SANIMAS Program	SOW finalization		$ 88,500	$ 88,500
	Sub-Total		**$ 140,431.23**	**$ 88,500**	**$ 228,931.23**
	TOTAL		**$926,858.32**	**$1,164,604.21**	**$2,091,462.53**

Specific Grant Program tasks to be undertaken in PY4 are varied and focus on the development of high quality grant programs; ensuring that local partners have the capacity to successfully undertake such programs; and putting into place robust monitoring systems to ensure compliance and record results. In doing so, IUWASH will further continue to emphasize the development of grantee capacity, both programmatic and in terms of financial management. Additional detail is provided in table below.

Task	Activity	Input	Result	Timeline
PM-1 Grant Program development	Oversee dev't of SOWS for new grants	Grants Manager, Tech. Spec., Nat'l Coord.	Quality SOWs per proj. outcomes	On-going
	Impl. RFA process; prep. NegMems; issue grants	Grant Manager, Proc./-Grant Assistant	Ensure prompt processing of GAs	On-going
	Conduct quarterly reviews of Grant progress for reporting and possible adjustment in implementing strategy	Grant Man., Tech. Spec., National Coordinators	Improve under-standing of program progress and identify areas for improvement	Quarterly
PM-2 Grantee capacity development	Assess the effectiveness of grantee capacity building activities through reviews with staff and FGDs with grantees	Grants Manager, Assistants, and Tech. Specialists,	Improved grantee capacity building activities	Jan-July 2014
	Grantee training in report writing and financial management	Grant Man., Proc./-Grant Asst, Acct, Tech. Specialists	Improved reporting	Jan-July 2014
PM 3 Grant monitoring	Reg./monthly monitoring of grant programs	Grant Manager, Proc./-Grant Asst. and Tech. Spec.	Rapid identification and resolution of issues as they arise	Dec 13-Sept 14
	Provide training to staff in grant monitoring, incl. for environ. compliance	Grants Manager	Improved compliance with monitoring req.	Nov 13-Aug 14
	Perform specific (and at times, unscheduled) monitoring visits to ensure compliance with requirements	Grants Manager, Technical Specialist, National Coordinators	Confirm the validity of grant progress, identify issues not highlighted through routine monitoring	Nov 13-Sep 14

7 PROJECT MANAGEMENT STRATEGY AND ACTIVITIES

Project management for IUWASH, as with any a large, five-year undertaking, is complex and critically important to the smooth and effective operation of the program. This section covers the approaches and tasks to be undertaken in various aspects of managing this program. In this section, we cover the areas of general management, program communications, program reporting, monitoring and evaluation, and environmental mitigation collaboration with other development programs.

7.1 GENERAL PROJECT MANAGEMENT

While the ultimate success of IUWASH will depend on the effectiveness of the project's technical components, their ability to operate effectively (both independently and as an integrated whole) is equally dependent on the organizational and management structures and systems the team puts into place in their support. As such, IUWASH is structured to meet component-level technical objectives while also ensuring that the project has the geographic reach to improve access to water supply for two million people and access to sanitation for 250,000 people. The project's approach to making this happen is based on the establishment of clear lines of authority among team members, as depicted in more traditional organizational charts, as well as a matrix management structure to enable technical oversight excellence, supportive project management, and the integration of key cross-cutting elements. Figures 7.1 and 7.2 present the IUWASH organizational charts for the project's national office, and Figure 7.3 shows reporting relationships between the national and regional offices. Separate organizational charts for each region are presented in Chapter 8, which elaborates on regional-level activities. In addition to the more traditional presentation of the project's management structure as detailed in the section that follows, the subsequent section describes the project's Matrix Management Chart, which more succinctly relates how staff are expected to interact on a variety of technical, administrative and cross-cutting areas.

7.1.1 MANAGEMENT PLAN

As depicted in Figures 7.1 and 7.2, IUWASH key personnel and lead finance/administrative staff are stationed in the national office in Jakarta. Regional offices in Medan, West Java / Jakarta / Banten (co-located with the national office), Semarang, Surabaya, and Makassar are led by senior professionals and staffed with technical specialists across all IUWASH areas of activity (Figure 7.3). Regional offices also serve as the platforms and reporting hubs for City Coordinators (CCs) that are embedded with various governmental units and PDAMs in target municipalities. This management plan:

- Gives our team the ability to match common approaches with tailored technical assistance that responds to local needs;
- Allows our most senior advisors to provide overall direction in their respective technical areas within the project, as well as input into central government policy and programming deliberations;
- Provides for a full-time presence at the local level, facilitating understanding and responsiveness to local needs and opportunities.

Though relatively static, the organizational structure of IUWASH is likewise dynamic and subject to change based on evolving needs and requirements. During the early part of PY4, for instance, IUWASH will integrate several new positions at both the national and regional levels and adjust the scopes-of-work of certain existing staff to ensure overall clarity roles and responsibilities among staff (see below for details). Similar adjustments will undoubtedly be identified and discussed during the course of PY4 implementation to ensure that the project is remaining responsive to needs and opportunities as they arise.

The following provides detail on the organizational structure at the national, regional and local levels.

National Office: The Jakarta office serves as the IUWASH headquarters and manages relationships and reporting to USAID and central government counterparts. Jakarta also serves as the base for IUWASH's designated five key personnel, senior technical specialists, and lead finance and administrative personnel; all of whom work closely with the project's regional teams (see Figures 8, 9 and 10). In addition to serving as the national office for IUWASH, the Jakarta office also houses the regional office for the West Java, Banten and DKI Jakarta area. Most senior staff travel frequently to the regions to provide targeted technical support, ensure that IUWASH activities are proceeding as planned, gather lessons learned and best practices, and work with regional coordinators to ensure that IUWASH is maximizing every opportunity to leverage technical assistance and support from within the project, other donor projects, the private sector, and other partners. More fully, the role of the Jakarta office is to:

- Provide overall strategic direction to IUWASH, ensuring technical coherence and maximizing cooperation across all technical components as well as the grant program;
- Provide advice to central government agencies in formulating and adjusting policies and programs to expand access to safe water and improved sanitation;
- Communicate, coordinate and serve as liaison with USAID, the GoI and others;
- Provide technical support, guidance and resources to the regional offices;
- Ensure that all offices apply common standards and approaches in project activities;
- Disseminate success stories, best practices, lessons learned, and innovations;
- Monitor and evaluate program performance; and
- Oversee IUWASH administration and finances.

During the initial phase of PY4, and based on USAID's approval of a contract modification effective October 01, 2013, several important changes in staffing at the national level will be made. As shown in the following organizational charts, these relate primarily to the integration of several new positions (in the areas of BCC, Sanitation, Governance and Municipal Finance) and, perhaps most prominently, the integration of a new Senior Sanitation Advisor who will oversee activities in the Sanitation Sector. In addition to the integration of these new staff members, IUWASH also plans to repost national-level Component 1 staff to other programmatic units and eliminate the Component 1 Team Lead position (the latter of which will be subject to USAID approval separate from approval of this Workplan as it was classified as a key position within the IUWASH contract). Contrary to diluting the project's BCC and communications-related work, these changes are expected to greatly enhance IUWASH effectiveness in these areas by both increasing available staff and, importantly, ensuring their efforts are better targeted to specific areas of programmatic need.

Regional Offices: IUWASH regional offices are located in Medan, Jakarta (which covers West Java, Jakarta and Banten), Semarang, Surabaya, and Makassar. These offices serve as primary implementation centers for all assistance provided to the local level, and each oversees programming in approximately eleven municipalities. Regional offices are led by senior Indonesian experts who guide technical teams and are responsible for day-to-day activity implementation and direct interface with local government officials, service providers (PDAMs and others), the private sector, and other donor programs. Regional Coordinators have decision-making authority and oversight responsibility for project activities within their regions and are supported through daily communications with and frequent visits from staff in the Jakarta office. Regional Coordinators also visit Jakarta for regular program coordination and administration meetings, as do regional technical staff, who travel between regions and Jakarta for program technical reviews to share lessons learned, review accomplishments, and discuss strategies for addressing specific challenges.

Similar to changes at the national level, several new staff will be integrated into regional programs early on in PY4, especially in sanitation-related areas.

IUWASH Locations

North Sumatra	West Java, Jakarta, Banten	Central Java	East Java	South Sulawesi/East Indonesia
• Medan city • Binjai city • Langkat district • Pematang Siantar • Tanjung Balai city • Tebing Tinggi city • Sibolga city • Asahan district • Labuhanbatu dist.	• Bekasi city • Bekasi district • Bogor city • Karawang dist. • Lebak district • Serang district • Tangerang dist. • DKI Jakarta • Bandung district • Purwakarta dist. • Tang. Sel. city	• Semarang city • Semarang dist. • Kendal district • Kudus district • Surakarta city • Salatiga city • Rembang dist. • Sukoharjo dist. • Klaten district • Batang district	• Gresik district • Lamongan dist. • Mojokerto dist. • Probolinggo dist. • Sidoarjo district • Surabaya city • Mojokerto city • Probolinggo city • Jombang dist. • Malang city • Malang district • Batu city	• Ambon city • Jayapura city • Jayapura district • Jeneponto • Makassar city • Maros district • Takalar district • Parepare • Enrekang • Pinrang district • Sidrap district • Bantaeng district
Total = 9	**Total = 11**	**Total = 10**	**Total = 12**	**Total = 12**

Locally Embedded City Coordinators (CCs): Using the regional offices as programmatic support platforms and reporting hubs, IUWASH has also posted 35 City Coordinators (CCs) among targeted municipalities (with each CC assigned to one or two municipalities so that each municipality has one CC associated with it). Often embedded within local governmental partner institutions, they provide hands-on support at the local level where IUWASH can have the greatest impact. These embedded specialists receive technical and administrative support from the project's regional offices and participate in regular program reviews. Very importantly, they also contribute substantively to the development and implementation of municipal-level workplans and related monitoring and reporting.

Relationship between the Project and DAI Home Office: Based on more than 30 years of experience in supporting long-term, complex development programs in Indonesia, the relationship between the project and DAI's home office is based on three principles:

- Empower the Chief of Party (COP) with appropriate autonomy and authority to implement programs;
- Establish and maintain real-time communications between project and home offices and hold quarterly reviews that involve the COP, other senior project staff and home office staff to ensure proactive troubleshooting before issues become serious; and
- Have periodic home office communications with the Contracting Officer's Representative (COR) to ensure client satisfaction and that the project meets or exceeds USAID's expectations.

DAI's home office supports IUWASH by providing technical oversight, responding to USAID requests for contractual information, issuing accurate invoices and other financial statements, assisting with recruitment, and mobilizing short- and long-term personnel. This support is provided through the services of a Senior Project Manager supported by a Project Associate. The Senior Project Manager provides overall technical support to IUWASH and serves as the COP's day-to-day point of contact in the DAI home office. They organize quarterly project reviews with the COP to discuss and resolve management and technical issues or respond to requests for information. They also coordinate home office support (including Finance, Contracts, Procurement, Information and Management Technology, Human Resources, etc.) to ensure that the COP has the support and resources needed to manage IUWASH and meet or exceed USAID expectations.

Figure 8 : IUWASH Organizational and Management Structure – National Office

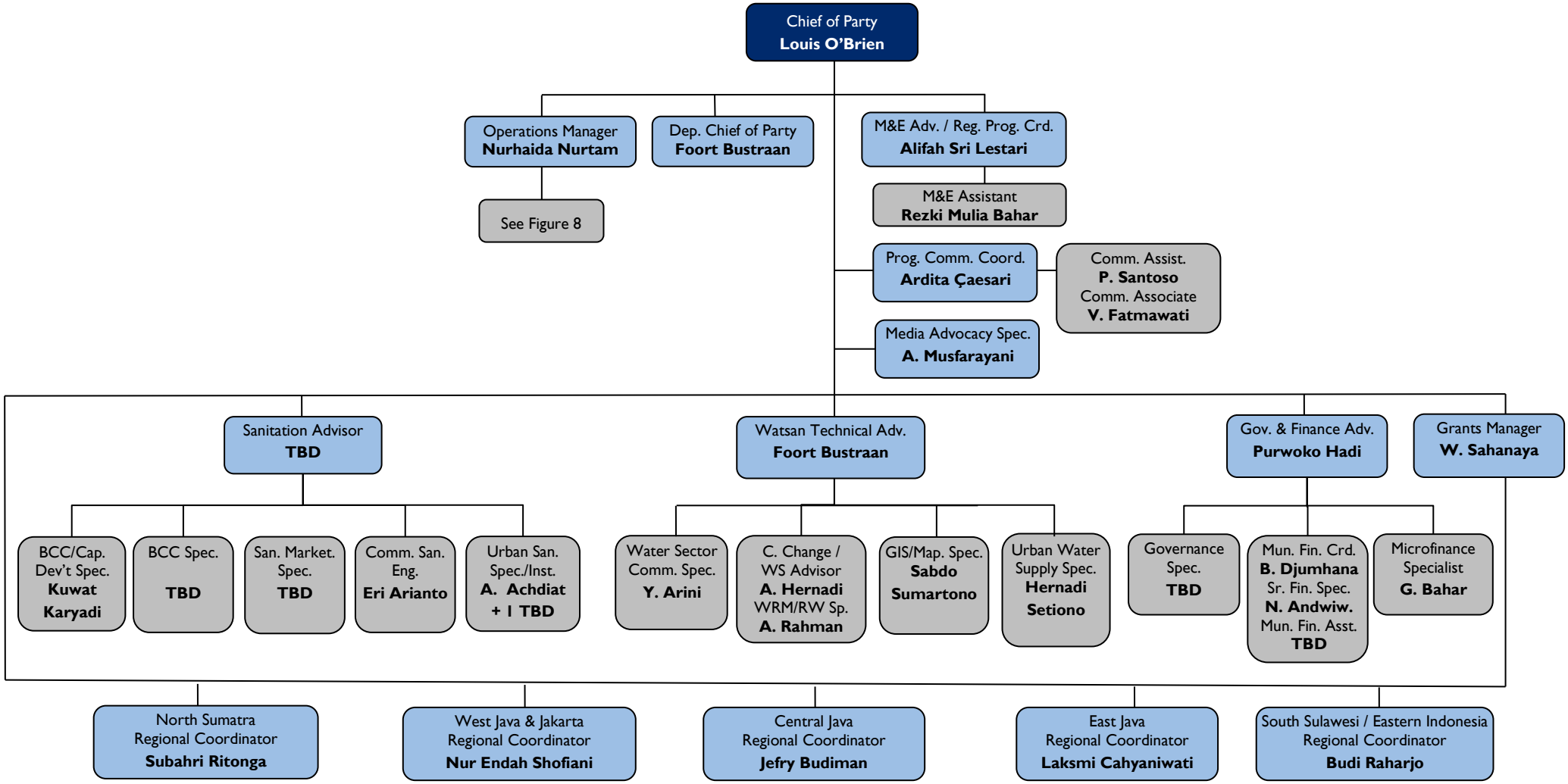


Figure 9: IUWASH Organizational and Management Structure – National Office Operations Management Relationships

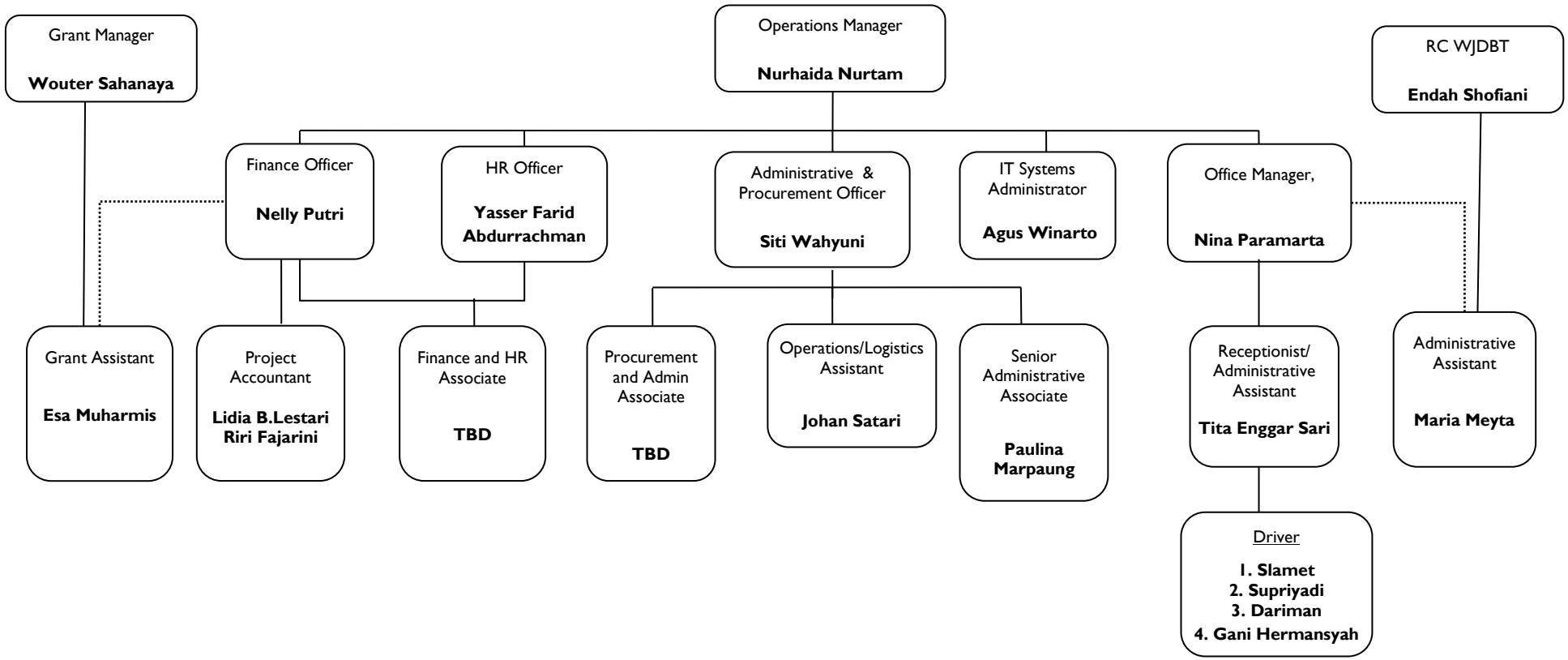
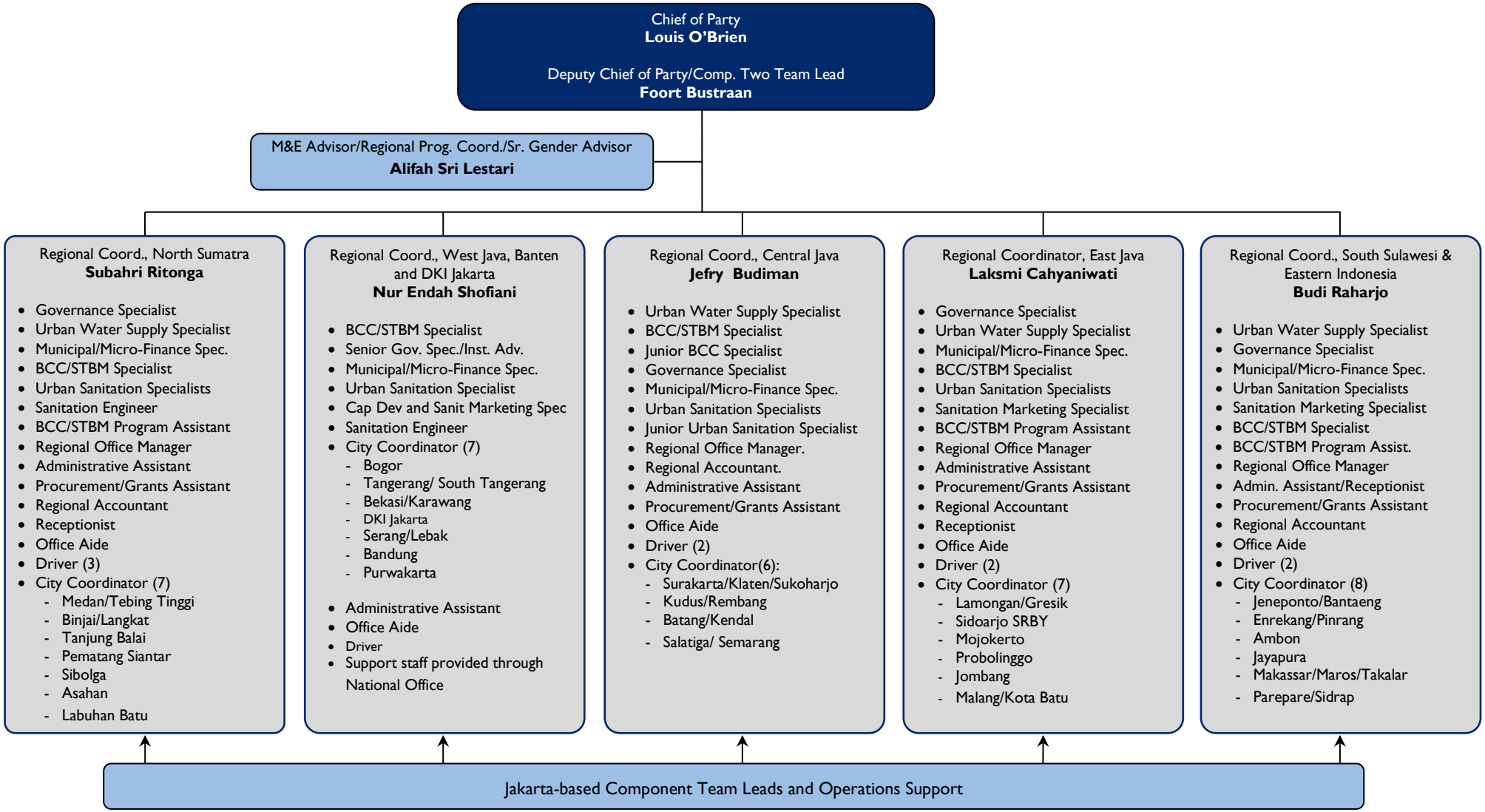


Figure 10: IUWASH Organizational and Management Structure – Reporting Relationships Between National and Regional Offices



7.1.2 MATRIX MANAGEMENT

Due to the technical and geographical complexities of IUWASH, the need to maximize the utility of resources, and the desire to apply reasonably consistent approaches and techniques to the implementation of the project, the project has also adopted a "matrix management" approach to the implementation of a wide variety of technical, administrative and cross-cutting areas. Matrix management in a corporate setting is often fraught with problems when profit centers or other competitive goals are involved. However, in a project management sense, and certainly in the area known as "project management," it is desirable. Indeed, it is absolutely necessary that IUWASH make maximum use of the wealth and variety of assigned talent and resources.

In a geographic sense, IUWASH must deal effectively and efficiently with five regions and a multitude of individual localities, spanning nearly 6,000 km. In a technical sense, IUWASH includes a very wide but interrelated group of skill sets including, but not necessarily limited to, the following: behavior change specialists, water supply experts, sanitation engineers, municipal finance and microfinance experts, governance specialists, climate change adaptation specialists, water resource specialists, gender applications specialists, public outreach and communications specialists, geographic information systems specialists, and many others. While IUWASH requires their input throughout the project's landscape, it equally cannot afford to have these specialists in all places all the time. Therefore, a system of vertical management as well as a horizontal management is employed, thus the matrix nature of this system.

The IUWASH Matrix Management Chart (see Annex 9.6.) presents the IUWASH team according to their geographic location and technical, administrative or cross-cutting area of expertise. The purpose of establishing this chart is not to define a rigid leadership structure for the project, but rather to clarify with whom and how staff should interact on the many topics the project must deal with on a daily basis. In reviewing this chart, the following should be noted:

- Each primary technical, administrative or cross-cutting area has a clear leader.
- Where indicated, these technical, administrative or cross-cutting areas are broken down into specific specialties. Within technical areas, these specialties are defined according to the project's targeted outcomes. Within administrative or cross-cutting areas, these specialties coincide with important functional divisions.
- Within each specialty area, a specific staff member has been designated as the "Technical Coordinator."
- The role of Technical Coordinators is to:
    - Serve as resources to the regions, providing advice, support and maximizing the utilization of IUWASH resources;
    - Ensure that there is good coordination, exchange and communications between all project locations in their area of expertise, so that approaches and resources can be more effectively shared;
    - Ensure that other concerned technical specialists and administrative/finance personnel are kept well-informed of and involved in specific activities or discussions;
    - Remain knowledgeable of all activities within their geographic area that fall under their area of expertise;
    - Serve as the main liaison with partner agencies in their area of expertise; and
    - Support regional coordinators and component leads in key planning, coordination and monitoring functions.

While a specific staff member is designated as detailed above, many other staff at the national and regional level can and should be involved in particular activities, discussions, decision-making, and so on. With this in mind, IUWASH encourages everyone to regularly communicate with each other and exchange ideas. Further, to ensure everyone is well-informed, and as a general rule, all correspondence between Technical Coordinators and staff at the regional and national level is

expected to be copied to the concerned Regional Coordinator, the leader of the particular technical, administrative or cross-cutting area, and others as indicated (e.g., the Operations Manager and Finance Officer if funds will be required; the Grant Manager if a grant may be involved; and the Program Communications Specialist if communications materials will be needed).

Annex 9.6. presents the most recent version of the IUWASH Matrix Management Chart. As the project evolves, this Chart is also expected to change, while adhering to the same basic framework as described above.

7.1.3 TECHNICAL ASSISTANCE MANAGEMENT INFORMATION SYSTEM (TAMIS)

One other critical element in the IUWASH project management system relates to information management. As set forth above, IUWASH requires multi-office interactions, multilayered monitoring and evaluation, and collaborative planning and information sharing among partners. Without sound and efficient information management, these requirements can easily become burdensome and take the focus away from critical programmatic activities. In response, DAI developed the Technical Assistance Management Information System, known as "TAMIS." This system is essentially a suite of databases that have been developed to meet different project management needs. Under IUWASH, this system integrates workplan management, impact and performance monitoring, and project administration (from the management of technical assistance to grant programs) into a web-enabled information system.

A tremendous advantage of the TAMIS for IUWASH is that, with multiple teams operating in multiple locations, tracking and reporting requirements become a shared responsibility. Because everyone on the team taps into a central database and uses it in day-to-day management, as data are entered in one location, they are automatically aggregated with data from all locations, substantially reducing the burden on management staff for data collection. A 'screenshot' of one small part of the IUWASH TAMIS is provided in Figure 11 below.

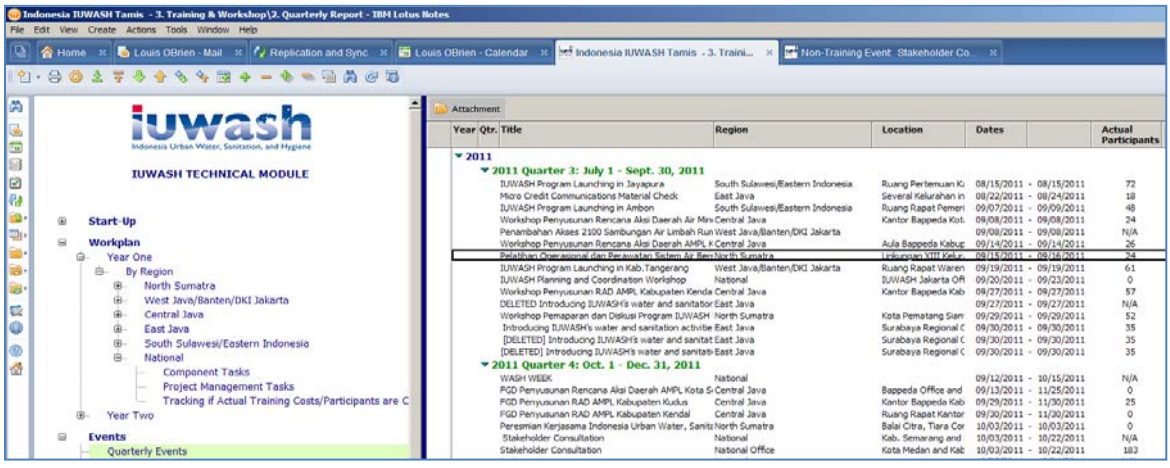


Figure 11 : Screenshot' Sample of the IUWASH TAMIS.

During PY3, much work was undertaken to refine the IUWASH TAMIS so that it would best respond to the special needs of the project. Among other tasks, this involved the development or customization of specific modules, as well as the training of staff in its use. Such refinements will continue on PY4 with particular attention paid to the revision of workplan modules to conform to the project's new sector-based approach.

7.1.4 PLANNED GENERAL PROJECT MANAGEMENT ACTIVITIES

While the above sets forth how IUWASH is organized and managed, there are several specific tasks that will aid in this aspect during the course of PY3, facilitating the quality of teamwork and ensuring strong project cohesiveness. The majority of these tasks are of a routine nature or self-explanatory. All planned general project management tasks (and associated activities, inputs, results and timelines) are set forth in the following table:

Task	Activity	Input	Result	Timeline
PM 1-1 Planning & coordination	Develop Program Year 4 (PY4) Workplan	COP, DCOP, M&E Adv., all technical and regional advisors	PY4 Workplan submitted and approved by USAID	Oct 13 – Nov13
	IUWASH Quarterly Planning & Coordination Meeting	COP, DCOP, M&E Adv., Comp. Leads, Regional Coord., and others as required	Improved coord. and reviewed and adjusted PY3 Workplan	Oct 13- Sep 14
	Tim Teknis Quarterly Meeting	USAID, COP, DCOP, M&E Adv., Comp. Leads	Synchronization of IUWASH with national programs and improved support from national partners.	Oct 13- Sep 14
	WatSan Partners Meetings	COP, DCOP, M&E Adv.	Technical exchange and improved coordination among USAID programs active in the sector	Oct 13 – Sep 14
	Annual planning & coordination meeting	COP, DCOP, M&E Adv., all technical and regional advisors	Reviewed and adjusted PY2 Workplan and initial PY3 Workplan development	Sep 14
	Bi-Weekly meeting with USAID COR	COP, DCOP, M&E Adv., Ops Man.	Improved project management coordination	Oct 13- Sep 14
PM 1-2 Agreements with local partners	Review Workplans with partner municipalities and update as required	COP, DCOP, RCs M&E Adv.	Clear understanding of roles and activities of key partners, especially at the local level	July 14- Sept 14
PM 1-3 General operations	Review contracts with operational service providers (i.e. internet and security)	Ops Manager and team, Reg. Coord. and Office Managers	Better Services and Competitive Price	Oct 13 – Sept 14
	Update Operations Manual on on-going basis as required	Ops Manager, COP, DCOP and other admin. team members	Operational manual for IUWASH program updated and functional	Oct 13 – Sept 14
	Procurement of computer / equipment for new staff	IT Specialist, Admin and Procurement Officer	Installed, functioning IT systems , and standard equipment for new staff	Oct 13 - Dec 13
	customization of TAMIS as needed	Ops Manager, TAMIS Specialist STTA	Improved project-level MIS	Oct 13 - Dec 13
	Conduct Admin Workshop to improve understanding on IUWASH SOP	Ops Manager, Adm and Office Managers	Improved compliance and Admin Team support in implementation of project activities	Nov 13
	Periodic visits to regions by national operations staff for training/ monitoring	Ops Manager and other Finance and Admin. staff	Improved levels of compliance with policies and procedures	On-going
PM 1-4 Finance	Regular tracking of finances, status of procurement, etc.	Ops Manager, Finance, Acct, and Admin. staff	Compliance and up-to-date, accurate financial information	On-going

Task	Activity	Input	Result	Timeline
PM 1-5 Human resources development	Respond to new LTTA and STTA requirements as they arise	HR Officer and others as required	Consistent availability of required staff and consultants	On-going
	Provide induction/orientation sessions to new staff on policies/ proced.	HR Officer and others as required	Improved staff understanding of policies, procedures, expectations, etc.	On-going
	Conduct regional level team retreats to review workplans and improve team effectiveness	Regional Coord., HR Officer and others as required	Improved teamwork and program effectiveness	On-going
	Conduct regular Employee Performance Appraisals (EPAs)	HR Officer and others as required	Improved staff satisfaction and performance	On-going

7.2 PROGRAM COMMUNICATION

The IUWASH communication strategy is an integrated program to stimulate stakeholder awareness and support for improved and expanded service delivery on a variety of levels. Program communications activities relate program results, best practices and lessons learned in a timely and professional manner to a broad Indonesian and international audience, with a special focus on awareness building among local government officials, CSOs and the media.

IUWASH Program Communications activities in PY4 are geared towards improving skills and knowledge of project staff and stakeholders in creative writing, basic photography and working with documents, which eventually will contribute to improved knowledge management in water, sanitation and hygiene. During PY3, IUWASH communications efforts will be applied in several areas, including:

- Improving skills and knowledge in basic writing, basic photography and document management. The two former skill areas are crucial to ensure good quality articles that will feed into IUWASH News, Facebook, Twitter and IUWASH Website; and eventually will become sources of knowledge for lessons learned and case studies in water, sanitation and hygiene in urban areas. Document management will improve the reporting skills of IUWASH project staff and encourage working effectively;
- Updating and broadening program communications materials will remain a strong focus this year. The team will identify other types of stories, such as a before-and-after stories, first-person stories, and photo-and-caption stories to enrich project knowledge in water, sanitation and hygiene;
- Exercising the use of social media to ensure wider coverage of project information dissemination.

Detailed activities planned for PY4 are described in the following table.

Task	Activity	Input	Result	Timeline
PM 2-1 Develop Case Studies/Lessons Learned	Identify /develop articles/pub for each high-level result: • Success stories • Before and after • First person • Photo and caption Enrich the above with multimedia elements (video clips, photos, info-graphy) and turn into Android-based or iPhone-based mobile application.	Internal workshop for technical staff, PO (video/printing)	15 different types of combined for three IUWASH high-level results that represent five IUWASH regions IUWASH lessons-learned stories packaged in one mobile application (either Android or iPhone platform)	Jan 14-Jun 14
PM 2-2 Develop *IUWASH News* (English and Indonesian)	Develop and produce *IUWASH News*	Program Communications team	4 quarter editions of *IUWASH News*	Nov 13 – Sep 14
PM 2-3 Maintain project website and social media platforms	Update website content	Program Communications team	Completed website	On-going
	Update regularly all social media tools (Facebook)	Program Communications team	Robust and interactive social media channels	On-going
PM 2-4 Provide cross-cutting support to other component activities	Visual, graphic design, editing and translation assistance	Program Communications team	Materials developed that support key programs, activities and events (workshops, trainings, etc.)	Nov 13 - Sep 14
PM 2-5 Submit reports to DECS and DAI Library	Submit approved deliverable reports i.e. Quarterly Report, Annual Progress Report, Annual Workplan Report to DECS and DAI Library	Program Communications team DAI Liaison	All deliverable reports are in DECS and DAI Library	Every end of quarter Nov 13-Sep 14

7.3 PROJECT REPORTING

IUWASH project reporting is an important management tool and, in many cases, a key contractual requirement. In the case of IUWASH, the project has exerted much effort to:

- Broadly involve staff in the development of project reports;
- Clearly link reports to the Performance Monitoring Plan (PMP), upon which project implementation and success is gauged; and
- Develop a reporting system that responds to the needs of USAID, the GoI and, importantly, project stakeholders at the local level.

In most cases, project reporting involves a wide array of project staff and evolves from the locations where work is being performed. Based on guidance provided from the national office, key information is gathered at the local level, reviewed and combined with other locations at the

regional level, and then reviewed for completeness, consistency and accuracy at the national level. Together with information provided by the leadership of the project's technical components and cross-cutting areas, reports are then edited and finalized. This section describes many of the regular and periodic tasks involved in managing the reporting requirements under IUWASH. Many of these reports represent specific contract deliverables as concerns reporting of programmatic progress, the project's financial status, and the attainment of results during project implementation.

Detailed tasks and their associated activities, inputs, results and timelines are summarized below.

Task	Activity	Input	Result	Timeline
PM 3-1 Produce and distribute Quarterly Progress Report (QPRs)	Develop IUWASH Quarterly Progress Reports (QPRs)	COP, DCOP, senior managers and Program Comm. Spec.	Three QPRs developed and approved by USAID and shared with key partners	Jan 14, April 14 July 14
PM 3-2 Produce and distribute a combined PY3 Annual Progress Report (APR) and final QPR	Develop IUWASH APR and final QPR for the year	COP, DCOP, Senior Managers and Program Comm. Spec.	APR for PY4 with last QPR for the year	Oct 14
PM 3-3 Produce and distribute Biweekly Reports	Develop IUWASH Biweekly Report	COP, DCOP, Senior Managers and Program Comm. Spec.	Twenty-six (26) Bi-weekly Reports developed and submitted electronically to USAID	Oct 13-Sept 14
PM 3-4 Produce and distribute technical reports	Develop technical reports as indicated	COP, DCOP, Senior Managers and Program Comm. Spec.	IUWASH technical reports developed, approved by USAID and distributed to relevant stakeholders, including CDIE	Oct 13-Sep 14
PM 3-5 Submit Monthly Financial and Accruals Reports	Develop Monthly Financial and Accruals Reports	COP, DCOP, DAI Home Office, Operations Manager, and Finance Team	Monthly Financial and Accruals Reports (12 each) developed and approved by USAID	Oct 13 – Sep 14
PM 3-6 Submit Annual Inventory Report	Develop IUWASH Annual Inventory Report	COP, DCOP, Operation Manager, and administrative staff	Annual Inventory Report developed and approved by USAID	Sep 14

7.4 MONITORING AND EVALUATION

Understanding the importance of the adage "If you can't measure it, you can't manage it," IUWASH places strong emphasis on program monitoring and evaluation. This emphasis is embodied in the project's approved Performance Monitoring Plan (PMP), a strategic tool used in monitoring project performance vis-à-vis the project's intended results and deliverables. The approved PMP describes the indicators that IUWASH is employing to track progress, achievements and expected targets by year. Additional M&E systems that support the PMP include:

- Quantitative performance monitoring
- Qualitative and impact performance monitoring

- Quality assurance
- Reporting on achievement of outcomes
- Reporting on collaboration with partners and other cross-cutting areas

The IUWASH PMP is further supported by the project's management information system, TAMIS, which is described above and which allows for cost-effective data entry from multiple locations and real-time tracking of activities and results for use in project reporting and communications. IUWASH received contract amendment in September 2013 which provided IUWASH with additional funding. The funding will be used to increase activities in sanitation, climate change adaptation and obtaining long-term financial support for PDAM and LG programs. Because the additional programs will require some additional targets and outcomes IUWASH will revise the PMP to accommodate the detailed plans on the reporting of these new outcomes.

Due to IUWASH amendment and revised PMP, adjustment of the PMP module in IUWASH TAMIS is also required. The IUWASH M&E team will collaborate with Home Office TAMIS Manager to support the adjustment of the TAMIS PMP Modules. Also, the IUWASH M&E Team will conduct refreshing training on the revised PMP Module that consists of indicator measurements, data entry, and related areas. Importantly, this will entail training, supervising and guiding staff in these and other critical areas to ensure the timeliness and accuracy of data collected and overall system integrity.

In PY4, the M&E will continue to conduct several surveys to present the achievement of several outcomes. The surveys generally use the same tools used in previous years. IUWASH will conduct presentation to relevant stakeholders on the results of several surveys.

Detailed M&E activities planned for PY4 are summarized below.

Task	Activity	Input	Result	Timeline
PM 8-1 Develop and submit Revised PMP (after IUWASH amendment)	Develop revised Performance Monitoring Plans (PMP) by including additional new outcomes and target	LTTA (COP, DCOP, M&E & Technical Advisors)	Revised PMP Submitted and got approval from USAID	Dec 14
PM 8-3 Conduct PMP data collection (quarterly and annually)	Conduct regular data collection and analysis through TAMIS supported IUWASH regular reporting	LTTA (COP, DCOP, M&E & Technical Advisors)	Data on achievement of PMP outcomes collected in TAMIS, analyzed and used in QPRs/APR	Dec 13, Mar 14, Jun 14, Sep 14
	Ensure regular performance-related data collection and entry. Conduct 'spot checks' to verify completeness and accuracy	LTTA (M&E & Technical Advisors)	Data on achievement of PMP outcomes verified	Dec 13, Mar 14, Jun 14, Sep 14
	Support the implementation of specific survey of HR-3 (water cost), MD-5 (improved hygiene behavior), IC-7 (poor people satisfaction)	LTTA (M&E, Regional Technical Spec)	Results of Survey HR-3, MD-5 and IC-7 collected, analysis and reported	Dec 13, Mar 14, Jun 14, Sep 14

Task	Activity	Input	Result	Timeline
	Conduct presentation of specific surveys on HR-3 (water cost), MD-5 (improved hygiene behavior), IC-7 (poor people satisfaction) to relevant stakeholders	LTTA (M&E, Regional Technical Spec)	Results of Survey HR-3, MD-5 and IC-7 presented to relevant stakeholders	Dec 13, Mar 14, Jun 14, Sep 14
PM 8-4 Conduct and submit PMP Reporting	Report on progress towards targeted outcomes/results	COP, DCOP, M&E Advisor, Technical and Regional Teams	Progress towards targeted out-comes/results reported in regular IUWASH progress reports	Dec 13, Mar 14, Jun 14, Sep 14
	Upload training data in USAID TraiNet System	IUWASH M&E Team, Technical and Regional Team	Quarterly training data uploaded in TraiNet System	Dec 13, Mar 14, Jun 14, Sep 14
PM 8-5 Conduct qualitative monitoring and evaluation	Develop success stories of IUWASH signature programs	LTTA (COP, DCOP, M&E Advisor, Technical and Regional Teams)	Success stories of the IUWASH signatures program developed	Feb 14, May 14. Aug 14
PM 8-6 Conduct capacity building for M&E program	Conduct refreshing training for technical staff on tracking outcome achievements, data collection, and entry into TAMIS	M&E Advisor, Technical and Regional Teams	Staff demonstrate proficiency in tracking and recording PMP outcome achievements	Dec 13 and as required thereafter
PM 8-7 TAMIS Customization of PMP Section	Create TAMIS PMP Section for Workplan of PY4 and additional PMP Outcome	STTA (Home Office support), LTTA	TAMIS Sections of Workplan PY4 and PMP customized based on approved Workplan	Jan 14

7.5 ENVIRONMENTAL IMPACT MITIGATION AND MONITORING

As a project aimed very much at improving the environmental health status of Indonesian citizens, the IUWASH team understands the importance of ensuring that its own activities do not, in any way, negatively impact public health or environmental conditions in the areas it operates. To ensure such is the case, USAID undertook an Initial Environmental Examination (IEE) prior to award of the IUWASH contract and subsequently revised it. This IEE (referenced as ASIA 12-13 IEE & ETD) provided a comprehensive review of activities to be undertaken by the project and of the threshold determinations of environmental impact and conditions for mitigation, if appropriate. The IEE determined that a Categorical Exclusion applies for IUWASH project activities involving technical assistance, training, analyses, studies, workshops and meetings that do not entail laboratory work, field studies or involve actions that directly affect the natural or physical environment. It further applied a Negative Determination with Conditions for IUWASH activities involving field studies and other actions that directly affect the physical or natural environment, including small-scale water and sanitation improvements and/or construction activities. It further specified that the IUWASH contractor shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this contract, including the preparation of an environmental mitigation and monitoring

plan (EMMP). The project's initial EMMP was provided in the workplan for PY1, and a version only very slightly revised is presented in Annex 10 to this PY3 workplan.

During PY-3, IUWASH continued to provide training and support tools materials to IUWASH staff, Grantees and others in environmental compliance. Further revisions were also made to the TAMIS as concerns key areas outlined in the EMMP. Note that in fulfillment of requirements set forth in Section C.8. of the IUWASH contract, the EMMP is again integrated into this Workplan for PY-4 (see Annex 9.7.). No changes of substance have been made over the EMMP made available in the Workplan for PY-3. As concerns activities related to environmental compliance in PY4, these are set forth in the following table.

Task	Activity	Input	Result	Timeline
PM 7-1 Continue to provide additional training and support to regional project Environmental Officers	Provide additional training to regional Environmental Officers in IEE, EMMP and other mitigation tools and instruments, including use of TAMIS	National Env. Officer	Improved understanding and performance of Environmental Officers	Jan 13 – Feb 13
PM 7-2 Oversee activity-level environmental compliance monitoring and reporting	Visit sites of activities that fall within the Negative Determina-tion with Conditions category to establish site-specific monitoring plans/schedules based	National and Regional Env. Officers and technical staff	Program activities well monitored against environmental compliance and reported in TAMIS	Oct 13 – Sep 14
	Ensure regular environmental compliance reporting	National and Regional Env. Officers	Up-to-date information available on environmental compliance and mitigation measures taken	Oct 13 – Sep 14
PM 7-3 Improve grantee understanding on USAID environmental compliance regulation and EMMP	Train grantee staff in USAID environmental rules and regulations under 22 CFR 216	National and Regional Env. Officers	Improved understanding of USAID 22 CFR 216 rules and regulations	Oct 13 – Sept 14

8 REGIONAL-LEVEL TECHNICAL ACTIVITIES

8.1 NORTH SUMATRA REGION

8.1.1 INTRODUCTION

North Sumatra Province has an area of 70,787 km² with a population of 12,982,204 people (2010). IUWASH target areas consist of 6 Cities and 3 Districts including: Kota Medan, Binjai, Tebing Tinggi, Pematang Siantar and Tanjung Balai, Sibolga and Kabupaten Langkat, Asahan, Labuhan Batu. In PY3, IUWASH North Sumatra Team made significant achievements in increased access to safe water supply and improved sanitation services by engaging PDAM, key local government institutions and National Government especially the Ministry of Public Works. IUWASH will continue to provide technical support to these institutions and other local partners in order to achieve IUWASH targets for this year.

Several significant achievements made in PY3 by the North Sumatra Team are summarized as follows:

1. Water Supply Sector

- Completion Billing and accounting system (SISKA) in three PDAMs (total 7 PDAMs now installed the SISKA);
- Water for the poor program through micro credit for 138 households in Kab. Langkat and Labuhanbatu. IUWASH will continue to support on promotion this program together with PDAMs and other key partners;
- Establishment of Mayor Regulation/*SK Walikota* to support tariff adjustment for PDAM Pematang Siantar;
- Establishment of Mayor Regulation/*SK Walikota* to support the issuance of equity fund in FY 2013 and 2014 for PDAM Tanjungbalai in order to complete the construction of Water Treatment plant (100 lps);
- Development of PDAM business plan of PDAM Kab. Langkat, Labuhanbatu and Kota Tanjungbalai;
- Completed the study on optimizing employee structure of PDAM Binjai;
- Trained PDAM staff of Labuhanbatu, Asahan, Langkat, and Kota Sibolga in various technical areas such as Distribution Network Improvement/DNI, NRW, GIS supporting PDAM Operational aspects;
- Completed CCVA Study in Pematang Siantar and made all preparations for development of Climate Change Adaptation Action Plan. In total 588 infiltration ponds have been constructed in Sibolangit (catchment area of PDAM Kota Medan) and Kota Pematang Siantar (538 funded by the CCFI).

IUWASH NORTH SUMATRA

Training for Installation of new Connection to accelerate of Micro credit.

2. Sanitation Sector

- IUWASH leveraged support from Ministry of Public Works for construction of IPAL in Kota Tebing Tinggi for 400 house connections with local government contributing installation of 132 houseconnections in APBD 2013 with remainder allocated in APBD 2014. IUWASH supported

DED and promotion for households to connect. local government Tebing Tinggi replicated this program in Kelurahan Mandailing to for 200 households. Total leveraging is Rp 3.4 Billion from APBN and Rp 1.9 Billion from APBD;

IUWASH NORTH SUMATRA

Coordination Meeting with Perkim, Satker PLP, PDAM Tirtanadi on Sewerage programs.

- IUWASH conducted advocacy to local government Asahan and Tanjung Balai on improving urban sludge management, including survey and measurement of existing IPLT to obtain most cost-effective IPLT rehabilitation plan. Both local government are committed to allocate APBD 2014 to support rehabilitation of existing IPLT and procure desludging trucks;
- IUWASH completed Real Demand Survey and Topographic Survey for Small Scale Sewerage System in Binjai for 600 customers from 3 neighborhoods. IUWASH promoted this to Ministry of Public Works who agreed to allocate budget in FY 2014 under APBN for Rp 5.4 billion;
- Phase I of DED development for Medan Sewerage System was completed and advocated to Provincial and Ministry of Public Works. MPW agreed to allocate Rp 35 Billion in APBN 2014 for rehabilitation of this system;
- Promotion of city sewerage system in Kota Medan was completed by SPEAK with the promotional activities were done by Pokja members and PDAM Tirtanadi staff;
- IUWASH conducted comparative study to Makassar for UPTD establishment in Kota Tebingtinggi and Binjai.

3. Cross Cutting Sector :

- Completed assessment of existing Citizen Feedback Mechanism through several FGDs, workshop, and training for key stakeholders of Kota Binjai;
- Two Mayor regulations (*SK Walikota*) have been established to support PDAM Kota Pematang Siantar and Tanjungbalai on tariff adjustment and equity fund;
- Conduct three Visioning Workshops in Kota Pematangsiantar, Kota Sibolga and Kab. Labuhan Batu resulting in full commitment of 3 mayors;
- Conducted monitoring of the result of Workshop Capacity Building for Stakeholders (Water utility supervisory board, local government and PDAM) for Kota Medan, Tebing Tinggi, Binjai, Pematangsiantar and Tanjung Balai.

IUWASH NORTH SUMATRA

Coordination Meeting with Perkim, Satker PLP, PDAM Tirtanadi on Sewerage programs.

8.1.2 TARGET TOWARD PMP OUTCOME FOR NORTH SUMATRA REGION

PMP Outcome	Year 4 Target of North Sumatra	Remarks
HR-1	80,000 people	This figure is equal with 16,000 household connections from new connections of 9 PDAM partners, master meter program in Kota Sibolga and Micro Finance Program
HR-2	20,000 people (4.000 households)	This target will be achieved through increased connection to Medan Sewerage System (2,900 HH), community based sanitation systems in Tebing Tinggi, Tanjungbalai and Asahan (200 HH) and an estimated 900 HH from individual systems through micro credit in Kota Medan, Kota Tebing Tinggi, Kota Pematang Siantar, Kota Tanjungbalai, Kab. Asahan, Kab. Labuhanbatu and Kota Sibolga
HR-3	20% decreased	This figure will be gathered through water cost survey in Kab. Langkat, Kab. Labuhanbatu and Kota Sibolga through the implementation of Micro Credit and Master Meter Programs
HR 4	1,190 People	From all training related activities by IUWASH North Sumatra that will be conducted in several level (community-based training and capacity building for Local Government institution and PDAM). This target includes training activities conducted by IUWASH Grantees
MD-1	4,000 HH	Willingness to pay for sanitation improvements by households connected to all systems mentioned under HR 2 above.
MD-2	13 CSOs	The CSOs consist of 2 NGOs (grantee) and 11 CBOs implement the sanitation and master meter program in Medan, Tebing Tinggi, Pematang Siantar, Tanjungbalai,. Asahan,. Labuhanbatu and Sibolga
MD-3	2 CSOs	PDAM Customer Forum will be established in Kota Pematang Siantar and Kota Sibolga
MD-5	20%	Improved behavior change will be shown by the semi-annual survey in Medan, Tebing Tinggi and Tanjungbalai
IC-1	9 PDAM	All PDAMs in North Sumatra Region are expected to increase their performance index in this year to reach 20%
IC-2	6 PDAM	Continue finalizing debt restructuring plan of PDAM Langkat, start to conduct regular monitoring of debt restructuring plan of PDAM Medan, Tebing Tinggi, Tanjungbalai, Pematang Siantar and Sibolga
IC-3	5 PDAM	PDAM Medan, Tebing Tinggi, Langkat, Sibolga and Pematang Siantar are expected to increase their credit rating based on baseline ratings in previous year.
IC-4	3 LOCAL GOVERNMENT	IUWASH continue support Pematang Siantar, Medan and Sibolga to complete the Vulnerability Assessment, develop Climate Change Adaptation Action Plans and implement Climate Change Adaptation programs
IC-5	5 LGs	Continue to support local government Medan, Binjai, Tebing Tinggi, Tanjungbalai, Asahan to implement sanitation program based on City-wide Sanitation Strategy (CSS)
IC-6	3 SME	SME involved in supporting the sanitation program in Tanjungbalai, Asahan and Labuhanbatu
IC-7	20%	The households satisfied with watsan services will be surveyed in Medan, Binjai, Tebing Tinggi, Tanjungbalai and Asahan where water for the poor program and community-based sanitation is done.
IC-8	4 UPTD	The sanitation unit (UPTD Wastewater) developed in Kota Binjai, Kota Tebing Tinggi, Kota Tanjungbalai, Kab. Asahan
IC-10	20 people	The people are the LG staff Kota Pematang Siantar, Kota Medan and Kota Sibolga who received training related to climate change adaptation programs

PMP Outcome	Year 4 Target of North Sumatra	Remarks
EE-1 (policy)	13 policies	The policies developed in Kota Medan, Kota Binjai, Kota Tebing Tinggi, Kota Tanjungbalai, Kab. Langkat, Kab. Asahan and Kab. Labuhanbatu on various topics
EE-1 (budget)	6 LGs	Support local government Medan, Binjai, Tebing Tinggi, Tanjungbalai, Langkat and. Asahan to increase the APBD allocation
EE-2	2 PDAM	Support Water Supply Regionalization (200 lps new treatment plant) for Tebing Tinggi and Serdang Bedagai and WTP in Kelurahan Sirantau of Kota Tanjungbalai (100 lps for 7,000 connections)
EE-3	62.550 Billion Rupiah	APBD (11 Billion) for WTP PDAM Tanjungbalai . (3.6 Billion) for IPAL Tanjung balai, (1 Billion) for sewerage in Tebingtinggi, (1 Billion) for sewerage connection in Binjai, (7 Billion) for sewerage connection Medan , (5 Billion) for septic tank Belawan. APBN (25 Billion) sewerage system in Medan, (4 Billion) for Pipe network in Kab. Langkat, (2.25 Billion) for IPAL Kawasan in Binjai , (2.7 Billion) for IPLT Medan
EE-4	1,900 hh	Through new water connection under Micro Finance Program in Kota Tanjungbalai, Kab. Langkat, Kab. Asahan and Kab. Labuhanbatu (1,000 connections) and 900 individual sanitation connections
EE-5	4 LGs	CEM development in Kota Binjai, Kota Tanjungbalai, Kab. Langkat and Kab. Labuhanbatu

8.1.3 UPDATED MAP

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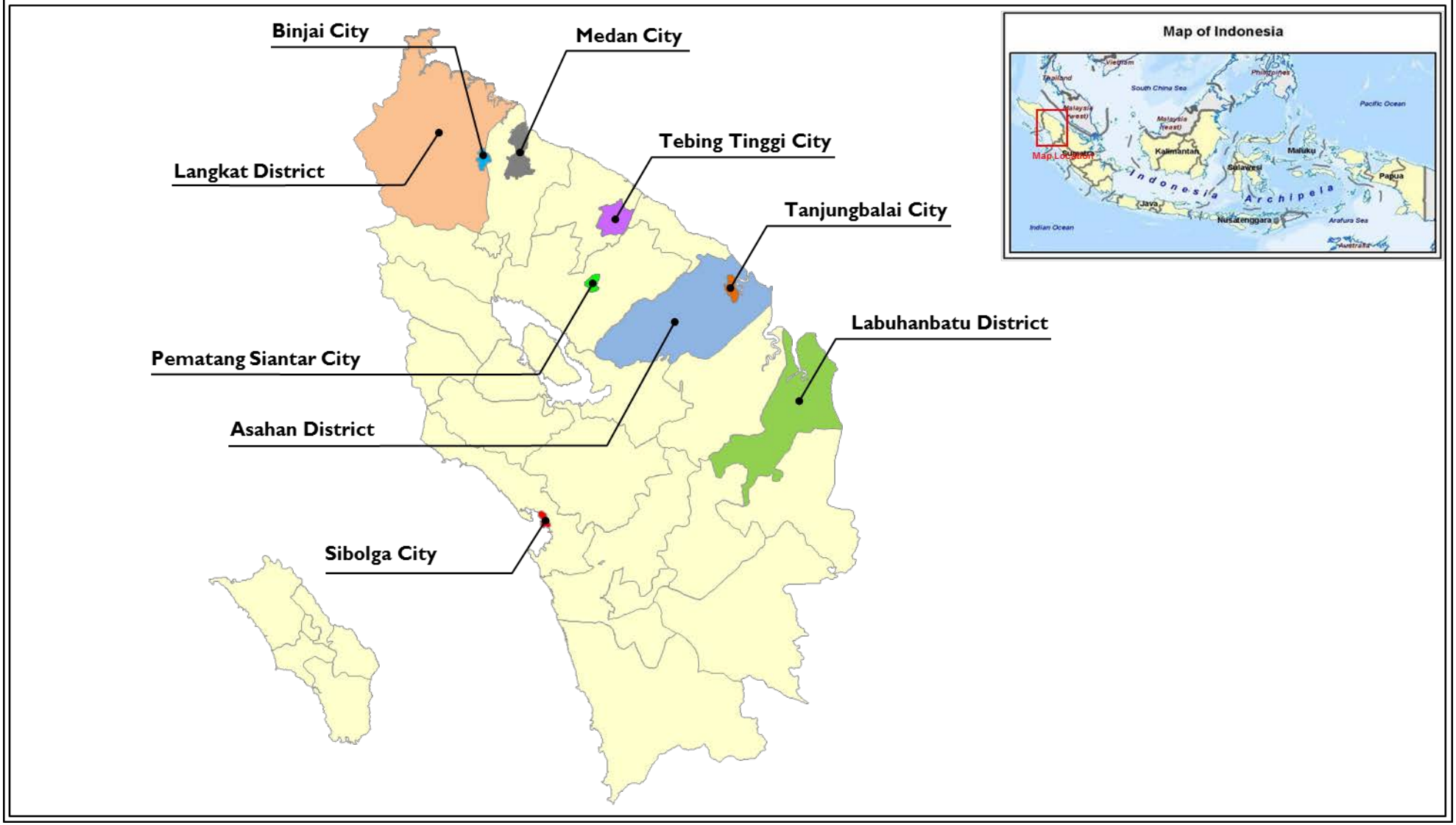
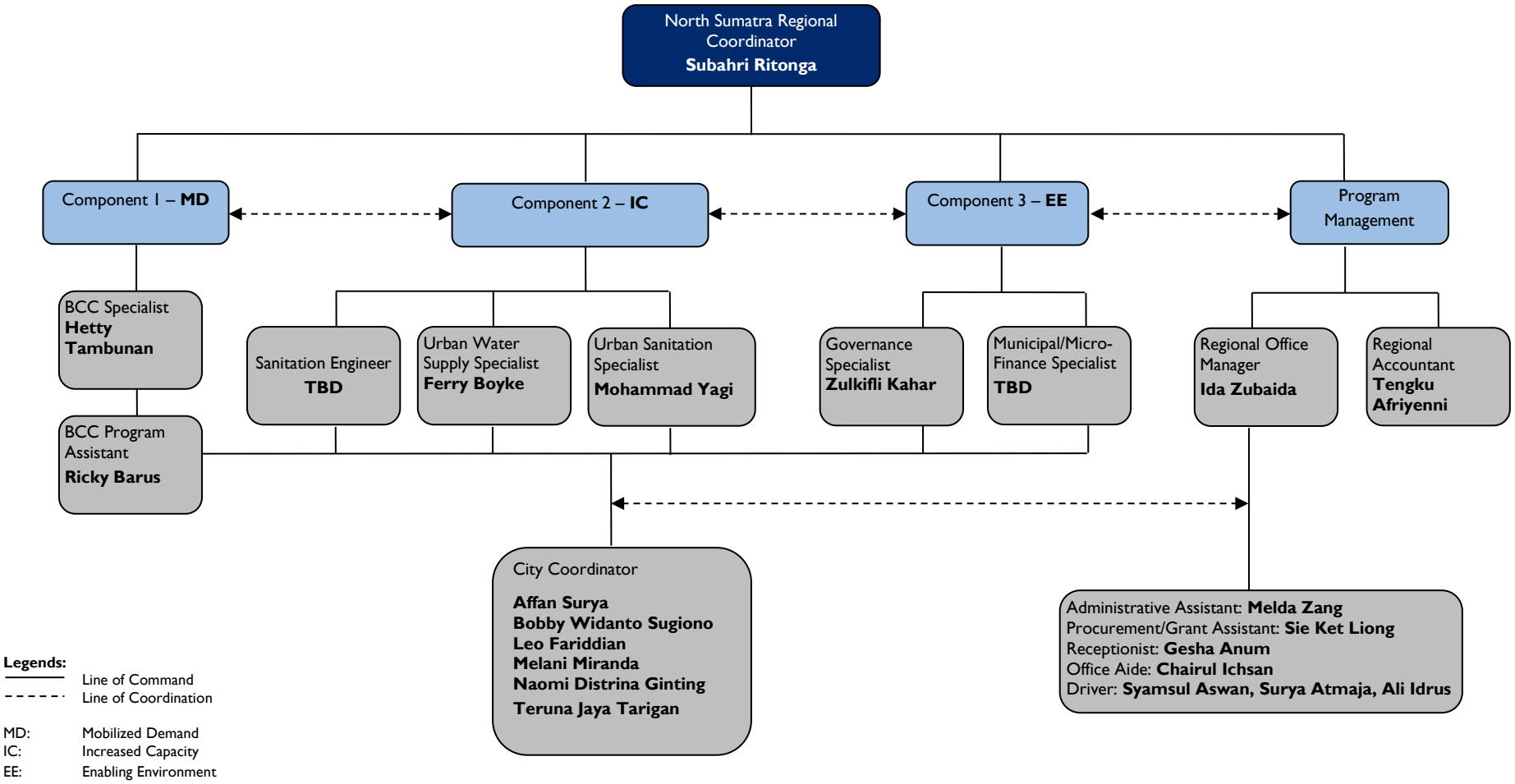
Map of City/ District for North Sumatra Region

iuwash Indonesia Urban Water, Sanitation, and Hygiene



IUWASH ORGANIZATIONAL CHART BY REGION – NORTH SUMATRA



8.1.4 SUMMARY OF PLANNED PROGRAM ACTIVITIES

1. Water Supply Sector

Introduction

In PY4, IUWASH North Sumatra Regional will implement key program activities focused on the achievement of targets of people access to safe water supply in areas which has highest potential of. This year, IUWASH identified potential for increased production capacity with PDAM Kab. Langkat, PDAM Kab. Asahan and PDAM Kab. Labuhanbatu. IUWASH will support these PDAMs to accelerate the addition connections through promotion activities, facilitation of micro-credit, improved distribution network system, NRW reduction, and technical support to improve of production capacity. To support this program, IUWASH will work closely with key partners such as PDAM, local government, local banks, cooperatives and community groups. IUWASH will support PDAM Tirtanadi with further development of Martubung Water Treatment Plant (200 lps), through Real Demand Survey and mapping for MBR in Belawan area. IUWASH will also collaborate with Dinas Perkim for tertiary and distribution pipe, and Provincial Satker Air Minum for transmission pipe to the MBR area and PDAM Tirtanadi.

In PY4, IUWASH will also support PDAM Tanjungbalai and Labuhanbatu to review possible up-rating the existing Water Treatment plant, through local consultant. For PDAM Kota Tebing Tinggi, IUWASH will continue process of regionalization of water supply system between Kota Tebingtinggi and Kab. Serdang Bedagei, so that after the feasibility study is completed and shared with Provincial and National Governments to obtain supports, partnership will be made that involves wider stakeholders such as PDAMs, local government of Kota Tebing Tinggi and Serdang Bedagei, Provincial Government and MPW. To support the expansion of the raw water supply, IUWASH will conduct program on Climate Change Vulnerability Assessment in Kota Sibolga. This effort is important to assure the availability of raw water in the city that strongly influenced by climatic conditions that already happened for several years. IUWASH will collaborate with local consultant, PDAM, Local Government in this program implementation.

Anchor Site of Water Supply Sector:

IUWASH North Sumatra Region continues to implement the anchor sites, but this year IUWASH North Sumatra Region changed one of anchor site which was the program on long-term finance in three cities, with the development of regionalization of water supply system between Kota Tebing Tinggi and Kab. Serdang Bedagei. Below is detailed information on the anchor sites of water supply sector in this region:

1. *Micro credit program in Kabupaten Langkat and Labuhanbatu*. IUWASH continues technical support on training and promotion of the micro credit program in these cities, including improvement of the distribution network system, develop regulation to support the expansion of water supply system and conduct advocacy to the local government to gain their support;
2. *Master Meter System in Kota Sibolga*. All preparations on the implementation of this program have been started including socialization to the communities, working with local government and PDAM on completion of land acquisition for small reservoir, CBO introduction and tariff development. In PY4 the Master Meter program for 130 connections will be conducted through Grant Program;
3. *Regionalization of raw water between Kota Tebingtinggi and Serdang Bedagei*. Last year, IUWASH completed the pre-feasibility study and presented results to MPW. In PY04, IUWASH will support and encourage PDAM and both local government to take next steps to achieve the completion of this program.

Detailed Matrix Program Activities

Task	Activity	Input	Location	Timeline
Program WS-1: Improve PDAM Operational Aspects				
Sub-Program: PDAM Performance Index Monitoring				
PDAM Performance Index	Input data and discuss results with PDAM for clarification and confirmation	LTTA	All Districts / Cities	Feb- Mar 14 Aug- Sep 14
Sub Program: Energy Efficiency Audit (EEA)				
Implementation of EEA Program	Conduct Audit, monitoring and implementation of program activities	LTTA, event , PO	Kota Tebing Tinggi Kab Asahan	Jan – Jun 14
Sub Program: Non-Revenue Water Reduction (NRW)				
Conduct NRW program	Monitoring & Evaluation of NRW and introducing NRW-non technical program	LTTA	Kab. Asahan, Kab. Labuhanbatu	Oct 13 – July 14
Sub Program: Distribution Network Improvement (DNI)				
Conduct DNI program	Distribution Network System Survey	LTTA, PO	Kota Medan, Kab. Langkat	Oct 13 – Jan 14
	SPAM Design at IKK	LTTA,PO	Kab. Langkat	Des 14
	Layout Detail for SPAM in 5 cities	LTTA, event	Kota Binjai, Kota Tebing Tinggi Kab. Labuhanbatu	Oct 13 – Sep14
Sub Program: Production Capacity Improvement (PCI)				
Conduct PCI program	Optimization of WTP (design Up Rating WTP)	LTTA & PO	Kota Tanjungbalai, Kab. Labuhanbatu	Nov 13 – Jun 14
Sub Program: GIS/MIS support for PDAM				
Training on the development of GIS/ MIS capacity	Continue training and monitoring, pilot implementation	LTTA, event	Pematang Siantar, Kota Tanjungbalai, Kab Asahan, Kota Sibolga	Mar – Sep 14
Sub Program: Capacity Building (SOP)				
Preparation & implementation	SOP PDAM Development	LTTA & PO	Kota Tanjungbalai, Kab. Langkat, Kab. Asahan, Kab. Labuhanbatu	Jan – Aug 14
Program WS-2: Improve PDAM Financial Aspects				
Sub Program: PDAM Business Plan				
Prepare PDAM business plan	Training in preparation Business Plan (BP)	LTTA, event	Kab. Asahan, Kota Sibolga	Jan-Feb 14 May-Jun 14
Sub Program: PDAM Tariff Review / Adjustment				
Tariff review Implementation	Tariff Re-clarification	LTTA, event	Kota Tanjungbalai	Mar-Apr 14
	Facilitating preparation of tariff and financial estimation	LTTA, event	Kab. Asahan	Jan-Feb 14
	disseminate tariff proposal to customers through media, radio, newspaper	LTTA, event	Kota Sibolga	Jun – Aug 14
Sub Program: PDAM Billing and Accounting System				
Monitoring and Evaluation	Monitoring and Evaluation of Billing System Implementation	LTTA	Langkat, Asahan Labuhanbatu	Feb 14
Sub Program: PDAM Debt Restructuring – New & Monitor existing				
Monitoring & Evaluation	Monitoring & Evaluation (Data Collection, Entry and Analysis)	LTTA, event	Kota Tanjungbalai, Kab. Asahan	Apr – May 14
Program WS-3: PDAM Customer Relation Aspects				
Customer Forum Establishment	Forming and strengthening the customer forum	LTTA & PO	Pematang Siantar, Kota Sibolga	Jan – Apr 14

Task	Activity	Input	Location	Timeline
Program WS-4: Raw Water Management & Climate Change Adaptation				
Sub Program: Climate Change Vulnerability Assessment				
Implementation the CCVA study	Implementation the CCVA Study (PO) followed by stakeholder workshops	LTTA & PO	Kota Sibolga	Oct 13 – Feb 14
Sub Program: Implementation of Climate Change Adaptation Action Plan				
Implementation of Climate Change Adaptation Program	Monitoring the infiltration ponds	LTTA, event	Pematang Siantar	Oct 13 – Sep 14
Sub Program: Climate Change Adaptation action Plan				
Development of Climate Change Adaptation Action Plan	Workshop on Asset Risk Matrix	LTTA, event	Kota Sibolga	Jan 14
	Workshop on adoption plan	LTTA, event	Medan, Pematang Siantar, Kota Sibolga	Nov 13 – Feb 14
Program WS-5: Microfinance for water supply				
Promotion / marketing	Marketing and promotion preparation with PDAM and Local Bank + design, print and distribution of material	LTTA, event	Kab. Langkat, Kab. Labuhanbatu	Oct 13 – Aug 14
Program WS-6: Master Meter for water supply				
Conduct Master Meter program	Implementation, socialization and construction of Grant Master Meter	LTTA, Grant	Kota Sibolga	Oct 13 – Sep 14
	Survey water cost for MM or MC + Satisfaction for the poor	LTTA	Kab. Langkat, Kab. Labuhanbatu, Kota Sibolga	Dec 13, Mar 14, Jun 14, Sep 14
Program WS-7: PDAM Capital Expenditure Investment				
Credit Worthiness Ladders	Data collection, entry and Analysis for CWL	LTTA	All cities	Mar – Apr 14
Capital expenditure financing	Support PDAM in preparing RISPAM PDAM Tirta Sari Binjai	LTTA, event, STTA	Kota Binjai	Oct 13 – Mar 14
Program WS-8: PDAM Institutional Support				
Sub Program: PDAM Institutional Support				
Capacity Building for Stakeholders	Capacity Building Business Plan and Waste Water for DPRD & Stakeholder	LTTA, event	Kota Tebingtinggi, Pematang Siantar, Kota Tanjungbalai, Kab. Langkat, Kab. Labuhanbatu, Kota Sibolga	Dec 13 – Jan 14
	Monitoring result of Workshop, Capacity Building for Stakeholders (Dewan Pengawas, Local government, PDAM)	LTTA, event	Kab. Langkat, Kab. Asahan, Kab. Labuhanbatu, Kota Sibolga	Jan – Mar 14
Regionalization of Water Supply	Facilitation on DED SPAM Regional	LTTA, event, PO	Kota Tebing Tinggi	Oct 13 – Jan 14

2. Sanitation Sector

Introduction

In PY4, IUWASH will continue to increase people's access to improved sanitation services through promotion programs for small scale and city wide of sewerage system in Kota Medan, Tebing Tinggi and Binjai. In term of increasing of sanitation access through individual System, IUWASH will implement a grant program on Micro Credit and SME of healthy toilets in three locations (Kota Tanjungbalai, Kabupaten Asahan and Labuhanbatu). All efforts on development sanitation access will be supported by regulation and institutional empowerment through a grant program on UPTD formation and domestic waste water regulation development in Kota Binjai, Tebing Tinggi, Tanjungbalai and Kabupaten Asahan. Development and optimizing IPLT is also important because this facility is a key of domestic waste water management. Therefore IUWASH will monitor the progress on IPLT development in Medan which was designed by IUWASH in PY3 and supported by MPW to be constructed on land of sewerage treatment plant of PDAM Medan. Also IPLT monitoring will be conducted for Kota Tanjungbalai and Kabupaten Asahan.

Anchor Site of Sanitation Sector :

Anchor sites in North Sumatra were started in PY 3 by implementing three project such as a) Medan Sewerage System development; b) Community Based Desludge Management in Belawan; and c) Regulations for Tebing Tinggi on small-scale sewerage and sludge management. These three projects will be continued in PY4, Below is the detailed information of the anchor sites of IUWASH Medan Regional Office:

1. *Medan Sewerage System development*: this year IUWASH will continue development of IPLT Cemara to expand the access for the people and support PDAM in creating demand to increase the access. IUWASH will continue to optimize of media promotion for Medan sewerage system and support sAIIG with increasing connections;
2. *Community Based Desludge Management in Belawan*: this anchor site will support development of individual sanitation system. Belawan area is one of slump area in Kota Medan that have poor access to water supply and sanitation services. This year IUWASH will continue to conduct grant program to support local government Medan to implement the program activities;
3. *Regulations for Tebing Tinggi on small-scale sewerage and sludge management*: in PY4, IUWASH not only focus on regulation but also support local government to expand their services to replicate several communal sanitation systems funded by APBD. IUWASH continues to encourage the optimizing of six "MCK Komunal" and increase access through small scale sewerage system through IPAL in Badak Bejuang and Mandailing.

Detailed Matrix Program Activities

Task	Activity	Input	Location	Timeline
Program SAN-1: Increase access through individual system				
Sanitation marketing and Financial access	Implementation Grant of Micro Credit for healthy toilet	LTTA, event Grant	Tanjungbalai, Kab. Asahan, Kab Labuhanbatu	Oct 13 – Jun 14
Conduct Behavior Change Survey	Survey on Behavior change on supported increase access to safe water supply and improved sanitation services	LTTA, event	Kota Medan, Kota Tebing Tinggi, Kota Tanjungbalai	Feb 14 and Aug 14
Program SAN-2: Increase Access through Communal Sanitation System				
optimizing communal sanitation system	Capacity Building for CBO of Communal Septic Tank System	LTTA, event	Kota Sibolga	Feb 14– May 14
	Promotion Campaign for Community		Pematang Siantar	

Task	Activity	Input	Location	Timeline
Program SAN-3: Increase Access through offsite (sewerage) system				
Technical Support	DED IPAL Communal for join program with sAIIG	LTTA,PO	Tanjungbalai	Dec 13 – Feb 14
	Continue Topography Survey and support small scale sewerage system	LTTA, PO	Kota Binjai	Oct 13 – Nov 13
Promotion campaigns	Promotion of Small Scale Sewerage System, encourage development of new systems	LTTA, PO	Tebing Tinggi Tanjungbalai	Oct 13 – Feb 14
	Optimization on Media for Medan Sewerage System, encourage MOU on sewerage system development.	LTTA, event	Kota Medan	Dec 13 – Sep14
	Socialization, promotion campaign on connection to small scale sewerage	LTTA, event	Kota Binjai	Feb 14 – July 14
Program SAN-4: Improved Urban Sludge Management				
Technical support for IPLT Development	Monitor IPLT development in Medan, encourage IPLT optimization in 4 other cities	LTTA, event	Kota Medan Binjai, Tebing Tinggi, Tanjungbalai Asahan	Oct 13 – Dec 13
Program SAN-5: Support Pokja Sanitation/AMPL				
UPTD Development	UPTD formation and sanitation regulation development	LTTA, PO	Kota Binjai, Tebing Tinggi, Kota Tanjungbalai, Kab. Asahan	Dec 13 – Jul 14

3. Cross Cutting Sector

The cross-cutting sector will mainly support the implementation the program activities under water supply and sanitation sectors. This year IUWASH will conduct several programs include:

1. Preparation of Mayor Regulation (*Peraturan Walikota Rencana Induk Sistem Penyediaan Air Minum/RISPAM*) in 4 locations, involve Bappeda, PDAM and Local Consultants;
2. Prepare legislation for UPTD development in Kota Binjai, Tebing Tinggi, Kota Tanjungbalai, Kab. Asahan;
3. Continue development of regulation on watsan sectors and conduct data collection for APBD data of FY 2014, to assure commitment of local government. IUWASH will work with Bappeda, PDAM and local government institutions;
4. Conduct visioning workshop for 2 districts (Langkat and Asahan districts), to engage stakeholders and obtain commitment from all parties involved to support the improvement of water and sanitation services (Mayors, Bappeda, DPRD, PDAM and SKPD institutions working in these sectors);
5. Continue development of Citizen Engagement Mechanism in Kota Binjai and start in 3 new locations (Kota Tanjungbalai, Kab. Langkat and Kab. Labuhanbatu). In this program IUWASH will work with Kominfo/Bagian Humas, Bappeda, PDAM and local government institutions.

Detailed Matrix Program Activities

Task	Activity	Input	Location	Timeline
Program CC-1: Increase LOCAL GOVERNMENT Policies				
Development of Policies/ Regulation	Mayor Regulation ("Peraturan Walikota Rencana Induk Sistem Penyediaan Air Minum / RISPAM")	LTTA, Event	Tebing Tinggi, Tanjungbalai, Kab. Langkat, Kota Sibolga	Oct 13 – Feb 14
	Update Data of Watsan Policies/ Regulation Implemented	LTTA, event	All cities	Oct 13- Sep 14
Program CC-2: Increase LOCAL GOVERNMENT APBD Budget				
Implementation promotion to increase budget	Visioning Workshop Water and Sanitation	LTTA, event	Kab. Langkat and Kab. Asahan	Mar – May 14
	discussion with local government for clarification APBD and PDAM PI	LTTA, event	All cities	Oct 13- Sep 14
Program CC-3: Improved Citizen Engagement				
Improve /develop CEM	Update Data of Citizen Engagement Mechanism	LTTA, event	All cities	Oct 13- Sep 14
	Citizen Engagement Mechanism Development	LTTA, event, PO	Kota Binjai, Kota Tanjungbalai, Kab. Langkat, Kab. Labuhanbatu	Oct 13 – Jul 14
Program CC-4: Gender Mainstreaming				
Gender Awareness Training	Gender mainstreaming in SKPD Program in Medan (Pilot program in Medan-Belawan)	LTTA, event	Kota Medan	Oct 13 – Sep 14

4. Grant Program

Introduction

In PY4, IUWASH North Sumatra will implement several Grant Program activities supported the increase access to safe water supply and improved sanitation services. The proposed Grant Program are as follows:

1. *Master Meter in Kota Sibolga*. All initial activities toward the implementation of the program have been completed this year that include: socialization to the communities, land acquisition for small reservoir, establishment of CBO and agreement on water tariff;
2. *Micro Credit on Healthy Toilet/Jamban Sehat* to support the increased sanitation access through Individual System. The program will be implemented in Kota Tanjungbalai, Kab. Asahan and Kab. Labuhanbatu.

8.2 WEST JAVA, BANTEN AND DKI JAKARTA REGION

8.2.1 INTRODUCTION

Starting from PY3, IUWASH region of West Java/DKI Jakarta/Banten has supported eleven municipalities (Kota Bogor, Kota & Kab Bekasi, Kab Karawang, Kab Purwakarta, Kab Bandung, DKI Jakarta, Kab Tangerang, Kota Tangerang Selatan, Kab Serang and Kab Lebak) on increasing water and sanitation access. In all cities IUWASH collaborated closely with local government institutions such as Bappeda, Dinas Kesehatan (Dinkes), Dinas Cipta Karya and Pokja AMPL, and also with the PDAMs to implement priority programs. During the last two years IUWASH supported the development and implementation of city sanitation strategy as well as feasibility studies and business plan with PDAMs. Also IUWASH strengthened the institutional and local policy of local government and PDAM as well as promoting budget increase and leverage from APBD, other donor programs, private sector and micro-credit financing.

Following is summary of the main achievements in PY3:

- Supported feasibility studies for PDAM new service areas, including one for construction of new water treatment plant of 200 liter per second in Kota Bekasi, which is now in tender process for public-private partnership. Rp 13.7 billion (Rp 3.5 billion equity and Rp 10.2 billion for land) is allocated by APBD;
- Completed business plan for PDAM Karawang and Serang and finalizing documents for PDAM Kab Bekasi, Purwakarta and Lebak. Local government Karawang and Serang allocate Rp 10 billion and Rp 13.6 billion as equity;
- Assisted PDAM Kab Lebak to developing the debt restructuring plan and assisted submission to MoF;
- Supported implementation of STBM, sanitation marketing and Sanimas projects. For the STBM, a total of 544 new access to sanitation systems were obtained in Kota Bogor and Kab Tangerang;
- Typical design for individual and shared septic tank used in the slum area improvement program "Gebrak Pakumis" resulting in for 242 households sanitation access in seven districts of Kab. Tangerang;
- Mercy Corps implemented "Integrated Sanitation and Infrastructure Technology (INSIST)" program initiating community based-desludging program and innovative knockdown septic tank for 250 households in North Jakarta plus 80 households accessed micro-credit for desludging service in Bekasi;
- Supported cooperatives, Abdi Kerta Raharja and KPP UMKM in Kab Tangerang to initiate micro-credit sanitation scheme, through training for masons, community cadres and KPP's facilitators on how to construct a standard septic tank. IUWASH also facilitated meetings with potential funding agency for seed capital to run sanitation micro-credit scheme.

Adri Ruslan/IUWASH West Java

[Left] Radius Usman, Vice Chairman of KPP UMKM explains to masons and community cadres the basic principle of standard septic tank, to be waterproof, and not contaminate groundwater. [Right] Two septic tank molds awarded by IUWASH to AKR are now used to promote sanitation micro

In order to maintain partnership and commitment from local governments, IUWASH has so far conducted visioning workshop in seven cities: Karawang, Purwakarta, Kab. Bandung, Kab. Tangerang, Kota Tangerang Selatan, Serang and Lebak. During these visioning workshops, partnership agreements between IUWASH and local government were signed as well as a joint commitment by local relevant government offices to prioritize watsan programs. IUWASH continues to work with local government through Pokja AMPL and PDAM and continues strengthening the role of PDAM Supervisory Body to monitor PDAM operation and management.

8.2.2 TARGET TOWARD PMP OUTCOME FOR WEST JAVA – DKI JAKARTA – BANTEN

Outcome	Year 4 Target	Remarks
HR-1	251,500 people (50,300 HH)	50,300 households will have access to improved water supply, including 49,000 new connections in 9 PDAMs, and 300 connections from master meter program.
HR-2	45,000 people (9,000 households)	9,000 households will have access to improved sanitation through individual, communal, sewerage and desludging service in all 11 cities in WJDB region: 2.700 hh through micro-financing 1,400 individual toilets from STBM triggering, 2,700 hh from communal systems, 1,100 hh from sewerage system, and 1,100 households received improved sanitation systems from 6 ongoing and new grant program on CBS, kedoteng, sanitation marketing.
HR-3	20% decreased	From the master meter and micro-credit programs in Kab Tangerang, Serang, Lebak, Kab Bandung and Purwakarta.
HR 4	1,800 People	From capacity building and training for government staffs, community facilitators and cadres and sanitarians, including grantees and NGOs.
MD-1	8,300 HH	A total of 8,300 HH will contribute for sanitation improvements and services through individual, communal, sewerage and desludging service in all the 11 cities in WJDB region.

Outcome	Year 4 Target	Remarks
MD-2	100 CSOs	100 CSOs will support community-based water supply and sanitation program in all the 11 IUWASH cities in WJDB region: 3 CBO master meter in Tangerang; 10 CBOs and sanitarians implementing STBM programs and sanitation marketing ; 3 CBOs for sewerage and regular desludging systems; 26 CBOs for communal IPAL and 38 other CBOs who are implementing community-based sanitation and sanimas programs
MD-3	6 CSOs	PDAM Customer Forum established in Kota Bekasi, Purwakarta, Kab Bandung, Kab Tangerang, Serang and Lebak.
MD-4	1 toolkit	The sanitation for poor toolkit will be developed by National team, in close collaboration with regions and national partners
MD-5	20%	Improved behavior change presented from the semi-annual survey in Kota Bogor and Kab Tangerang
IC-1	9 PDAM	IUWASH will monitor increase of PDAM performance index of 9 PDAMs across the region.
IC-2	4 PDAM	IUWASH will continue monitoring implementation of debt restructuring for 3 PDAMs: Karawang, Kab Tangerang and Lebak and support new debt restructuring plan with PDAM Kab Bekasi
IC-3	5 PDAM	IUWASH will support the credit worthiness rating for PDAM Kota Bogor, Kota Bekasi, and Kab Serang and start to support the increase credit rating of PDAM Kab Bekasi, Kab Bandung
IC-4	3 Local Government	Climate change vulnerability assessment for PDAM Kab Serang and Kab Bandung will be completed, which will also be beneficial to PDAM Kota Bandung as shared water source. IUWASH continues development of climate change adaptation action plan for the two PDAMs above while also starting a new study for PDAM Lebak.
IC-5	11 LGs	IUWASH sanitation programs will be implemented in all 11 cities supporting existing or recently developed SSK.
IC-6	7 SME	7 SMEs will be constructing sanitation systems through micro-credit in Bogor, Kota Bekasi, Kab Tangerang (2), Kab Bandung, Serang and Lebak
IC-7	20%	Survey's will be done in Master meter, micro credit and community-based sanitation programs
IC-8	8 unit	8 UPTD will be developed in Bogor, Kota and Kab Bekasi, Kab Bandung, Kab Tangerang, Kota Tangerang Selatan, Serang, Lebak
IC-9	1 framework	The Urban Sanitation Framework will be developed by the National Team and discussed with key ministries and donors
IC-10	20 people	The people are the local government staff from PDAM Serang and Bandung.
IC-11	1 tool	The climate change adaptation tool will be developed by National Team and tested together with key partners of this program
EE-1 (policy)	10 policies (with 10 LOCAL GOVERNMENT)	A total of 10 cities will be assisted by IUWASH to develop government regulation or mayoral decree on UPTD PAL establishment (8), and new tariff set up based on customer reclassification survey and analysis (2).
EE-1 (budget)	10 LGs	APBD budgets will be allocated for the new UPTD; Also, IUWASH will promote increased budget for STBM with Dinkes Purwakarta and Kab Bandung and APBD equity for PDAM Purwakarta, Karawang and Lebak.
EE-2	4 PDAM	3 PDAMs (Kota Bekasi, Kab Tangerang and Kab Serang) will receive pre-FS, DED and tender document for new services areas and facilitation to select the financing scheme (PPP or loan Perpres 29). IUWASH will also assist PDAM Kab Bandung to develop pre-FS for new treatment plant in Kertasari, potentially for 1,000 lps.

Outcome	Year 4 Target	Remarks
EE-3	Rp 153 Billion	IUWASH will support business plan and feasibility studies and it is expected that around Rp 112 billion will be allocated from central, local and internal PDAM for expansion of services and improve existing systems In sanitation sector, IUWASHs support to develop individual and community-based sanitation systems will leverage APBN and APBD of around Rp 36 billion plus Rp 5 billion for construction of IPLT in Kab Tangerang.
EE-4	3,700 HH	micro-finance targets includes water supply (900 hh) and sanitation (2,800 hh).
EE-5	4 LGs	Citizen Engagement Mechanism will be developed in Kota Bogor, Kota Bekasi, Kab Purwakarta and Kab Bandung
EE-6	1 regulation	This regulation is established by the National Team

8.2.3 UPDATED MAP

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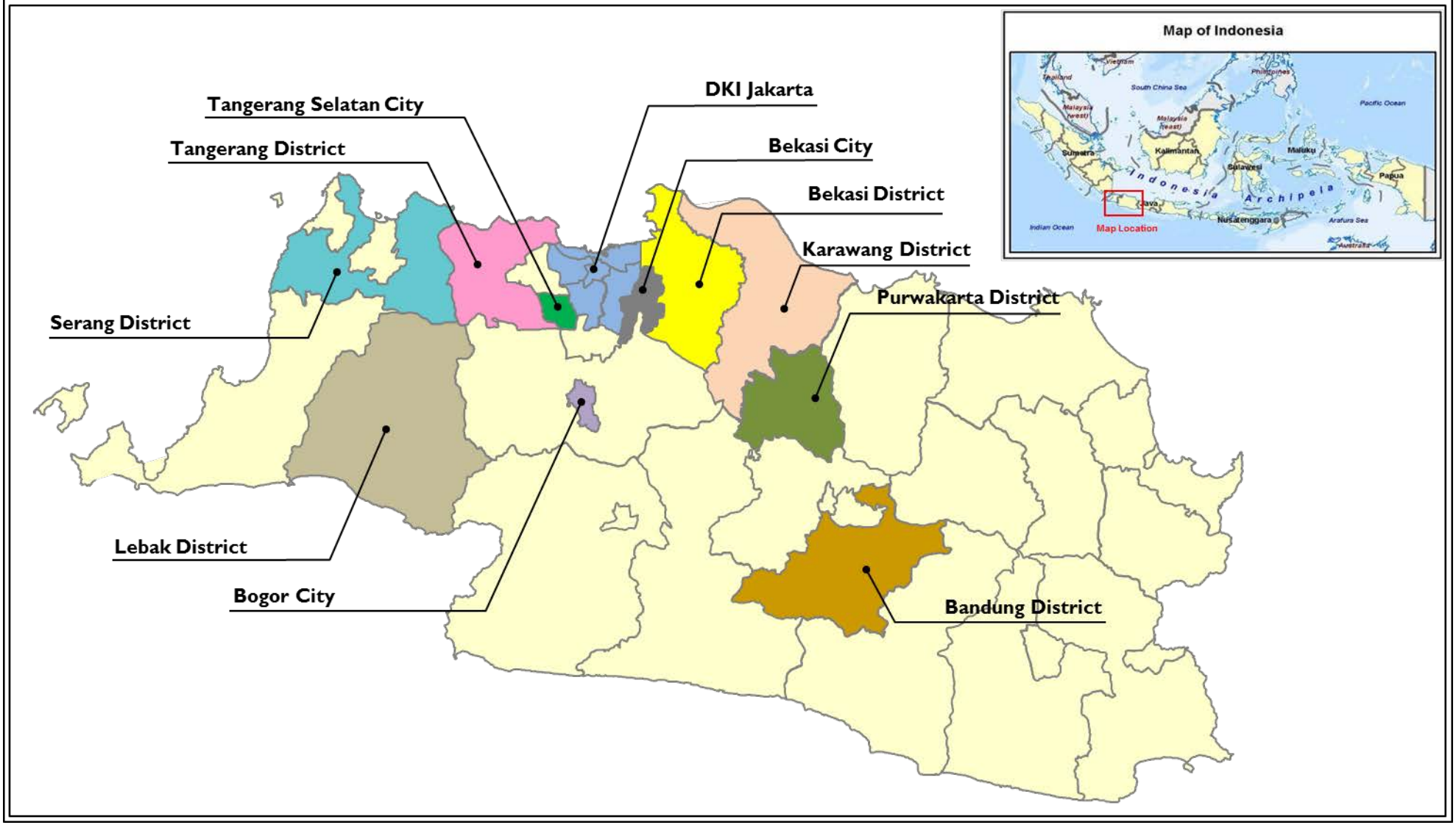
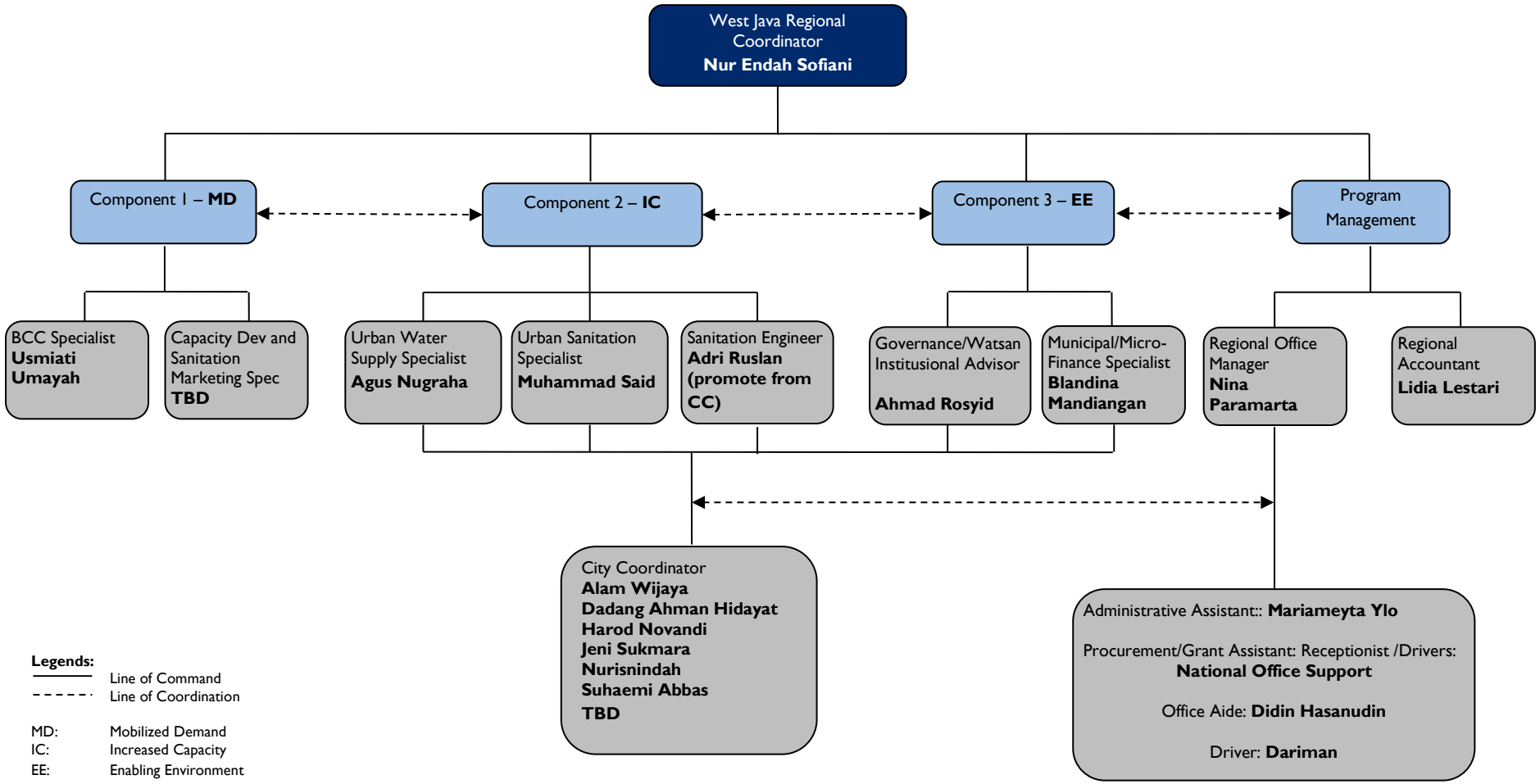
Map of City/ District for West Java, DKI Jakarta, Banten Region

iuwash Indonesia Urban Water, Sanitation, and Hygiene



IUWASH ORGANIZATIONAL CHART BY REGION – WEST JAVA, DKI JAKARTA, BANTEN



8.2.4 SUMMARY OF PLANNED PROGRAM ACTIVITIES

IUWASH will continue activities carried over from PY3, including sanitation promotion and marketing through sanitation micro-credit, SME set up, pre- and post construction for Sanimas and promotion of city sewerage system plus urban sludge management, that is now being piloted in Kota Bogor and will soon be implemented in DKI Jakarta with PD PAL Jaya. With PDAMs, IUWASH will continue to provide technical assistance on finalization and development of new business plans and feasibility studies as well as further improving operational, financial and customer aspect, including implementation of energy efficiency audits, NRW reduction, GIS support, PCI study, tariff reclassification, debt restructuring, establishment of customer communication forum, climate change vulnerability assessment, micro finance and master meter programs.

This section provides details of the program activities to be conducted in PY 4, divided among the three IUWASH sectors: water supply, sanitation and cross-cutting.

1. Water Supply Sector

Introduction

This IUWASH region will focus on 8 programs to help improve PDAM technical, financial and management performance, as follows:

- To improve PDAM operational aspects, IUWASH will implement energy efficiency program in Kab Bekasi, data collection and evaluation of NRW level and improve the distribution network in Kab Serang and Kab Lebak, finalize production capacity improvement, and upgrade a water treatment plant in Lebak. IUWASH will also continue with PDAM Kota Bogor to develop digitized customer data with the newly developed GIS/MIS software and to conduct survey and training on the application of GIS/MIS system in PDAM operation with Kota and Kab Bekasi;
- To improve PDAM financial aspects, IUWASH will support PDAM Kota Bogor, Kota and Kab Bekasi, Purwakarta, Tangerang and Lebak to finalize their business plan and to advocating local government to increase equity. IUWASH will also facilitate tariff reclassification with PDAM Karawang and Purwakarta and assist in obtaining local government approval. IUWASH will facilitate test of the new billing and accounting system for PDAM Serang and Lebak plus develop system for PDAM Purwakarta. On debt restructuring, IUWASH will continue to monitor the debt restructuring for PDAM Kab Karawang, Kab Tangerang and Kab Lebak;
- On PDAM customer aspects, IUWASH will support five PDAMs of Kota Bekasi, Purwakarta, Kab Tangerang, Serang and Lebak by establishing customer communication forum includinge capacity building;
- In raw water management and climate change adaptation, IUWASH will finalize the climate change vulnerability assessment for Kab Bandung and Kab Serang followed with piloting the construction of several infiltration ponds in Serang and work with Kab Lebak to conduct similar study. All the studies will results in climate change adaptation actions plans and IUWASH will provide training and workshop for building commitment for implementation of this plan;
- On micro-finance for water supply, IUWASH will focus this year on supporting micro-credit initiative with cooperative AKR and will support PDAM Karawang, Serang and Lebak with promoting their "payment by installment" program for new connections to low income communities;
- The master meter program for 310 households in Kab Tangerang will be completed this year and grantee and IUWASH continue to advocate replication to local government and PDAM;
- Access to capital expenditure finance is essential for PDAM to expand its services, therefore IUWASH will support finalization of five ongoing feasibility studies for Mustika Jaya (200 lps), Bintara Jaya (200 lps) and Pondok Gede (300 lps) in Kota Bekasi, for Jawilan (280 lps) in Kab Serang, for Cisauk (500 lps) in Kab Tangerang and for Kertasari in Kab Bandung. IUWASH will also support PDAM Kab Tangerang with contract documents for PPP and DED for SPAM Pondok Gede in Kota Bekasi. IUWASH will conduct credit worthiness exercise and support the

development of PDAM credit rating in PDAM Kota Bogor, Kota Bekasi, Kab Bekasi and Kab Serang;

- On PDAM institutional support, IUWASH will continue to improve capacity of PDAM supervisory body as follow up of training conducted in PY3 and support them to develop monitoring tools on overseeing PDAM operation and management. IUWASH will also continue to support regionalization of water supply service between local government Kab Tangerang and local government Kota TangSel and between PDAM Kota and Kab Serang. IUWASH will also facilitate visioning workshop with Bupati and DPRD of Kab Bekasi.

Anchor Site of Water Supply Sector

The West Java region will finalize the ongoing anchor site on climate change adaptation in Cisangkuy watershed area with PDAM Kab and Kota Bandung. Cisangkuy provides nearly 60% of the total water production for Kab Bandung. From the initial assessment, one potential new water source, Lake Kincir, can be used to cover the deficit in Leuweung Citere spring. The team also identified sources of pollution from agriculture and discharge of a hydro-power plant. All this information will be used to develop a model to estimate future water supply availability including impact of climate change as basis for climate change adaptation action planning.

IUWASH will continue to work with all parties (see figure 12) on:

- Gathering commitment from PDAM, local government through exposure workshops to share existing conditions with all involved stakeholders and discuss their the roles and responsibilities in respect of climate change and raw water issues, including identifying potential leading sector within local government;
- Develop Climate Change Vulnerability Adaptation (CCVA) action plan, including campaign issues and drafting of CCVA joint decree, followed by the signing by Mayor and DPRD

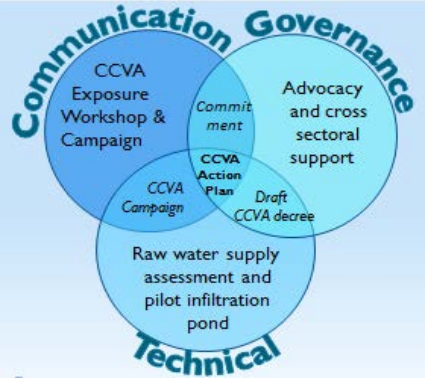


Figure 12 : Integration Framework of Anchor Project in Cisangkuy Watershed Area.

Detailed Matrix Program Activities

Below are the detailed of the program activities under the Water supply Sector:

Task	Activity	Input	Location	Timeline
Program WS-1: Improve PDAM Operational Aspects				
Sub-Program: PDAM Performance Index Monitoring				
Collect PDAM PI Performance Index	Data collection, discussion and sharing workshop	LTTA, event	All cities except DKI and TangSel	Feb-Mar 14 Aug-Sep 14
Sub Program: Energy Efficiency Audit (EEA)				
Implementation of EEA Program	Conduct EEA study	LTTA, PO	Kab Bekasi	Jan – Mar 14
Sub Program: Non-Revenue Water Reduction (NRW)				
Conduct NRW program	Data collection & evaluation	LTTA, event	Kab Serang	Oct 13 – Sep 14
	Comparative study, data collection & evaluation		Kab Lebak	
Sub Program: Production Capacity Improvement (PCI)				
Conduct PCI program	Conduct PCI study	LTTA & PO	Kab Lebak	Jan – Mar 14
Sub Program: GIS/MIS support for PDAM				

Task	Activity	Input	Location	Timeline
Training on development of GIS/ MIS capacity	web-based system information & spatial data development	LTTA, PO	Kota Bogor	Nov 13 – Feb 14
	Survey, design, training		Kota Bekasi and Kab Bekasi	Jan 14 – Apr 14
Program WS-2: Improve PDAM Financial Aspects				
Sub Program: PDAM Business Plan				
Develop PDAM business plan	Finalization & workshop	LTTA, event	Kab Lebak	Nov 13
	Finalization (training, facilitation and workshop)		Kota Bogor, Kab Bekasi, Kab Purwakarta	Oct 13 – Jan 14
	Set up team, training, CSS, facilitation & workshop		Kota Bekasi, Kab Tangerang	Nov 13 – Apr 14
Sub Program: PDAM Tariff Review / Adjustment				
Tariff Reclassification	Assessment, survey, recalculation, local government approval & dissemination	LTTA, event, PO	Kab Karawang, Kab Purwakarta	Jan – Jun 14
Sub Program: PDAM Billing and Accounting System				
Implementation of PDAM Billing & Accounting System	Develop new billing & accounting sys	LTTA, event, PO	Kab Karawang,	Jan – Jun 14
	Input data base, trial and monitoring		Kab Serang and Kab Lebak	
Sub Program: PDAM Debt Restructuring – New & Monitor existing				
Develop, Monitoring & Evaluation	Develop and conduct monitoring fo PDAM debt restructuring	LTTA	Kab Bekasi, Kab Karawang, Kab Tangerang, Kab Lebak	Oct 13 – Sep 14
Program WS-3: PDAM Customer Relation Aspects				
Customer Forum Establishment	Set up and establish Customer Communication Forum: facilitation formation for working group and capacity building	LTTA, event	Kota Bekasi, Kab Purwakarta, Kab Bandung, Kab Tangerang, Kab Serang, Lebak	Oct 13 – Feb 14
Program WS-4: Raw Water Management & Climate Change Adaptation				
Sub Program: Climate Change Vulnerability Assessment				
Implementation the CCVA study	Data collection & evaluation and development CCA document & recommendation	LTTA & PO	Kab Bandung, Kab Serang, Kab Lebak	Oct 13 – May 14
Sub Program: Climate Change Adaptation action Plan				
Development of Climate Change Adapt. Action Plan	Workshop, training and FGD to build commitment from LG	LTTA, event	Kab Bandung, Kab Serang,	Jan – Sep 14
Sub Program: Implementation of Climate Change Adaptation Action Plan				
Implementation of Climate Change Adapt. Program	Develop design, select site & construction	LTTA, event	Kab Serang	Jun – Sep 14
Program WS-5: Microfinance for water supply				
Microfinance for water supply	Arrange financing and agreement, training, promotion and marketing	LTTA, event	Kab Karawang, Kab Serang, Lebak	Oct 13 – Feb 14
	Survey water cost		Kab Serang, Lebak	Apr–Sep 14
Program WS-6: Master Meter for water supply				
Conduct Master Meter program	Assessment, identify financing, community mobilization	LTTA, Event	DKI Jakarta	Oct 13 – Feb 14
	CBO training, construction and monitoring evaluation	LTTA, Grant (ongoing), event	Kab Tangerang	Oct 13 – Feb 14

Task	Activity	Input	Location	Timeline
	Promote replication (3 new areas)			Mar–Sep 14
	Survey water cost	LTTA, Event		Apr-Sep 14
Program WS-7: PDAM Capital Expenditure Investment				
Project Preparation	Comparative study for PPP	LTTA, event	Kota Bekasi	Oct 13
	Finalization of FS Mustika Jaya (2014), Bintara Jaya/Jati Bening (2014) and Pondok Gede	LTTA	Kota Bekasi	Oct– Dec 13
	Monitoring tender process and contract signing for FS Teluk Buyung	LTTA	Kota Bekasi	Oct– Dec 13
	Development of DED Pondok Gede	LTTA, PO	Kota Bekasi	Jan – Mar14
	Development of FS Kertasari	LTTA, PO	Kab Bandung	Jan – May14
	Development of FS Cibaja	LTTA	Kab Serang	Oct–Dec 13
	Development of FS Cisauk	LTTA	Kab Tangerang	Jan – Mar 14
	Preparation of EPC (engineering procurement and construction)	LTTA, PO	Kab Tangerang	Jan – Mar 14
Credit Worthiness Ladders	Conduct credit worthiness exercise and support PDAM credit rating	LTTA	Kota Bogor, Kota Bekasi, Kab Bekasi, Kab Bandung, Kab Serang	Jul 14
Program WS-8: PDAM Institutional Support				
Sub Program: PDAM Institutional Support				
Capacity Building for Stakeholders	Refreshing training and monitoring	LTTA, event	All locations	Jan – Feb 14
Visioning Workshop	Workshop	LTTA, event	Kab Bekasi,	Oct 13

2. Sanitation Sector

Introduction

IUWASH will support all five sanitation programs to increase access as follows:

- To increase access through individual systems, IUWASH will continue to work with Dinas Kesehatan Kota Bogor, Kab Tangerang and Kab Lebak for the ongoing post triggering of urban sanitation promotion including involvement of SME for sanitation. IUWASH will also support STBM / urban sanitation promotion in 5 villages in Kab Purwakarta and Kab Bandung with sanitarian, community facilitators and Dinas Kesehatan. IUWASH will also, through grant financing, support implementation of urban sanitation promotion program in two villages in Kab Serang with Dinas Kesehatan;
- To increase access through communal systems, a total of 69 CBS/Sanimas/communal systems will be implemented this year, some of which were started in PY3. These include 13 community-based sanitation systems under 4 grant programs, pre- and post construction of 39 Sanimas systems plus optimization, and DED for 17 communal sanitations. IUWASH will work with local government Bogor to facilitate the establishment of CBO/KSM Forum in Kota Bogor, to accommodate needs of the existing 32 KSMs to share experience and to act as the self-help organization for sustainable KSM operation;
- On promoting access through sewerage systems, IUWASH supports UPTD PAL Kota Bogorwith connecting additional 250 households. In Jakarta, construction of shallow sewer system, by grant will be completed for 118 connections for 200 households. In Kab Bandung IUWASH will review DED of existing IPAL which was built in the 90s for 1,000 house connections but so far only 253 houses are connected. Dinas Kebersihan plans to rehabilitate

and optimize the IPAL to connect more houses. In Kab Serang, IUWASH support local government to prepare construction of 11new IPALs funded by sAIIG in 2013-14;

- On improvement of septage management IUWASH works with UPTD PAL Kota Bogor to promote regular desluding service in two areas as part of its long term strategy to improve urban sludge management in whole Kota Bogor. This program includes introduction of community-based desludging service using small vacuum truck or Kedoteng in STBM locations. In DKI Jakarta, a new Government Regulation No. 3/2013 on Solid Waste was recently issued, which declares transfer of responsibility for desludging service from Dinas Kebersihan to PD PAL Jaya with a transition period of 5 years and also that desludging should change from "on call" to regular desludging. IUWASH will support PD PAL Jaya with socialization and marketing of this new system and provide experience of regular desludging in other IUWASH regions, including preparing readiness criteria for APBN/APBD for IPLT construction;
- On strengthening of sanitation institutions, IUWASH continues to support local government of all cities and Satker PPLP from three provinces to collaborate in implementing sanitation program. Most crucina in this program will be the setting up of eight UPTD PAL. Most of these already have their sanitation strategy and others are now assisted by GOI to develop similar documents. Upon completion, IUWASH will support them to access funds 9CSR, APBD, APBN, microfinance, etc) to implement their strategies.

Anchor Sites of Sanitation Sector

The first sanitation anchor sites is centralized sanitation management in Kota Bogor, which continues with the strengthening of UPTD PAL, whose responsibility has increased from operating only the wastewater system to a central unit responsible for city-wide wastewater management for both off-site (IPAL and IPLT) and on-site systems (monitoring and desludging) services. IUWASH support local government to finalize mayor decree. IUWASH will also continue capacity building for UPTD PAL and integrate activities as follows:

- Replication of STMB in 17 Sanimas locations;
- Promotion individual house connection to city sewerage system;
- Implementation of regular desludging in two locations;
- Setting up KSM forum for 32 KSMs under Sanimas;
- Introduce sludge cart (Kedoteng) system.

Figure 13 : Integration Framework of Anchor Site in Kota Bogor.

It is expected that around 1,500 households will obtain access to improved sanitation in this anchor site.

Figure 13 illustrates the relationship between different IUWASH components in this anchor site.

Figure 14 : Figure 14: Integration Framework of Anchor Site in Kab. Tangerang.

The second anchor site will boost sanitation micro-credit achievement, especially for Cooperative AKR and its Sharia Cooperative KPP-UMKM in promoting access to micro-financing for improvement of individual sanitation systems in Kab Tangerang. IUWASH already facilitated training for masons, community cadres and KPP's facilitators on how to construct a standard septic tank and provided 10 septic tank molds through in-kind grant to promote sanitation micro credit in 17 target districts by KPP UMKM. Both AKR and KPP UMKM are aiming to distribute a variety of sanitation package loans to ca. 5,000 households up to 2015. Figure 14 illustrates the interrelationship between the different IUWASH components in implementing this anchor project. Activities under this anchor project include:

- Capacity building for AKR and KPP UMKM on hygiene behavior change promotion and construction of standard septic tank;
- Development of sanitation micro-credit scheme and loan packages from Rp 2 million for standard septic tank plus simple toilet up to Rp 5 million rupiah for complete package of septic tank, proper latrine with ceramic tiles and ground water source;
- Facilitate link with financial institution for capital funds either from CSR, local banks or national government fund (LPDB UMKM).

In PY3, one additional sanitation anchor site was included on integrated sanitation improvement in Cisangkuy watershed in Kab Bandung which was planned as a collaborative effort of local government and PDAM, but following changes in APBD budget and the community based sanitation program sites, IUWASH canceled it.

Detailed Matrix Program Activities
Below are the detailed of the program activities under the sanitation sector:

Task	Activity	Input	Location	Timeline
Program SAN-1: Increase Access Through Individual System				
Baseline data collection	Survey hygiene behavior improvement	LTTA, event	Kota Bogor, Kab Tangerang	Nov 13 & May 14
Community triggering and assistance for post-triggering	Socialization and training in 17 STBM sites (join with sanimas)	LTTA, event	Kota Bogor	Oct 13 – Sept 14
	Socialization and training in 5 STBM sites	LTTA, event	Kab Tangerang	Oct 13 – Sept 14
	Introducing STBM in urban areas (training, supervision, monitoring)	LTTA, event, PO	Kab Purwakarta, Kab Bandung	Dec 13 – Sept 14
Sanitation triggering and marketing	Introduce sanitation promotion program	Grant	Kab Serang	Jan – Sept 14
	SME set up and involvement (training, workshop, APBD planning		Kab Tangerang, Kab Lebak	Jan – Sept 14
	TOT for government, community cadres, KSM and sanitarians	LTTA, event	Kota Bogor, Kota Bekasi, Kab Bandung, Kab Tangerang, Kota Tang. Selatan, Kab Serang	Oct 13 – Sep 14
	Facilitate the implementation of hygiene promotion event	LTTA, event	Kota Bekasi, Kab Karawang	Oct 13 – Sep 14
	Develop / print promotional materials	LTTA, event	Kota Tang. Selatan	Dec 13– Mar 14
Sanitation Marketing	SME involvement (KSM & KPP Cooperative) and technical support	LTTA, event	Kab Tangerang	Oct 13 – Sept 14
Program SAN-2: Increase Access Through Communal System				
community planning, construction and sanitation marketing	Socialization, training, mapping, implementation of construction, hgyiene promotion, sanitation micro-credit / SMS Margasana	LTTA, Grant	Kab Serang	Nov 13– Sept 14
Pre, construction and post-construction	area-based sanitation improvement program (water supply, SME / cooperasikedoteng, credit for individual sludging, capacity building)	LTTA, Grant	Kota Bekasi	Jan – Sept 14

Task	Activity	Input	Location	Timeline
	Sanitation mapping, socialization and KSM formation plus capacity building for 4 IPALs	LTTA, PO (ongoing)	Kab Tangerang	Dec 13 – Jan 14
	Sanitation mapping, socialization and KSM formation plus capacity building for 5 new locations	LTTA, PO	Kab Tangerang	Apr – Sept 14
	Selection of site and determination of technology option	LTTA, event	Kota Tangerang Selatan	Dec 13 – May 14
	Determine technology and standards and development of DED for ICWRMIP replication (sharing)	LTTA	Kab Bekasi	Oct 13 – Mar 14
	Determine technology and standards and development of DED for piping system in 5 locations	LTTA, PO	Kab Bandung	Oct 13 – Mar 14
	Determine technology and standard and development of DED for RPKPP in 2 locations	LTTA, PO	Kab Karawang	Oct 13 – Mar 14
Construction	Optimization of existing sanimas system in Cimahpar & Bubulak, improvement of existing infrastructure (piping) in Harjasari	LTTA, PO	Kota Bogor	Oct 13 – Feb 14
	Optimization of existing sanimas system in 6 Sanimas locations	STTA	Kab Purwakarta	Oct 13 – Sep 14
	Optimization of existing sanimas system in 2 locations	STTA	Kab Bandung	Oct 13 – Apr 14
	Construction supervision for IPAL BIP and Simpangan	LTTA	Kab Bekasi	Oct 13 – Sep 14
Construction and post-construction	Construction supervision of IPAL and septic tank, O&M and KSM training for IPAL Teluk Naga	LTTA, Grant (Ongoing)	Kab Tangerang	Oct 13 – Mar 14
	Construction supervision of IPAL and septic tank, O&M and KSM capacity building for IPAL Kronjo	LTTA, Grant (Ongoing)	Kab Tangerang	Oct 13 – Jan14
Post construction	Capacity building KSM Sanimas in 6 locations	LTTA, event	Kota Bekasi	Oct 13 – Feb 14
	Capacity building KSM Sanimas 2013 and sanitarians in 6 locations	LTTA, event	Kab Bekasi	Oct 13 – Apr 14
	Capacity building KSM in 6 Sanimas 2013 locations + 3 pesantren	LTTA, event	Kab Purwakarta	Apr – Sep 14
	Capacity building KSM and sanitarians	LTTA, event	Kota Tang. Selatan	Apr – Sep 14
	Capacity building KSM BLHD in 4 locations in Lenteng Agung	LTTA, event, PO	DKI Jakarta	Oct 13 – Sep 14
	Evaluation of existing KSM and formation KSM Forum at city level	LTTA, event	Kota Bogor	Oct 13 – Feb 14
Program SAN-3: Increase Access Through Off-Site Sanitation (Sewerage)				
Planning	Support preparation of technical document (DED for IPAL Soreang)	LTTA, PO, event	Kab Bandung	Dec 13 – Feb 14
	sanitation mapping and socialization for 11 IPAL AusAID	LTTA, event	Kab Serang	Nov 13 – Feb 14
Planning and Promotion	Community mobilization for connection to PD PAL sewerage system in Karet Kuningan	Grant (Ongoing)	DKI Jakarta	Oct – Nov13

Task	Activity	Input	Location	Timeline
Technical support	Installation of wastewater piping networks in Karet Kuningan (Tessa)	PO (Ongoing)	DKI Jakarta	Oct – Nov13
Financing and technical support	Support construction crossing pipe from Villa Citra to IPAL T. Gundil	LTTA, PO, event	Kota Bogor	Dec 13 – Feb 14
Program SAN-4: Improve Urban Sludge Management				
SME Involvement	SLLT pilot using small cart (kedoteng)	LTTA, Grant	Kota Bogor	Dec 13 – Feb 14
SLLT Pilot Project	Regular desludging pilot project in	LTTA, event	Kota Bogor	Oct 13 – Mar 14
	Setting up regular desluding scheme and socialization in Jakarta	LTTA, STTA	DKI Jakarta	Oct 13 – Sep 14
USM/IPLT Construction	support readiness criteria for funding of IPLT construction	LTTA, event	Kab Tangerang, Kota Tang. Selatan Kab Serang	Oct 13 – Sep 14
Program SAN-5: Support Pokja Sanitation/AMPL				
Institutional strengthening	Support for setting up UPTD, including TUPOKSI, legislation, capacity building, SOP, etc	LTTA, event	Kota Bogor, Kota & Kab Bekasi, Kab Bandung, Kab Tangerang, Kota Tang. Selatan Kab Serang, Lebak	Oct 13 – Sep 14
Support Pokja Sanitation/AMPL	Capacity building for collaboration with Satker, DPRD and SKPD	LTTA, event	All locations, except DKI	Oct 13 – Sep 14

3. Cross Cutting Sector

Introduction

To support the water supply and sanitation sectors, the following crosscutting activities will be implemented:

- Increase of Local Government policies will be implemented in line with the establishment of UPTD PAL in 8 cities, which will require agreement and issuance of a mayoral decree. In addition, IUWASH will also support 2 local governments to sign mayor decree for PDAM for tariff review and reclassification;
- Increase of APBD budget will be advocated by IWUASH through increase of LOCAL GOVERNMENT equity as a result of development of PDAM business plan and feasibility studies for new service areas in water supply sector. In sanitation sector, IUWASH continues to support implementation of city strategy sanitation and replication of STBM, CBS, sewerage and septage management with local government budget as well as supporting APBD for investment and operation cost of new UPTD PAL;
- On Citizen Engagement Mechanism, IUWASH will support work with local government Kab. Purwakarta and Kab. Bandung to establish CEM: In Kab Bandung, with Bapapsi (Badan Perpustakaan dan Pengembangan Sistem Informasi) to improve the city website and to create a special column on water and sanitation which will be administered by a team consists of representatives of relevant government offices; in Kab. Purwakarta, IUWASH will facilitate the development of administrator for SMS gateway now managed personally by Bupati and his assistants. IUWASH will also support and strengthen PDAM customer forums in Kota Bogor and Kota Bekasi to be linked with the existing communication and information forum at city level;
- To encourage increased practice on point of use and hand washing with soap, IUWASH will conduct intensive capacity building of sanitarians, community cadres and facilitators how to integrate hygiene promotion in ongoing event and campaign at community level as well as how to monitor and maintain hygiene behavior change. It is done in this way, because hygiene

behavior is not a stand-alone activity but should be part of promotion programs in all STBM, CBS/Sanimas, sanitation marketing, sewerage system, septage management and master meters. The hygiene promotion modules and guidelines that are being developed by IUWASH national team will be used as basis for all field programs;

- Also gender awareness issues will be incorporated in all IUWASH activities by assuring proper participation by all gender groups, particularly women. Gender awareness trainings will be embedded into any capacity building training with sanitarians, community cadres, KSM and community members. IUWASH will also emphasis gender equity in designing projects, both software and hardware aspects, particularly gender friendly water and sanitation facilities;
- To mobilize CSR funding there is good opportunities in West Java/Jakarta/Banten region, for instance through Pokja AMPL Kota Bogor and Kab Serang promoting private sector financing for watsan. IUWASH will continue to support these two cities plus Kab. Purwakarta, Kab. Bandung, Kab. Tangerang and Kab Lebak to engage media to first showcase the best practice and success stories to get public and private attention while at the same time work with local government to identify potential private companies that are very active in implementing CSR programs.

Detailed Matrix Program Activities

Below are the detailed program activities of the Cross-cutting Sector:

Task	Activity	Input	Location	Timeline
Program CC-1: Increase LOCAL GOVERNMENT Policies				
Development policies and regulation	Facilitate discussion and provide technical assistance for the development of draft regulation, conduct initial study/background paper and socialization for UPTD PAL set up	LTTA, event	Kota Bogor, Kota & Kab Bekasi, Kab Bandung, Kab Tangerang, Kota Tang. Selatan, Kab Serang, Lebak	Oct 13 – Sep 14
	Development of Perbup STBM	LTTA, event	Kab Bandung	Oct 13– Sep 14
	Development of Perbup for PDAM tariff reclassification	LTTA, event	Kab Karawang, Kab Purwakarta	Oct 13 – Sep 14
Program CC-2: Watsan APBD increase				
Increase Pemba/APBD Budget	collection of APBD documents and, facilitate discussion with DINAS for increasing APBD budget	LTTA, event	All cities, except DKI	Oct 13 – Sep 14
Program CC-3: Improved Citizen Engagement				
Improve/develop CEM	formation of CEM team at city level, development of CEM media/tools and system	LTTA, event, PO	Kota Bogor, Kota Bekasi, Kab Purwakarta, Kab Bandung	Oct 13 – Sep 14
Program CC-4: Gender mainstreaming				
Gender Mainstreaming	Training, monitoring for gender mainstreaming in all watsan programs	LTTA, event	All cities	Oct 13 – Sep 14
Program CC-5: CSR Mobilization				
Media Advocacy	Roadshow media advocacy and publication, event sanitarian of the year	LTTA, PO	Kota Bogor, Kab Purwakarta, Kab Bandung, Kab Serang, Lebak	Mar 14 – Sep 14

4. Grant Program

Introduction

In PY 3, IUWASH completed one grant program with Mercy Corps on Integrated Services for Infrastructure and Sanitation Technology (INSIST) in Kel. Pademangan Barat, North Jakarta resulting in 250 households with access to improved sanitation through construction of individual septic tank and establishment of a business model for regular desludging service.

In PY 4 IUWASH will continue to supervise and manage the ongoing four grant programs:

- Jakarta Urban Community-Based Shallow Sewerage System (JUCBSS) in Kel. Karet Kuningan, South Jakarta with Forkami, targeting a total of 200 household connections to the sewerage system operated by PD PAL Jaya. The grant began in April 2012 and has been extended up to end of October 2013;
- Access to Drinking Water Supply through "Master Meter" Connections in Kec. Rajeg, Kab Tangerang with Forkami to provide piped water for 310 households. Program started in April 2013 and is expected to finish by end of March 2014;
- Improving Access to Sanitation through Installation of Community-Based Sanitation (CBS) in Kec. Teluk Naga, Kab Tangerang, which will provide access to 76 households. Program started in mid-March 2013 and is expected to finish by mid-March 2014;
- Community Development for Sanitation Improvement Program in Kel. Kronjo Kab Tangerang to conduct community mobilization to increase 400 wastewater connections to 12 IPALs constructed by Satker PPLP of Banten Province. The program is implemented from March 2013 to March 2014.

Beside, IUWASH will also begin to process new grant programs in PY 4 as listed below:

- Sanitation for Community and School or SMS (Sanitasi untuk Masyarakat dan Sekolah) in Margasana Village Kab Serang. The program aims to provide pipe wastewater connection for 90 households;
- Integrated Sanitation Improvement Program (Kampoeng Sanitasi) in Kota Bekasi. This is an area-based sanitation improvement that will facilitate wastewater pipe connection for 200 households without access to sanitation facility plus linkage with regular desludging business for 100 household with individual latrine. This program will also integrate access to micro financing for the desludging business;
- Urban Sanitation Promotion – Piloting Community Based Desludging Program using Kedoteng in Kel. Sempur Kota Bogor, targeting improved sanitation service by community-based desludging business using small vacuum cart for around 200 households in densely populated area with narrow streets. This program will be linked with the pilot regular desluding service by UPTD PAL;
- Urban Sanitation Promotion, Sanitation Marketing and SME Establishment in Kab Serang, Kab Tangerang and Kab Lebak, contributing to increase number of open-defecation free villages in the three cities. IUWASH support will focus on individual sanitation promotion/STBM by sanitarians and community cadres so 600 households obtain sanitation access plus 3 SME will be established with access to micro-credit facilities.

8.3 CENTRAL JAVA REGION

8.3.1 INTRODUCTION

In PY3 IUWASH in Central Java widened the area of support with five more locations: Kab Rembang, Kab Batang, Kab Sukoharjo, Kab Klaten and Kota Salatiga, beside previous cities that were already assisted: Kota Semarang, Kota Surakarta, Kab Semarang, Kab Kendal and Kab Kudus.

In PY3 IUWASH Central Java assistance focused to improve PDAM performance, measured by increase in PDAM Index, as well as encouraging PDAM to expand their coverage to poor community (MBR). The efforts to increase PDAM performance were done through development of business plan, customer satisfaction survey (SKP), development of SOP, and advocacy on NRW reduction implementation. As a result, by end of PY3, PDAM Performance Index of 8 out of 10 PDAM already reached above 20%.

IUWASH CENTRAL JAVA

Handing over of Communal Septic Tank from IUWASH Central Java Regional Coordinator to Camat Kaliwungu then from Camat to to head of KSM Sami Makmur regarding closing ceremony event of Grant

In the sanitation (waste water) sector, IUWASH Central Java Region focused to support the ADB funded USRI (Urban Sanitation and Rural Infrastructure) program in 6 Cities also assisted by IUWASH Central Java. Support for this program is very important, and IUWASH have been fully involved in the preparation of target communities as well as capacity building for the communal system management institutions (KSMs).

The main achievements of IUWASH Central Java in Program Year 3 can be summarized as follow:

- 8 PDAMs already reached above 20% its Performance Index through full technical support;
- 4 business plan of PDAM Kabupaten Semarang, Kudus, Kendal, Sukoharjo;
- 4 SOP of PDAM Kota Salatiga, Kabupaten Semarang, Kendal, Batang;
- Construction of Distribution Reservoir with capacity of 50 m3 in Jomblang Kota Semarang;
- 1,251 new house connection through micro credit in Kudus, Klaten, Sukoharjo and Rembang;
- 260 people (46 HH) increased access to sanitation through communal septic tank in Dukuh Ngaglik, Kab Kendal financed by IUWASH grant;
- 3 policies of water supply and sanitation sector in Kota Semarang, Surakarta, Kabupaten Kendal;
- Support 50 USRI systems (2,938 hh) through triggering, promotion and capacity building of KSM.

The expansion of PDAM services supported by IUWASH focuses on development of new water supply system (in Kendal – financing through Perpres 29), new house connections through micro credit (in Kota Semarang, Kudus, Klaten, Sukoharjo and Rembang), and also implementation of Master Meter (in Kampung Sanitasi program, Kota Surakarta). Water Resources and Climate Change Vulnerability Assessment and Adaptation Program (CCVAAP) has been conducted in Kab Kudus, Kab Semarang and Kota Salatiga. These activities are conducted to raise awareness amongst local stakeholders and create climate change action plans which will include protection water resources, and included in RPJMD and PDAM Business Plan.

To obtain a sustainable community sanitation system, KSMs need a reliable and constant support in technical and management aspect especially whenever they facing problem that cannot be solved by themselves. IUWASH is encouraging local government to develop *UPTD* (*Unit Pelaksana Teknis Daerah*), an institution under Dinas to fill in this function. To encourage community engagement in water and sanitation services, IUWASH also started support local government to develop Citizen Engagement Mechanism (CEM) in 4 cities.

8.3.2 TARGET TOWARD PMP OUTCOME FOR CENTRAL JAVA

Outcome	Year 4 Target	Remarks
HR-1	100.000 people (20,000 HH)	20,000 hh with new PDAM connections from 10 locations, including connections made under Micro Finance program.
HR-2	25,000 people (5,000 hh)	5,000 hh (households) increase access to improved sanitation through communal and sewerage systems in all cities
HR-3	20% decreased	Measured in Micro Finance program in Kab Klaten, Kab Sukoharjo and Kab Rembang
HR 4	2,200 People	From all training activities conducted in several levels (community-based, and capacity building for LOCAL GOVERNMENT and PDAM) for the water supply and sanitation sectors. This target includes training activities by IUWASH Grantees
MD-1	5,000 HH	5,000 hh from new connections to individual, communal and sewerage system in 10 locations.
MD-2	110 CSOs	3 Community-based Organization (CBOs) will be managing community-based water supply in Kota Semarang, Surakarta, Kendal; 107 CBOs manage communal sanitation systems in Kota Semarang, Surakarta, Kudus, Rembang, Sukoharjo, Klaten, included IUWASH Grant and ADB/USRI Program
MD-3	6 CSOs	6 customer forum in Kota Semarang, Kab. Semarang, Batang, Klaten, Sukoharjo, Rembang developed and report on the PDAM performance
MD-5	20%	The improvement will be measured from surveys with community and students from Kota Semarang, Surakarta and Kendal.
IC-1	10 PDAM	IUWASH will provide significant technical support to 10 PDAMs and will regularly monitor increase of PDAM Performance Index.
IC-2	4 PDAM	Kota & Kab. Semarang, Surakarta, Rembang will complete monitoring of debt restructuring implementation.
IC-3	5 PDAM	PDAM Kota Surakarta, Kab. Semarang, Kendal, Klaten, Rembang will be targeted to increase credit worthiness ladder, while for other 5 PDAMs IUWASH will prepare baseline and monitoring this during PY4.
IC-4	4 Local Government	IUWASH continue support Kota Salatiga, Kab. Semarang, and Kudus with climate change action plans and start Climate change vulnerability assessment for Kab Batang.
IC-5	7 LGs	Capacity building on wastewater institution development with Kota Semarang, Rembang, Kudus, Kendal, Sukoharjo, Klaten and Batang
IC-6	4 SME	Targeted SME in sanitation sector are from Kota Semarang, Kab Kudus, Kab Rembang and Kab Sukoharjo
IC-7	20%	Survey's on customer satisfaction will be conducted in Kota Surakarta, Kota Semarang, Kab. Sukoharjo, Kab. Klaten, Kab. Rembang, Kab. Batang, Kab. Kudus where water-for- poor and community-based sanitation programs are implemented.

Outcome	Year 4 Target	Remarks
IC-8	6 unit	The sanitation unit (UPTD) will be developed in Kota Semarang, Kab. Kudus, Kab. Kendal, Kab. Rembang, Kab. Batang, Kab. Klaten, Kab. Sukoharjo
IC-10	20 people	LOCAL GOVERNMENT staff will receive capacity building on climate change adaptation program in Kab Semarang, Kab Kudus, Kota Salatiga and Kab. Batang
EE-1 (policy)	5 policies	Improved and new watsan policies will be obtained in Kudus, Rembang, Sukoharjo, Batang, Kota Salatiga
EE-1 (budget)	6 LGs	Budget allocation in watsan sector expected to be increased from Kota Semarang, Surakarta, Kab Batang, Sukoharjo, Rembang and Kendal
EE-2	3 PDAM	PDAM Kota Surakarta, Kab Kendal and Kab Batang will obtain support for capital expenditures on financing water supply projects
EE-3	27.1 Billion Rupiahs	Consisting of APBD equity for PDAMs in Kab. Semarang (2,6 Billion), Kudus (6.3 Billion), Kendal (6 Billion) and Sukoharjo (5 Billion). Also increased APBD budget on Sanitation for IPLT optimization and communal system development in Kota Semarang (350 Million), Surakarta (100 Million), Salatiga (100 Million), Kab. Rembang (2.9 Billion), Kendal (100 Million), Batang (1,55 Billion), Sukoharjo (2,1 Billion).
EE-4	3,400 HH	Planned water supply connection from Kota Semarang (500 hh), Sukoharjo (800 hh), Klaten (900 hh), Rembang (600 hh), and Batang (200 hh). Planned for sanitation connection from Kota Semarang (100 hh), Kudus (100 hh), Rembang (100 hh) and Sukoharjo (100 hh)
EE-5	4 LGs	Citizen Engagement Mechanisms will be developed in Kota Semarang, Kudus, Klaten, and Sukoharjo

8.3.3 UPDATED MAP

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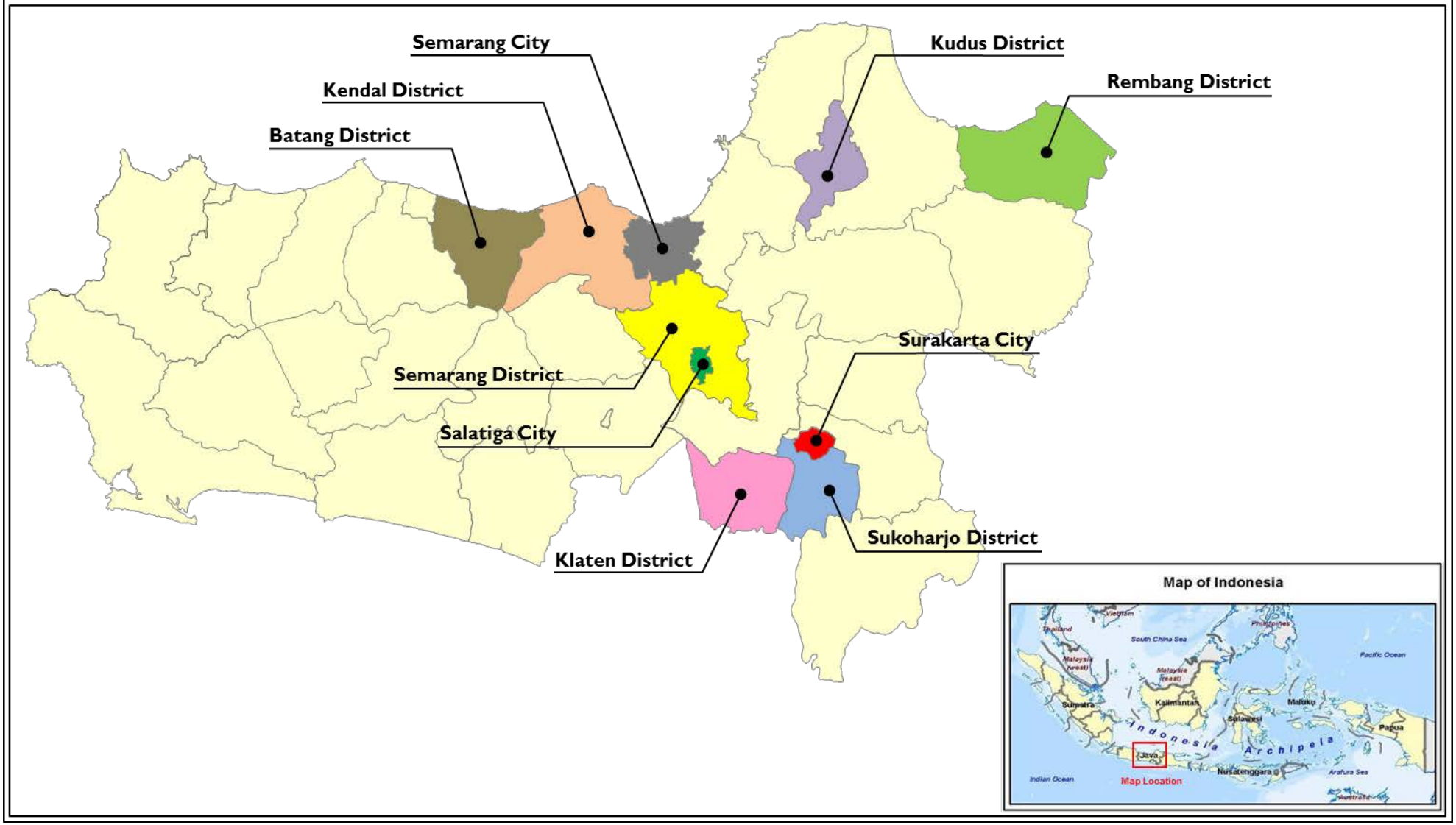
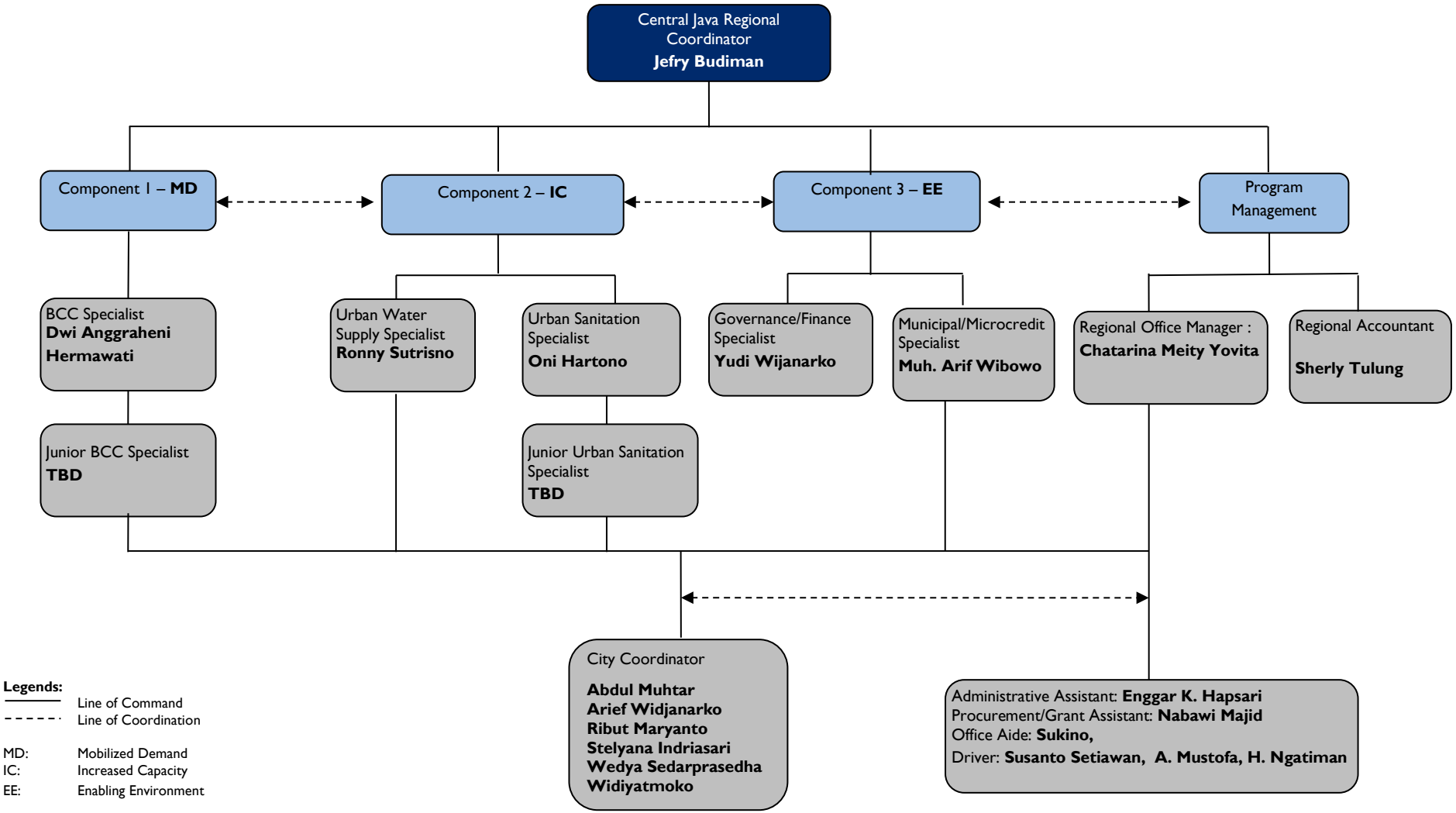
Map of City/ District for Central Java Region

iuwash Indonesia Urban Water, Sanitation, and Hygiene



IUWASH ORGANIZATIONAL CHART BY REGION – CENTRAL JAVA



8.3.4 SUMMARY OF PLANNED PROGRAM ACTIVITIES

1. Water Supply Sector

Introduction

IUWASH Central Java will continue to assist 10 PDAMs to develop the capacity of services to customers, which will be measured by increased PDAM Performance Index. The main programs to be implemented include: Increasing production capacity (alternative finance through Perpres 29) in Kendal, Business plan development program, SOP, NRW reduction and GIS training and development. IUWASH will also support PDAMs in evaluation and optimization of distribution network.

Other program related to water supply is Climate Change Vulnerability Assessment Adaptation Program (CCVAAP) in Kota Salatiga, Kab Semarang, Kudus, Batang. One of implementation activities of CCVAAP for Kota Salatiga and Kab Semarang is the construction of 450 units infiltration wells, conducted in collaboration with The Coca Cola Foundation.

In addition, IUWASH encourages increasing service coverage for low income communities through micro credit. As part on improvement of PDAM services, IUWASH will provide technical support on promotion and marketing, including development of 6 PDAM customer communication forum.

Anchor Site of Water Supply Sector

The Anchor Site in water supply sector for Central Java Region is the development of capital expenditure finance to increase connections of PDAM Kab. Kendal. To support this effort, PDAM Kendal needs to increase their production capacity and IUWASH supported development of DED of spring supply system with capacity of 300 liter/second to serve 25,000 new house connections. The program also requires alternative financing, which is planned through the Perpres 29 mechanism as well as requires commitment of local government and DPRD to provide fund sharing. IUWASH started to support development of regulation on PDAM equity last year (Perda No. 7 Tahun 2012) which was signed by Bupati on September 5, 2012. In 2013 letter of commitment on land acquisition was released as well. This commitment is the important step to realize this program. In PY4, PDAM requires support from IUWASH to accelerate the additional new connections, which is planned to be achieved through promotion and possibly microfinance programs.

Detailed Matrix Program Activities

Below are the detailed program activities of the Water Supply Sector for PY3:

Task	Activity	Input	Location	Timeline
Program WS 1: Improved PDAM Operational Aspects				
Sub-Program: PDAM Performance Index Monitoring				
PDAM Performance Index Monitoring	Data Collection for PDAM Performance Index	LTTA	All PDAM Partners (10)	Feb - Mar 14 Aug - Sep 14
Sub-Program: Energy Audit Efficiency				
Energy Efficiency Audit	Energy efficiency implementation audit and monitoring	LTTA, event	Kota Surakarta Kota Salatiga	Dec 13 – Mar 14
Sub-Program: Non Revenue Water Reduction				
Conduct NRW Program	Training and cross visit of NRW reduction program	LTTA, event	Kab. Rembang, Kab. Batang, Kota Salatiga, Kab. Klaten and Kab. Sukoharjo	Feb – Mar 14

Task	Activity	Input	Location	Timeline
Sub-Program: Distribution Network Improvement				
Distribution Network Improvement	Distribution network optimizing and evaluation study	LTTA, PO	Kab. Rembang, Kab. Batang	Oct 13 – Jan 14
	Distribution network optimizing and evaluation	LTTA, PO	Kab. Kudus, Kota Salatiga, Kab. Klaten and Kab. Sukoharjo	Oct 13 – May 14
Sub-Program: GIS/MIS Support				
Implementation of GIS/MIS Program	GIS Training	LTTA, event	All PDAM Partners (10)	Dec 13
	GIS development and improvement	LTTA, event, PO	Kab. Semarang, Kab. Kendal, Kota Salatiga	Oct 13 – Apr 14
Program WS-2: Improved PDAM Financial Aspects				
Sub-program: PDAM Business Planning				
Development of business plan	Development of PDAM Business Plan	LTTA, PO	Kota Semarang	Oct 13 – May 14
	Review of PDAM Business Plan	LTTA, event	Kab. Semarang, Kab. Kudus, Kota Salatiga	Dec 13 – Feb 14
Sub-program: PDAM Tariff Review/ Reclassification				
Development of new tariff calculation and proposal	Tariff reclassification	LTTA, event	Kota Semarang	Apr – Sep 14
	Customer reclassification	LTTA, event	Kota Surakarta	Oct – Dec 13
Sub-Program: Debt Restructuring				
Debt-restructuring (new and/or monitoring existing)	Debt restructuring monitoring	LTTA, event	Kab. Semarang, Kab. Kudus, Kota Salatiga	Jan – Sep 14
Program WS-3: Improved PDAM Customer Aspect				
Sub-program: Customer Engagement				
Customer Forum	Development of PDAM Customer Forum	LTTA, grant	Kota Semarang, Kab. Semarang, Kab. Rembang, Kab. Sukoharjo	Oct 13 – Sep 14
Sub-program: Customer Satisfaction				
Customer Satisfaction Survey	Conduct Customer Satisfaction Survey	LTTA, PO	Kota Surakarta	Oct 13 – Feb 14
Program WS-4: Raw Water Management & Climate Change adaption				
Sub-program: Climate Change Vulnerability Assessment				
Raw Water Vulnerability Assessment	Climate Change Vulnerability Assessment (CCVA) Study	LTTA, PO	Kab. Batang	Oct 13 – May 14
Sub-program: Climate Change Adaptation Plan				
Development of Climate Change Adaptation Action Plan	Workshop and FGD on Climate Change Vulnerability Assessment Adaptation Program (CCVAAP)	LTTA, event	Kab. Semarang, Kota Salatiga, Kab. Kudus, Kab. Batang	Oct– Dec 13 Jun – Aug 14
Sub Program: Implementation of Climate Change Adaptation Action Plan				
Implementation of CCVA study	Monitoring on construction of infiltration ponds	LTTA, event	Kab. Semarang, Kota Salatiga,	Oct 13 – Sep 14
	Cross visit of PDAM, local government and community to Mojokerto on Water Replenishment Program	LTTA, event	Kab. Semarang, Kota Salatiga, Kab. Kudus, Kab. Batang	Jan 14

Task	Activity	Input	Location	Timeline
Program WS-5: Micro Finance for Water Supply				
Promotion/ marketing campaigns	Advocacy on alternative financing of micro credit program	LTTA, Event	Kab. Rembang, Kab. Sukoharjo	Oct 13 – Aug 14
	Micro credit promotion	LTTA, PO	Kota Semarang, Kab. Semarang, Kab. Rembang, Kab. Klaten, Kab. Sukoharjo	Oct 13 – Feb 14
Program WS-6: Master Meter Program				
Conduct MM Program	Master Meter '*Kampung Sanitasi*' location	LTTA, Grant	Kota Surakarta	Oct 13 – Jan 14
Monitoring and evaluation	Water cost survey	LTTA, event	Kota Semarang, Kota Surakarta, Kab. Rembang	Dec 13 – Apr 14
Program WS-7: PDAM Long Term Finance				
Credit Worthiness	PDAM Credit Worthiness	LTTA, event	All PDAM Partners (10)	Oct 13 – Sept 14
Program WS-8: PDAM Institutional support				
Strengthen PDAM internal structures	Development of PDAM SOP	LTTA, PO	Kab. Sukoharjo	Oct 13 – Mar 14

2. Sanitation Sector

Introduction

The main activity in the sanitation sector is to increase access to sanitation facilities with a target for PY4 of 25,000 people obtaining access to either individual, communal or sewerage systems. For the individual systems, IUWASH will implement triggering in targeted areas and facilitate improvements of capacity of sanitation entrepreneurs, in close collaboration with Dinas Kesehatan and PNPM. Individual latrines can then be constructed using microcredit and "arisan jamban". IUWASH will continue providing extensive capacity building support for USRI city facilitators, community behavior change and capacity building of CBOs/KSM on the operational and management of communal sanitation facilities for 117 communal sanitation systems in Kota Semarang, Surakarta, Kudus, Rembang, Klaten, and Sukoharjo, including 50 systems already constructed between 2011-2013.

Besides supporting ADB/USRI program, IUWASH will also support promotion campaigns to increase access to improved sanitation services through city-wide sanitation system in Kota Surakarta, as well as develop.

Improved Sludge Management System with scheduled desludging program (Sistim Layanan Lumpur Tinja) to support individual and communal systems.

Anchor Site of Sanitation Sector

The Anchor project in sanitation sector in Central Java is the City Sanitation (Kota Sanitasi) of Kota Surakarta. Compared with other cities in Central Java, Kota Surakarta already has relative advanced sanitation facilities and strong interest to keep on expanding them and become the example for whole Central Java Province. This includes sewerage, communal, individual systems as well as improved urban sludge management. To support those programs and integrate them within one package, IUWASH developed this anchor site. The 'Kampung Sanitasi' grant program is the example of communal sanitation system combined with water supply through master meter program and hygiene behavior change support. Regarding improved urban sludge management through regular desluding by PDAM, IUWASH initiative to pilot it for 200 households at Kelurahan Jebres was taken

over and will now cover all PDAM customers (over 50,000 households) and planned to start mid 2014.

During PY3, IUWASH Central Java had another sanitation anchor site for establishing wastewater institution in Kota Semarang (UPTD), but in reality UPTD development will be implemented in 7 cities in Central Java, therefor the UPTD development in Kota Semarang is not appropriate anymore as specific Anchor site. anymore.

Detailed Matrix Program Activities

Below are the detailed program activities of the Sanitation Sector for Central Java in PY4:

Task	Activity	Input	Location	Timeline
Program SAN-1: Increase Access Through Individual System				
Implementation triggering activities	Individual sanitation system Improvement through Micro Credit program	LTTA, events	Kota Semarang, Kota Surakarta, Kab. Kudus, Kab. Rembang, Kab. Sukoharjo	Oct 13 – Sep 14
Conduct Behavior Change Survey	Behavior Change Monitoring Survey in 3 cities/ districts.	LTTA	Kota Semarang, Kota Surakarta, Kab. Kendal	Mar 14 and Sep 14
Program SAN-2: Increase access through communal system				
Preparation	Develop sustainable community behavior change in 6 IUWASH location overlapping with USRI	LTTA, Grant	Kota Semarang, Kota Surakarta, Kab. Kudus, Kab. Rembang, Kab. Klaten, Kab. Sukoharjo	Oct 13 – Aug 14
Community training and outreach	Handwashing Campaign on USRI/ SLBM Program Activities		Kota Semarang, Kota Semarang, Kab. Kudus, Kab. Klaten, Kab. Sukoharjo	Aug – Sep 14
Construction	Communal septic tank in Jomblang (continue PY-3)		Kota Semarang,	Oct 13 – Sep 14
	Construction Communal septic tank "Kampung Sanitasi" (PY-3)		Kota Surakarta	Oct 13 – Jan 14
Program SAN-3: Increase access through off site sanitation (sewerage)				
Technical Support	GIS development and improvement	LTTA, event, PO	Kota Surakarta	Oct 13 – Apr 14
Promotion Campaign	Sanitation Marketing Promotion Assistance	LTTA, event	Kota Surakarta	Oct 13 – Sep 14
Program SAN-4: Improved Urban Sludge Management				
Pilot Project	Support Regular Desludging System (SLTT) program with PDAM, including cross visit to Bandung and workshop	LTTA, event, PO	Kota Surakarta	Oct 13 – Sep 14
Technical	MIS for Regular Desludging System (SLTT)	LTTA, event		
Program SAN-5: Support LOCAL GOVERNMENT / Pokja Sanitation/ AMPL				
Capacity Building/ Training Pokja AMPL	Preparation on establishment of Regional Technical Unit (UPTD) for Wastewater Treatment	LTTA, event	Kota Semarang, Kab. Kudus, Kab. Rembang, Kab. Batang, Kab. Sukoharjo	Oct – Dec 13

Task	Activity	Input	Location	Timeline
	Establishment of Regional Technical Unit (UPTD) for Wastewater Treatment	LTTA, Grant	Kota Semarang, Kab. Kudus, Kab. Kendal, Kab. Rembang, Kab. Batang, Kab. Klaten, Kab. Sukoharjo	Oct 13 – Sep 14
	Capacity building Wastewater Treatment Institution	LTTA, event	Kota Salatiga, Kab. Klaten	Oct 13

3. Cross Cutting Sector

Introduction

In the cross-cutting sector, IUWASH will provide advocacy to local government and DPRD to obtain support in policy prioritized for water and sanitation sector. Through IUWASH facilitation, currently several local government already implement development of sanitation sector and commitment has been raised through APBD budget support allocation for central government programs, such as development of IPLT. However the central government is demanding local government to establish institution of wastewater management as pre-condition or"readiness criteria" to obtain APBN support. In this case, IUWASH will facilitate local government to establish an institution of wastewater management (UPTD) in Kota Semarang, Kab Kudus, Rembang, Kendal, Batang, Sukoharjo, Klaten. IUWASH will also encourage increased public participation in monitoring government services for the sanitation sector through CEM program in Kota Semarang, Kab Kudus, Klaten and Sukoharjo.

Hygiene Behavior Change (Hand-washing with Soap and Point of Use Water) as well as gender mainstreaming activities will be implemented directly within selected IUWASH programs. The CSR program is covered by the collaboration with Coca Cola on construction of ca. 700 infiltration ponds.

Detailed Matrix Program Activities

Below are the detailed program activities of the Cross-cutting Sector:

Task	Activity	Input	Location	Timeline
Program CC-1: Increase LOCAL GOVERNMENT Policies				
Development policies/ regulation	Advocacy on Mayor Regulation on Equity Complement and DPRD Support on Perpres No.29	LTTA, event	Kota Surakarta, Kab. Kendal, Kab. Rembang	Mar – Apr 14
	Advocacy on Mayor Regulation in PDAM Organization Structure and Framework (*SOTK*) Changing		Kab. Batang	Nov – Dec 13
	Advocacy on Mayor Regulation in PDAM tariff adjustment		Kota Semarang	Apr – Sep14
Adoption of local policies and/or increased APBD	Development of Wastewater and Regular Desludging System (SLTT) tariff agreement		Kota Surakarta	Mar – May 14
Program CC-2: Increase LOCAL GOVERNMENT APBD Budget				
Preparation	FGD on APBD Allocation for Drinking Water and Sanitation	LTTA, event	All cities (10)	Mar – May 14
	Workshop on Planning and		Kab. Rembang, Kab. Batang,	Jan – Mar 14

Task	Activity	Input	Location	Timeline
	Budgeting Improvement of Sanitation Sector		Kota Salatiga, Kab. Klaten, Kab. Sukoharjo	
	Workshop on Local, Provincial, and Central Government Partnership		Kab. Semarang, Kab. Kudus, Kab. Kendal, Kota Salatiga	Jan – Apr 14
Program CC-3: Improved Citizen Engagement				
Develop and implement CEM	Establishment of CEM on clean water and sanitation improvement	LTTA, PO	Kota Semarang, Kab. Kudus, Kab. Klaten, Kab. Sukoharjo	Jul – Aug 14
Program CC-4: Gender Mainstreaming				
Gender Mainstreaming	Gender mainstreaming on gender responsive budgeting development	LTTA, Event	All location (10)	Nov 13
	Implementation Gender pilot program	LTTA, Event	Kota Semarang	Oct 13 – Sep 14
Program CC-5: Corporate Social Responsibility				
Support CRS initiatives	Support program on infiltration ponds financed by Coca Cola	LTTA, Liaison staff	Kab Semarang Kota Salatiga	Oct 13 – Sept 14

4. Grant Program

IUWASH has provided several grant programs to increase services of water supply and sanitation sector in Central Java Region. Those programs can be summarized as follows:

Completed grant programs in PY3:

- The communal septic tank Program in Dukuh Ngaglik, Kab Kendal, was completed in collaboration with CBE-Tech LPTP as the selected grantee. 260 people (46 hh) are connected to communal septic tank system, 8 households receive hygiene latrines, 12 households receive new (PDAM) water supply connection through microcredit scheme.

Ongoing grant programs carried over to PY4:

- 'Kampung Sanitasi' at Kampung Semanggi, Kecamatan Pasar Kliwon, Kota Surakarta, which is currently under construction, with the construction of communal septic tank already done, but communal latrine still ongoing. 229 people (52 hh) will be connected to communal septic tank while 100 people (20 households) will be served by public latrine. In addition, 500 people (98 households) will receive water supply from PDAM through master meter system;
- Communal Septic Tank Grant Program in Jomblang, Kota Semarang. Currently the bidding process has been done, and Yayasan Gita Pertiwi is selected as IUWASH partner. 500 people (100 hh) will be connected through communal septic tank system. Issue on the lack of clean water has been solved through PDAM support by the development of water supply including new connection through microcredit program. In the development of water supply systems in Jomblang, IUWASH has contributed through the construction of a distribution reservoir with a capacity of 50 m^3.

New grant programs for PY4:

In PY 4, IUWASH Central Java plans to implement three new Grant Programs, as follows:

- Establish PDAM customer forum in Kota & Kab Semarang, Rembang, Batang, Klaten, Sukoharjo;

- Develop sustainable community behavior change in Kota Semarang, Surakarta, Kab Rembang, Kudus, Sukoharjo, Klaten. IUWASH advocacy will focus on software aspect to support USRI/SLBM program;
- Establishment of wastewater management institution (UPTD) in Kota Semarang, Kab Rembang, Kudus, Kendal, Batang, Sukoharjo and Klaten.

8.4 EAST JAVA REGION

8.4.1 INTRODUCTION

In the third year of program implementation, IUWASH East Java Region works with 12 City/ Districts. All Local Governments are facilitated in both sectors Water and Sanitation.

During PY 3 IUWASH reached several achievements in water sector through several activities as follows:

- Development of Corporate Plan for PDAM Kota Batu and Kabupaten Mojokerto;
- Facilitation in PDAM tariff adjustment for PDAM Gresik, Lamongan and Kab Mojokerto;
- Capacity building of PDAM staff through several training activities conducted for several topic as follow:
    - ✓ GIS and MIS Training for 9 PDAMs followed with development of spatial baseline data;
    - ✓ Optimizing of Distribution Network and Development Training Strategy for 9 PDAMs followed with facilitation of Distribution Network Optimalization;
    - ✓ Non Revenue Water Training for 11 PDAMs, including 3 PDAMs as resource;
    - ✓ ToT Customer Forum for 5 PDAMs, one of which (Jombang) already established forum;
    - ✓ Strengthening capacity PDAMs Staff (12 PDAMs) through training SAK ETAP (Accountancy Standard), the trainer from BPKP Pusat to ensure implementation of SAK ETAP correctly.
- Micro Credit for Water Connection in Mojokerto, Surabaya and Sidoarjo with 700 house connections;
- Conducted credit worthiness ladder for PDAM Kab Gresik, Sidoarjo and PDAM Kota Malang;
- Implementation of infiltration well construction in Mojokero, funded by Coca Cola Foundation Indonesia (CCFI) and the progress is 564 wells out of 650;
- Capacity Building for PDAM supervisory Body of 6 PDAMs.

In sanitation sector, IUWASH East Java achievements cover several program activities as follows:

- Introduction improved Urban Sludge Management for Kota Probolinggo, Jombang; Sidoarjo and Kab Mojokerto, through FGDs for local government and Pokja and example program for regular desluding system in Kota Probolinggo and Kab Mojokerto;
- Supported STBM Program especially for three of five pillars to increase sanitation access for community members in all 12 Cities. Activities included training for facilitators on triggering, refreshment STBM program for sanitarians/ facilitators STBM, implementation of triggering, monitoring end evaluation, community technical assistance, and sanitation marketing by sanitarians. Around 1,000 HH got improve sanitation access on individual system, form which 500 HH through microfinance and 3 SMEs;
- Through LPPM-ITS Grant, increase sanitation access for individual system in Surabaya and Sidoarjo and small scale sewerage in Kota Probolinggo. About 250 HH got increased sanitation access;
- Support ADB/USRI-SPBM and DAK-SLBM to increase sanitation access through communal systems in Kota and Kab Malang Batu, Gresik, Surabaya, Jombang and Kota Probolinggo. IUWASH conducted workshops for Pokja, facilitated collaboration betweenDinas PU, Bappemas and capacity bulding for KSM for O&M of constructed systems and with Dinas Kesehatan and Sanitarians to conduct health promotion.

Under cross cutting sector, achievements were made to support the water supply and sanitation sectors:

- Visioning workshops for local stakeholders in Kab Probolinggo Kota and Batu City which increased awareness of decision makers to put greater focus in water supply and sanitation sectors;

- Watsan policies were identified for all IUWASH locations and are all under development to be completed in PY4;
- CSR support was leveraged from the Coca-Cola Foundation Indonesia (CCFI) to construct 574 infiltration ponds in Kab Mojokerto through local NGO (YLHS/Yayasan Lingkungan Hidup Seloliman);
- Gender Mainstreaming workshop was held for IUWASH teams to increase understanding and awareness of gender equality and equity for all partners. With this information IUWASH regional teams can conduct gender equity training on healthy behaviors to the sanitarian, health promoters, health volunteers and health department staff.

The ongoing programs will be continued and several new programs will be implemented according to each city needs.

8.4.2 TARGET TOWARD PMP OUTCOME FOR EAST JAVA REGION

Outcome	Year 4 Target	Remarks
HR-1	190,000 people (38,000 HH)	190,000 people (38,000 hh) have access to safe water supply system through PDAM connections, including connections made under Micro Finance and Master Meter program.
HR-2	32,000 people (6,400 households)	6,400 hh increase access to improved sanitation through individual and communal systems (including micro credit). individual systems are done in all 12 cities of East Java Region while the communal sanitation system is implemented in cities overlapping with USRI.
HR-3	20% decreased	Measured in Micro Finance sites in Surabaya, Kab. Mojokerto and Sidoarjo and Master Meter Program in Surabaya and Sidoarjo
HR 4	3,800 People	Total number comes from all training related activities by IUWASH East Java conducted both at community as well as institutional levels (local government, PDAM) for the water supply and sanitation sectors. This target included training activities done by IUWASH Grantees.
MD-1	6,400 HH	from individual and communal sanitation systems in all cities.
MD-2	100 CSOs	CSOs are managing community-based water supply and sanitation systems in Kota Surabaya, Kab. Gresik, Kota Malang, Kab. Malang and Kota Batu. Plus government cadres in all 12 cities.
MD-3	6 CSOs	6 customer forum in Kab. Lamongan, Kab. Mojokerto, Kota Mojokerto, Kab. Jombang, Kab. Probolinggo, and Kab. Malang developed and report on the PDAM performance
MD-5	20%	The improvement comes from a survey involve community members in Kota Probolinggo, Kab. Sidoarjo, and Kendal Kab. Malang.
IC-1	12 PDAM	IUWASH will monitor the increase of performance index of 12 PDAMs across the region such as. IUWASH will made significant support to improve the PDAM performance.
IC-2	4 PDAM	Kab. Lamongan, Kota Probolinggo, Kab. Mojokerto and Kab. Gresik will join monitoring of the implementation of debt restructuring
IC-3	3 PDAM	Rating will be increased for PDAM Gresik, Malang, and Sidoarjo
IC-4	6 Local Government	IUWASH will work with PDAM Kab. Mojokerto, Kota and Kab Probolinggo, Kota and Kab Malang and Kota Batu to complete the CCVA, followed by climate change adaptation program.
IC-5	10 LGs	IUWASH support implementation in all IUWASH cities
IC-6	5 SME	Targeted SME in sanitation sector are one from Kab. Probolinggo, Kota Mojokerto, Kab. Gresik, Kab. Jombang, and Kota Malang

Outcome	Year 4 Target	Remarks
IC-7	20%	The surveys for watsan services satisfaction will be conducted in Surabaya, Sidoarjo, Kab. Mojokerto where the water for the poor program and community-based sanitation facility is implemented.
IC-8	7 unit	The 7 sanitation unit (UPTD) will be developed in Kab. Sidoarjo, Kab. Gresik, Kabupaten Mojokerto, Kabupaten Jombang, Kabupaten Probolinggo, Kabupaten Malang and Kota Batu
IC-10	20 people	20 PDAM and local government staff received capacity building on Climate Change Adaptation in Kab. Mojokerto, Kota Probolinggo, Kab. Probolinggo, Kota Malang, Kab. Malang and Kota Batu.
EE-1 (policy)	15 policies	The improved and new policies supported watsan sector from all 12 cities of IUWASH East Java Region
EE-1 (budget)	6 LGs	Budget allocation in water and sanitation sector that expected to be improved are from Kab. Probolinggo, Kota and Kab Mojokerto, Jombang, Sidoarjo, Gresik, Kab Malang and Kota Batu
EE-2	2 PDAM	PDAM Kab. Lamongan and Kab Mojokerto will obtain supports for capital expenditure finance for their water supply projects
EE-3	107 Billion Rupiah	Budget allocation is counted for (1) micro credit in Surabaya, Sidoarjo & Kab. Mojokerto; (2) Long Term Finance Lamongan, Gresik & Kab. Mojokerto; APBN for water supply Jombang, Kab. Probolinggo & Batu; and APBD for Kab. Probolinggo dan Kota Batu.
EE-4	5,600 HH	The expectation of water supply and sanitation connections from all 12 cities of East Java Region
EE-5	4 LGs	The Citizen Engagement Mechanism is developed in Kab. Probolinggo, Sidoarjo, Kab. Mojokerto and either Malang or Gresik

8.4.3 UPDATED MAP

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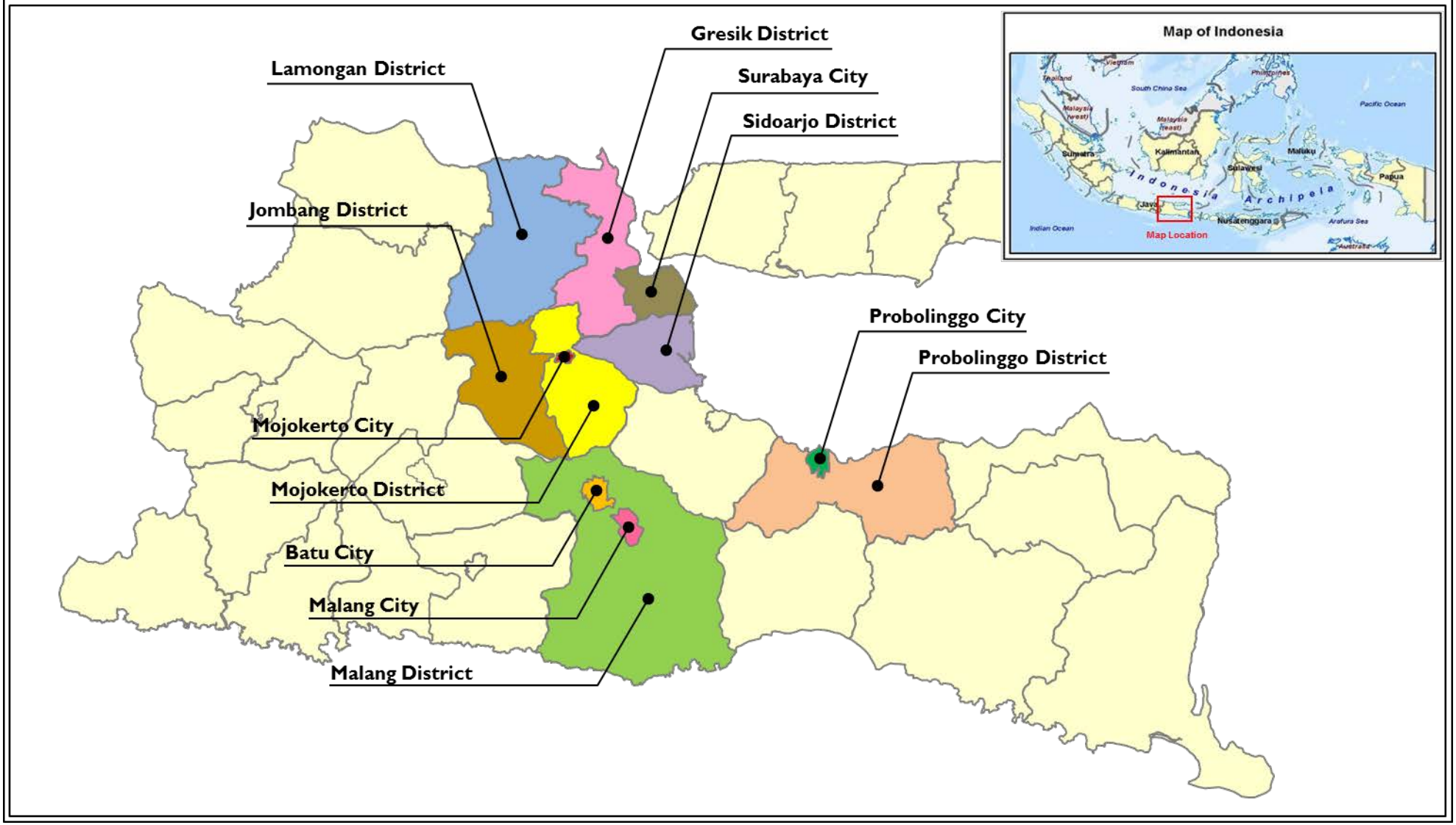
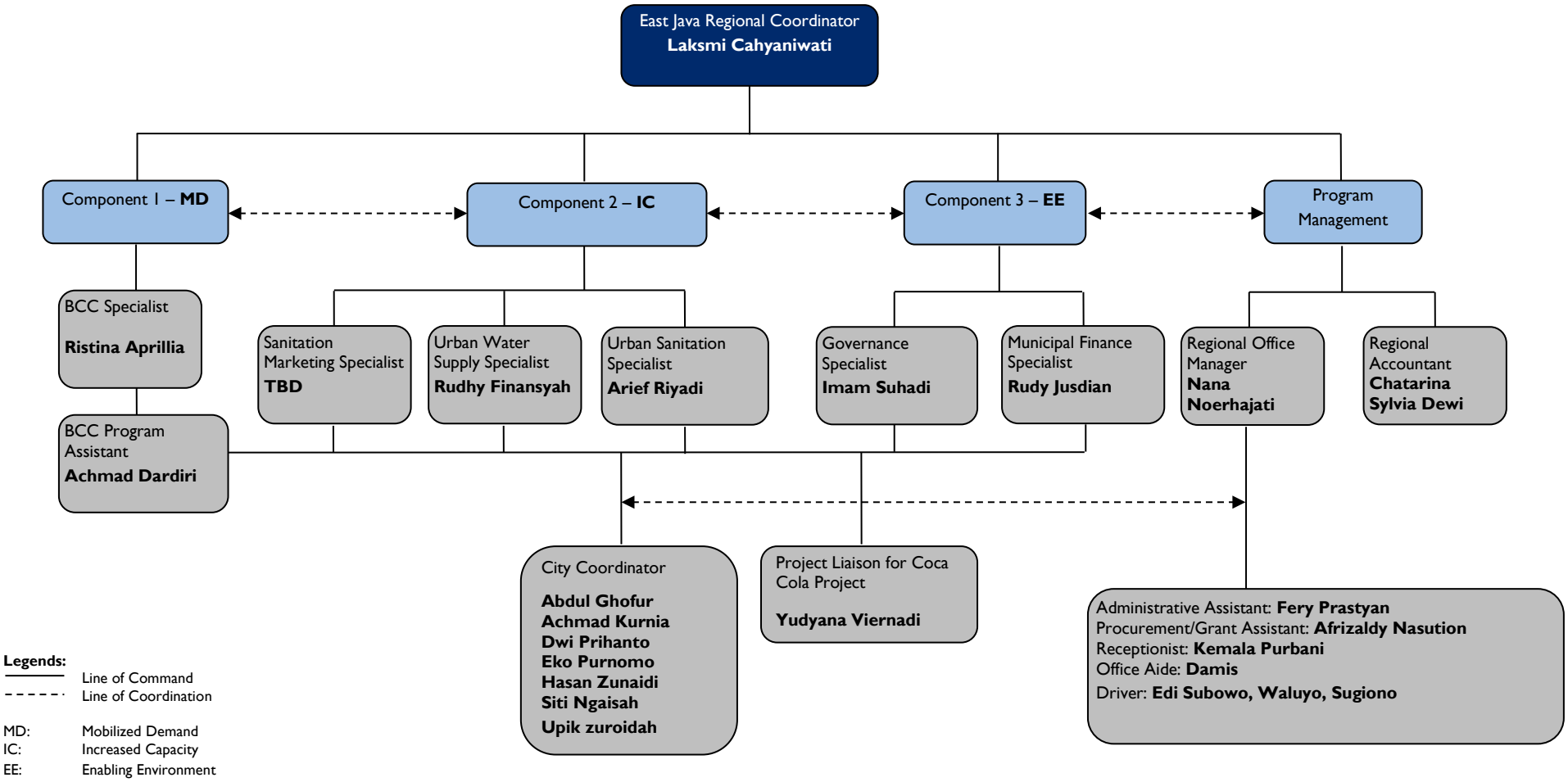
Map of City/ District for East Java Region

iuwash Indonesia Urban Water, Sanitation, and Hygiene



IUWASH ORGANIZATIONAL CHART BY REGION – EAST JAVA



8.4.4 SUMMARY OF PLANNED PROGRAM ACTIVITIES

IUWASH approach in program implementation in PY 4 is following same approach of PY 3, organizing programs according to Water Supply, Sanitation and Cross Cutting sector. Program activities are planned according to stakeholder priorities which are discussed during the assessment and considered in line with the available IUWASH resources. Agreed programs will be implemented through events, PO or Grant.

1. Water Supply Sector

Introduction

The main programs in the water supply sector are geared to improve PDAM performance leading to increased connections. This will be achieved through: supporting master meter programs; promotion on micro credit; improve capacity of PDAM staffs; improvement of PDAM production capacity, increase efficiency, etc. IUWASH will also continue collaborate with CSR partners in completing the construction of infiltration ponds (with CCFI) as well as development of master meter (with HSBC). Programs will be integrated with other components such as BCC for promotion and community mobilization; governance for institution development and capacity building; Municipal Finance for financial aspects etc.

In PY4, IUWASH East Java will continue monitoring PDAM Performance Index, conduct Energy Efficiency Audit, continue NRW reduction program with demonstration sites in Kab Malang, monitoring NRW program at 11 PDAMs, continue monitoring and evaluation program Distribution Network Optimization at 2 PDAMs, GIS Facilitation at 3 PDAMs PDAM, Optimizing Production Capacity Optimization at 2 PDAMs, SOP development (on Finance and Customer Relation) in 2 PDAMs, facilitation PDAM Customer Communication Forum for 3 PDAMs and training Complain Handling for 12 PDAMs.

The Climate Change Vulnerability Assessment (CCVA) will be continue in 5 locations followed by workshops on Climate Change Risk matrix and facilitation to prepare actions plans, which include regulation of raw waterconservation.

To increasing financial performance IUWASH teams will facilitate PDAM to prepare Business Plan and assist in preparation of tariff adjustment, provide billing and accounting system, monitoring debt restructuring program for 5 PDAMs, support Capital Expenditure programs for 2 PDAMs, including one for Perpres no 29 and continuing Credit Worthiness Ladder assessment for 5 PDAM.

Increasing access of water supply for the poor people will be done completion of master meter program in Sidoarjo, starting master meter programs in Surabaya with HSBC and own financing as well as promote accelerated access to piped water through micro finance in 6 locations.

Anchor Site of Water Supply Sector

In East Java Region, IUWASH develop 3 Anchor Sites of water supply sector as follows:

1. Increase production capacity through Public Private Partnership, in Kab Mojokerto, Lamongan and Gresik to overcome their lack of raw water and ability for investment. Several potential partners are identified, among other provincial raw Water Enterprise (PDAB). PPP in Kab. Gresik already started with PT. Drupadi for first phase of 50 lps and the uprating of another 150 L/sec is almost completed;
2. Water for the poor programs are located in Surabaya, Sidoarjo and Kab Mojokerto. The activities comprise construction of master meter scheme and micro credit scheme for water connection in poor communities, with target for PY4 of about 7,000 households with first time access to piped water;

3. Climate Change Adaptation leading to restoration of natural water sources is implemented in three cities: Kab Mojokerto, Kota and Kab Probolinggo. Water supply in all three cities is depending on springs, which have shown rapidly decreasing discharge. In PY4, IUWASH will continue to develop climate change action plan and support construction of infiltration wells, and regulation for raw water conservation.

Detailed Matrix Program Activities

Below are the detailed program activities of the Water Supply Sector for PY4:

Task	Activity	Input	Location	Timeline
Program WS 1: Improved PDAM Operational Aspects				
Sub-Program: PDAM Performance Index Monitoring				
PDAM Performance Index Monitoring	Data Collection for PDAM Performance Index	LTTA	All PDAM Partners (12)	Feb- Mar 14 Aug- Sep 14
Sub-Program: Energy Audit Efficiency				
	Study followed by implementation of Energy Efficiency Audit	LTTA, event	Kab. Gresik	Oct 13 - Feb 14
Sub-Program: Non Revenue Water Reduction				
Conduct NRW Program	Monitoring NRW Program: Team establishment/ regulation/NRW program implementation	LTTA	All cities except Surabaya and Kota Malang	Oct 13 – Aug 14
	Workshop on NRW monitoring results(2 times)	LTTA, event	All PDAM Partners (12)	Jan 14, May 14, Sep 14
	Second Opinion on NRW reduction plan by third party	LTTA	Kota Surabaya	Jan – Sep 14
Sub-Program: Distribution Network Improvement				
Distribution Network Improvement	Study on Distribution network optimizing	LTTA, PO	Kab. Lamongan, Kota Probolinggo	Oct 13
Sub-Program: Optimizing of Production Capacity				
Distribution Network Improvement	Study on Production Capacity Optimization (PCO)	LTTA, PO	Kab. Lamongan, Kota Mojokerto	Oct 13 – Jan 14
	PCO Training for operators	LTTA, event	Kab. Sidoarjo, Kab. Lamongan, Kota Mojokerto, Kab. Jombang	Oct 13
Sub-Program: GIS/MIS Support				
Implementation of GIS/MIS Program	Support GIS Program	LTTA, PO	Kota Probolinggo, Kab. Malang and Kota Batu	Oct 13
Program WS-2: Improved PDAM Financial Aspects				
Sub-program: PDAM Business Planning				
Development of business plan	Development PDAM Business Plan + CSS + RDS	LTTA, event	Kota Mojokerto, Kota Malang	Oct 13 – Feb 14
Sub-program: PDAM Tariff Review/ Reclassification				
Development of new tariff calculation and proposal	Tariff review	LTTA, event	Kota Mojokerto, Kab. Probolinggo	Oct 13 – Feb 14
Sub-Program: Debt Restructuring Plan				
Support monitoring of Debt Restructuring Plan	Monitoring new and existing debt restructuring	LTTA	Kab. Gresik, Kab. Mojokerto, Kab. Jombang Kab. Lamongan, Kab. Probolinggo, Kab. Malang	Oct 13 Jan 14 Jul 14

Task	Activity	Input	Location	Timeline
Program WS-3: Improved PDAM Customer Aspect				
Sub-program: Customer Engagement				
Customer Forum	Establishment and strengthening Customer Forum	LTTA, events	Kab. Lamongan, Kab. Jombang and Kota Probolinggo	Dec 13 - May14
Sub-program: Customer Satisfaction				
Customer Satisfaction Survey	RDS to support the regionalization Mantup Lamongan and Kab. Malang	LTTA, event	Kab. Lamongan	Jan – Mar 14
Sub-program: Customer Complaint Handling				
Customer Complaint Handling	Customer Complaint Handling Training	LTTA, event	All PDAM Partners (12)	Apr 14
	Facilitate the follow up of Customer Complaint Handling Training	LTTA	Kab. Lamongan, Kab. Mojokerto, Kota Mojokerto, Kab. Jombang, Kab. Probolinggo, Kab. Malang	Apr – Sep 14
Program WS-4: Raw Water Management & Climate Change adaption				
Sub-program: Climate Change Vulnerability Assessment				
Raw Water Vulnerability Assessment	Climate Change Vulnerability Assessment (CCVA) Study	LTTA, PO	Kota Probolinggo, Kab. Probolinggo, Kota & Kab Malang Kota Batu	Oct 13 – Jan 14
Sub-program: Climate Change Adaptation Plan				
Development of Climate Change Adaptation Action Plan	Workshops CC Risk Matrix and for decision makers	LTTA, event	Kota Probolinggo, Kab. Probolinggo, Kota and Kab Malang, Kota Batu	Oct 13 - Feb 14
	Facilitate development of regulation on raw water conservation			Feb - Jun 14
Sub Program: Implementation of Climate Change Adaptation Action Plan				
Implementation of CCVA study	Monitoring on construction of infiltration ponds	LTTA, event	Kab. Mojokerto	Oct 13 – Dec 13
Program WS-5: Micro Finance for Water Supply				
Assess PDAM commitment + sufficient raw water	Assess PDAM commitment + sufficient raw water and facilitate meeting with financial institution	LTTA, Event	Kab. Gresik, Kab. Lamongan, Kab. Jombang, Kab. Probolinggo, Kab. Malang, Kota Malang	Oct 13 – Dec 13
Arrange agreements / training stakeholders	MOU arrangement & signing and conduct Workshop for stakeholder	LTTA, Event		Dec 13
Promotion / marketing campaigns	Marketing Facilitator	LTTA, PO	Kota Surabaya, Kab. Sidoarjo, Kota Malang, Kab Malang	Oct 13 – Jul 14
Monitoring & Evaluation & survey's on satisfaction WS services by poor and water cost	Monitoring and evaluation/Survey on Water Cost	LTTA, Event	Kota Surabaya, Sidoarjo, Gresik, Kab. Lamongan, Kab. Mojokerto, Kab. Jombang, Kab. Probolinggo, Kab & Kota Malang	Jan – Sep 14
Expose best practices / lesson learned	Lesson Learned development	LTTA, Event		Feb – Jun 14
Program WS-6: Master Meter Program				
Project Preparation and Conduct MM Program	Implementation Master Meter (under collaboration with HSBC)	LTTA, PO	Kota Surabaya	Oct 13 – Sept 14

Task	Activity	Input	Location	Timeline
Program WS-7: PDAM Long Term Finance				
Assessment of Potential Project	Assessment on potential and feasibility of PPP Project, including possible use of Perpres 29	LTTA	Kab. Lamongan, Kab. Mojokerto	Oct- Nov 13
Pre-Feasibility Study Preparation	Support to preparation of implementation of Pepres 29	LTTA, event	Kab. Mojokerto	Nov 13 – Apr 14
Project 's source of fund confirmation	Conduct facilitating meetings with potential finance institutions	LTTA	Kab. Lamongan, Kab. Mojokerto	Apr 14
Project Preparation	Project Preparation and launching of Pepres 29 (if successful)		Kab. Lamongan, Kab. Mojokerto	May – Sep 14
Credit worthiness	Assessment of credit worthiness ladder		Sidoarjo, Gresik, Kab. Mojokerto, Kota Malang	Feb 14
Program WS-8: PDAM Institutional support				
Strengthen PDAM internal structures	Development of PDAM SOP on Financial aspect	LTTA	Kab. Lamongan, Kab. mojokerto	Dec 13 – Jun 14

2. Sanitation Sector

Introduction

The main activity in East Java on sanitation sector is to increase access to sanitation facility through individual and communal system. The target for this year is that over 30,000 people get access to sanitation facility either individual system or communal system. For individual system, IUWASH will intensify collaboration with Dinas Kesehatan and Sanitarians to create demand. Several cities still need support on triggering. There is BOK (*Biaya Operasional Kegiatan)* budget in Dinas Kesehatan but sometimes still needs support regarding due to the limited.

For expansion and strengthening of communal sanitation systems, IUWASH collaboration with Ministry of Public Works, and Bappeda will increase. IUWASH will support the software while government implement the construction on USRI and DAK/SLBM in target cities in East Java. For PY4, IUWASH will provide grant to support strengthening and capacity building of KSM/KPP in 5 locations (Gresik, Surabaya, Kota and Kab Malang, and Kota Batu) targeted to increase sanitation access to 2,000 households.

IUWASH Jatim team is also supporting local government to prepare readiness criteria for obtaining APBN support to construct small scale sewerage systems, including the systems developed under the AUSAID financed sAIIG program in Gresik and Probolinggo. Kota Probolinggo is also one of the four locations of IUWASH, where regular desludging is piloted. After successful completing Phase 1 in PY3, fullt commitment was obtained from local government Kota Probolinggo to join Phase 2, which includes establishing and strengthening UPTD combined with promotion and piloting regular desludging. Under San 5, IUWASH will support 7 locations with establishing UPTD to manage all waste water programs in each city. Support will include preparation of the necessary legislation, advocacy for budget allocations and capacity building for new staff.

Anchor Site of Sanitation Sector

IUWASH East Java continues implementing the three anchor sites which already initiated in PY 2013:

1. STBM triggering activities to support increased access of individual sanitation facilities, in Kota and Kab Mojokerto and Kab Jombang with target of 1,360 HH and 2,400 people join capacity building activities;
2. Support increasing access of communal sanitation system through several activities such as promotions, trainings/capacity building, CLTS triggering etc, implemented in Kab and Kota Probolinggo with a target of 1,265 households benefitting and 750 people participated in capacity building programs;

3. Supporting POKJA Sanitasi in the implementation of City Sanitation Strategies and other Local government waste water programs like USRI, in Kab & Kota Malang and Kota Batu. The target of this anchor site is increase sanitation access for 1,650 HH and capacity building for operation and maintenance to CBOs.

Detailed Matrix Program Activities

Below are the detailed program activities of the Sanitation Sector for East Java in PY4:

Task	Activity	Input	Location	Timeline
Program SAN-1: Increase Access Through Individual System				
Community Triggering	Triggering Activities; monitoring post construction & practice to construct healthy toilet, including develop SME and mobilize microfinance	LTTA, event, grant	Kab Lamongan, Kab Jombang, Kab/Kota Probolinggo Kota/Kab Malang Kota Batu	Oct 13 – Sep 14
Community training	Training on promotion of improved hygiene behavior for sanitarian, promkes, village midwives, and community cadres	LTTA, event	Kota Surabaya, Kab Sidoarjo, Kab Gresik, Kab Lamongan, Kota/Kab Probolinggo	Oct – Dec 13
Community outreach	Celebrating HWWS world Day in Kota Malang, Kota Probolinggo, Kab. Jombang	LTTA, event	Kab Jombang Kota Batu	Oct – Nov 14
Facilitators Gathering	Workshop on strategy development to increase sanitation access in 12 cities	LTTA, event	All cities (12)	Jan – Mar 14
Program SAN-2: Increase access through communal system				
Post Construction	Workshop on develop same perception on post construction of USRI/SLBM Program	LTTA, event	Kota Surabaya	Oct 13 – Aug14
Support USRI and DAK programs	Intensive support for KSM and sanitarians on promotion of connections, O&M and tariff setting	LTTA, grant	All locations (12)	Nov 13 – Sep 14
Program SAN-3: Increase access through off site sanitation (sewerage)				
Technical Support (FS, DED, etc.)	Support Kota/Kab to prepare technical doc – preparation of readiness criteria	LTTA, event, PO	Kab. Sidoarjo, Kab Lamongan, Kab Jombang, Kota Malang	Oct 13 – Apr 14
Program SAN-4: Improved Urban Sludge Management				
Preparation for improved desludging	Initial stakeholder support and identify financial opportunities	LTTA, event, PO	Kab Mojokerto, Kab Probolinggo, Kab and Kota Malang	Oct 13
Demonstration of regular desludging	Support demonstration, including pilot, promotion, financing, organizational strengthening of operator (UPTD), legislation	LTTA, event	Kota Probolinggo,	Oct 13 – Sep 14
Willingness to pay survey	Monitoring and Evaluation Trial of Desludging	LTTA, event	Kota Probolinggo, Kota Malang	Feb – Apr 14
Program SAN-5: Strengthening Sanitation Institution				
Establishment of local sanitation operator (UPTD)	Establish local Sanitation management units (UPTD) to operate all sanitation facilities, incl TUPOKSI, SOP, legislation, tariff, etc	LTTA, STTA, PO, event	Kab Sidoarjo, Kab Gresik, Kab Mojokerto, Kab Jombang, Kab Probolinggo, Kab Malang and Kota Batu	Oct 13 – Sep 14
Support POKJA AMPL	Support Pokja AMPL with implementation of SSK	LTTA, events	All locations (12)	Oct 13 – Sep 14

3. Cross Cutting Sector

Introduction

Cross cutting program activities support both water supply and sanitation sectors. The main activities are capacity building for Pokja Sanitasi/AMPL and related SKPDs for water and sanitation sector program. This will include preparation of local policies/regulation; facilitation for APBD increase; Citizen Engagement; Gender Mainstreaming and Hygiene Behavior HWWs and POU Water activity. Facilitation for the preparation of local policies/regulation and APBD increase will be implemented through a serial FGD and workshops involving stakeholders for water and sanitation program, while Gender Mainstreaming and Hygiene Behavior HWWs and POU Water activity will be inserted in workshops and training activities conducted for both water and sanitation sectors.

Some details on cross cutting programs are summarized below:

- In PY4, IUWASH East Java will continue training on Healthy Behavior Promotions for Sanitarians, Health Promoters, Village midwives and Health Cadres in 5 cities (Surabaya, Gresik, Lamongan, Kota and Kab Probolinggo), aimed to increase capacity of participants on Hand Washing With Soap and Point of Use Water corresponding with STBM Pillars 2 and 3. IUWASH encourages training participant to conduct promotions to wider community in their cities with their own budget after training;
- IUWASH will participate in HWWS World Day at October 15, 2013 and to do collaboration event in and Batu towards end of PY4;
- On Gender Mainstreaming, IUWASH will continue gender mainstreaming programs with local partners in all target cities, including understanding of gender equity training on promotion of healthy behaviors to the sanitarian, health promoters, health volunteers and health department staff;
- Development of regulations in East Java Region consist of preparation of Regional Regulation (PerBup / perwal, SK Kepala Dinas) in 9 districts / cities (Surabaya, Lamongan, Mojokerto, Jombang, Probolinggo, Kota Probolinggo, Malang, Kota Malang and Kota Batu) through serial FGDs and Final Workshop;
- Workshop and signing of Perbup/Perwali UPTD establishment in 7 districts / cities (Sidoarjo, Gresik, Kab Mojokerto, Kab Jombang, Kab Probolinggo, Kab Malang and Kota Batu);
- Increase local government/APBD Budget will be achieved through promotion to LOCAL GOVERNMENT and budget preparation for water and sanitation sector in 3 cities/districts Sidoarjo, Gresik and Kab Malang, including Audience with DPRD;
- CC-3 Improved Citizen Engagement (EE-5) will be done in 4 locations through local radio as system to directly involve and strengthen role of the public in commenting on water and sanitation access and service.

Detailed Matrix Program Activities

Below are the detailed program activities of the Cross-cutting Sector:

Task	Activity	Input	Location	Timeline
Program CC-1: Increase LOCAL GOVERNMENT Policies				
Amendment existing / development new policies / regulations	Support on development of Peraturan Daerah in 9 Kabupaten / Kota	LTTA, event	All cities except Surabaya	Dec 13 – Sep14
	Facilitate the development of regulation supported UPTD PAL development	LTTA, event	Kab. Gresik	Nov – Dec 13
	Facilitate the development of Mayor Regulation for all LG institutions	LTTA	Kab. Sidoarjo	Apr – Sep14
Monitoring and sharing lessons learned	Monitoring the progress of development of regulation	LTTA	All cities	Dec 13, Mar 14, Jun 14

Task	Activity	Input	Location	Timeline
	Signing the Mayor Regulation on UPTD	LTTA	Kab Sidoarjo, Kab Gresik, Kab Mojokerto, Kab Jombang, Kota Probolinggo, Kab & Kota Malang,	Dec 13, Apr 14, Aug 14
Program CC-2: Increase LOCAL GOVERNMENT APBD Budget				
Preliminary assessment on APBD for Watsan	APBD Index - Monitoring	LTTA	All cities, except Kota Surabaya (11 cities)	Mar 14
Implementation promotion to increase budgets	Meeting with DPRD (Budget division)	LTTA, event	Kab Sidoarjo, Kab. Gresik, Kab. Malang	Mar 14
Program CC-3: Improved Citizen Engagement				
Implement agreed CFM systems with local stakeholders	CEM development under PO scheme	LTTA, PO	Kab Sidoarjo, Kab Mojokerto, Kota Probolinggo	Oct 13 – Jan 14
	CEM Implementation	LTTA Event	Kab Probolinggo; Kab Sidoarjo Kab Mojokerto	Nov 13 – Mar 14
Program CC-4: Gender Mainstreaming				
Gender Awareness Training	Training on development gender responsive program and budgeting for IUWASH partners	LTTA, event	Kab Mojokerto, Kab Jombang, Kota Probolinggo, Kab & Kota Malang	May 14
	Training on gender integration on promotion of triggering for communal system (EPS)	LTTA, event	Kota Surabaya, Kab Sidoarjo, Kab Gresik, Kab. Lamongan, Kab/Kota. Probolinggo	Oct 13 – Sep 14
Gender Friendly Sanitation Facilities	Gender pilot program integrated in master meter program	LTTA, event	Kota Surabaya	Oct 13 – Sep 14

4. Grant Program

Introduction

During PY 3, IUWASH East Java was implementation two grant programs: One on water supply and the other on sanitation sector, with both programs focusing on poor communities. The sanitation program was titled "Solving Community Sanitation Problems Through STBM in East Java" and was implemented in Kota Probolinggo, Sidoarjo and Surabaya and is already finish. The water sector program "Optimizing Coverage of Existing Master Meter and Triggering Community-Led Total Sanitation (STBM) in District Sidoarjo" is implemented in 4 locations in Kab Sidoarjo and focusing on increasing access of water for poor communities through master meter scheme in close collaboration with PDAM Sidoarjo, as the master meter connections (for 3 new master meter schemes) are funded by the PDAM. This program also decreases water cost that impact the economic and social life of the community. The results is that 400 households get access to safe water supply.

For the coming program year 4, IUWASH plan 5 grant programs in East Java, comprises:

1. Communal Sanitation System to support USRI-SPBM and DAK-SLBM/Sanitasi Lingkungan Berbasis Masyarakat: To increase access to communal sanitation facilities, IUWASH supports national and local government program for USRI-SPBM and DAK-SLBM program (Sanitasi Lingkungan Berbasis Masyarakat) in Greater Malang (Malang City, Malang District, and Batu City), Gresik District and Surabaya City through Grant program in PY4. Targeted about 2,000 HH having improving sanitation;
2. Development of PDAM Master Meter in Greges area, PDAM Kota Surabaya, with total potential beneficiaries of 150 HH. The scope of works include procurement of material for downstream distribution network and house connections, operation cost for grantee and KSM Master Meter Forum Establishment;
3. In Kind Grant for waste water piping extended in Sumber Taman Kota Probolinggo. This is as a follow up action from the previous sanitation grant program to increase access to the communal sewage treatment which is built by Dinas PU-CK. and the target is about 100 HH connected to the existing sewage treatment plant;
4. Develop / establish SME and conduct training on entrepreneurship in 5 city/district (Kota/Kab Probolinggo, Kab Gresik, Kab Jombang, Kab Mojokerto) ; the SME will provide sanitation to build jamban trough micro finance scheme for people who has been triggering – target 500 jamban build.

8.5 SOUTH SULAWESI AND EASTERN INDONESIA REGION

8.5.1 INTRODUCTION

There are 6 city districts for regional assistance in South Sulawesi and East Indonesia in the period of PY-3, In South Sulawesi province are Makassar, Maros, Takalar, Parepare, Enrekang dan Jeneponto. For Papua province, there are Jayapura City and Jayapura District, while in Maluku only Ambon City. In this period, SSEI regional adds 3 (three) more regions for assistance, which are Sidrap, Pinrang, and Bantaeng district and three of them are located in South Sulawesi province. So the total of city-districts of IUWASH SSEI assistance is 12 city districts.

HENDRI

Measuring water flow of Passo Water Supply.

For this PY3, SSEI region still focus on water supply and sanitation assistance. For water supply sector assistance, the scope of activities is: Performance index formation, NRW reduction, assistance for DNI enhancement, support for GIS activities, and support for debt structuring program.

While for sanitation sector, IUWASH has supported SLBM/Sanimas/USRI/SAIIG, programs, capacity building for sanitarian and KSM/BPS/KPP, formation and strengthening UPTD Wastewater institution, support IPAL Communal, MCK++ program, and support individual sanitation access program.

Assistance in compiling white book and SSK, as well as strengthening pokja AMPL and strengthening UPTD Watewater institution. Also, to support formulation of regulation (including SOP) to strengthen legality of drinking water and sanitation management.

8.5.2 TARGET TOWARD PMP OUTCOME FOR SSEI REGION

Outcome	Year 4 Target	Remarks
HR-1	70,000 people (14,000 HH)	14,000 HH have an access from new PDAM connection are PDAM Kab. Bantaeng, Jeneponto, Takalar, Maros, Parepare, Sidrap, Pinrang and PDAM Enrekang. These connections included connections made under micro credit program
HR-2	19,250 people (3,850 households)	3500 households increase access through communal and sewerage systems of Makassar. Ambon, Jayapura, Pinrang, Jeneponto, Takalar, Bantaeng. Plus additional 350 households increase access to improved sanitation through individual systems with micro credit in Jeneponto, Takalar, Sidrap, Pinrang, Maros and Parepare.
HR-3	20% decreased	Per unit water cost paid by MBR will be implemented through Micro credit in 5 (five) Districts its PDAM Jeneponto, Maros, Pinrang, Sidrap and Enrekang.
HR 4	975 People	From all training related activities conducted in several levels (community-based training and capacity building for LOCAL GOVERNMENT and PDAM) for the water supply and sanitation sectors. This target included the training activities conducted by IUWASH Grantees
MD-1	3,000 HH	Willingness to pay: 3,000 households from communal and sewerage system in Makassar, Ambon, Jayapura, Takalar, Pinrang, Bantaeng, and Jeneponto. These households are newly connected to the individual, communal and city-wide sanitation systems.

Outcome	Year 4 Target	Remarks
MD-2	35 CSOs	The CSOs are Community-based Organization (CBOs) working to support community-based Sanitation in Makassar, Ambon, Jayapura, Pinrang, Bantaeng, Takalar and Jeneponto, including collaborative program with ADB/USRI Program
MD-3	5 CSOs	The CSOs developed in Takalar, Maros, Sidrap, Bantaeng and Jayapura to report on the PDAM performance
MD-5	20%	Improve behavioral changes through promotion of CTPS and PAMRT implemented by cadre in Kab. Sidrap, Pinrang, Maros, Takalar, Jeneponto and Kota Parepare
IC-1	11 PDAM	IUWASH will be monitoring and evaluation the increase of performance index of 11 PDAMs across the region such as PDAM Kab. Bantaeng, Jeneponto, Takalar, Makassar, Maros, Parepare, Pinrang, Sidrap, Enrekang, Ambon and Jayapura.
IC-2	9 PDAM	Continue to monitor the implementation of debt restructuring plan in PDAM Bantaeng, Jeneponto, Takalar, Maros, Parepare, Pinrang, Sidrap, Enrekang and Jayapura
IC-3	5 PDAM	PDAM Kab. bantaeng, Maros, Parepare, Sidrap dan Jayapura will be targeted to increase the rating and monitoring evaluating the baseline of their rating (CWL)
IC-4	4 Local Government	IUWASH will work with PDAM of Kab. Pinrang, Enrekang, Sidrap and Kota Parepare to complete the raw water vulnerability assessment, and will follow up through cooperation with The LGs to implement the climate change adaptation program.
IC-5	7 LGs	Support the implementation of sanitation program of LG of Kota Ambon, Jayapura, Parepare, Makassar, Kab. Pinrang, Kab. Bantaeng and Kab. Maros to support the capacity building on wastewater institution development with Pokja AMPL in the cities
IC-6	6 SME	Targeted SME in sanitation sector are from Kab.Jeneponto, Takalar, Maros, Parepare, Pinrang dan Sidrap.
IC-7	20%	The households satisfied to the water supply and sanitation services presented from survey conducted in Kota Makassar, Kab. Janeponto, Maros, Sidrap, Pinrang and Kab. Enrekang where the water for the poor program and community-based sanitation facility implemented.
EE-1 (policy)	11 policies	The improved and new policies supported watsan sector from Makassar, Maros, Takalar, Bantaeng, Pinrang, Parepare, Sidrap, Enrekang, Ambon, Kota and Kab. Jayapura
EE-1 (budget)	12 LGs	Budget alocation in water and sanitation sector that expected to be improved are from all cities in South Sulawesi/Eastern Indonesia Region (12 cities)
EE-2	2 PDAM	PDAM Ambon and Jayapura will obtain support for long term finance on water access
EE-3	29.8 Billion Rupiah	Budget allocation is estimated from (1) micro credit in SSEI Region; (2) Improvement of various sanitation projects (DED wastewater treatment plan and other infrastructure projects) in Kota Makassar, Kab. Pinrang and Kota Parepare ; and (3) Expansion of water supply services for the poor through IKK in Kab. Bantaeng, Kab. Sidrap, Kota Pare-pare and PDAM Jayapura
EE-4	1,000 HH	The water and sanitation access expected 500 HH for water Supply and 500 for Sanitation (individual systems)
EE-5	3 LGs	The Citizen Engagement Mechanism will be developed in Kab. Takalar, Enrekang and 50HH Kab. Bantaeng

8.5.3 UPDATED MAP

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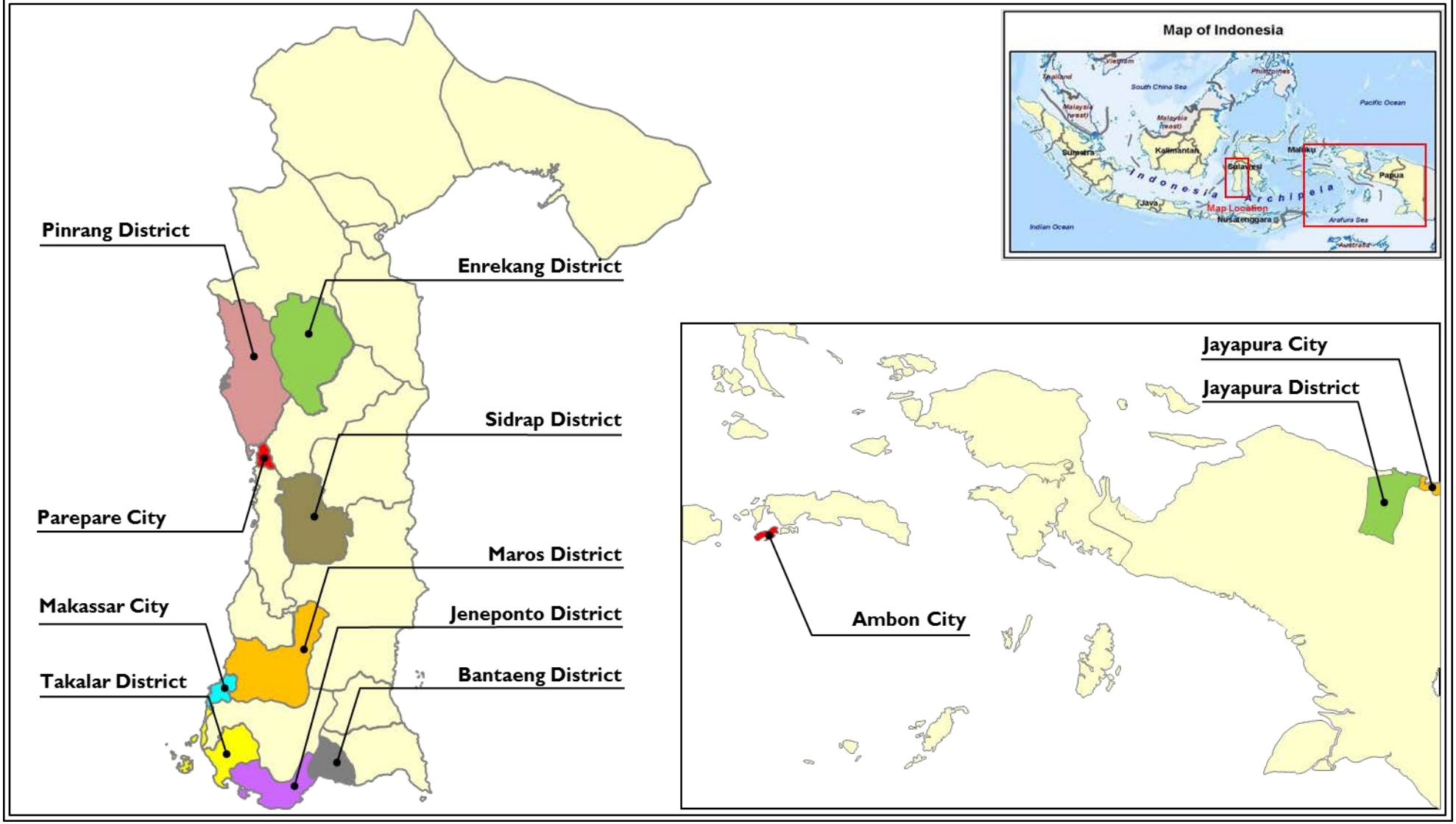
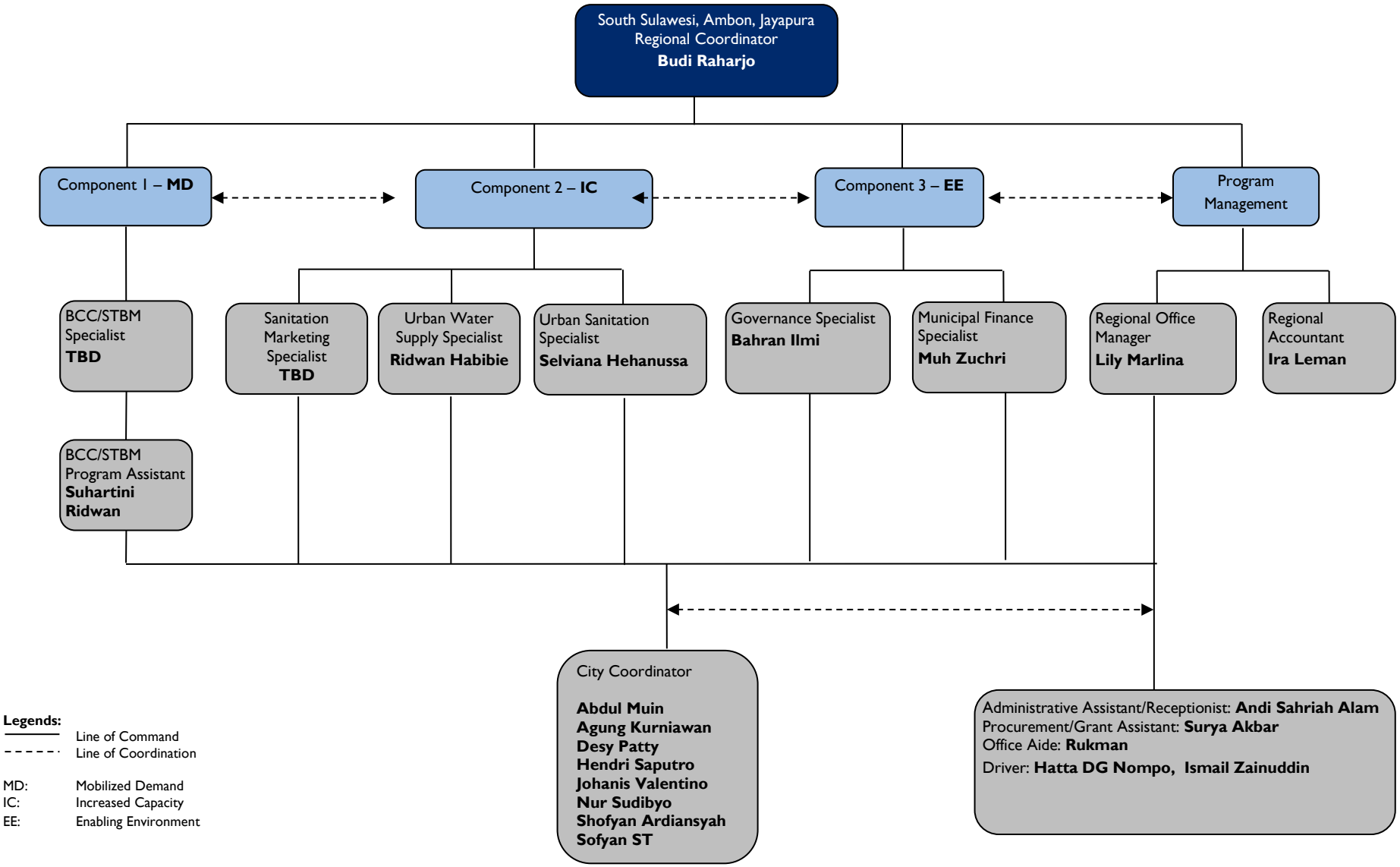
Map of City/ District for South Sulawesi, Eastern Indonesia Region

iuwash
Indonesia Urban Water, Sanitation, and Hygiene



IUWASH ORGANIZATIONAL CHART BY REGION – SOUTH SULAWESI and EASTERN INDONESIA



8.5.4 SUMMARY OF PLANNED PROGRAM ACTIVITIES

This section provides a summary of planned program activities for PY3, arranged by sector (Water supply, Sanitation and Crosscutting). Further details on the activities, locations, output and schedule can be found in the table following each section.

1. Water sector

Introduction

During PY 3 water sector main achievements can be summarized as follows:

- General increase PDAM performance index for 11 (eleven) PDAM with 15%;
- NRW reduction in PDAM Ambon and Jayapura, including substantial replication in Jayapura;
- Improve distribution networks in 4 locations including DED leading to investment by APBN and APBD for IDR 23 Million to develop new connections in Passo, Kota Raya;
- Optimization of Distribution Network in Makassar and Water Quality Management in Jeneponto;
- Support for GIS activities in 6 locations with result implemented by all PDAMs;
- Supported debt structuring plan in 7 locations. Documents for all 7 PDAM sent to Ministry of Finance before due time (04 July 2013).

Entering PY4, SSEI region will continue its technical assistance to improve performance of all 11 PDAMs. The main focus will be on a) SOP formulation in Maros, Parepare and Enrekang; b) Energy Efficiency in Maros, Parepare, Takalar and Jeneponto; c) NRW reduction in Maros, Takalar, Sidrap, Pinrang, Bantaeng and Jayapura; d) Water Quality Management in Parepare, Sidrap, Pinrang, Enrekang, Ambon and Jayapura; e) Business Plan in Bantaeng and Jayapura; f) GIS strengthening in Sidrap, Pinrang, and Bantaeng; and g) Climate Change Assessment and Action Plan in Parepare, Sidrap, Pinrang, and Enrekang as well as Bantaeng.

Where there is sufficient infrastructure and demand for micro credit IUWASH SSEI team will promote this option for low income communities in Maros, Sidrap, Pinrang and Jeneponto.

Anchor Site of Water Supply Sector

Anchor site chosen to promote increased access to clean water is in Jeneponto where water treatment plants (40 liter / second) can now be utilized to service 3.200 households. Last year IUWASH supported with optimizing of piping and improve water quality management of the systems. This year IUWASH will support PDAM to accelerate access through micro credit for at least 500 households, especially for MBR. IUWASH support also continues on Water Quality Management (WQM) and GIS customer mapping will give allow PDAM in providing better service; , IUWASH support for Energy Efficiency will reduce PDAM operating cost. And finally civil society will be involved in monitoring PDAM service through CEM mechanism.

Detailed Matrix Program Activities

Below are the detailed program activities of the Water Supply Sector for PY3:

Task	Activity	Input	Location	Timeline
Program WS-1: Improve PDAM Operational Aspects				
Sub-Program: PDAM Performance Index Monitoring				
Collect PDAM PI Performance Index	Data collection, discussion and sharing workshop	LTTA, event	All cities except Makassar	Feb-Mar 14 Aug-Sep 14

Task	Activity	Input	Location	Timeline
Sub Program: Energy Efficiency Audit (EEA)				
Implementation of EEA Program	Conduct EEA study and monitor results	LTTA, PO	Pare Pare, Takalar Maros, Jeneponto	Jan – Mar 14
Sub Program: Non-Revenue Water Reduction (NRW)				
Conduct NRW program	NRW reduction by PDAM budget, including water meter replacement	LTTA, event	Maros, Takalar, Sidrap, Pinrang Bantaeng, Jayapura	Oct 13 – Sep 14
Sub Program: Distribution Network Analysis				
Distribution Network Analysis	Support new IKK and distribution pipeline constructed by PDAM, APBN & APBD	LTTA, event	All PDAMs, except Makassar	Oct 13 – Sep 14
	Evaluation & Optimalization of existing distribution pipes networ	PO (individual)	PDAM Makassar	Nov 13 – April 14
Sub Program: Production Capacity Improvement (PCI)				
Water quality monitoring	WQM program implementation	LTTA & PO	Pare Pare, Sidrap Enrekang, Pinrang Ambon, Jayapura	Oct 13 – Sep 14
	monev 3 ongoing WQM program	LTTA & PO	Makassar, Maros Bantaeng	
Sub Program: GIS/MIS support for PDAM				
development of GIS/ MIS capacity	PDAM spatial data of 3 PDAM's	LTTA, PO	Sidrap, Pinrang Bantaeng,	Nov 13 – Feb 14
Program WS-2: Improve PDAM Financial Aspects				
Sub Program: PDAM Business Plan				
Develop PDAM business plan	Set up team, training, CSS, facilitation & workshop followed by Finalization (training, facilitation and workshop)	LTTA, event	Bantaeng, Jayapura	Oct 13 – Sep 14
Sub Program: PDAM Tariff Review / Adjustment				
Tariff review & Reclassification	Assessment, survey, recalculation, LOCAL GOVERNMENT approval & dissemination	LTTA, event, PO	Maros, Takalar Sidrap, Pinrang Enrekang, Jeneponto,	Jan – Jun 14
Sub Program: PDAM Billing and Accounting System				
PDAM Billing & Accounting System	Develop new billing & accounting sys	LTTA, event, PO	Pare Pare, Bantaeng	Jan – Jun 14
Program WS-3: PDAM Customer Relation Aspects				
Customer Forum Establishment	Set up and establish Customer Communication Forum: facilitation formation for working group and capacity building	LTTA, event	Maros, Takalar Sidrap, Bantaeng Jayapura	Oct 13 – Sep 14
PDAM image improvement	Improve PDAM Jayapura image to facilitate billing and reduce illegal connections	LTTA, events	Kota and Kab Jayapura	Dec 13 – Jun 14
PDAM customer satisfaction survey	Support PDAM in conducting customer satisfaction survey	LTTA,	Bantaeng, Jayapura	Dec 13 – Jun 14
Program WS-4: Raw Water Management & Climate Change Adaptation				
Sub Program: Climate Change Vulnerability Assessment				
Implementation the CCVA study	Implement CCVA (third party) and provide recommendation	LTTA & PO	Pare Pare, Sidrap Enrekang, Pinrang	Oct 13 – May 14
	Conduct pre-assessment and tender, followed by CCVA by third party	LTTA & PO	Bantaeng	Oct 13 – Sept 14

Task	Activity	Input	Location	Timeline
Sub Program: Climate Change Adaptation action Plan				
Development of Climate Change Adapt. Action Plan	Workshops on risk assessment matrix, training and FGD to obtain commitment from local government	LTTA, event	Pare Pare, Sidrap Enrekang, Pinrang	Jan 14 – Sep 14
Sub Program: Implementation of Climate Change Adaptation Action Plan				
Implementation of Climate Change Adapt. Program	Develop design, select site & construction	LTTA, event	Pare Pare, Sidrap Enrekang, Pinrang	Jun – Sep 14
Program WS-5: Microfinance for water supply				
Microfinance for water supply	Assess raw water availability, piping and customer potential; conduct promotion and marketing; identify financing, Expected target 1,000 hh	LTTA, event	Maros, Sidrap Pinrang, Jeneponto	Oct 13 – Sep 14
Program WS-7: PDAM Capital Expenditure Investment				
Project Implementation	Support construction supervision 2 new systems in Ambon and Jayapura	LTTA, event	Ambon Jayapura	Oct 13
Credit Worthiness Ladders	Conduct credit worthiness exercise and support PDAM credit rating	LTTA	Pare Pare, Sidrap, Pinrang, Bantaeng, Jayapura	Jul 14
Program WS-8: PDAM Institutional Support				
Sub Program: PDAM Institutional Support				
Capacity Building for Stakeholders	Monitoring results previous training for PDAM Supervisory board	LTTA, event	All locations	Dec 13– May 14
Develop PDAM Standard Operating Procedures (SOP)	Support SOP for 3 new PDAM and monitor implementation of SOP for 3 PDAMs developed in PY3	LTTA, event, PO	Maros, Pare Pare, Enrekang, Bantaeng Jeneponto, Takalar,	Oct 13 - Sep 14

2. Sanitation sector

Introduction

In PY3 IUWASH supported sanitation sector through (a) individual access in Jeneponto (b) communal systems (SLBM and USRI) by capacity building for sanitarian, KSM/BPS/KPP ; (c) increase usage of MCK++ in Parepare, Takalar, Jeneponto, Sidrap and Pinrang; (d) support IPAL communal in Ambon and Jayapura; (e) strengthen UPTD Wastewater in Makassar and establish new UPTD in 6 other locations and (f) facilitating completion of sanitation white book and strategies as well as strengthening Pokja AMPL in Jayapura, Ambon, Maros and Makassar. This resulted in increased access for around 13,000 people.

In the year 4, SSEI for sanitation sector will underline on: (a) Increasing access through micro credit and triggering to encourage behavior change in Jeneponto, Takalar, Sidrap and Pinrang; (b) formation and capacity building of UPTD Wastewater combined with improved sludge management in Parepare, Pinrang, Jayapura, Ambon, Maros and Bantaeng; (c) Promote connections for communal systems (SANIMAS, USRI, SLBM) combined with strengthening KSM/BPS in operation and management in almost all IUWASH locations; (d) Promote connections to new small scale sewerage systems in Makassar, Maros and Ambon in collaboration with sAIIG program (f) establish and Strengthening UPTD in 6 locations and (g) strengthen Pokja AMPL in all locations to implement the SSK.

Program highlights for Anchor Site in the sanitation sector:

Anchor Site Makassar: Strengthen Sanitation services including communal, small scale sewerage and UPTD

In Makassar the focus of sanitation improvement is by combining SAN 2, SAN 3, SAN 4 and SAN 5:

- SAN 2: strong support for community based systems, especially supporting USRI which is building 24 systems for potential 6,000 people. Support includes trainings on triggering, promotion, O&M, tariff setting and institutional strengthening;
- SAN 3: similar support as under SAN 2, but for the sAIIG program in Makassar (800 hh) and Maros (1,700 hh): focus on willingness to connect and pay survey's, promotion and strengthening instution (UPTD) on system operation and management;
- SAN 4: support Phase 2 of improved septage management with demonstration in Makassar and SOP and GIS development for UPTD/AL;
- SAN 5: Continue capacity building for technical and non-technical support to staff UPTD PAL Makassar, including advocacy for regulation of waste water in Kota Makassar.

Detailed Matrix Program Activities

Below are the detailed of the program activities under the Sanitation Sector:

Task	Activity	Input	Location	Timeline
Program SAN-1: Increase Access Through Individual System				
Baseline data collection	Identification of toilet ownnership and ownership survey	LTTA, event	Takalar, Sidrap Pinrang, Jeneponto,	Nov 13 – Dec 13
Sanitation triggering, marketing and technical support	Involve local media to suppor sanitation activity for behavioural change	LTTA, event		Oct 13 – Sept 14
	FGD on construction, micro credit, promotion, establishment SME	LTTA, event		Jan 14– Sept 14
	Technical Training for cadre, masons of Cooperative and SME	LTTA, event		Jan 14 – Sept 14
Training/capacity building	200 people Cadre conduct training CTPS at community	LTTA, event	All locations	Oct 13 – Sep 14
Monitoring and Evaluation	Monitoring progress of construction and behavior change improvements	LTTA, event		Oct 13 – Sept 14
Program SAN-2: Increase Access Through Communal System				
Community preparation	Support behavior change for all sanitation locations	LTTA, events	All locations	Nov 13– Sept 14
	Introduce Sanitation Teknology to sanitarians, KSM, Pokja and kader	LTTA, events	All locations	Oct 13 – Sep 14
Sanitation triggering and promotion	Support Sanitarian for triggering for all Communal Sanitation	LTTA, events	Enrekang Ambon Kota/Kab Jayapura	Oct 13 – Sep 14
Implementation communal system expansion	Strengthen 43 KPP / BPS to increase Sanitation acccess for 2,100 households, including triggering with sanitarians and technical training for KPP/KSM on O&M and tariff setting	Grant	Makasar, Takalar Pare Pare Sidrap Pinrang Jeneponto Bantaeng	Jan 14 – Sep 14

Task	Activity	Input	Location	Timeline
	Support 2 KSM/SANIMAS (100 hh), including training O&M, tariff setting	LTTA, events	Ambon Jayapura	Oct 13 – Sep 14
Monitoring	Support Pokja with assessment for Sanimas & SLBM 2014 locations	LTTA, events	Ambon Kota/Kab Jayapura	June 14 – Sep 14
Program SAN-3: Increase Access Through Off-Site Sanitation (Sewerage)				
Support small scale sewerage by UPTD	Support willingness to pay survey, and SOP for operator for 10 systems in collaboration with sAIIG program	LTTA	Maros Makassar Ambon	Oct 13 - Sep 14
Support UPTD with promotion for sAIIG and ADB programs	Capacity building for UPTD to conduct promotion for 10 systems for 2,500 households under sAIIG	LTTA, event PO (company)	Makassar Maros	Dec 13 – Sep 14
Program SAN-4: Improve Urban Sludge Management				
Introduction Regular desludging	Setting up regular desluding scheme, including socialization to target communities, tariff setting, O&M procedures, legislation	LTTA, event PO	Makassar	Oct 13 – Mar 14
	Assessment current desludging operation by LOCAL GOVERNMENT and SME and recommend improvements	LTTA, event	Makassar, Maros, Pare Pare , Pinrang, Bantaeng, Ambon, Jayapura	Oct 13 – Sep 14
Program SAN-5: Support Pokja Sanitation/AMPL				
Institutional strengthening	Support LOCAL GOVERNMENT with establishing and operationalize UPTD, including TUPOKSI, legislation, capacity building, SOP, etc	LTTA, PO	Maros Pare Pare Pinrang Bantaeng Ambon Jayapura (Kota)	Oct 13 – Sep 14
Strengthen UPTD Makassar	Enhance capacity of UPTD Makassar as example for other UPTD	LTTA, event	Makassar	
Support Pokja Sanitation/AMPL	Capacity building for collaboration with Satker, DPRD and SKPD	LTTA, event	All locations,	Oct 13 – Sep 14

3. Cross Cutting sector

Introduction

In 2013, 3 regulations have been formulated to support watsan sector, including the formation of 2 mechanisms for society involvement in monitoring watsan sector service. SSEI has successfully advocated on the required regulations for establishment and operation of UPTD Wastewater in Ambon City, and conducted a series of FGD in Jayapura, Parepare and Pinrang related also to establishing the legislation required to setup UPTD.

Also IUWASH in PY3 started assessment of existing regulations of water protection in 4 locations (Parepare, Sidrap, Pinrang and Enrekang), which will now be continued in PY4 through Climate Change Vulnerability Assessment in each locations, followed by recommendations, which will include regulations on raw water protection as well as sharing raw water amongst the 4 local government and PDAM.

IUWASH also started FGD for the formulation of wastewater management regulation for Makassar, and the regulation of dealing with "illegal connections" in Kab. and Kota Jayapura.

PY 3 support on increasing APBD in SSEI focus on mobilizing budget for increasing sanitation access, obtaining complimentary funding from APBD to funds committed by APBN, and commitment by local government on providing APBD budgets for the newly formed UPTD.

In PY3, Behavior Change Communication programs supports communal and individual sanitation activities through triggering, capacity building and introducing micro credit program. Support for communal systems amongst others included (a) to identify changes in user behavior communal sanitation, (b) to assist actively and triggers acceleration communal sanitation access separately, (c) provide training for cadres and sanitarians, (d) to collaborate closely with USRI and SLBM program.

The SSEI program in PY4 will focus on continuing activities that have been started in the previous year, including: (a) establishment and regulation formulation of UPTD Wastewater; (b) formation of Citizen Engagement mechanisms; (c) complete regulation of wastewater management in Makassar city, (d) complete regulations on illegal connection in PDAM Jayapura, (e) complete regulation on Raw Water Protection in Parepare, Sidrap, Pinrang and Enrekang.

Regional SSEI also will identify possible activities of long term finance that could be developing in Sidrap, Maros, Bantaeng and Jayapura. Also Hygiene Behavior Change (handwashing with soap and Point of Use Water) as well as gender mainstreaming activities will be implemented as integrated program with other water and sanitation programs in all IUWASH locations in SSEI.

Detailed Matrix Program Activities
Below are the detailed program activities of the Cross-cutting Sector:

Task	Activity	Input	Location	Timeline
Program CC-1: Increase LOCAL GOVERNMENT Policies				
Development policies and regulation	Provide technical assistance for the development of draft regulation, and socialization for UPTD PAL set up	LTTA, event Grant	Maros Pare Pare Pinrang Bantaeng Ambon Jayapura (Kota)	Oct 13 – Sep 14
	Development of regulation of raw water protection	LTTA, event PO	Pare Pare, Enrakang Pinrang Sidrap	Oct 13– Sep 14
	Development of regulation on PDAM illegal connections and payment system	LTTA, event	Kota and Kab Jayapura	Oct 13 – Sep 14
Program CC-2: Watsan APBD increase				
Increase Pemba/APBD Budget	collection of APBD documents and, facilitate discussion with DINAS for increasing APBD budget	LTTA, event	All cities, except Makassar	Oct 13 – Sep 14
Program CC-3: Improved Citizen Engagement				
Improve/develop CEM	formation of CEM team at city level, development of CEM media/tools and system	LTTA, event, PO	Takalar Enrekang Bantaeng	Oct 13 – Sep 14
Program CC-4: Gender Mainstreaming				
Gender Mainstreaming	Training, monitoring for gender mainstreaming in all watsan programs	LTTA, event	All cities	Oct 13 – Sep 14

Task	Activity	Input	Location	Timeline
	gender awrness training for governance " Bappeda" Sanitarian" badan permberdayaan perempuan"	LTTA, event	Makassar Maros Takalar Ambon	Oct 13 – Dec 13
	Gender awarness training for customer forum PDAM	LTTA, event	Maros, Takalar, Sidrap Bantaeng Jayapura	Oct 13 – Mar 14
Program CC-5: CSR Mobilization				
Media Advocacy	Roadshow media advocacy and publication,	LTTA, PO	All cities	Mar 14 – Sep 14

4. Grant Program

Ongoing grant programs carried over to PY4:
Two grants were implemented since PY3 which is (a) Master Plan and the DED of IPAL Communal Village for 400 households at Ambon and (b) evaluate condition of sanitation and water quality of Sentani Lake in Jayapura, including community training on STBM. Both are in draft final stage and will be completed within second quarter of PY4.

New grant programs for PY4:
In PY-4, SSEI plans one Grant with title *"Increase access of IPAL Communal Sanitation by SLBM, SANIMAS and USRI"*. This program covers 7 locations: Makassar, Takalar, Parepare, Pinrang, Sidrap, Jeneponto and Bantaeng and target to achieve is (a) improve sanitation access by adding 2.100 house connections (10,000 people); (b) increase Capacity of 42 CBO in pre-construction, construction, and post-construction stage for technical and non-technical process; (c) Increase commitment of users to support O& M cost of existing and new systems; (d) strengthen CBO of existing and new systems with SOP (operational and maintenance) including system repair; (e) To link CBO for new and existing systems with UPTD/local government to establish partnership (co-management)

9 ANNEXES

9.1 IMPLEMENTATION OF IUWASH PROGRAM FRAMEWORK

	Lead Spec.	Supporting Spec.	Targeted Outcomes
Water Supply Programs (8)			
PDAM Operational Aspects	**UWSS**	**MFS**	HR-1. IC-1
PDAM Financial Aspects	**MFS**	**UWSS, GS**	HR-1, IC-1, IC-2, IC-3
PDAM Customer Aspects	**UWSS**	**BCC**	HR-1, MD-3, IC-1
Raw Water & Climate Change	**UWSS**	**GS**	IC-4, EE-1
Microfinance Water Supply	**MFS**	**BCC, UWSS**	HR-1, HR-3, EE-4
Master Meter Program	**UWSS**	**BCC**	HR-1, HR-3, MD-2, MD-5, IC-7
PDAM Long-Term Finance	**MFS**	**GS, UWSS**	EE-2, EE-3, EE-1
PDAM Institutional Support	**GS**	**UWSS, MFS**	IC-1, EE-1
Sanitation Programs (5)			
Individual System	**BCC**	**USS, GS, MFS**	HR-2, MD-1, MD-2, MD-5, IC-6, IC-7, EE-4
Communal System	**BCC**	**USS, GS, MFS**	HR-2, MD-1, MD-2, MD-5, IC-6, IC-7, EE-4
Sewerage	**USS**	**BCC, MFS, GS**	HR-2, MD-1, IC-5, EE-1
Urban Sludge Management	**USS**	**BCC, MFS, GS**	HR-2, MD-1, IC-5, EE-1
Pokja Sanitasi/AMPL	**USS**	**BCC, MFS, GS**	IC-5
Cross-Cutting Programs (5)			
Local government Policies	**GS**	**BCC, UWSS, USS, MFS**	EE-1, EE-2, IC-4, IC-5
Local government /APBD budget	**MFS**	**GS, UWSS, USS**	EE-1, EE-2,
Citizen Engagement	**GS**	**BCC, UWSS, USS**	EE-5, MD-3
Gender Mainstreaming	**Gender Team**	**BCC, UWSS,USS, MFS, GS**	No specific targeted outcome
CSR	**BCC**	**UWSS,USS, MFS, GS**	EE-3, MD-1, MD-2, IC-4,

Notes:
Outcome HR-4 will be contributed by all training related to activities conducted by all sectors.
Outcome MD-4 will be achieved by a set of specific activities to produce the sanitation for the poor toolkit.

9.2 WATER SUPPLY MATRIX

USAID / IUWASH Water Supply Programs update: October 2013		PDAM Operational Aspects					PDAM financial Aspects				PDAM Customer Aspects				Raw Water / Climate			Water for Poor		CAPEX Finance		PDAM Insitutional			total
		WS 1					WS 2				WS 3				WS 4			WS 5	WS 6	WS 7		WS 8			
		Energy Efficiency	Non Revenue Water Reduction	Distribution Network Improvement	Production Capacity & WQ Management	GIS / MIS support	PDAM Business Plan	Tariff review / Reclassification	Billing & Accounting Programs	Debt Restructuring	Customer Satisfaction survey	Real Demand Survey / Sensus	Customer complaint handling	PDAM Customer Forum	CC Vulnerability assessment	Implementation Sumur Resapan	CC Adaption Action Plan	Micro Finance for Water Supply	Master Meter programs	Capital Inv. Finance	Credit Worthiness Ladder	PDAM internal, SOP	Cap B. senior: DP, DPRD, SKPD	Regionalization raw water, PDAM	
North Sumatra																									47
1	PDAM Kota Binjai			p*																			p*		2
2	PDAM Kota Medan			P													P								2
3	PDAM Kota Tebing Tinggi			p*																			p*	P	3
4	PDAM Kota Pematang Siantar					p*								P		P	P			P			p*		6
5	PDAM Kota Tanjung Balai	P			P	p*		P		P										P		P	p*		8
6	PDAM Kab. Langkat			P														P				P	P		4
7	PDAM Kota Sibolga					p*	P	P						P	P		P		P				P		8
8	PDAM Kab Asahan	P	p*			p*	P	P		P												P	P		8
9	PDAM Kab Labuhan Batu		p*	p*	P													P				P	P		6
West Java , Banten & DKI																									53
10	PDAM Kab. Karawang							P		P								P					p*		4
11	PDAM Kota Bogor					P	P														P		p*		4
12	PDAM Kota Bekasi					P	P							P						P	P		p*		6
13	PDAM Kab Bekasi	P				P	P														P		p*		5
14	PDAM Kab Purwakarta						P	P	P					P									p*		5
15	PDAM Kab. Bandung														P		P			P			p*		4
16	PDAM Kab. Serang		P						P					P	P	P	P	P		P	P		p*		10
17	PDAM Kab. Lebak		P		P				P	P				P	P			P					p*		8
18	PDAM Kab.Tangerang/TangSel						P			P				P					P	P			p*		6
19	PT Palyja / AETRA																		P						1
Central-Java																									84
20	PDAM Kota Semarang	P				p*	P	P		P			P	P				P			P				9
21	PDAM Kota Surakarta	P				p*				P	P								P	P	P		P		8
22	PDAM Kab. Kudus			P		p*	P								P		P				P				6
23	PDAM Kab. Kendal					P														P	P				3
24	PDAM Kab. Semarang					P	P			P			P	P	P	P	P	P			P			P	11
25	PDAM Kota Salatiga	P	p*	P		P	P								P	P	P				P			P	10
26	PDAM Kab Rembang		p*	P		p*				P			P	P				P			P		P		9
27	PDAM Kab Sukoharjo		p*	P		p*		P					P	P				P			P	P			9
28	PDAM Kab Klaten		p*	P		p*	P						P	P				P		P	P		P		10
29	PDAM Kab. Batang		p*	P		p*							P	P	P		P				P		P		9
East-Java																									93
30	PDAM Kab. Sidoarjo		p*										p*					P			P		p*		5
31	PDAM Kota Surabaya		p*										p*					P	P				p*		5
32	PDAM Kab. Gresik	P	p*			p*				P			p*					P			P		p*		8
33	PDAM Kab. Lamongan		p*	P	P	p*				P		P	p*	P				P		P		P	p*		12
34	PDAM Kota Probolinggo		p*	P		p*							p*	P	P		P						p*		8
35	PDAM Kab Probolinggo		p*			p*		P		P			p*		P		P	P					p*		9
36	PDAM Kota Mojokerto		p*		P	p*	P	P					p*										p*		7
37	PDAM Kab. Mojokerto		p*			p*				P			p*			P	P			P	P	P	p*		10
38	PDAM Kab Jombang		p*			p*				P			p*	P				P					p*		7
39	PDAM Kota Malang					p*	P						p*		P		P	P			P		p*		8
40	PDAM Kab Malang		p*			p*				P			p*		P		P	P					p*		8
41	PDAM Kota Batu		p*			p*							p*		P		P						p*		6
South Sulawesi & Eastern Indonesia																									64
42	PDAM Kota Makasar			P																					1
43	PDAM Kab Takalar	P	p*					P						P											4
44	PDAM Kab Maros	P	p*					P						P				P			P	P			7
45	PDAM Kab Jeneponto	P						P										P							3
46	PDAM Kota Pare-Pare	P		P	P				P						P		P				P	P			8
47	PDAM Kab Enrekang				P			P							P		P					P			5
48	PDAM Kab Pinrang		p*	p*	P	P		P							P		P	P							8
49	PDAM Kab Sidrap		p*	p*	P	P		P						P	P		P	P			P				10
50	PDAM Kab Bantaeng		p*	p*		P	P		P		P			P							P				8
51	PDAM Kota Ambon				p*															P						2
52	PDAM Kab./Kota Jayapura		P		P		P				P		P	P						P	P				8
	P : Planned	11	3	12	10	9	16	15	5	15	3	1	7	21	17	5	19	22	5	13	23	10	8	3	253
	p* : Training (classroom)	0	23	6	1	21	0	0	0	0	0	0	12	0	0	0	0	0	0	0	0	0	25	0	88
	TOTAL	11	26	18	11	30	16	15	5	15	3	1	19	21	17	5	19	22	5	13	23	10	33	3	341

9.3 SANITATION MATRIX

USAID / IUWASH Urban Sanitation Programs update: October 2013		Individual systems				Communal systems				Sewerage			Septage Management			Institutional support			total
		SAN 1				SAN 2				SAN 3			SAN 4			SAN 5			
		Cap Building/triggering (cadre, CBO)	Construction Individual latrines	microfinance (rev. fund), SME, CSR	Improved Hygiene Practices	Community Preparation / Training	Construction Comm system	Post construction support	Improved Hygiene Practices	Promotion / Marketing Programs	Technical support (FS, DED, dll)	Institutional (long term) finance	improved sludge systems (pilots)	IPLT design (review / new)	mobilize microfinance / SME/ CSR	PPSP-14facilitation	Support & CSR Pokja (AMPL/San)	Institutional support (UPTD, PDAM)	
North Sumatra																			47
1	Kota Binjai									P		P	P	P	P		p*	P	7
2	Kota Medan									P		P							2
3	Kota Tebing Tinggi									P		P	P	P	P		p*	P	7
4	Kota Pematang Siantar					P		P	P										3
5	Kota Tanjung Balai	P	P	P	P					P	P	P	P	P	P		p*	P	12
6	Kab Langkat																		0
7	Kota Sibolga					P		P	P										3
8	Kab Asahan	P	P	P	P								P	P	P		p*	P	9
9	Kab Labuhan Batu	P	P	P	P														4
West Java , Banten & DKI																			79
10	Kab. Karawang					P		P	P								p*		4
11	Kota Bogor	P	P		P		P	P		P			P		P			P	9
12	Kota Bekasi					P	P	P	P								p*	P	6
13	Kab Bekasi					P		P	P								p*	P	5
14	Kab Purwakarta	P	P	P	P	P		P											6
15	Kab Bandung	P	P	P	P	P		P	P		P	P					p*	P	11
16	Kab. Serang	P	P	P	P	P	P	P	P	P		P		P			p*	P	13
17	Kab. Lebak	P	P	P	P													P	5
18	Kab. Tangerang	P	P	P	P	P	P	P	P					P			p*	P	11
19	Kab. Tangerang Selatan					P		P	P					P			p*	P	6
20	DKI - Jakarta							P		P			P						3
Central-Java																			58
21	Kota Semarang	P	P	P	P	P	P	P	P								p*	P	10
22	Kota Surakarta					P	P	P	P	P	P	P	P	P	P				10
23	Kab. Kudus	P	P	P	P	P		P	P								p*	P	9
24	Kab. Kendal																p*	P	2
25	Kab. Semarang																	p*	1
26	Kota Salatiga																	p*	1
27	Kab Rembang	P	P	P	P	P		P	P								p*	P	9
28	Kab Sukoharjo	P	P	P	P	P		P	P								p*	P	9
29	Kab Klaten					P		P	P								p*	P	5
30	Kab. Batang																p*	P	2
East-Java																			101
31	Kab. Sidoarjo	P	P	P	P				p*								p*	P	7
32	Kota Surabaya	P	P	P	P	P		P	P										7
33	Kab. Gresik	P	P	P	P	P		P	P	P							p*	P	10
34	Kab. Lamongan	P	P	P	P				p*										5
35	Kota Probolinggo	P	P	P	P	P		P	P				P				p*	P	10
36	Kab. Probolinggo	P	P	P	P				p*	P			P					P	8
37	Kota Mojokerto				p*				p*					P				P	4
38	Kab. Mojokerto	P	P	P	p*				p*				P					P	7
39	Kab Jombang	P	P	P	P	P		P	P		P		P				p*	P	11
40	Kota Malang	P	P	P	P	P		P	P	P	P		P				p*	P	12
41	Kab Malang	P	P	P	P	P		P	P				P				p*	P	10
42	Kota Batu	P	P	P	P	P		P	P					P			p*	P	10
South Sulawesi & Eastern Indonesia																			85
43	Kota Makasar					P		P	p*	P		P	P	P	P		p*		9
44	Kab. Takalar	P	P	P	P	P		P	p*								p*		8
45	Kab. Maros								p*	P			P		P		p*	P	6
46	Kab. Jeneponto	P	P	P	P	P		P	p*							P	p*		9
47	Kab.Bantaeng					P		P	p*				P		P		p*	P	7
48	Kota Pare-Pare					P		P	p*				P		P		p*	P	7
49	Kab. Enrekang								p*								p*		2
50	Kab. Pinrang	P	P	P	P	P		P	p*				P		P		p*	P	11
51	Kab. Sidrap	P	P	P	P	P		P	p*								p*		8
52	Kota Ambon					P	P	P	p*	P			P		P		p*	P	9
53	Kab Jayapura								p*								p*		2
54	Kota Jayapura					P		P	p*				P		P		p*	P	7
	P : Planned	28	28	27	27	32	7	34	22	14	5	8	20	11	13	1	0	35	312
	p* : General support	0	0	0	2	0	0	0	17	0	0	0	0	0	0	0	37	2	58
	TOTAL	28	28	27	29	32	7	34	39	14	5	8	20	11	13	1	37	37	370

9.4 IUWASH OUTCOMES AND TARGETS OVER FIVE YEARS

High Level Results										
Result	Indicator	Unit of Measurement	Baseline	Annual Target						Total Target
				FY 11	FY 12	FY 13	FY 14	FY 15	FY 16	
HR.1. People gain access to improved water supply as a result of US Government assistance	Number of people in urban areas gain access to improved water supply as a result of US Government assistance	Number	TBD	0	250,000	250,000	600,000	600,000	300,000	2,000,000
HR.2 People gain access to improved sanitation services as a result of US Government assistance	Number of people in urban areas gain access to improved sanitation facilities as a result of US Government assistance	Number	N/A	0	5000	25,000	85,000	95,000	40,000	250,000
HR.3 Per unit water cost paid by poor in targeted communities decreases by at least 20% through more participatory, transparent, and financially enabled services	The per unit water cost paid by the poor in targeted communities decreases by at least 20% through more participatory, transparent, accountable and financially enabled services	Percent decreased (cumulative)	TBD	0	0	10	15	20	20	20
HR.4 People participated in IUWASH training activities	Number of people trained in IUWASH training type of activities	Number	N/A	417	4,550	15,033	25,000	22,000	8,000	75,000

Component 1: Mobilize Demand for Improved Water and Sanitation Services										
Result	Indicator	Unit of Measurement	Baseline	Annual Target						Total Target
				FY 11	FY 12	FY 13	FY 14	FY 15	FY 16	
MD.1 Household willing to pay for sanitation improvements	Number of households willing to pay for sanitation improvements	Number (cumulative)	TBD	0	100	5,900	12,000	14,000	8,000	40,000
MD.2 Civil society groups and/or government cadres implementing programs to mobilize improved access to safe drinking water and adequate sanitation	Number of civil society groups and/or government cadres implementing programs to mobilize improved access to safe drinking water and adequate sanitation	Number	N/A	0	40	20	20	20	0	100
MD.3. Civil society groups that report on PDAM operations or performance	Number of civil society groups that report on PDAM operations or performance	Number	N/A	0	0	10	5	5	0	20
MD.4. Sanitation for the poor toolkit developed	Number of sanitation for the poor toolkit developed	Number	N/A	0	0	1	0	0	0	1
MD.5. Household increased adoption of improved hygiene practices	Percent increased of household that adopted improved health and hygiene practices	Percent Increased (cumulative)	TBD	0	0	5	10	20	20	20
MD.6. Training-of-Trainers for local government officials, staff and community leaders related to participatory planning activities	Number of Training-of-Trainers conducted for local government officials, staff and community leaders related to participatory planning activities, such as "triggering" exercises, and behavior change programming developed	Number	N/A	N/A	N/A	N/A	1	0	0	1

Component 2: Improve Capacity to Provide Sustainable Safe Water and Sanitation Services										
Result	Indicator	Unit of Measurement	Baseline	Annual Target						Total Target
				FY 11	FY 12	FY 13	FY 14	FY 15	FY 16	
IC.1. PDAMs with improved technical, financial and management performance	Number of PDAMs with improved technical, financial and management performance	Number	N/A	0	0	5	15	30	0	50
IC.2. PDAMs in default of old debts are assisted in restructuring their outstanding debts	Number of PDAMs in default of old debts are assisted in restructuring their outstanding debts	Number	N/A	0	4	2	2	12	0	20
IC.3. PDAMs with improved credit worthiness	Number of PDAMs with improved credit worthiness	Number	N/A	0	0	4	4	12	0	20
IC.4. Local government institutions implementing necessary climate change adaptation measures, based on preliminary raw water sources vulnerability assessment	Number of local government institutions implementing necessary climate change adaptation measures, based on preliminary raw water sources vulnerability assessment	Number	N/A	0	2	4	8	6	0	20

Component 2: Improve Capacity to Provide Sustainable Safe Water and Sanitation Services										
Result	Indicator	Unit of Measurement	Baseline	Annual Target						Total Target
				FY 11	FY 12	FY 13	FY 14	FY 15	FY 16	
IC.5. Local Governments implementing integrated sanitation and hygiene interventions reflected in their citywide sanitation strategic (CSS) plans	Number of local governments implementing integrated sanitation and hygiene interventions that reflect their citywide sanitation strategic plans	Number	N/A	0	0	12	5	3	0	20
IC.6. Small and medium business providing affordable construction and sanitation facility management services	Number of small and medium business providing affordable construction and sanitation facility management services	Number	N/A	0	0	6	12	12	0	30
IC.7. poor residents in targeted communities who report greater satisfaction with water and sanitation services	Increased percentage (%) of poor residents in targeted communities who report greater satisfaction with water and sanitation services	Percent increased (cumulative)	TBD	0	0	10	15	20	20	20
IC.8. Establishment of municipal sanitation management units with supporting policies, budgets and personnel	Number of municipal sanitation management units established with supporting policies, budgets and personnel	Number	N/A	N/A	N/A	N/A	4	6	0	10

Component 2: Improve Capacity to Provide Sustainable Safe Water and Sanitation Services										
Result	Indicator	Unit of Measurement	Baseline	Annual Target						Total Target
				FY 11	FY 12	FY 13	FY 14	FY 15	FY 16	
IC.9. Adoption of Sustainable Urban Sanitation Framework" by the GOI as a key part of national sanitation programming policy	Number of "Sustainable Urban Sanitation Framework" adopted by the GOI as a key part of national sanitation programming policy	Number	N/A	N/A	N/A	N/A	1	0	0	1
IC.10. Capacity building for people from stakeholders institutions on adaptation of impact of climate variability and change as a result of USG assistance	Number of people from stakeholders institutions increased capacity to adapt to the impacts of climate variability and change as a result of USG assistance	Number	N/A	N/A	N/A	N/A	50	50	0	100
IC.11. Development of climate adaptation tool, associated technology, and methodology as a result of USG assistance	Number of climate adaptation tool, associated technology, and methodology developed, tested and/or adopted as a result of USG assistance	Number	N/A	N/A	N/A	N/A	0	1	0	1

Component 3: Create an Enabling Environment Supporting Equitable Water and Sanitation Services										
Result	**Indicator**	**Unit of Measurement**	**Baseline**	**Annual Target**						**Total Target**
				FY 11	**FY 12**	**FY 13**	**FY 14**	**FY 15**	**FY 16**	
EE.1 Participating local governments that put greater priority on safe drinking water and sanitation through supportive local policies and budget allocation increases	Number of participating local governments that put greater priority on safe drinking water and sanitation through supportive local policies and budget allocation increases	Target 1.a. Number of Policy	N/A	0	5	10	15	20	0	50
		Target 1.b. Number of LGs	N/A	0	0	0	30	20	0	50
EE.2 PDAMs or local governments obtain access to long-term funding for water or sanitation investment plans	Number of PDAMs or local government obtain access to long-term funding for water or sanitation investment plans	Number	N/A	0	0	3	5	7	0	15
EE.3 Percent increased (%) in financial resources accessed by service providers from public and private sources for expansion of improved WatSan services	Increased percentage (%) in financial resources accessed by service providers from public and private sources for expansion of improved water and sanitation services	Percent Increased (cumulative)	TBD	10	10	10	10	10	10	10

Component 3: Create an Enabling Environment Supporting Equitable Water and Sanitation Services										
Result	Indicator	Unit of Measurement	Baseline	Annual Target						Total Target
				FY 11	FY 12	FY 13	FY 14	FY 15	FY 16	
EE.4. Low income households accessing micro finance for household improvements in water and sanitation	Number of low income households accessing micro finance for household improvements in water and sanitation	Number	N/A	0	1,500	6,000	10,000	16,000	6,500	40,000
EE.5. Local Governments adopt new or improved mechanisms for citizens to engage local government in water and sanitation	Number of Local Governments adopt new or improved mechanisms for citizens to engage local government in water and sanitation	Number	N/A	0	3	4	6	7	0	20
EE.6. Development of new or improved regulation to facilitate access to capital financing in the water sector	Number of new or improved regulation to facilitate access to capital financing in the water sector	Number	N/A	N/A	N/A	N/A	0	1	0	1

9.5 TARGETS TOWARD PMP OUTCOMES FOR PROGRAM YEAR 4 BY PROVINCE

Note: The rows with yellow color indicate the IUWASH results and outcomes that contribute to the Operational Plan (OP) Performance indicators.

PMP Outcome Indicator	Target Over the life of Project	Achievement			To Date Achievement	PY4 Target			Estimated Total Achievement by End of PY4
		PY1	PY2	PY3		Province	Target	Total	
High Level Result (HR)									
HR.1. Number of people in urban areas gain access to improved water supply as a result of US Government assistance	2,000,000	0	251,630	595,885	847,515 (42.38%)	**NS**	80,000	**691,500**	**1,539,015 (76.95%)**
						WJDB	251,500		
						CJ	100,000		
						EJ	190,000		
						SSEI	70,000		
HR.2 Number of people in urban areas gain access to improved sanitation facilities as a result of US Government assistance	250,000	0	13,730	47,710	61,440 (24.58%)	**NS**	20,000	**141,250**	**202,690 (81.08%)**
						WJDB	45,000		
						CJ	25,000		
						EJ	32,000		
						SSEI	19,250		
HR.3 The per unit water cost paid by the poor in targeted communities decreases by at least 20% through more participatory, transparent, accountable and financially enabled services	20	0	32%	21%	27% (135%)	**NS**	20%	**20%**	**24% (120%)**
						WJDB	20%		
						CJ	20%		
						EJ	20%		
						SSEI	20%		
HR.4 Number of people trained in IUWASH training type of activities	75,000	417	14,834	22,078	37,329 (49.77%)	**NS**	1,190	**9,965**	**47,294 (63.06%)**
						WJDB	1,800		
						CJ	2,200		
						EJ	3,800		
						SSEI	975		

PMP Outcome Indicator	Target Over the life of Project	Achievement			To Date Achievement	PY4 Target			Estimated Total Achievement by End of PY4
		PY1	PY2	PY3		Province	Target	PY1	
Component 1: Mobilize Demand for Improved Water and Sanitation Services (MD)									
MD.1 Number of households willing to pay for sanitation improvements	40,000	0	2,113	7,261	9,374 (23.44%)	**NS**	4,000	**28,250**	**37,624 (94.06%)**
						WJDB	9,000		
						CJ	5,000		
						EJ	6,400		
						SSEI	3,850		
MD.2 Number of civil society groups and/or government cadres implementing programs to mobilize improved access to safe drinking water and adequate sanitation	100	0	35	173	208 (208%)	**NS**	13	**358**	**566 (566%)**
						WJDB	100		
						CJ	110		
						EJ	100		
						SSEI	35		
MD.3. Number of civil society groups that report on PDAM operations or performance	20	0	0	0	0 (0%)	**NS**	2	**25**	**25 (125%)**
						WJDB	6		
						CJ	6		
						EJ	6		
						SSEI	5		
MD.4. Number of sanitation for the poor toolkit developed	1	0	0	0	0 (0%)	**NS**	0	**1**	**1 (100%)**
						WJDB	1		
						CJ	0		
						EJ	0		
						SSEI	0		
MD.5. Percent increased of household that adopted improved health and hygiene practices	20	N/A	N/A	N/A	N/A (*)	**NS**	20%	**20% (**)**	**20% (100%)**
						WJDB	20%		
						CJ	20%		
						EJ	20%		
						SSEI	20%		

(*) Up to end of PY 2013, IUWASH conducted first survey under this outcome so, it will not be able to provide the percent increased this year.
(**) The percentage indicates the average of expected target this year. IUWASH will provide results of the monitoring on improved behavior practices and will provide the actual percent increase.

PMP Outcome Indicator	Target Over the life of Project	Achievement			To Date Achievement	PY4 Target			Estimated Total Achievement by End of PY4
		PY1	PY2	PY3		Province	Target	PY1	
Component 1: Mobilize Demand for Improved Water and Sanitation Services (MD)									
MD.6. Number of Training-of-Trainers conducted for local government officials, staff and community leaders related to participatory planning activities, such as "triggering" exercises, and behavior change programming developed	1	N/A	N/A	N/A	N/A (*)	**NS**	0	**1 (**)**	**1 (100%)**
						WJDB	1		
						CJ	0		
						EJ	0		
						SSEI	0		

PMP Outcome Indicator	Target Over the life of Project	Achievement			To Date Achievement	PY4 Target			Estimated Total Achievement by End of PY4
		PY1	PY2	PY3		Province	Target	PY1	
Component 2: Improve Capacity to Provide Sustainable Safe Water and Sanitation Services (IC)									
IC.1. Number of PDAMs with improved technical, financial and management performance	50 (cumulative)	24	24	50	50 (100%)	**NS**	9	**51 *)**	**51 (102%) *)**
						WJDB	9		
						CJ	10		
						EJ	12		
						SSEI	11		
IC.2. Number of PDAMs in default of old debts are assisted in restructuring their outstanding debts	20	0	3	8	11 (55%)	**NS**	6	**27 **)**	**38 (190%)**
						WJDB	4		
						CJ	4		
						EJ	4		
						SSEI	9		
IC.3. Number of PDAMs with improved credit worthiness	20	0	0	4	4 (20%)	**NS**	5	**23**	**27 (135%)**
						WJDB	5		
						CJ	5		
						EJ	3		
						SSEI	5		
IC.4. Number of local government institutions implementing necessary climate change adaptation measures, based on preliminary raw water sources vulnerability assessment	20	0	0	0	0 (0%)	**NS**	3	**20**	**20 (100%)**
						WJDB	3		
						CJ	4		
						EJ	6		
						SSEI	4		

(*) Indicate total PDAMs supported by IUWASH. At the end of the Program Year 3, IUWASH will evaluate the PDAM performance and IUWASH will get the total PDAMs that increase their performance by 20%

(**) Starting this year, IUWASH doesn't plan to support the development of new debt restructuring plan. IUWASH will continue to monitor the implementation of debt restructuring plans submitted to MoF.

PMP Outcome Indicator	Target Over the life of Project	Achievement			To Date Achievement	PY4 Target			Estimated Total Achievement by End of PY4
		PY1	PY2	PY3		Province	Target	PY1	
Component 2: Improve Capacity to Provide Sustainable Safe Water and Sanitation Services (IC)									
IC.5. Number of local governments implementing integrated sanitation and hygiene interventions that reflect their citywide sanitation strategic plans	30	0	0	0	0 (0%)	**NS**	5	**40 (*)**	**40 (133.33%)**
						WJDB	11		
						CJ	7		
						EJ	10		
						SSEI	7		
IC.6. Number of small and medium business providing affordable construction and sanitation facility management services	30	0	0	4	4 (13.33%)	**NS**	3	**25**	**29 (96.67%)**
						WJDB	7		
						CJ	4		
						EJ	5		
						SSEI	6		
IC.7. Increased percentage (%) of poor residents in targeted communities who report greater satisfaction with water and sanitation services	20	0	0	77.75	77.75% (388.75%)	**NS**	20%	**20% (**)**	**48.88% (244.4%)**
						WJDB	20%		
						CJ	20%		
						EJ	20%		
						SSEI	20%		

(*) This figure indicates number of Local Government implement sanitation program based on their City Sanitation strategy (CSS). However, IUWASH need to measure 2 indicators such as progress of CSS development and a significant sanitation program implementation. At the end of PY4, IUWASH will provide the actual number of Local Government implement sanitation program based on their City Sanitation strategy (CSS).

(**)The percentage indicates the average of expected target this year. IUWASH will provide results of the survey on satisfaction of the poor and will provide the actual percent increase.

PMP Outcome Indicator	Target Over the life of Project	Achievement			To Date Achievement	PY4 Target			Estimated Total Achievement by End of PY4
		PY1	PY2	PY3		Province	Target	PY1	
Component 2: Improve Capacity to Provide Sustainable Safe Water and Sanitation Services (IC)									
IC.8. Number of municipal sanitation management units established with supporting policies, budgets and personnel	10	N/A	N/A	N/A	N/A (*)	**NS**	4	**29**	**29 (290%)**
						WJDB	6		
						CJ	6		
						EJ	7		
						SSEI	6		
IC.9. Number of "Sustainable Urban Sanitation Framework" adopted by the GOI as a key part of national sanitation programming policy	1	N/A	N/A	N/A	N/A (*)	**NS**	0	**1**	**1 (100%)**
						WJDB	1		
						CJ	0		
						EJ	0		
						SSEI	0		
IC.10. Number of people from stakeholders institutions increased capacity to adapt to the impacts of climate variability and change as a result of USG assistance	100	N/A	N/A	N/A	N/A (*)	**NS**	20	**100**	**100 (100%)**
						WJDB	20		
						CJ	20		
						EJ	20		
						SSEI	20		
IC.11. Number of climate adaptation tool, associated technology, and methodology developed, tested and/or adopted as a result of USG assistance	1	N/A	N/A	N/A	N/A (*)	**NS**	0	**1**	**100 (100%)**
						WJDB	1		
						CJ	0		
						EJ	0		
						SSEI	0		

(*) This outcome is additional new outcome after IUWASH Contract Modification #8

PMP Outcome Indicator	Target Over the life of Project	Achievement			To Date Achievement	PY4 Target			Estimated Total Achievement by End of PY4
		PY1	PY2	PY3		Province	Target	PY1	
Component 3: Create an Enabling Environment Supporting Equitable Water and Sanitation Services (EE)									
EE.1-a (Policy development) Number of policies developed to support the improvement of water supply and sanitation sector	50	0	5	6	11 (22%)	**NS** **WJDB** **CJ** **EJ** **SSEI**	13 10 5 15 11	**54**	**65** **(130%)**
EE.1-b (budget increased) Number of participating local governments that put greater priority on safe drinking water and sanitation through supportive local policies and budget allocation increases	50 (Cummulative)	0	3	4	7 (14%)	**NS** **WJDB** **CJ** **EJ** **SSEI**	6 10 6 6 2	**30**	**37** **(74%)**
EE.2 Number of PDAMs or local government obtain access to long-term funding for water or sanitation investment plans	15	0	0	0	0	**NS** **WJDB** **CJ** **EJ** **SSEI**	2 4 3 2 -	**11**	**11** **(73.33%)**

(*) The figure indicates number of policies developed by Local Government Partners. At the end of 2013 Program Year, IUWASH will evaluate the progress of APBD funding and will identify number of Local Governments that can show increase the APBD funding and improved the policy in watsan sectors

PMP Outcome Indicator	Target Over the life of Project	Achievement			To Date Achievement	PY4 Target			Estimated Total Achievement by End of PY4
		PY1	PY2	PY3		Province	Target	PY1	
Component 3: Create an Enabling Environment Supporting Equitable Water and Sanitation Services (EE)									
EE.3 Increased percentage (%) in financial resources accessed by service providers from public and private sources for expansion of improved water and sanitation services	10	0	3.47%	7.15%	7.15% (53.1%)	**NS** **WJDB** **CJ** **EJ**	1% 1% 1% 1%	**5%**	**12.15** **(121.50%)**
EE.4. Number of low income households accessing micro finance for household improvements in water and sanitation	40,000	0	2,848	4,373	7,221 (18.05%)	**NS** **WJDB** **CJ** **EJ** **SSEI**	1,900 3,700 3,400 5,600 1,000	**15,600**	**22,821** **(57.05%)**
EE.5. Number of Local Governments adopt new or improved mechanisms for citizens to engage local government in water and sanitation	20	0	0	0	0 (0%)	**NS** **WJDB** **CJ** **EJ** **SSEI**	4 4 4 4 3	**19**	**19** **(95%)**
EE.6. Number of new or improved regulation to facilitate access to capital financing in the water sector	1	N/A	N/A	N/A	N/A (*)	**NS** **WJD** **CJ** **EJ** **SSEI**	0 1 0 0 0	**1**	**1** **(100%)**

(*) This outcome is additional new outcome after IUWASH Contract Modification #8

PMP Outcome Indicator	Target Over the life of Project	Achievement			To Date Achievement	PY4 Target			Estimated Total Achievement by End of PY4
		PY1	PY2	PY3		Province	Target	PY1	
Component 3: Create an Enabling Environment Supporting Equitable Water and Sanitation Services (EE)									
EE.7. Number of central government officials exposed to alternative financing options in the water sector in the US or other applicable context	20	N/A	N/A	N/A	N/A (*)	**NS**	0	**0**	**0 (0%)**
						WJDB	0		
						CJ	0		
						EJ	0		
						SSEI	0		

(*) This outcome is additional new outcome after IUWASH Contract Modification #8

9.6 MATRIX MANAGEMENT CHART

Implementation Area / Lead Advisor	Team Lead / Functional Area	National Coordinator	North Sumatra	West Java/ DKI/Banten	Central Java	East Java	South Sulawesi/ Eastern Indo
Program Coordination, COP/DCOP	Louis O'Brien / Foort Bustraan	Alifah Lestari	Subahri Ritonga	Endah Shofiani	Jefry Budiman	Laksmi Cahyaniwati	Budi Raharjo
Water Supply Sector							
WS 1 - PDAM Operational Aspects	Foort Bustraan	Hernadi Setiono	Ferry Boyke	Agus Nugraha	Ronny Sutrisno	Rudhy Finansyah	Ridwan Habibie
WS 2 - PDAM Financial Aspects	Purwoko Hadi	Benny Djumhana / Nugroho Andwiwinarno *	TBD	Blandina Mandiangan	Arif Wibowo	Rudy Jusdian	Much Zuchry
WS 3 - PDAM Customer Aspects	Foort Bustraan	Yulfarida Arini	Ferry Boyke	Usniaty Umayah	Dwi Anggraheni Hermawati	Rudhy Finansyah	Ridwan Habibie
WS 4 - Raw Water & Climate Change	Foort Bustraan	Adi Rahman	Ferry Boyke	Agus Nugraha	Ronny Sutrisno	Rudhy Finansyah	Ridwan Habibie
WS 5 - Microfinance	Purwoko Hadi	Gusril Bahar	TBD	Blandina Mandiangan	Arif Wibowo	Rudy Jusdian	Much Zuchry
WS 6 - Master Meter	Foort Bustraan	Hernadi Setiono	Ferry Boyke	Agus Nugraha	Ronny Sutrisno	Rudhy Finansyah	Ridwan Habibie
WS 7 - PDAM Long term Finance	Purwoko Hadi	Benny Djumhana / Nugroho Andwiwinarno *	TBD	Blandina Mandiangan	Arif Wibowo	Rudy Jusdian	Much Zuchry
WS 8 - PDAM Institutional support	Purwoko Hadi	Benny Djumhana / Nugroho Andwiwinarno *	Zulkifli Kahar	Ahmad Rosyid	Yudi Wijanarko	Imam Suhadi	Bahran Ilmi
Sanitation Sector							
SAN 1 - Individual system	TBD	Kuwat Karyadi	Hetty Tambunan	Usniaty Umayah	Dwi Anggraheni Hermawati	Ristina Aprillia	Suhartini
SAN 2 - Communal system	TBD	Kuwat Karyadi	Hetty Tambunan	Usniaty Umayah	Dwi Anggraheni Hermawati	Ristina Aprillia	Selviana Hehanussa
SAN 3 - Sewerage systems	Foort Bustraan	Eri Arianto	Mohammad Yagi	Said Prijadi	Oni Hartono	Arief Riyadi	Selviana Hehanussa
SAN 4 - Urban Sludge Management	Foort Bustraan	Achdiat Antono	Mohammad Yagi	Said Prijadi	Oni Hartono	Arief Riyadi	Selviana Hehanussa
SAN 5 - Pokja Sanitasi / AMPL	Foort Bustraan	Achdiat Antono	Mohammad Yagi	Said Prijadi	Oni Hartono	Arief Riyadi	Selviana Hehanussa

Cross Cutting Sector

CC 1 - LOCAL GOVERNMENT policies	Purwoko Hadi	Benny Djumhana / * Nugroho Andwiwinarno	Zulkifli Kahar	Ahmad Rosyid	Yudi Wijanarko	Imam Suhadi	Bahran Ilmi
CC 2 - APBD budget	Purwoko Hadi	Benny Djumhana / * Nugroho Andwiwinarno	TBD	Blandina Mandiangan	Arif Wibowo	Rudy Jusdian	Much Zuchry
CC 3 - Citizen Engagement	Purwoko Hadi	Yulfarida Arini	Zulkifli Kahar	Ahmad Rosyid	Yudi Wijanarko	Imam Suhadi	Bahran Ilmi
CC 4 - Gender Mainstreaming	Alifah Lestari	Alifah Lestari	Mohammad Yagi	Usniaty Umayah	Dwi Hermawati	Achmad Dardiri	Suhartini
CC 5 - Corporate Social Responsibility	TBD	Sri Hardijanti	Muhammad Yagi	Usniaty Umayah	Dwi Hermawati	Rudy Jusdian	Selviana Hehanussa
GIS Support	Foort Bustraan	Sabdo Sumartono	Ferry Boyke	Agus Nugraha	Ronny Sutrisno	Rudhy Finansyah	Ridwan Habibie
Grant Management & monitoring	Wouter Sahanaya		Sie Ket Liong	Esa Muharmis	Nabawi Madjid	Afrizaldy Nasution	Surya Akbar
Monitoring / Evaluation (PMP)	Alifah Lestari		Subahri Ritonga	Nur Endah Shofiani	Jefry Budiman	Laksmi Cahyaniwati	Budi Raharjo
Operations, ***Ida Nurtam***	Finance	Nelly Putri	Tengku Afriyenni	Lidia Lestari	Sherly Tulung	Chatarina Silvy	Ira Leman
	Administration	Siti Wahyuni	Zubaidah	Maria Meyta Ylo	Chatarina Meity	Nana Noerhajati	Lily Marlina
	Procurement	Siti Wahyuni	Sie Ket Liong	Esa Muharmis	Nabawi Madjid	Afrizaldy Nasution	Surya Akbar
	Human Resources	Yasser F. Abdurrahman	Zubaidah	Nina Paramarta	Chatarina Meity	Nana Noerhajati	Lily Marlina
	Inform. technology	Agus Winarto	Sie Ket Liong	Agus Winarto	Nabawi Madjid	Fery Prastyan	Lily Marlina
	Travel	Paulina Marpaung	Melda Zang	Maria Meyta Ylo	Enggar Kusuma Hapsari	TBD	Andi Alam
Communications ***Ardita Caesari***	Publications, Graphics	Pryatin Santoso	Reg. Coord / Office Man.	Reg. Coord / Office Man.	Reg. Coord / Office Man.	Reg. Coord / Office Man.	Reg. Coord / Office Man.
	Website Support	Virgi Fatmawati					
Media Relation		Andi Musfarayani	Hetty Tambunan	Usniaty Umayah	Dwi Hermawati	Ristina Aprillia	Budi Raharjo
Environm. Compliance	Wouter Sahayana		Mohammad Yagi	Endah Shofiani	Oni Hartono	Ristina Aprillia	Selviana Hehanussa

Note: * Benny Djumhana will support North Sumatra & South Sulawesi ; Nugroho Andwiwinarno will support West Java/Banten, Central Java and East Java

9.7 INITIAL ENVIRONMENTAL EXAMINATION AND ENVIRONMENTAL MITIGATION AND MONITORING PLAN PROGRAM YEAR - 4

Activity Title: IUWASH (Indonesia Urban Water, Sanitation and Hygiene) Project
Implementing Partner: Development Alternatives, Inc. (DAI)

1. BACKGROUND AND ACTIVITY DESCRIPTION

1.1. Background

The USAID Indonesia Urban Water, Sanitation and Hygiene (USAID IUWASH) is a five-year project funded by the United States Agency for International Development (USAID) and implemented by Development Alternatives, Inc. (DAI), a US-based consulting firm that specializes in the management of foreign assistance program. USAID IUWASH will be implemented in at least 5 regions as follows:

- Region 1: North Sumatra
- Region 2: Banten, West Java, DKI Jakarta Raya
- Region 3: Central Java
- Region 4: East Java
- Region 5: South Sulawesi and Eastern Indonesia, Ambon (Maluku) and Jayapura (Papua).

The overall goal of the USAID IUWASH Project is to assist Government of Indonesia' to make significant progress in the Millenium Development Goals by expanding access to clean water and adequate sanitation within the 5 years project period. The USAID IUWASH Project started in March 2011.

The USAID IUWASH Project provides a range of technical assistance, both long- and short-term to support USAID/Indonesia's assistance objectives related to increasing safe drinking water and adequate sanitation access. The project also incorporates responses to climate change challenges, in particularly in reviewing how climate change will affect the quality and availability of raw water sources that supply water utilities and their customers. For example, rising sea levels could affect the quality of groundwater due to the intrusion of saltwater into the groundwater aquifers. Changed rainfall patterns may exacerbate variability of raw water yields, with significant implications for technology choice and design of water/sanitation facilities. An increase in extreme climate events such as droughts, floods, or storms may increase risks of damage to expensive infrastructure investments. The project will assess climate-related vulnerabilities related to water supply and sanitation services delivery, support innovative adaptive measures (both 'hardware' and 'software') and monitor results.

IUWASH further focuses on water and sanitation governance reform as a key element to achieving greater access to piped water services and improved sanitation. IUWASH engages central and local government agencies, community, private sector, NGO, community groups, and universities. Key government stakeholders are represented at the district and municipal, provincial and national levels. Thus, the USAID IUWASH strategic approach brings to scale water and sanitation investments by engaging the array of key stakeholders and central government counterparts in improvements to service delivery.

The overall goal of IUWASH is that, at the end of 5 years, USAID assistance will have helped make significant progress in achieving Indonesia's safe water and sanitation MDG targets by expanding access to these services. The expected higher results to be achieved are:

- 2 million people in urban areas gain access to improved water supply as a result of US Government assistance.
- 200,000 people in urban areas gain access to improved sanitation facilities as a result of US Government assistance.
- The per unit water cost paid by the poor in targeted communities decreases by at least 20% through more participatory, transparent, accountable and financially enabled

The project implements its activities within three main areas which, together, contribute to the targeted higher results. These include:

- ***Demand mobilization for improved water and sanitation services:*** Demand for safe drinking water access and improved sanitation mobilized among urban communities and households with currently unimproved access.

- ***Capacity improvements to provide sustainable safe water and sanitation Services:*** The capacity to sustainably supply this mobilized demand with improved water and sanitation services built among the public and private sector institutions best placed to provide these services in urban areas.

- ***Create an enabling environment supporting equitable water and sanitation Services:*** A governance and financial enabling environment created that supports equitable access to safe drinking water and improved sanitation in urban areas.

1.2. Description of Activities

The Contractor has reviewed all planned activities that will be implemented in each region in Program Year-4 and which runs for the period of October 2013 through September 2014. As concerns activities such as meetings, workshops, trainings, assessments, focus group discussions, media campaigns, promotion, program socialization, studies, and events that do not directly affect the natural or physical environment, these are recommended for a Categorical Exclusion in accordance with 22 CFR 216.2(c)(2)(i) for education, technical assistance or training programs; 22CFR 216.2(c)(2)(iii) for analysis, studies, workshops and meeting activities; 22 CFR 216.3(a)(2)(iii) for document and information transfers; and 22 CFR 216.3(a)(2)(xiv) for studies and capacity building activities.

In addition to the above, the program will also implement activities in each region in Year-3 involving small-scale construction work such as individual and communal latrines and septic tanks, sewerage systems, master meters, water supply pipe connection to households, sewerage piping network, small above ground water reservoirs, de-sludge equipment, de-sludge management and wetland development. Such activities are recommended for a Negative Determination with Conditions in accordance with 22 CFR 216.3(a)(2)(iii). All of these activities are within the scope of the approved Initial Environmental Examination (IEE) referenced as ASIA 12-13 Indonesia IEE & ETD for IUWASH and which was developed by USAID in 2012.

If during the course of implementation in PY4 there are ctivities that are outside the scope of the two documents mentioned above the Contractor will coordinate with the USAID COR to develop a respective "individual IEE". The Contractor will not undertake new activities before receiving written

USAID approval of environmental documentation amendments. All proposed activities planned to be implemented in PY-4 fall under either categorical exclusion and/or negative determination with conditions as defined in the USAID rules and regulation 22 CFR 216. The proposed activities under the IUWASH project in PY-4 are further distinguished between activities that are related to increasing safe drinking water supply and those that are aimed at increasing access to improved sanitation.

Water Supply: The activities include protection of raw water, narrow tranches for small diameter pipe installations, water production, water distribution, and water connection services. The sub-activities will include:

- **Raw Water:** Supporting improved quality and quantity of raw water distribution, the project will ensure that the local government, the private sector and water utilities will improve the watershed area with tree planting, installation of infiltration wells, protection of springs, well designed small scale below and/or above ground reservoirs. It might also be with small-scale construction of river cascade, protection of pollutant to river flow and ground water, bore wells and pumps.
- **Pipe Installation**: The digging, earth fill and compaction of small tranches for the installation of transmission pipes and distribution pipes (including water meters) to deliver safe drinking water to poor household to improve quality of life. The project will assist partners in the planning and design and ensure that the installations are done according to the Indonesia National Standard (SNI).
- **Water Production:** The project will implement activities that will have an impact to better quality, quantity, and continuity of water production through capacity building and better management of the water boards (PDAMs) such as training in Non-Revenue Water, business plan development and O&M Management. IUWASH will not take part in the implementation of water production through improving small-scale water treatment plant, water chlorination and filtration. These will be implemented by the respective local government.
- **Water Distribution:** IUWASH will be involved in the distribution of water from the PDAM master meter to households or PDAM direct connection via the microfinance mechanism. Included are also the installation of water taps and water meter at household level.
- **Services:** Improving services to customers through water meter calibration, water meter replacement, pipe and water meter replacement, and improving billing system and payment points.

Sanitation: The activities include planning, designing, construction and maintenance of city-wide sanitation systems, communal sanitation systems and individual sanitation systems.

- **City-wide Sanitation System**: Assisting the local government with the support of other private sector partners and community in the planning, design, construction of pipe laying, sewerage system, waste water treatment plan and management. Ensuring best environmental practices in using high pressure flushing equipment that are safe for the environment.
- **Communal Sanitation System**: Developing communal septic tanks, sludge management, MCK ++ (Bath, Laundry and Toilet Central) including digesters and bio-gas distribution, installing hand-washing stations, water pipe laying, and de-sludge management.
- **Individual Sanitation System**: Improving septic tanks, latrines, and sludge management.

EVALUATION OF ACTIVITIES FOR ENVIRONMENTAL IMPACT POTENTIAL RECOMMENDED THRESHOLD DECISIONS AND MITIGATION ACTIONS (INCLUDING MONITORING AND EVALUATION)

1. All activities that are recommended for categorical exclusion are within the scope of the approved IEE referenced as Asia 09-86 Indonesia IEE & ETD IUWASH Project and will not be repeated in this document.
2. IUWASH activities involving field studies and other actions that directly effecting the physical or natural environment, including small-scale water and sanitation improvement and/or construction are expected to have some negative impacts on the natural or physical environment and are therefore recommended for a Negative Determination with condition under 22 CFR 216.3(a)(2)(iii). The related **Environmental Monitoring and Mitigation Plan** is attached to this IEE.

RECOMMENDED ENVIRONMENTAL ACTION

Recommended IEE Determination

A Negative Determination with Condition under 22 CFR 216.3(a)(2)(iii) is recommended for small-scale water and sanitation improvement and/or construction work, field studies or other actions that are determined to have a direct impact on the natural or physical environment. The Environmental Monitoring and Mitigation Plan for such activities is described in the attachment.

The Contractor will refer also to host country (Indonesia) environmental regulations (UU 32 Tahun 2009 tentang Pengelolaan Lingkungan Hidup) unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern. A summary of the host country environmental policies and procedures is described below.

National Environmental Policies and Procedures

Like other nations, Indonesia faces the three most common constraints in consistent implementation of Sustainable Development principles: political, social, and institutional. Consistent implementation of Sustainable Development is not merely a decision or commitment but it is a process. Indonesia has tried to apply the sustainable development concepts in their environmental protection policies. The concept requires a nation to anticipate and prevent environmental damage by carrying out environmental assessment for proposed development activities.

Environmental regulation in Indonesia described that any plan, which is foreseen to bring about significant adverse impact to the environment shall be furnished with an environmental analysis. Significant adverse impact is determined by the size of population affected, size of the area disturbed, duration of impact, intensity of impact and reversibility and irreversibility of the impact. A preliminary environmental assessment is only required for activities involving a modification of soil features and natural environment; exploitation of natural resources; a process and activity that affects the social and cultural environment; a utilization of natural resources; a process and activity that affects the preservation of natural or cultural reserves; and introduction of new species plants, animal or microbes; or technological application which is foreseen to have considerable potential to affect the environment. Environmental procedures by sector are very well described in each province and district government. These procedures are based on the "umbrella" Environmental Law No. 23 of 1997 andthe Government Regulation No. 27 of 1999, regarding the Environmental Impact Assessment procedures and UU No. 23 of 2009 regarding environmental protection and management.

In each IUWASH region, the Contractor will work closely with officials from various departments to achieve the IUWASH Project targets. Experts or specialists in related disciplines from the local provincial or district government and/or technical consultants from local universities are involved in the

planning and evaluation of project activities as well as training of staff beneficiaries. This ensures that all Indonesian environmental policies and procedures are followed.

_____ Date: _____
Louis O'Brien, IUWASH Chief of Party

_____ Date: _____
Wouter Sahanaya, IUWASH Environmental Officer

Attachment: IUWASH EMMP PY-4

Environmental Mitigation and Monitoring Plan
Activity Title: Indonesia Urban Water, Sanitation and Health (IUWASH) Project
Implementing Partner: Development Alternatives, Inc. (DAI)

Type of Activity	Activity Category	Activity	Potential Adverse Impact	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring, Reporting Frequency/ Parties Responsible
Drinking Water Supply	Raw Water Protection	Infiltration Well	• Creation of pools of stagnant water • Contamination of water with nutrients and pathogen • Erosions and run off	• Monitor ground water quality at down stream (Ph) • Adequate protection from erosion	• No stagnant water • Site has adequate slope • No agricultural activities nearby • Service/ground water tested and not contaminated • Wells are dug above water table • No signs of erosion	• Monitoring and reporting quarterly/Water utility staff and community
		• Nurseries development and Tree Planting	• Pollution from pesticides and fertilizers • Erosions, run off, and sedimentation • Inadequate water supply • Increase humidity	• Ensure adequate site selection • Avoid use of pesticides and excessive use of fertilizers • Plant selective native/local vegetation • Site adequate selected	• Communities are assured of their ownership and secure community tenure rights • Clear boundaries and no excessive clearing	• Community Organization, Local government monitoring and reporting quarterly/Community and respective local government units
		• River Cascade	• Sedimentation • Water conflict • Contamination of ground or surface water when hazardous construction materials are spilled of dumped	• Use Gabion construction • Designed by qualified Civil Engineers • Socialization before construction	• No sedimentation in water body • Labor-based constructed gabions or rip-rap and well supervised by qualified Civil Engineers • Construction supervised by qualified water engineers.	• Community Organization, Local government monitoring and reporting quarterly/Community and respective local government units
		• Raw water protection from waste water	• Contamination of ground or surface water with pathogens and nutrients from agricultural, industrial and household wastewater	• Local Government established a PERDA for waste water protection • Respective companies plan to improve water effluent	• Through water testing no contamination found in ground and/or surface water with pathogens and nutrients • Pesticide is not used and/or well	• Monitoring and reporting quarterly by respective water utility

Type of Activity	Activity Category	Activity	Potential Adverse Impact	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring, Reporting Frequency/ Parties Responsible
			• Contamination of drinking water – ground and surface. • Potential collapse of pipe due to faulty engineering or pipe clogging resulting in leakage	quality	controlled • Drinking water tested and BOD, COD and Ph are according to standard • PERDA implemented	
		• Bronkapterin g	• Erosion and Sedimentation • Water conflict • Contamination with polluted surface water entering water source • Diversion of ground water flow decreasing water discharge at other water sources nearby	• Socialization before and after construction • Construction of embankments to divert water run-off entering water source • Construct alternative intakes for communities to have access to clean water • Public Consultation if there is a conflict	• Protection zones developed • Not over used and well maintained • Stable water discharge • No conflict on water use among communities • Embankment constructed to protect water source from pollution	Monitoring and reporting by community and water utility and respective local government by quarter
		• Small – Scale Reservoir	• Reducing water access to communities • Water use conflict • Erosions and Sedimentation • Land Conflict • Biological contamination from inadequate protection of reservoir and water supply points	• Socialization before and after construction • Test water quality before construction • On-going water quality monitoring • Put in place a regulatory system for water use	• Socialization before construction • Regulation on water use in place • No signs of erosion and sedimentation • Quality water sampling done at reservoir and outlet	• Monitoring and reporting by Public Works and Water Utility by quarter
		• Electric Pumps and Structure	• Arsenic and mercury poisoning • Land Conflict • Deepening of water table • Contamination of ground or surface water with nutrients and bacteria from organic	• Socialization before and after construction • Construction site well selected base on specification • Elevated or underground water tanks well	• Pump site well organized and maintained • No conflict on land property • No complaints from communities related to quantity and quality of ground water • Water well distributed to	Monitoring and reporting by community organization quarterly

Type of Activity	Activity Category	Activity	Potential Adverse Impact	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring, Reporting Frequency/ Parties Responsible
			and human waste • Creation of pools of stagnant water • Biological contamination from inadequate protection of wells • Noise pollution • Electricity hazard	constructed • Pump site well protected	customers • Standard Operation Procedures (SOP) developed and used in operating and maintenance of electric pump and structure	
		• Bore Well	• Land conflict • Deepening water table • Creation of conflict between ground water users • Contamination of ground water with nutrients and bacteria from organic and human waste • Biological contamination from inadequate protection of wells • Sea water intrusion • Noise pollution • Electricity hazard	• Socialization before and after construction • Site selection according with the hydro-geological survey recommendation • Site selection according with government regulation • Construction follows the respective SOP	• Well managed and organized water contribution to customers • No complaints from water users on water quality • Site selected according to recommendation • Community well informed prior to construction • Ph water tested and shows no intrusion of sea water	Monitoring and reporting by community organization quarterly
	• PVC Pipe Installation	• Transmission Pipe and accessories	• Erosions and Sedimentation • Land Conflict • Create pools of stagnant water due to poor construction • Potential collapse of pipe due to faulty engineering material • Clogging of pipe	• Socialization before and after construction • Land-fill done correctly and compacted according to standard • Pipe well coated to protect from corrosion • Pipes well joints and no leakage	• Transmission pipe well placed and constructed • Tranches dug and filled according to engineering standard • No other construction on top of the pipe line • No water contamination from faulty engineering	Monitoring and reporting by experienced technicians from water utility, the contractor on monthly basis

Type of Activity	Activity Category	Activity	Potential Adverse Impact	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring, Reporting Frequency/ Parties Responsible
		• Distribution Pipe and accessories	• Erosions and Sedimentation • Land Conflict • Contamination of ground or surface water from erosion to nearby water sources. • materials are spilled of dumped • Damage to ecosystem and degradation of surface water quality • Create pools of stagnant water • Potential collapse of pipe due to faulty engineering material • Clogging of pipe	• Socialization before construction • Construction base on specification and use less toxic alternative product • Land-fill done correctly and compacted according to standard • Pipe well coated to protect from corrosion	• Distribution pipe well placed and constructed • No other construction on top of the pipe line • No leakage at pipe connection	• Monitoring and reporting by experienced technicians from water utility, the contractor on monthly basis, including photos
	• Water Production	• Controlled and safely used Chlorination	• Transmission of disease in handlers and processors • Quantity of chlorine in accordance with specification in USAID 22 CFR 216	• Provide workers with appropriate protective clothing including rubber gloves, boots, long sleeved shirts and pants. Train workers to wash hands and faces frequently with soap. • Train workers on water chlorination	• No complaints from water users on chlorine substance • Adequate chlorine and other substance test • Follow analysis of the "PERSUAP"	• Monitoring and reporting by experienced technicians from water utility, the contractor on monthly basis

Type of Activity	Activity Category	Activity	Potential Adverse Impact	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring, Reporting Frequency/ Parties Responsible
		• Filtration	• Transmission of disease in handlers and inadequate installation of filters • Pipe clogging	• Choose the correct filter for the system • Test water before and after installation of filters • Use better media for filters	• Water is clear, have no smell, no taste of other substance and is safe for consumption • No complaints from water users. • No clogging at filter and decreased in capacity at outlet	• Water is clear, have no smell, no taste of other substance and is safe for consumption • No complaints from water users. • No clogging at filter and decreased in capacity at outlet
		• Uprating Capacity	• Well selected uprate filters media to increase capacity flow • Transmission of disease in handlers	• Choose the correct system/media filter for uprating • Check the inlet, outlet, and flow control pipe and valves that accept the higher flow rates	• Increased in flow capacity without lesser water quality	• Monitoring and reporting by experienced technicians from water utility, the contractor on monthly basis
		• Small-Scale Water Treatment Plant Improvement	• Sedimentation and erosion • Uncontrolled sludge removal • Pollution of river flow, surface and ground water, sea and shore	• Water quality at clear well and outlet are according to standard • Aerated, sedimentation, coagulation tanks are well functioned.	• pH and BOD/COD measurement at outlet are according to standard.	• Monitoring and reporting by experienced technicians from water utility, the contractor on monthly basis
		• Mechanical Electrical	• Noise pollution • Electricity hazard	• Noise protection • Certified material and proper installation by qualified electrician	• All mechanical and electrical installation are according to standard • No complaints from community • No electricity hazards. • System of reporting established	• Monitoring and reporting by experienced technicians from water utility, the contractor on monthly basis

Type of Activity	Activity Category	Activity	Potential Adverse Impact	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring, Reporting Frequency/ Parties Responsible
	• Distribution	• Pipe Laying	• Erosion and sedimentation • Pipe ditches across roadways causing public inconvenience • Stagnant water	• Refill and compaction of pipe ditches completed according to standard	• No stagnant of water • Convenient road way	• Monitoring and reporting by experienced technicians on quarterly basis
Drinking Water Supply		• District Meter Area (DMA)	• None	• Construction base on specification • Construction and/or maintenance conducted by experienced engineers/technicians	• District meter at correct place	• Monitoring and reporting by experienced technicians on quarterly basis
		• Box Pressure Meter	• None	• Construction base on specification • Construction and/or maintenance conducted by experienced engineers/technicians	• Box meter at correct place and constructed base on specification	• Monitoring and reporting by experienced technicians on quarterly basis
		• Installation of individual water meter	• None	• Installation done by certified plumbers	• Meter function normally as standard	• Monitoring and reporting by experienced technicians on quarterly basis
		• Installation Ground/elevated Water Tank	• Land conflict • Erosion and sedimentation • Contamination of nutrients, pathogens and excreta (diarrheal and parasitic) • Erosion and sedimentation	• Construction implemented by certified engineers • Community well informed prior to construction	• No standing water • Water quality in accordance to standard	• Monitoring and reporting by experienced technicians on quarterly basis

		• Pipe Crossing		• Foundation and embankments constructed according to specification	• No erosion and sedimentation	• Monitoring and reporting by experienced technicians on quarterly basis
	• Water Services (IC4)	• Water Meter Calibration and • Water Meter Replacement	• None	• Calibration and replacement done by certified technicians	• Water meter function normally matching actual use by customer	• Monitoring and reporting by experienced technicians on quarterly basis
		• Billing System and Payment Point	• None	• Accurate billing system and convenient payment point	• Billing according to correct meter reading	• Monitoring and reporting by experienced technicians on quarterly basis
		• Service Pipe Installation and meter	• Land and social conflict • Change of land surface • Potential collapse of pipe due to faulty engineering, material and/or misuse of land • Pipe clogging	• Socialization before construction • Construction base on specification • Avoid heavy construction built on top of pipe • Place sign of pipe location	• Sign of pipe location correctly place • No leakage and stagnant of water	• Monitoring and reporting by experienced technicians on quarterly basis

Type of Activity	Activity Category	Activity	Potential Adverse Impact	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring, Reporting Frequency/ Parties Responsible
SANITATION						Component
• City		• Sewers	• Erosions and change of land surface • Land conflict • Sedimentation • Contamination of ground or surface water when pipes leak • Odorous nuisance and/or increase in insect and flies. • Potential collapse of pipe due to faulty engineering, material and/or misuse of land	• Socialization before and after construction • Construction base on specification • Avoid heavy construction built on top of pipe • Avoid plants growing near sewer pipes • Provide sewer pipe sign	• Socialization done prior to construction or rehabilitation • No leakage • Proper safety signs installed • Sewer pipes clear from grease, tree roots and other blockage conducted	• Monitoring and reporting by experienced engineers on monthly basis
		• IPAL/IPLT (Waste Treatment Plant)	• Erosions and change of land surface • Land conflict • Sedimentation • Contamination of ground water with escherichia coli • Contamination of the in-pipe and end-pipe pollution prevention • Odorous nuisance and/or increase in insect and flies. • Non aesthetic	• Socialization before and after construction • Embankments well constructed • Regular testing of ground water quality • Testing of in-pipe and end-pipe pollution prevention • Reducing odor problem • Landscaping	• Drainage and bufferzone well maintained • There are well trained staff for operating and maintaining the plant	• Monitoring and reporting by experienced engineers on monthly basis
		• Sewer Cleaning Equipment and operation	• Noise and odor nuisance to neighbores • With high pressure water and vacuum capability there will be spilling and stagnant water	• Use well qualified plumbing sewer drain contractors • Operate in smaller more confined environment	• Sewer drainage clean • No spill of sewer sludge on site	• Monitoring and reporting by experienced engineers on monthly basis

Type of Activity	Activity Category	Activity	Potential Adverse Impact	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring, Reporting Frequency/ Parties Responsible
		• Simple Waste Water Treatment Plant	• Erosions and change of land surface • Land conflict • Sedimentation • Contamination of ground or surface water from waste leakages and damage water quality • Odorous nuisance and/or increase in insect and flies. • Possible wastewater/by product run off • Methane Gas Explosion Risk/Fire Risk • Potential collapse of pipe due to faulty engineering, material and/or misuse of land • Sludge spilling • Transmit diseases to field workers	• Socialization before and after construction • Construction base on specification • Conduct proper maintenance • Ensure proper drainage of wastewater run off • Establish buffer zone between site and inhabitants and locate downwind from inhabitants • Adequate SOP and training for operators • Field workers equipped with gloves and maskers	• Clarification process well done • Biological treatment either aerobic or anaerobic well implemented • Water filtration and disinfection through a environmental friendly process e.q., ozone or UV • Well organized sludge treatment	• Monitoring and reporting by experienced engineers on monthly basis

Type of Activity	Activity Category	Activity	Potential Adverse Impact	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring, Reporting Frequency/ Parties Responsible
• COMUNAL (Community + Public Facilities)		• Communal Septic Tank (Type) • Installation of Hand washing station • Pipe laying • MCK + Digester • Sludge disposal and treatment • Gas Pipe Line	• Contamination of ground or surface water from overflow of waste with nutrients, pathogens, BOD and suspended solid (SS) • Odorous nuisance and/or increase in insect and flies. • Possible wastewater/by product run off • Methane Gas Explosion Risk/Fire Risk • Pathogens remain immature due to insufficient time for maturity of compost • Potential collapse of pipe due to faulty engineering, material and/or misuse of land • Erosion and sedimentation from pipe laying	• Periodic measurement of the combined sludge and scum depth • High vent pipes are used • Tank, lids, and access risers checked routinely • Effluent screen check regularly • Keep clean site • Adequate SOP and training for operator • Ensure a reliable system for safe sludge removal and transportation to waste treatment plant • Ensure that collected sludge is adequately treated and not directly apply to field • Erosion and sedimentation from pipe laying	• Communal septic tank function normally • No odor • Sludge removal follow SOP • Compound clean. • Record kept well.	• Monitoring and reporting by experienced engineers on monthly basis

Type of Activity	Activity Category	Activity	Potential Adverse Impact	Mitigation Measure(s)	Monitoring Indicator(s)	Monitoring, Reporting Frequency/ Parties Responsible
• INDIVIDUAL		• Septic Tank Improvement • Toilet/Latrine Improvement • Desludging	• Erosions and change of land surface • Land conflict • Sedimentation • Contamination of ground or surface from leakage of septic tank • Odorous nuisance and/or increase in insect and flies. • Possible wastewater/by product run off • Methane Gas Explosion Risk/Fire Risk • Pathogens remain immature due to insufficient time for maturity of compost • Potential collapse of pipe due to faulty engineering, material and/or misuse of land	• Evaluate dept to the water table including seasonal fluctuations and ground water hydrology • Ensure a reliable system for safe sludge removal and transportation • Ensure that collected sludge is adequately treated and not directly apply to field • Sites for septic tanks and drainage fields must be a minimum of 10 m from any groundwater sources • Ensure sufficient time for compos maturation • Use proper design • Best practices according to SOP •	• Septic tank function normally • No odor • No spilling during sludge removal	• Monitoring and reporting by experienced engineers on monthly basis

9.8 PDAM CAPITAL EXPENDITURE PROGRAM ON PY4

PDAM	Project Description	Progress through Quarter 10/PY3
Kota Tebing Tinggi *North Sumatra*	- 200 lps regionalization project (Tebing Tinggi and Serdang Bedagai) for 15,000 connections - Anticipated financing: PPP (B2B) or Perpres 29	Pre-FS completed in Aug 2013, with presentation given to decision-makers. Follow-up required for determining appropriate institutional arrangements.
Kota Tanjung Balai, *North Sumatra*	- 100 lps WTP in Kelurahan Sirantau for 7,000 connections - Funding to be leveraged from APBD	Review and update of FS completed with selection of construction management company underway. Construction expected to start in December 2013.
Kota Bekasi *West Java*	- Bekasi Barat – Teluk Buyung: 200 lps production and distribution with 15.000 connections. - Anticipated financing: PPP	Prequalification process of bidders underway. Contract signing expected in January 2014. Distribution network may still be financed by PerPres 29.
	- Pondok Gede: 300 lps new WTP and distribution Approx for 25.000 connections. - Anticipated financing: PPP or PerPres	Final FS completed as of Sept '13 and ready for discussion with PDAM and local gov't, specifically on preferred financing mechanism.
	- Jati Asih: 100 lps new WTP with PJT. Approx for 8.000 connections. - Anticipated financing: PPP	PJT as potential party has postponed the negotiation with PDAM, meaning that the project is currently on hold.
	- Mustika Jaya: 200 lps production and distribution for 15.000 connections. - Anticipated financing: PPP	Final FS completed and prequalification of bidders commencing Sept 2013.
	- Jatibening: 200 lps production and distribution, with 15.000 new connections established. - Anticipated financing: PPP	Final FS completed and prequalification of bidders commencing Sept 2013.
Kab. Tangerang *Banten*	- New WTP in Tangerang (Cibogo project) of 500 lps with abour 40.000 connections - Anticipated financing: PPP or internal cash flow	While original FS completed and accepted by PDAM, land acquisition challenges mean that the project will likely move to the Cisauk area, requiring further revision of the financial analysis.
Kab. Lebak *Banten*	- WTP renovation and distribution line construction to serve Kab. Tangerang of 100 lps. Approx for 8.000 connections. - Anticipated financing: PPP	Activity postponed due to complication in negotiations between PDAM Kabupaten Tangerang (buyer) and private sector.
Kab. Serang *Banten*	- Greenfield water supply project for Ciruas/Cibaja of 300 lps with 24.000 connections. - Anticipated financing: PPP	Presented Pre-FS to Local government comparing PPP vs. debt financing, with Local government preferring the PPP option. Pre-FS to be revised based on PPP assumption in PY4/Q1.
Kota Surakarta *Central Java*	- 300 lps bulk water supply project improving service for 24.000 connections (10,400 new connections) - Anticipated financing: Perpres 29	IUWASH completed financial projection demonstrating feasibility of project. In PY4/Q1, proposal will be presented to DPRD followed by Central Government.
Kab. Kendal *Central Java*	- 300 lps Telogo Mili (spring source) for 24.000 connections. - Anticipated financing: Perpres 29 plus GOI loan	FS and DED completed by IUWASH and presented to provincial water office (BBWS); potential national bank identified for funding; Land acquisition to be funded by 2014 APBD.

PDAM	Project Description	Progress through Quarter 10/PY3
Kota Gresik *East Java*	- 250 lps water supply project, consisting of new treatment plant and uprating of existing plant. - Anticipated financing: PPP	Construction of the both the new treatment plant and uprating of the existing plant are nearly complete. IUWASH continues to assist in contract amendment.
Kab. Mojokerto *East Java*	- 500 lps water supply project - Anticipated financing: PPP	Given that a joint-venture with PDAB is not possible, IUWASH will calculated affordability if the project becomes a bulk water supply project from PDAB
Ambon *East Indonesia*	- 35 lps treatment plant serving approximately 6,000 households. - Rehabilitation of existing 20 lps treatment plant serving 2,000 households - Anticipated financing: APBN (majority) and APBD	IUWASH completed the detailed engineering designs for both plants as well as survey for customer location and distribution lines. Tender presently underway for construction of main distribution line.
Jayapura, *East Indonesia*	- 30 lps treatment facility serving 2,500 households - Anticipated financing: APBN 2014	IUWASH supported the completion of the DED for the plant, reservoir, and network. Project to be funded through APBD 2014.

9.9 ACTIVITIES SUPPORTED POLICY DEVELOPMENT IN WATER SUPPLY AND SANITATION SECTOR CONDUCTED IN PY4

	LG	Policy Subject	Type and Plan
1	Kota Tanjung Balai	Business Plan	SK - Finalize draft Business Plan
		LG Equity Transfer to PDAM.	SK- Completed
2	Kota Tebing Tinggi	Urban Sludge Management	PERDA - Discuss a draft LG with DPRD.
		Business Plan	SK- Finalize draft Business Plan
3	Kota Pematang Siantar	Business Plan	SK - Finalize draft Business Plan
		Tariff Adjustment	SK – Completed.
4	Kab. Langkat	Business Plan	SK- Finalize draft Business Plan
5	Kab. Labuhan Batu	Business Plan	SK- Finalize draft Business Plan
6	Kota Medan	Urban Sludge Management	Mayor Regulation – Discuss draft of Academic Research with LG
7	Kota Sibolga	PDAM Tariff Adjustment	SK – Discus proposal with LG
8	Kab. Asahan	-	-
9	Kota Binjai	Optimization of PDAM Performance	SK – Discuss draft of study with LG
10	Kab. Karawang	PDAM Tariff Adjustment	Postponed
11	Kota Bogor	Waste Management Unit (UPTD)	PERDA – Further FGD with LG
		Organizational Structure PDAM	SK – Completed
12	Kota Bekasi	Establish Waste Water Unit (UPTD)	PERDA – Further FGD for academic research preparation with LG
13	Kab. Bekasi	Establish Waste Water Unit (UPTD)	PERDA – Further FGD for local budget allocation academic research completed.
14	Kab. Purwakarta	PDAM Tariff Adjustment PDAM	SK – Postponed
15	Kab. Bandung	Establish Waste Water Unit (UPTD)	PERDA – Further FGD with LG
		Waste Water Management	PERBUP - Further FGD with LG
		Community Led of Total Sanitation.	PERBUP – Further FGD with LG. Local team ready to begin process.
16	Kab. Serang	Regionalization of Water Supply.	PERBUP – Postponed pending internal consensus on most effective policy path
		Establish Waste Water Unit (UPTD)	PERBUP – Further FGD with LG
17	Kab. Lebak	Tariff Adjustment PDAM	SK- Finalize draft Business Plan
18	Kab. Tangerang	Establish Waste Water Unit (UPTD)	PERBUP – Further FGD with LG for regulation preparation.
19	Kota Tangerang Selatan	Regionalization of Raw Water Supplies	SK – Discuss formulation with LG
20	Kota Semarang	Actions Plan of LG for Water Supply and Environmental Management.	PERWAL - Completed
		Community Based of Water and Sanitation Management.	PERWAL – Review draft by LG
21	Kota Surakarta	Sludge Collection & Wastewater Tariff.	SK – Further discussion with LG
		Slum Area Location and City Sanitation Development.	SK – Completed
22	Kab. Kudus	Waste Management Unit (UPTD).	PERBUP - Mapping of existing policies.

	LG	Policy Subject	Type and Plan
		Citizen Engagement Mechanism.	PERBUP Mapping of existing policies.
23	Kab Kendal	Water Supply and Environmental Health Action Plan.	PERBUP – Completed
		LG Equity Transfer to PDAM.	SK – Completed
24	Kab Semarang	LG Equity Transfer to PDAM.	SK – FGD for Draft preparation.
25	Kota Salatiga	LG Equity Transfer to PDAM.	SK – FGD for policy development
26	Kab. Rembang	Establish Waste Water Unit (UPTD)	PERBUP – FGD for policy development
27	Kab. Sukoharjo	Establish Waste Water Unit (UPTD)	PERBUP – FGD for policy development
		Establish Citizen Engagement Mechanism	PERBUP – FGD for policy development
		Waste Water Management.	PERBUP – FGD for policy development
28	Kab. Klaten	PDAM customer reclassification.	PERBUP - Final report reviewed by LG
		Citizen Engagement Mechanism.	PERBUP – FGD for policy development
29	Kab. Batang	Establish Waste Water Unit (UPTD)	PERBUP – FGD for policy development
		PDAM Organizational Structure.	PERBUP – FGD for policy development
30	Kab. Sidoarjo	Communal Waste Water Management.	PERDA – FGD for policy development.
		Establish Waste Water Unit (UPTD)	PERBUP – FGD for policy development.
31	Kota Surabaya	Community-Based Sanitation.	PERWAL – FGD for policy development.
32	Kab. Gresik	Establish Waste Water Unit (UPTD)	PERBUP- FGD for policy development.
		PDAM Tariff Adjustment.	SK – FGD for draft policy development.
33	Kab. Lamongan	Establish Waste Water Unit (UPTD)	PERBUP- FGD for policy development.
34	Kota Probolinggo	Establish Waste Water Unit (UPTD)	PERBUP- FGD for policy development.
35	Kab. Probolinggo	Establish Waste Water Unit (UPTD)	PERBUP- FGD for policy development.
		District Strategic Plan.	PERBUP- FGD for policy development.
36	Kab. Mojokerto	Raw Water Protection.	PERBUP- FGD for policy development.
		Establish Waste Water Unit (UPTD)	PERBUP- FGD for policy development.
37	Kota Mojokerto	Establish Waste Water Unit (UPTD)	PERWAL- FGD for policy development.
38	Kab. Jombang	Establish Waste Water Unit (UPTD)	PERBUP- FGD for policy development.
39	Kota Malang	Sludge Disposal Tariff.	PERDA- FGD for policy development.
40	Kab. Malang	Establish Waste Water Unit (UPTD)	PERBUP- FGD for policy development.
41	Kota Batu	Raw Water Protection.	PERDA- FGD for policy development.
		Establish Waste Water Unit (UPTD)	PERWAL- FGD for policy development.
42	Kota Makassar	Strengthen Waste Water Unit (UPTD)	PERWAL –FGD for polict development.
43	Kab. Takalar	Citizen Engagement Mechanism.	PERBUP- FGD for policy development.
44	Kab. Maros	LG Equity Transfer to PDAM.	SK- FGD for policy development.
45	Kab. Jeneponto	Citizen Engagement Mechanism.	PERBUP – FGD for final report of proposed mechanism and following steps.
46	Kab. Bantaeng	Citizen Engagement Mechanism.	PERBUP- FGD for policy development.
47	Kota Parepare	Raw Water Protection.	PERWAL – Finalize water resources vulnerability assessment.
		Establish Waste Water Unit (UPTD)	PERWAL- FGD for policy development.
		Citizen Engagement Mechanism.	PERWAL- FGD for draft policy development.

	LG	Policy Subject	Type and Plan
48	Kab. Enrekang	Raw Water Protection.	PERBUP – Finalize water resources vulnerability assessment.
		Citizen Engagement Mechanism.	PERBUP- FGD for draft policy development.
49	Kab. Sidrap	Raw Water Protection.	PERBUP – Finalize water resources vulnerability assessment.
50	Kab. Pinrang	Raw Water Protection.	PERBUP – Finalize water resources vulnerability assessment.
		Establish Waste Water Unit (UPTD)	PERBUP- FGD for policy development.
51	Kota Ambon	Establish Waste Water Unit (UPTD)	PERWAL- FGD for policy development.
52	Kab. Jayapura	Illegal Connections.	PERBUP – FGD for policy development. Study is completed.
53	Kota Jayapura	Establish Waste Water Unit (UPTD)	PERWAL- FGD for policy development.
		Illegal connections.	PERWAL- FGD for draft policy development. Study is completed.

9.10 PDAM FINANCIAL ASPECTS

USAID / IUWASH Water Supply Programs update: September 2013		Program WS 2: PDAM financial Aspect	
		Business Plan	Tariff review
North Sumatra			
1	PDAM Kota Binjai		
2	PDAM Kota Medan		**Completed**
3	PDAM Kota Tebing Tinggi	**Ongoing since PY3**	
4	PDAM Kota Pematang Siantar	**Ongoing since PY3**	**Completed**
5	PDAM Kota Tanjung Balai	**Ongoing since PY3**	
6	PDAM Kab. Langkat	**Ongoing since PY3**	
7	PDAM Kota Sibolga		**Ongoing since PY3**
8	PDAM Kab Asahan		
9	PDAM Kab Labuhan Batu	**Ongoing since PY3**	
West Java , Banten & DKI			
10	PDAM Kab. Karawang	**Completed**	
11	PDAM Kota Bogor	**Ongoing since PY3**	
12	PDAM Kota Bekasi		
13	PDAM Kab Bekasi	**Ongoing since PY3**	
14	PDAM Kab Purwakarta	**Ongoing since PY3**	
15	PDAM Kab. Bandung		
16	PDAM Kab. Serang	**Completed**	
17	PDAM Kab. Lebak	**Ongoing since PY3**	
18	PDAM Kab.Tangerang/TangSel		
19	PT Palyja / AETRA		
Central-Java			
20	PDAM Kota Semarang		**Completed**
21	PDAM Kota Surakarta	**Planned in PY4**	
22	PDAM Kab. Kudus	**Completed**	
23	PDAM Kab. Kendal	**Completed**	
24	PDAM Kab. Semarang	**Completed**	
25	PDAM Kota Salatiga		
26	PDAM Kab Rembang		
27	PDAM Kab Sukoharjo	**Completed**	
28	PDAM Kab Klaten	**Ongoing since PY3**	**Completed**
29	PDAM Kab. Batang		**Ongoing since PY3**
East-Java			
30	PDAM Kab. Sidoarjo		
31	PDAM Kota Surabaya		
32	PDAM Kab. Gresik	**Planned in PY4**	**Completed**
33	PDAM Kab. Lamongan	**Completed**	**Completed**
34	PDAM Kota Probolinggo		
35	PDAM Kab Probolinggo	**Completed**	**Ongoing since PY3**
36	PDAM Kota Mojokerto		
37	PDAM Kab. Mojokerto	**Completed**	**Completed**
38	PDAM Kab Jombang	**Completed**	
39	PDAM Kota Malang		
40	PDAM Kab Malang		
41	PDAM Kota Batu	**Completed**	
South Sulawesi & Eastern Indonesia			
42	PDAM Kota Makasar		
43	PDAM Kab Takalar	**Completed**	**Ongoing since PY3**
44	PDAM Kab Maros	**Completed**	**Ongoing since PY3**
45	PDAM Kab Jeneponto	**Completed**	**Ongoing since PY3**
46	PDAM Kota Pare-Pare	**Completed**	**Completed**
47	PDAM Kab Enrekang	**Completed**	**Ongoing since PY3**
48	PDAM Kab Pinrang	**Completed**	
49	PDAM Kab Sidrap	**Completed**	
50	PDAM Kab Bantaeng	**Planned in PY4**	
51	PDAM Kota Ambon		
52	PDAM Kab./Kota Jayapura	**Planned in PY4**	
	O : Ongoing / Planned	**14**	**7**
	C : Completed	**18**	**8**
	TOTAL	**32**	**15**

9.11 UPTD MATRIX

Status Establishment UPTD under IUWASH December 2013		Establish or strengthen UPTD (according to WP4)	N :establish new or E: upgrading existing UPTD	AL: only UPTD PAL ; AL-S: also join with Sampah	UPTD under which DINAS?		CB: include oversight CBS (USRI, Sanimas, SLBm, etc)	IPLT: include management of IPLT	COL: including management of sludge collection	SEW: Include management of Sewerage system	Perda: Waste Water Treatment	Perda: Tariff setting for Waste Water	Perwal/Perbub: Esthablishment UPTD	Perwal/Perbub: Functions and Responsibilities		UPTD Establishment (Month / year)
North Sumatra (4)																
1	Kota Binjai	O	N	AL	DKP		CB	IPLT	COL	SEW	P	P	P	P		Jun 14
2	Kota Tebing Tinggi CoE	O	N	AL	PU		CB	IPLT	COL	SEW	P	P	P	P		Mar 14
3	Kota Tanjung Balai	O	N	AL	PU		CB	IPLT	COL	SEW	P	P	P	P		Jun 14
4	Kab Asahan	O	N	AL	Tata Kota		CB	IPLT	COL	n/a	P	P	P	P		Sept 14
West Java , Banten & DKI (8)																
5	Kota Bogor CoE	C	E	AL	DKP		CB	IPLT	COL	SEW	Draft	Perda	PerWal	PerWal		2012
6	Kota Bekasi	O	N	AL	Disbapemkar		CB	IPLT	COL	n/a	Perda	P	P	P		Jun 14
7	Kab Bekasi	O	N	AL	DKP		CB	IPLT	COL	n/a	P	P	P	P		Jun 14
8	Kab Bandung	O	N	AL	Dispertasih		CB	IPLT	COL	SEW	P	P	P	P		Jun 14
9	Kab. Serang	C	N	AL	DTRBP		CB	IPLT	COL	n/a	P	P	Perbup	Perbup		Oct-13
10	Kab. Lebak	O	E	AL-S	under discussion		CB	IPLT	COL	n/a	P	P	P	P		Jun 14
11	Kab. Tangerang	O	N	AL	DKP		CB	IPLT	COL	n/a	P	P	P	P		Mar 14
12	Kab. Tangerang Selatan	O	N	AL	Din tata ruang		CB	IPLT	COL	n/a	P	P	P	P		Jun 14
Central-Java (7)																
13	Kota Semarang	O	E	AL	DKP		CB	IPLT	COL	n/a	P	P	P	P		Mar 14
14	Kab. Kudus	O	N	AL	DPU-CipKATARU		CB	IPLT	COL	n/a	P	Perda	P	P		Sep 14
15	Kab. Kendal	O	N	AL	under discussion		CB	IPLT	COL	n/a	P	P	P	P		Sep 14
16	Kab Rembang	O	E	AL-S	DPU		CB	IPLT	COL	n/a	Perda	P	P	P		Sep 14
17	Kab Sukoharjo	O	E	AL-S	DPU		CB	IPLT	COL	P	Perda	P	P	P		Sep 14
18	Kab Klaten	O	E	AL-S	DPU - Bid KP			IPLT	COL	n/a	Perda	Perda	P	P		Sep 14
19	Kab. Batang	C	E	AL-S	CKTR-ESDM		CB	IPLT	COL	n/a	P	Perda	PerBup	P		Oct '13
East-Java (10)																
20	Kab. Sidoarjo	C	E	AL-S	DKP		CB	IPLT	COL	n/a	P	P	PerBup	P		Dec '13
21	Kab. Gresik	C	N	AL	PU		CB	IPLT	COL	SEW	P	P	PerBup	P		Dec '13
22	Kota Probolinggo	C	E	AL-S	BLH		CB	IPLT	COL	n/a	P	PerWal	PerWal	PerWal		2008
23	Kab. Probolinggo	O	E	AL-S	DKP		CB	IPLT	COL	SEW	P	P	P	P		Sept 14
24	Kota Mojokerto	O	N	AL	under discussion		CB	IPLT	COL	n/a	P	P	P	P		Sept 14
25	Kab. Mojokerto	O	N	AL-S	PU		CB	IPLT	COL	n/a	P	P	P	P		Sept 14
26	Kab Jombang	O	N	AL-S	PU		CB	IPLT	COL	n/a	P	P	P	P		Sept 14
27	Kota Malang CoE	C	E	AL-S	DKP			IPLT	COL	SEW	P	PerWal	PerWal	PerWal		Nov '08
28	Kab Malang	O	N	AL	PU		CB	IPLT	COL	n/a	P	P	P	P		Sept 14
29	Kota Batu	O	N	AL	PU		CB	IPLT	COL	n/a	P	P	P	P		Sept 14
South Sulawesi & Eastern Indonesia (7)																
30	Kota Makasar CoE	C	E	AL	PU		CBS	IPLT	COL	SEW	P	PerWal	PerWal	PerWal		Feb'11
31	Kab. Maros	O	N	AL	under discussion		CBS	IPLT	COL	SEW	P	P	P	P		Sept 14
32	Kab.Bantaeng	O	N	AL	KLH		CBS	IPLT	COL	n/a	P	P	P	P		Sept 14
33	Kota Pare-Pare	O	N	AL	DKP		CBS	IPLT	COL	n/a	P	P	P	P		Sept 14
34	Kab. Pinrang	O	E	AL-S	DKP		CBS	IPLT	COL	n/a	P	P	P	P		Sept 14
35	Kota Ambon	C	N	AL	DKP		P	IPLT	COL	P	P	P	PerWal	P		Sept'13
36	Kota Jayapura	O	N	AL	DKP		CBS	IPLT	COL	n/a	P	P	P	P		Jan '14
		36	23	24			27	36	36	10						
			13	12												

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