

FACILITATORS' REPORT
SSIMP SECOND IMPLEMENTATION WORKSHOP

conducted at
WERDHAPURA, SANUR, BALI

FEBRUARY 1-5, 1988

ISPAN ACTIVITY NO. 606A

ISPAN REPORT NO. 1





**IRRIGATION SUPPORT PROJECT FOR ASIA
AND THE NEAR EAST**

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International Science and Technology Institute, Inc.
Training Resources Group
The University of Arizona

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Prepared for the USAID Mission to Indonesia
and Agriculture and Rural Development Division,
Office of Technical Resources,
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by

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and
Dennis Hamilton

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A workshop the size and complexity of this one cannot be successful without the commitment and assistance of a number of people. We would first like to thank the workshop participants for their dedication, commitment, and hard work. It was indeed a wonderful experience to facilitate a workshop with participants of the caliber that we had in this Small Scale Irrigation Management Project (SSIMP) workshop.

Next, we would like to thank the USAID and Ministry of Public Works (PU) members of the workshop Steering Committee, namely, Diana Putnam, Herb Blank, Habibuddin, Aziz Bockings, Richard Howells, and Miss Julia. Their guidance and support with the planning and preparation of the workshop was an invaluable element in its success. All of these people assisted in a number of different ways that went beyond the responsibilities of the Steering Committee.

We would like to thank the members of the workshop secretariat. Ms. Oemi and Ms. Juliana worked very long hours in typing the workshop materials and then assisted with the collation and other activities. Also Miss Atty Ganda and other members of the PU support staff provided valuable assistance with the production of materials.

Finally, would like to thank the staff of the Werdhapura Training Center for their support during the workshop. The accommodations were clean, the food was good, and the service excellent.



PARTIAL LIST OF ACRONYMS

ABLN	Foreign Aid Administration
ADB	Asian Development Bank
AIP	Activity Implementation Plan
ARC	Agriculture Research Center
BAPPENAS	National Planning Body
BAPPEDA	Regional Planning Body
BI	Bank of Indonesia
BINA	Directorate of Planning and Programme
BKLN	Bureau of Foreign Affairs
DGWRD	Directorate General of Water Resources Development
DIP	Project Budget
DIPERTA	Department of Agriculture
DUP	Suggested Project Budget
GOI	Government of Indonesia
ICB	International Competitive Bid
IBRD	International Bank for Reconstruction and Development (the World Bank)
IIMI	International Institute of Management Irrigation
IRRIGASI I	Directorate of Irrigation I
IRRIGASI II	Directorate of Irrigation II (Groundwater)
ISPAN	Irrigation Support Project for Asia and the Near East
KABUG	Section Head
KANWIL	Regional Office
Ka KANWIL	Regional Office Head
LCB	Local Competitive Bid
NTB	Nusa Tenggara Barat
NTT	Nusa Tenggara Timur
O&M	Operations and Management
OKLAT	Training Center
PEMDA	Regional Government
PSC	Personal Services Contractor
PIL	Project Implementation Letter

PU Ministry of Public Works
SEKSI Section
SKB48 A recently instituted policy of the GOI which expands
the authority at regional and provincial government
levels.

SUBDIT Sub-Directorate
Ka SUBDIT Head of Sub-Directorate
SULSEL South Sulawesi
LP3ES -
USAID U.S. Agency for International Development
WUAO Water User Association Organizer

TOR TERMS OF REFERENCE



Chapter 1

INTRODUCTION

1.1 History of the Assignment

The Small Scale Irrigation Management Project (SSIMP) has been in operation since September 1985. USAID, in conjunction with the Ministry of Public Works (PU), requested assistance from the Irrigation Support Project for Asia and the Near East (ISPAN) in conducting a project review workshop in February 1988.

ISPAN responded to this request and subsequently initiated Activity Implementation Plan (AIP) 606. Following approval by the Mission of the proposed ISPAN team, Dennis Hamilton, a consultant, and John Pettit, a member of the ISPAN staff, were sent to Jakarta.

ISPAN proposed that the workshop be based on the recently completed Facilitator Guide for Conducting a Project Start-up Workshop. This guide was developed following project start-up workshops conducted in Sri Lanka and Nepal.

The goal of the SSIMP is to expand agricultural production by diversifying production, increasing cropping intensity, and improving water reliability. The intent is to design and apply irrigation technologies and management systems that support diversified cropping patterns in South Sulawesi, Nusa Tenggara Barat (NTB), and Nusa Tenggara Timur (NTT). This eight-year project is concluding its second year.

The project has the following components:

Improved Irrigation Technologies--This component mainly concerns the development of small-scale irrigation systems including the design and construction of surface diversion, low-lift pump, reservoir, and groundwater irrigation systems.

Strengthening Provincial Public Works Management--This component is intended to strengthen the public works provincial and section offices' staff and operation.

Beneficiary Participation--Organizers are used to form water user associations and promote farmer participation in site selection, site profile, layout, construction, maintenance, and management.

Special Studies--The project will support a series of special studies that will address overall policy concerns including decentralization of authority to the provincial public works, strategies for water user participation, operations and maintenance (O&M), cost recovery, and maximizing the private sector role in groundwater development.

1.2 Scope of Work

ISPAN was requested to conduct the following activities leading up to and including a project review workshop:

- Review project documentation to date and become familiar with the status and scope of the project.
- Interview USAID, central ministry, and provincial staff, as well as the members of the technical team, which includes Harza Engineering and the personal service contractors (PSC) to determine what major concerns exist about the project.
- Based upon issues resulting from interviews, design a four-day workshop to address problem areas and develop solutions.
- Conduct a project review workshop to review progress, identify and address key issues, develop a new integrated team, and produce a work plan for each provincial team.
- Develop recommendations for follow-up and discuss them with USAID and the Ministry.
- Write a report describing workshop results, activities, and recommendations.

Chapter 2

WORKSHOP PREPARATION AND PLANNING

2.1 Materials Review and Information Gathering

The actual work on this project began on January 19, 1988, when Dennis Hamilton began reviewing project documents sent by John Pettit. On January 21, Hamilton traveled to Jakarta; and on January 22, he met with USAID officials to get a current status update on the workshop plans and to formalize a list of persons to be interviewed during the data gathering phase. Appointments were made for interviews with Ministry of Public Works (PU) officials beginning on January 23. Interviews were also arranged with the USAID officials involved in the project including personnel from the Office of Finance and from Contract Management Services. The two Jakarta-based PSCs were interviewed, as was the chief-of-party of the technical assistance team.

The following questions were used in the interview sessions:

- What do you expect this workshop to achieve?
- What is your current role in the project?
- In your opinion, what do you think the benefits of the SSIMP Project will be?
- To what extent do you think your project has the commitment of your organization?
- What do you think is the role of the technical assistance team?
- What do you see as the major concerns and problems facing the project?

John Pettit arrived in Jakarta on January 25, and from that point the interviews were coordinated between the two facilitators. In addition to the interviews, a workshop Steering Committee was formed and this committee met three times before the actual start of the workshop. While most of the pre-workshop interviews were conducted in Jakarta, Hamilton did make a trip to NTB Province and conducted interviews with all 12 of the key people involved in the project there. Special interviews were held with the two PSCs from NTT Province in Bali before the start of the workshop. Also, the facilitators held special meetings with the technical assistance team and with the USAID workshop participants before the workshop began to bring them up to date on the issues that had been raised during the data-gathering phase.

A list of all the persons interviewed during the data gathering phase is included in Appendix A.

Two key points emerged from the interviews. First, it became clear very early in the data-gathering phase that this would be a complicated workshop to manage. There were nine different entities involved in the project, instead of the three or four that are normally encountered in a project start-up workshop. These entities included:

- USAID
- BINA Program
- Irrigasi I
- Irrigasi II
- Personal Services Contractors
- The Technical Assistance Team
- NTB Provincial Project personnel
- NTT Provincial Project personnel
- Sulsel Provincial Project Personnel

The second key point is that everyone we interviewed was deeply interested in the workshop and expressed the hope that it would help resolve some of the key problems facing the project. This very positive attitude was a significant factor in the outcomes achieved during the workshop.

2.2 Findings from the Data-Gathering Phase

The findings from the interview process are listed below. There were so many issues and so many questions associated with each issue that we decided to use a format in which the title of the problem is presented and a clarifying statement made. Following the statement are all the key questions that arose during the interviews. The presentation of the issues in this fashion resulted in an unusual approach to issues resolution in the workshop, which was found to be very effective.

2.2.1 Disbursement

Grant and loan disbursement procedures need clarification and agreement.

- How can we keep track of loan vs. grant funds?
- What are the expenditures in each category?

2.2.2 Site Profiles

The objectives and process of implementing the site profile portion of the project needs clarification.

- How and when will the site profiles be used in project monitoring?
- What is the nature of the involvement of the Center in the site profile process? (Center refers to Central Ministry level in Jakarta.)
- What is the nature of the involvement of the on-site technical assistance team, Harza Engineering, in the site profile process?
- What is the nature of the involvement of provincial personnel in the site profile process?
- Is it possible for the project teams with previous site profile experience to conduct some of the remaining site profiles on their own?

2.2.3 Project Monitoring

- What is meant by project monitoring?
- Who is responsible for project monitoring?
- How and when will the site profiles be used in project monitoring?

2.2.4 Role Clarification

Role assignments for all parties need to be clarified.

- How can the technical assistance team best serve as a link between Government of Indonesia (GOI) and USAID? (The team is composed of four or five consultants from Harza Engineering.)
- Harza's primary identification is with the provinces, but the firm also has a role at the Center. How should Harza carry out these roles?
- Who is responsible for making key project implementation decisions at the sub-project level?

- Who is responsible for making key project implementation decisions at the provincial level?
- Who is responsible for making key project implementation decisions at the Central Ministry Level?
- Who is responsible for making key project implementation decisions at USAID?
- What are the roles of the PSCs?

2.2.5 Tendering process

The tendering process during the pre-contract stage needs to be clarified.

- Who is responsible for the tendering process at the sub-project level?
- Who is responsible for the tendering process at the provincial level?
- Who is responsible for the tendering process at the Center?
- Who is responsible for the tendering process at USAID?

2.2.6 Project Management

In an international project such as SSIMP, there is a need for mutual involvement in overall project management.

- How do we get construction started in 1988-89?
- Is there a need for a project steering committee?
 - What would be the responsibilities of a steering committee?
 - What would be the membership of a steering committee?
- Does the Center have too much control of the project?

- What project documents must be signed at the Center?
- Should signatory power at the Center be changed?
- Should limited signatory power be assigned to the sub-project level?
- How should site profiles be used in the project design phase?
- What is the purpose of design review?
- Who should be involved in the design review phase?
- Is it possible to begin design review before site profiles are completed?

2.2.7 Reimbursement

GOI has a number of projects funded by international donor agencies including the World Bank (IBRD), the Asian Development Bank (ADB), and USAID. GOI officials feel that USAID reimbursement procedures are very complicated when compared to the other donor agencies.

- Is it possible to reconcile the differences in procedures between GOI and USAID?
- Is it possible to simplify USAID procedures?
- Is it possible to simplify GOI procedures?

2.2.8 SKB 48

The GOI has recently instituted a new policy referred to as SKB 48 which expands the authority at the regional and provincial government levels.

- What are the key provisions of SKB 48?
- What are the implications for project implementation?
- How does SKB 48 change the project implementation role of the Center?
- How does SKB 48 change the project implementation role of the provinces?

2.2.9 Procurement

The procurement process or procurement phase of any project is critical to successful implementation.

- How can we assure that GOI/USAID procedures are mutually understood?
- What are the consequences to the project of not following established procedures?
- GOI and USAID regulations for international competitive bids (ICBs) and local competitive bids (LCBs) are different. Is it possible to reconcile the differences between these sets of regulations?
- What are the advantages/disadvantages of direct appointment?
- Is direct appointment appropriate for this project?

2.2.10 Special Studies

Several special studies have been conducted or will be completed as part of this project.

- What is the purpose of these special studies?

2.2.11 Environmental Studies

GOI and USAID both have environmental impact criteria that relate to this project.

- What is the purpose of the environmental studies that are conducted for the project?
- Is it possible to develop mutually understood and agreed upon environmental procedures?

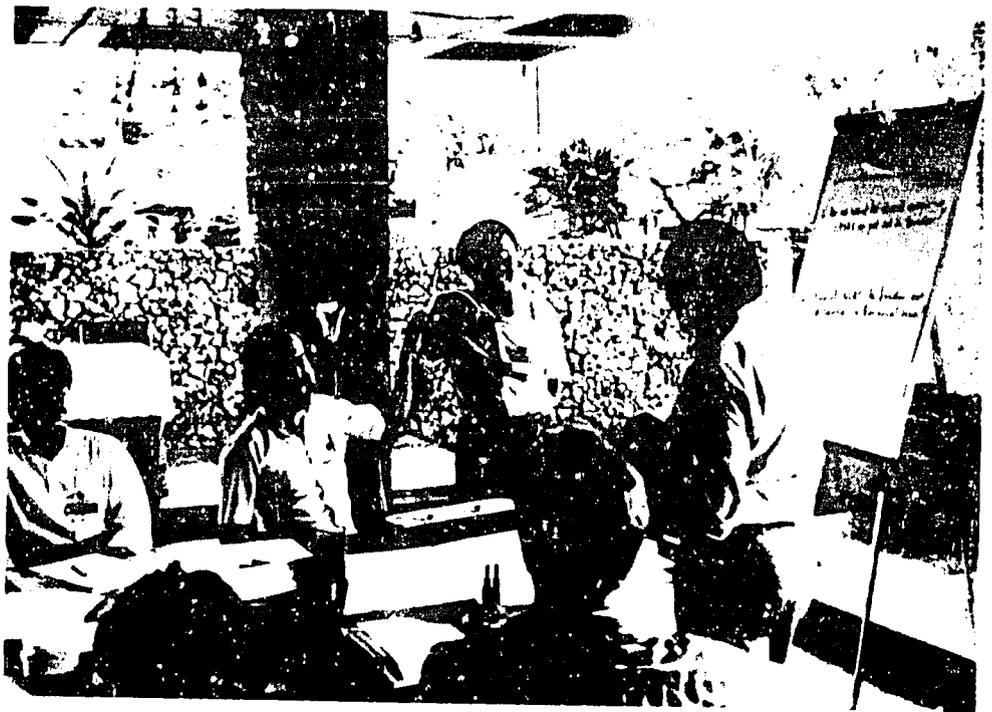
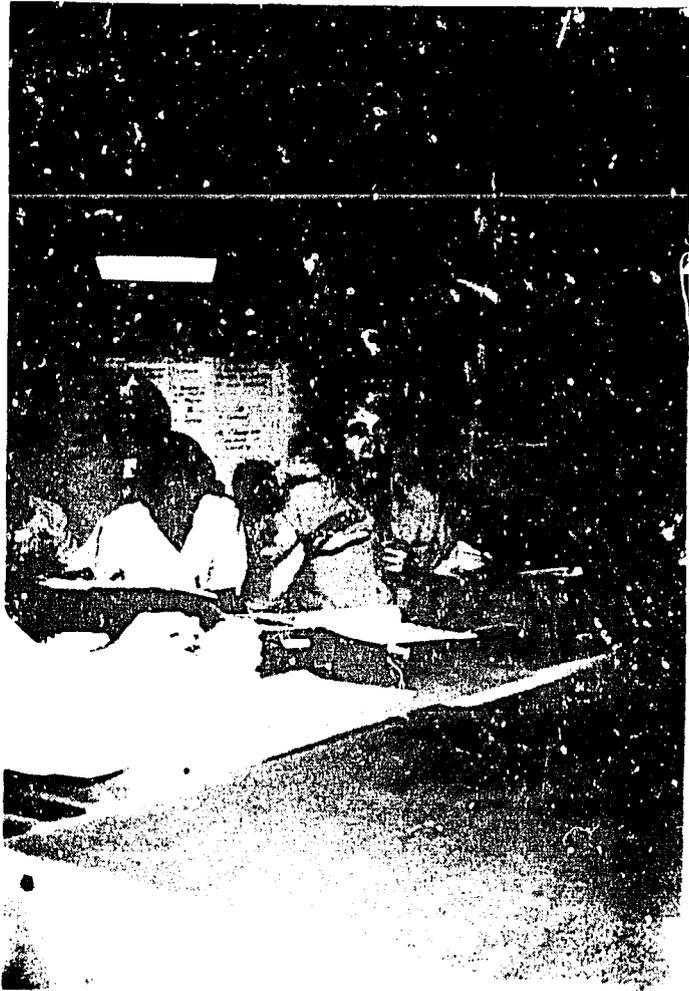
2.2.12 Water User Association Organizers (WUAOs)

The involvement of WUAOs is an important part of the SSIMP project.

- Do we want to appoint LP3ES directly or put out a tender?

- Should WUAOs be funded out of central or provincial funds?
- When and for how long should the WUAO program be implemented?
- Who will supervise the WUAOs?





Chapter 3

WORKSHOP DESIGN

3.1 Overview of the Workshop

The workshop was designed to provide participants with an opportunity to develop action plans for the next 14 months (February 1988 through March 1989) and to address a broad range of project implementation problems. Staff consisted of two facilitators, Dennis Hamilton and John Pettit, who managed the workshop and facilitated all the sessions. Support staff included two secretaries from USAID and several persons from the PU.

The workshop facility at Werdhapura provided a residential setting with sleeping quarters, meals, and snacks at breaks for most of the participants. Because of limited space, the technical assistance team, the USAID staff, and senior Indonesian officials stayed at other hotels. The residential setting encouraged interaction among the participants after hours and enabled the project teams to work together during several late evening sessions. The workshop meeting area included a large room for plenary sessions and six break-out areas. The conference room was set up with seven tables in a fan pattern. Cordless microphones and a good sound system enabled everyone to hear what was being said. The room was too small for sessions when all 70 people attended. The air conditioning could not cope with such a large group and the room was warm and stuffy after a few minutes with all of the participants present.

Over 70 persons attended the workshop. (See Appendix B for a list of participants.) At least 60 were at the conference for its entirety. A few people arrived late and others left early.

3.2 Workshop Objectives

The following objectives were developed for the workshop and endorsed by the Steering Committee:

1. To exchange current project information essential to implementing the project
2. To gain agreement on and commitment to project goals and objectives
3. To provide an opportunity for the project team to become acquainted

4. To agree on the roles and responsibilities of the technical assistance team, USAID, and other agencies in the project
5. To agree on procedures for managing the project
6. To clarify expectations for working together
7. To discuss and develop strategies for the most important issues that affect the project
8. To develop work plans (activity plans) for the next 14 months of the project.

3.3 Workshop Schedule

The basic workshop design was adapted from the format of the Facilitator Guide for Conducting a Project Start-up Workshop (WASH Technical Report No. 41). The major workshop design challenge faced by the facilitators was adapting the design to incorporate all the information that had to be shared, to address all of the issues and problems raised during the preliminary interviews, and to provide adequate time for developing new work plans. The broad sequence of workshop events was as follows for the four full days:

- | | |
|-----------|--|
| Day One | <ul style="list-style-type: none"> ● Establish a basis of common information about the project. ● Begin to address management roles in the project. |
| Day Two | <ul style="list-style-type: none"> ● Analyze the major problems facing the project and make recommendations for solving these problems. |
| Day Three | <ul style="list-style-type: none"> ● Continue to analyze problems and make recommendations. ● Begin developing work plans. |
| Day Four | <ul style="list-style-type: none"> ● Develop work plans. ● Present work plans, agreements, and recommendations to senior management for endorsement. |

The workshop schedule included the following sequence of activities:

Monday, February 1

Session 1: Opening and Introduction to the Workshop

Session 2: Getting to Know Each Other

Tuesday, February 2

Session 3: Official Opening Ceremony

Dr. Soebandi, Director General of Water Resources Development, PU (Ministry of Public Works)
Marc Winter, Director, Agriculture and Rural Development, USAID

Session 4: Keynote Address

Dr. Hammond Murray Rust, Director of the International Institute of Management Irrigation (IIMI), Indonesia

Session 5: Sharing Project Information

Diana Putnam, Project Officer, USAID
Ir. H. Abd. Yantahin, Dipl. HE, Sulsel
Ir. Ismara P. Sihombing, NTT
Ir. H. Masnun, NTB
Eric Wills, Harza
Richard Howells, PSC

Session 6: Overview of Facilitators' Findings

Session 7: Expectations and Agreements about How to Manage the Project

Wednesday, February 3

Session 8: Environmental Assessments

Session 9: Discussion of Key Project Issues

Procurement: An Overview (plenary session)
Round One of Small Group Meetings on Issues

- Procurement Problems
- SKB 48/Reimbursement/Disbursement

- Project Management and Monitoring
- Project Management Roles and Responsibilities
- Site Profiles

Round One Group Reports

Round Two of Small Group Meetings on Issues

- Procurement Strategies
- SKB 48/Reimbursement/Disbursement
- Project Management and Monitoring
- Project Management Roles and Responsibilities
- Water User Association Organizers (WUAOs)

Thursday, February 4

Session 9: (Continued)

Round Two Group Reports

Session 10: Developing Work Plans for Provincial Projects

Friday, February 5

Session 10: (Continued)

Session 11: Presentation and Review of Work Plans

Three provincial project teams presented work plans to a panel of senior Public Works officials, USAID Staff members, and technical assistance staff.

Session 12: Evaluation of the Workshop

Session 13: Closing Ceremony

3.4 Description of the Sessions

Monday Evening

The first session provided participants with an overview of the workshop process and where the objectives of the workshop would be addressed in the schedule. The session ended with an explanation of workshop norms (active participation, using communication skills, respecting the views of others, etc.). This was followed by a climate-setting activity in which participants met in seven groups, introduced themselves to each other, and stated their experiences and background related to the project, plus hobbies and interests. This information, along with each person's name, was presented on a flip chart by a spokesperson for each group.

Tuesday Morning

The official opening ceremony consisted of welcoming remarks by Ir. Habibuddin Syafei Simanungkir, head of the Education and Training Division of the DGWRD of the Ministry of Public Works. He was followed by Marc Winter, who placed SSIMP in the context of USAID's overall commitment to irrigation in the region. Ir. Soebandi Wirosomarto, Director General of Water Resources Development (WRD), set the tone for the workshop by saying that everyone should take advantage of this opportunity to solve the problems that were holding the project back. The remainder of the morning and the first part of the afternoon were dedicated to sharing project information. Each of the people listed above in the schedule provided 10- to 15-minute presentations on their perspective of the project.

Using flipcharts and handouts, the facilitators then presented the results of the interviews conducted during the data-gathering phase of the workshop preparation (see Section 2.2). After clarifying questions about the issues, the facilitators pointed out where these issues would be addressed in the workshop.

The rest of the afternoon was devoted to an extensive, multi-layered exchange of expectations. During the discussion sessions, the groups representing specific project entities listed their management expectations of the other project groups. These were all combined in a matrix which was later used by a select committee (see Section 4.4 for more details).

Wednesday

Ch. Nasri and Herb Blank started the day by identifying how environmental assessments should be done in order to fulfill the legal requirements of both the GOI and the USAID.

Next, due to the concerns raised by nearly everyone who was interviewed before the workshop, a special plenary session on procurement was held by specialists from the Ministry and USAID. The rest of the day and part of the following morning were devoted to coming up with recommendations and answers to a number of critical questions associated with each of the six issues as listed in 4.3.

Thursday

Following the wrap up of the issues session, the participants were organized into a number of project-specific work groups for the purpose of doing 14-month work plans (see Appendix C). One set of work groups included the project managers from the three provinces, the members of the technical assistance team assigned to the provinces, and the PSCs. Another set included the Directorates of IRRIGASI I, IRRIGASI II and the BINA program. For the first hour and a half, the provincial teams identified the major tasks they hoped to complete within the next 14 months. During this same time, the Directorates and BINA personnel met to consider from the ministry perspective what the provinces should be trying to accomplish during this period. Next, the provincial teams met with the appropriate directorate personnel, shared their lists of major tasks and negotiated a mutually agreed set of tasks for the next 14 months.

While the provincial teams and directorate personnel were focusing on the major work plan tasks, four other groups were meeting on totally different topics. (See Section 4.2.6). One was a special task force of Ministry and USAID officials who:

- Identified all the people who should be given signatory power for SSIMP.
- Identified the offices and individuals responsible for the 12 main SSIMP activities.
- Developed a practical matrix for keeping track of responsibilities, groups and activities.
- Completed coordination charts for every level of the project.

A second group made up of members of the provincial regional planning body (BAPPEDA) and Agriculture Ministry staff developed recommendations on how better coordination could be achieved at the provincial level by SSIMP and respective ministries.

A third group developed a procurement plan that details the sequence of events and timing for every level of project procurement (see Section 4.2.5 and Appendix F).

Finally, a major budget analysis was done to demonstrate the gaps between the original cost estimates and the proposed revisions (see Appendix E).

For the rest of the afternoon and into the evening the provincial teams developed action steps for each major task, assigned starting and ending dates, and identified the individuals who are responsible for each step. The work plans developed by these provincial teams are found in Appendix D.

Friday

To facilitate the review process and provide an opportunity to get senior staff input to provincial project plans, a special review panel was set up. This eight-person team was composed of people from the PU central office, the technical assistance team and USAID. At one-hour intervals, each provincial team used flipcharts and overhead projector slides to present the following:

- the list of major project tasks in the province
- an example of one or two detailed action plans
- a list of the two or three most pressing problems they face in implementing the action plans.

The afternoon session began with the assistant director general's presentation of the recommendations made by the special task force groups. This was followed by a presentation of the revised cost estimates. Finally, the evaluation forms were distributed and completed.

The closing ceremony included remarks by Mr. Habibuddin, Mr. Herb Blank, and Mr. Sarbini. The essence of their remarks was that the workshop had been very successful and that we all have a desire to follow through with the implementation of the decisions and recommendations made during the workshop.

3.5 Notes on the Debriefing

In a debriefing meeting with Director General Soebandi, Mr. Sarbini reviewed the workshop outcomes list and indicated general agreement among the participants on successful completion of all objectives.

There was discussion of a suggested budget revision to change the counterpart funding ratio to 100 percent financing for design work and 75/25 for construction. USAID will respond to Soebandi's earlier letter, but the revision suggested by Pryone will require serious analysis and revision.

An overview of the work plan format was introduced in the workshop, and an agreement was reached to send out a series of letters to the participants with relevant materials from the workshop. (These materials can be simplified and perhaps translated.)

Mr. Sarbini showed Director General Soebandi the organization chart for the project and discussed the working group membership and responsibilities.

There was a discussion of follow-up actions which include:

follow-up procurement work

process for Earmark and Commit project implementation letters (PILs)

SKB 48 signatory powers, letter of explanation, and information to provinces.

It was recognized that there will not be any construction this year. The workshop makes the entire process much more clear, work plans make the reality of getting things done more obvious, and it takes longer than we think.

Director General Soebandi said, "The most important work is ahead. We may need another workshop next year." Another working group meeting was set for March 1.



Chapter 4

WORKSHOP OUTCOMES

4.1 Observations of the Workshop Process

Bringing together all of the parties that needed to be involved in this workshop was difficult at best. However, nearly everyone arrived in Bali by February 1. An informal session was held that evening to give the participants an overview of the workshop and to begin the process of getting acquainted. For many of the participants, especially the technical assistance team and the new USAID project officer, Herb Blank, the workshop came at a very advantageous time. Having the opportunity to meet and work with all the key Indonesian personnel involved in the project so soon after their arrival in Indonesia was a real benefit for the future management of the project.

As mentioned above, this was a very difficult workshop to manage. At times, more than 60 participants were involved. They represented more than 10 major agencies, some with Center, regional, and provincial representatives. It is due to the sincere interest and commitment of the participants that so much was accomplished during the workshop. Nearly every night of the week, small groups of people worked until past 11:00 on workshop assignments. The support staff often worked until after 1:00 a.m. An extraordinary amount of information was generated and shared during this workshop. More than 21,000 pieces of material were photocopied, collated, hole punched, and stapled so that, as the workshop proceeded, participants could have copies of the materials they had developed to use in subsequent sessions.

Relationships between and among USAID, GOI, PSC and technical assistance team members were developed and/or strengthened. Everyone worked together in a wonderful spirit of cooperation and collaboration. Traditional Indonesian status barriers, which often result in only the senior persons speaking on an issue, dissolved significantly during the five days of the workshop. Everyone played an active role in the workshop activities and discussions.

4.2 Major Recommendations Resulting from the Workshop

The following recommendations were developed by small groups of SSIMP participants and reviewed with and agreed upon by the entire group of participants. These recommendations require immediate attention and resolution among the parties concerned, if the project is to move ahead with as much speed as possible.

The recommendations are presented as follows: First the title of the issues category is given. The question that was addressed follows. Finally, the recommendation itself is presented.

4.2.1 Project Management Issues

Is there a need for a project management team?

Recommendation:

There is no need for a project management team. It is recommended that the existing GOI institutions are adequate to manage the project. The institutions are as follows:

1. At the national level: BAPPENAS, through the chief, Bureau of Agriculture and Irrigation, is responsible for overall project management.
2. Coordination within the DGWRD will be done by the assistant director general for Irrigation Development.
3. At the provincial level, responsibility for project management rests with the governor/chief of BAPPEDA.

4.2.2 Reimbursement

GOI has a number of projects funded by international donor agencies including the IBRD, ADB, and USAID. GOI officials feel that USAID reimbursement procedures are very complicated when compared to the other donor agencies.

Is it possible to reconcile the differences in procedures between GOI and USAID?

Recommendation:

- It was requested that USAID's Earmark Project Implementation Letters (PILs) and Commit PILs be submitted at the same time. It is possible under some circumstances for Earmark and Commit PILs to be submitted simultaneously. It is important for USAID to outline these circumstances and forward them to all project managers and other PU offices.
- The Earmark PIL for 1988/89 should be finalized in April 1988, based on the (Project budget?) DIP 1988/89.

Actions to be taken:

- Request for Earmark PILs should be submitted by the project manager in mid-March 1988. (A copy of this PIL should be sent to the directorate concerned.)
- USAID will issue Earmark PIL by early April.
- In order to speed up the disbursement process, it is recommended that:

A standardized document be prepared by mid-March with guidelines based on the reconciliation of SKB 48 and USAID procedures.

A two-day disbursement course be held for project financial officers and/or other related officials from the Directorate, Bank of Indonesia, Ministry of Finance, and USAID. The course content would be:

- a. an introduction to the regulations, procedures, and manuals or materials
 - b. exercises that give participants experience in completing the new standardized form and all supporting documents
 - c. discussions of the reporting and monitoring procedures of the loan and of GOI expenditures
- Consultation meetings between DGWRD will be held monthly in Jakarta for a minimum of three months to monitor and evaluate the disbursement process.
 - USAID quarterly financial statements regarding direct payment or reimbursement will be forwarded to DGWRD for monitoring purposes.
 - Additional authorized signatory persons including all project managers in South Sulawesi, NTB, and NTT which have been proposed to BAPPENAS should be finalized before the end of March 1988.
 - It is expected that Commit PILs will be issued by USAID not more than two weeks after they are received.
 - To speed up the issuance of the PIL by USAID, it is recommended that USAID approve the standard GOI contract in advance.

4.2.3 Disbursement

Grant and loan disbursement procedures need clarification and agreement.

How can we keep track of loan vs. grant funds?

Recommendation:

- Based on the project accounting system procedures, the project manager (DIP Hler) will prepare a separate record for this loan expenditure.
- USAID is requested to inform GOI (DGWRD) of the consolidate loan expenditure on a quarterly basis.

4.2.4 SKB 48

What are the implications for project implementation?

Recommended actions to speed up payment:

- Send a letter to USAID concerning the authorized representative for reimbursement and disbursement.
- For PILs request and direct payment approval, the authorized representative is the project manager.
- Contact the Bank of Indonesia for reimbursement application (financial report) and countersigning for direct payment application.

4.2.5 Procurement/Tendering Process

How can we assure that GOI/USAID procedures are mutually understood?

Recommendation:

- GOI and USAID should prepare a set of procedural flowcharts. Procedures will then be understood and agreeable to both bodies. Sample flowcharts appear in Appendix F.

GOI/USAID regulations for ICBs and LCBs are different. Is it possible to reconcile the difference in these sets of procedures?

Recommendation:

- For tender sizing for construction contracts below US \$500,000, a blanket waiver should be issued for LCBs in this project. (If this is agreed to, the overall administration process will be simplified.)

The process would be as follows:

DGWRD requests USAID to issue the required blanket waivers on a project-by-project basis, with all justifications for equipment, consultant, and construction services.

Is direct appointment appropriate for this project?

Recommendation:

- Direct appointment is appropriate under certain circumstances such as:
 - a. additional works
 - b. follow-on works
 - c. single source suppliers
 - d. natural disaster works
 - e. rapid order works.

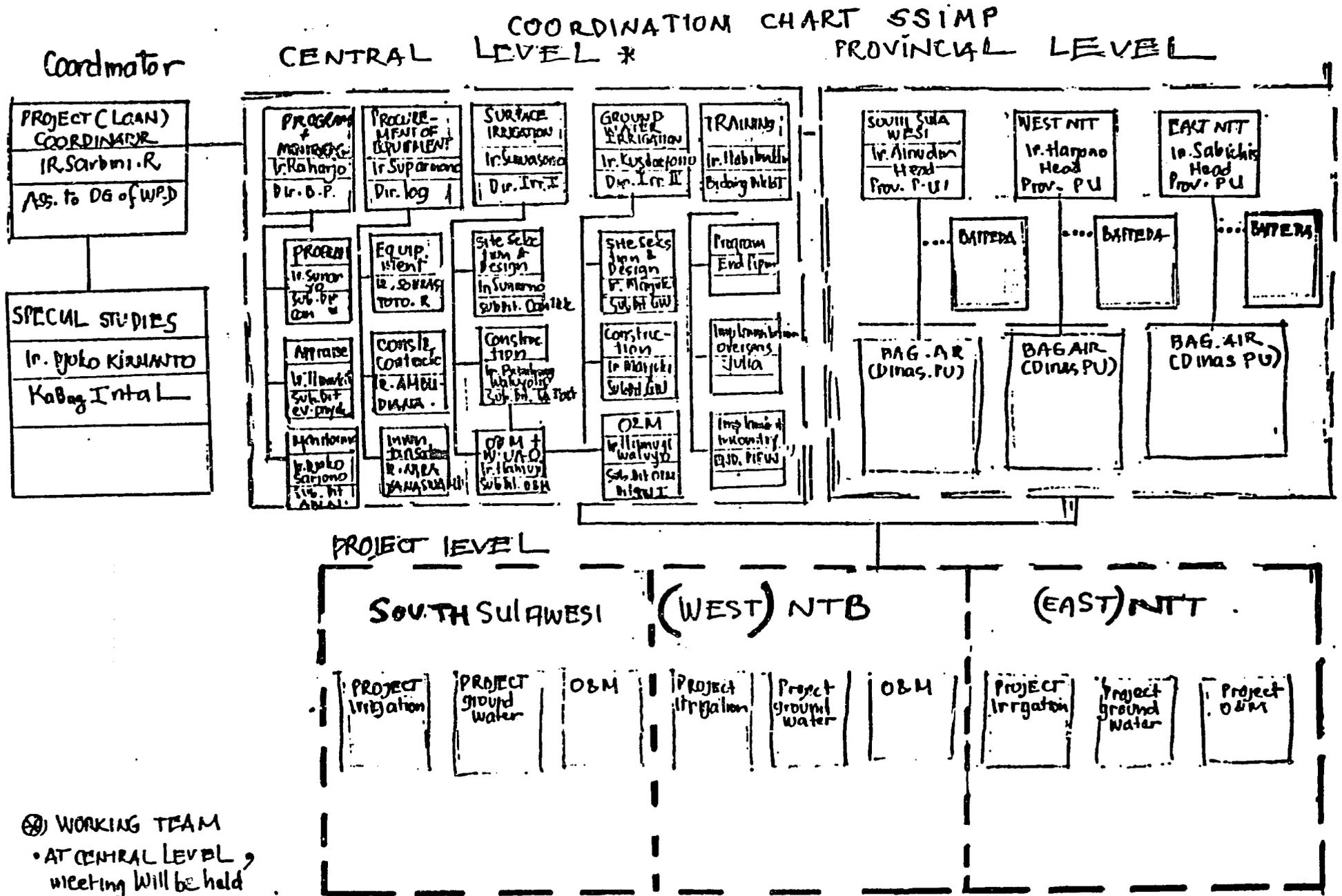
4.2.6 Special Task Force Recommendations

In addition to the recommendations above, two special task forces were formed to prepare recommendations on the other project-related issues. These recommendations are outlined below.

A special group composed of Agriculture and BAPPEDA personnel was formed to discuss how better coordination in the SSIMP can be achieved between the provincial level and central ministries. The group's recommendations are as follows:

Better Coordination can be achieved by establishing a coordination team through a decree by the governor. This team would be headed by the provincial (TKt. I) and/or Kabupaten (TKt) BAPPEDAS. (See Figure 1.)

Figure 1



⊗ WORKING TEAM
 • AT CENTRAL LEVEL, meeting will be held regularly (monthly)

- Membership of the team should include representatives of:
 - PU/SSIMP Project
 - Agriculture (Dinas)
 - Agriculture Center (Balitan)
 - Agraria
 - BAPPEDA
 - Others.
- The coordination team would help solve problems that arise at all stages of the project (planning, implementation, etc.).
- The coordination team should meet at regular periods.
- The coordination team should make field visits.
- It is also necessary to have:
 - Training for farmers through P3A (Water User's Associations)
 - Demonstration Areas (DEMAREA).

A group of senior PU and USAID officials was formed to develop recommendations on a number of issues. They recommended that the following PU Center people be given signatory powers for SSIMP and that this group serve as the PU coordinating team for the project:

- Assistant Director General (Sarbini)
- Director of IRRIGASI I (Soewasono)
- Director of IRRIGASI II (Koesdaryono)
- Director of the BINA program (Richardjo)
- Assistant Director of IRRIGASI I (Gatot Sunaryo)
- Assistant Director of IRRIGASI II (Hoedadi)
- Assistant Director of the BINA program (Tata Sukarta)

In addition to the above list of those with signatory powers, the senior policy group agreed on a working team within the PU to coordinate all project activities. These personnel, their responsibilities, and their officers are listed on the following two pages. (See Figure 2.)

Figure 2

WORKING TEAM FOR SSIMP

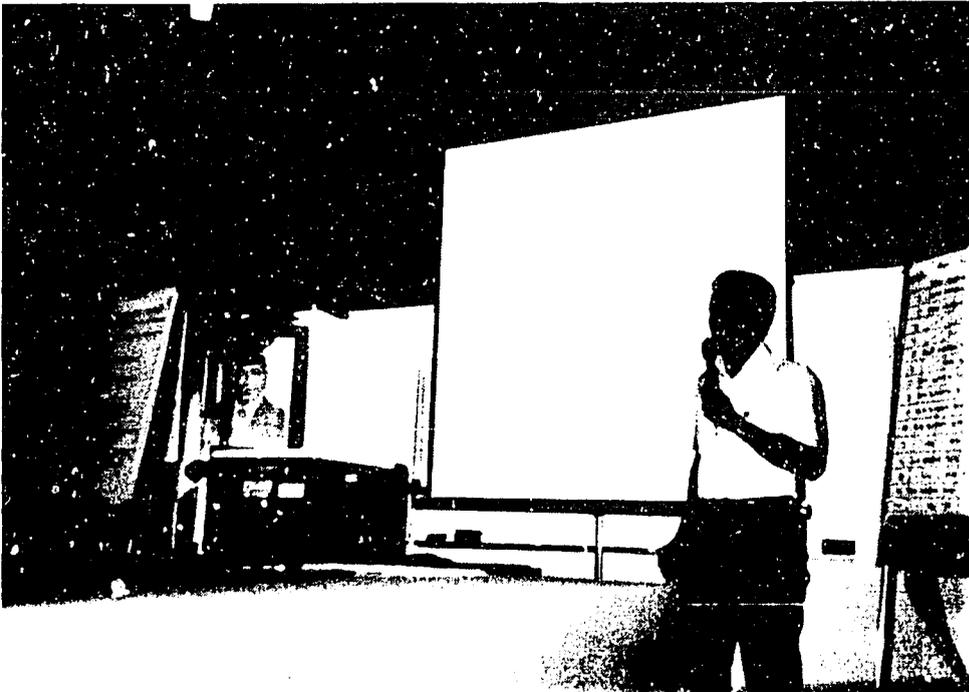
Recommendation - Special Task Force

Responsible Individuals

<u>Activity</u>	<u>Directorate</u>	<u>Office and Person Responsible</u>
1. Site Selection	- Surface Water	DOI - I: SDPD Soenarno - Sukrisno
	- Groundwater	DOI-II : SDGWD Marzuki - Suratmo
2. Project Monitoring	- Surface Water Physical construction:	DOI-I Binlak East Bambang Waluyono Giovani - NTB Mansoer - SulSel
	Financial	: T.U Gatot Scenaryo - Wayan
	- Groundwater Physical Construction:	DOI-II SDGWD Marzuki- Suratmo
	Financial	: T.U. Hoedadi - Usman
3. System Design Review (guidance only)	- Surface Water	DOI-I SDPD Soenarno - Sukrisno
	- Groundwater	- DOI-II: SDGWD Marzuki-Suratmo
4... Construction Surface System:		DOI-I: Binlak East Bambang Waluyono Giovani - NTB Mansoer - SulSel
5. O&M	- Surface water	DOI-I SD O&M Hamudji - Suseno
	- Groundwater	DOI-II SD O&M Winarno Santopurnomo
6. Construction Groundwater		DOI-II: SDGWD Marzuki - Suratmo

Figure 2 (cont.)

7. Procurement DO Logistics - see procurement group recommendations
8. Training Secretariate: Diklat
Habibuddin -
E. Pipin
9. WUAO Surface Water DOI-I: SD O&M
Hamudji - Suseno
Groundwater (not addressed yet)
10. Special Studies Asistant Dir.General
Sarhini R.
Djoko Kirmanto
11. Budgetting and Financial Tracking: DBP
Budgetting: P3 Sunaryo SD
Financial
Tracking: ABLN Djoko Sardjono
Aziz Bockings
12. Land Acquisition: Project Manager in provinces



Another very significant accomplishment of the senior task force group was the development of a project management matrix that identifies 12 major project activities, the PU center offices that are involved, and their specific responsibilities. (See Figure 3.) The matrix section entitled "Procurement" was left blank pending the development of working agreements between USAID and GOI. A specific set of recommendations and flow charts was developed for procurement procedures and a process outlined for reconciling the differences in GOI and USAID procurement procedures (see Section 4.2.5 and Appendix F). The project management matrix is found on the following pages.

4.3 Compilation of Major Project Issue Agreements, Recommendations, and Information

As was mentioned in section 2.3, the major project issues to be considered in this workshop were presented as a series of questions to be answered during the workshop (Appendix G). Appendix G contains a complete set of the responses to all these questions. The recommendations found in these responses have been combined with those of the special senior task force, the Agriculture/BAPPEDA group, the procurement group, and the reimbursement and disbursement group. Two things should be noted about the presentation in Appendix G: Some of the answers to the issues questions were not ones that required agreement; they were questions for which specific information was required. The other point is that, in order to deal efficiently with all of the issues, the project issues questions were assigned to groups. The answers these groups developed were all presented to plenary sessions of the workshop and were agreed to by all the participants. The agreements reached are presented in Appendix G in the following order:

- Policy issues
- SKB 48/reimbursement/disbursement
- Project management and monitoring issues
- Procurement issues
- Site profile issues
- Water User Association Organizer issues

Figure 3

Responsible and Coordinating Organizations

ACTIVITY	PU PUSAT					
	DOI-I	DOI-II	DPP	LOGISTIK	SEKRET	ASST.D.G
Site Selection	Sub.Dit Planning & Design	Sub.Dit. Ground- water	x	-	-	-
Project Monitoring	1.SubDit a.Kon / TU b.physic c.Fin.	1.SubDit Ground water 2.Tata Usaha	x	Tata Usaha	x	x
System Review Design	Sub.Dit Planning & Design	Sub.Dit. Ground- water	-	-	-	-
Constr. Surface Water	Einlak East	-	-	-	-	-
O & M	Sub.Dit O & M	Sub.Dit. 1.O&M 2.Ground water	-	-	-	-
Construction Ground-water	-	Sub.Dit Ground water	-	-	-	-
Procurement						
Training	x	x	x	-	DIKLAT	x
WUAO	Sub.Dit. O&M	?	-	-	-	-
Special Studies	x	x	x	-	x	Asst.DG responsi ble
Budgeting & Financial Tracking	x	x	Planning P3 Bdgt Tracking ABLN		x	x
Land Acquisition	x	x	-	-	x	-

x = Organization with a coordinating role.

Names in the boxes indicate that organization has the primary responsibility for the activity.

Figure 3 (cont.)

ACTIVITY	PROVINSI					
	BAPPEDA	KANWIL	DINAS PENGAI- RAN	DIPERTA	AGRARIA	KOPERASI
Site Selection	x	x	x	-	-	-
Project Monitoring	x	x	PIMPRO			
System Design Review	-	-	PIMPRO			
Construction Surface Water Systems	-	-	PIMPRO	-	-	-
O & M	-	-	SUB - DINAS	x	-	Ground Water
Construction Groundwater systems	-	-	PIMPRO	-	-	-
Procurement						
Training	-	x	-	-	-	-
WUAO	BUPATI	-	PIMPRO	x	-	-
Special Studies	-	x	x	-	-	-
Budgetting & Financial Tracking	-	-	x	-	-	-
Land Acquisition	BUPATI	x	PIMPRO	-	x	-

4.4 Project Management Expectations

One of the key issues of the SSIMP workshop was to help clarify the roles and responsibilities of all the personnel involved in the project. A great deal of progress was made on this issue. Roles and responsibilities of the key personnel at PU center are outlined in Figure 2. The work plans or activity plans that were drawn up in the last day and a half of the workshop identify the key personnel that are responsible for the implementation of specific project activities over the next 14 months. In addition, there was a need to clarify the expectations each of the main agencies or institutions had of the other entities. In order to handle this very complex activity in the most efficient manner, we combined all of the entities at PU Center into one group and combined the provinces into a second group. These groups, plus USAID, the PSCs, and the technical assistance team each then prepared a separate list of expectations of the other groups. A select committee was then assigned the responsibility of refining these expectations and then negotiating agreement on the expectations with the other entities. Due to the heavy workload and the lack of time available, these lists of recommendations, while presented in a plenary session for review, did not receive the thorough discussion they may require.

For each pairing of agencies or institutions, the expectations of one about the other are presented in the form of answers to a series of seven questions. Then, for that same pairing, the expectations of the second party are presented. The following pairings of agencies are presented in Appendix H:

- USAID expectations of PU/PU of USAID
- Provincial expectations of USAID/USAID of the Provinces
- Provincial expectations of the technical assistance team/technical assistance team of the Provinces
- PU Center expectations of the Province/Provincial of PU Center
- PU expectations of the technical assistance team/technical assistance team of PU
- Technical assistance team expectations of USAID/USAID of the technical assistance team.



Chapter 5

WORKSHOP EVALUATION

At the conclusion of the workshop, a sense of accomplishment prevailed. Participants had shared information about the project, developed recommendations for future action, reached agreement on several key issues, and developed work plans for major project tasks in each province for the next 14 months.

Individual participants learned useful techniques for planning and working in groups. Fifty-eight participants completed the evaluation form at the end of the workshop. They rated the degree of achievement of the workshop objectives as follows:

5.1	<u>Workshop Objectives</u>	percent achieved
1.	To exchange current project information essential to implementing the project	77.5
2.	To gain agreement on and commitment to project goals and objectives	80.4
3.	To provide an opportunity for the project team to become acquainted	93.4
4.	To agree on the roles and responsibilities of the technical assistance team, USAID, and the other agencies in the project	66.7
5.	To agree on procedures for managing the project	84.5
6.	To clarify expectations for working together	82.0
7.	To discuss and develop strategies for the most important issues that affect the project	84.2
8.	To develop work plans (activity plans) for the next 14 months of the project.	71.3
5.2	<u>Opinions and Feedback</u>	
1.	What do you think has been the most important benefit of this workshop?	
-	Everybody who participated in the workshop learned what, how, and when he has to do the activities associated with the project.	

- Familiarizing the PU Propinsi head with the current project status.
- Meeting and becoming acquainted with the different people working in the project.
- Clarifying the problems and the targets of the project.
- We gained agreement and commitment to project goals.
- Exchange views and information.
- Our team met together to discuss the problems of SSIMP.
- The roles and responsibilities of the technical assistance team, USAID and the other agencies involved in the project.
- Getting senior-level personnel to sit down and focus on major issues.
- Kindle and re-ignite interest in the project.
- Dissolution of some barriers between PU directorates and others.
- Raise crucial project issues with the relevant parties.
- Agreement on revision of project goals and objectives.
- Agreement on procedures (disbursement and procurement).
- Work plans.
- Gathering together the many project "decision makers" at one time to try to understand the present direction of the project and to try to set it in motion.
- Opening lines of communication.
- Clarifying expectation of working together.
- Decisions on each issue.

2. What workshop activity was most useful?

- Collecting the problem questions and answering them together.
- Identifying the key issues to be resolved.
- Small group sessions on policy and management, large group discussion and expectations.
- Work plans.
- Procurement.
- All the discussion items presented.
- Exchange information and discussion are the most valuable along with the exercises.
- Discussion of the key project issues and developing work plans.
- Procurement and other special issues sessions.
- Open discussion sessions.
- Involvement of the PU officials and consultants in the work planning process together.
- Discussion of the key project issues, particularly those relating administrative procedures and the organizational set-up.
- Preparation of realistic work plans.
- General understanding (although not complete agreement) on the steps required to implement the project.
- Policy, management, and work group sessions.

3. Do you believe there are unresolved issues that should be dealt with in the follow-up activities?

- Yes, hundreds.
- Oh, my, yes! There were lots of players from far away. Another day or two would have been fine.
- No.
- Some clarification is still required.

- Maybe 30 percent are still unresolved, for example, the site profiles and the tasks of the technical assistance team.
- Work plans.
- WUAOs.
- Some key issues, regarding procurement and extent of provincial authority.
- Work plans were prepared hastily and without enough background and thought. This is fine unless the plans are then to be used as binding documents. The process might ideally involve other members of local PU offices who were not in the workshop. The project managers should not dictate the course of the project. Work planning should be a process that involves key staff at the provincial level. Suggestion: work plans be treated by all as an exercise only to get provinces thinking about future activities.
- It would be better if reproduction of important materials could be speeded up. (Facilitator's note: this person must be kidding.)
- Yes. In this workshop there is no real decision maker.
- Yes. In the working team (see section 4.2.6) USAID and the technical assistance team should be members and attend the monthly meetings.
- Policies, management, and work plans.
- Allocation for the 1988/89 fiscal year.

4. What comments do you have about the workshop arrangements and accommodations?

- Not bad, but since the workshop is conducted in a tourist area, one day should have been set aside for seeing the island.
- Snacks should have been provided in the evening, since so many people worked late.
- Good.

- Satisfactory.
 - Adequate.
 - If possible, provide a list of participants with titles, positions to which participants can refer from the beginning of the workshop. Number documents provided during the conference to enable the participants to keep track of them more easily.
 - Fine! Excellent turn-around on materials.
 - Arrangements and accommodations were excellent.
5. The facilitators would appreciate it if you would comment on their performance. (What did they do well? What could be improved?).
- Very professional (but only slightly less effective than if they had an engineering background).
 - Suggest the use of PCs (personal computers) for compiling data. This would allow future revisions/analysis by us without inputting separately. (Facilitator's note: PCs were used. The limitation was human not mechanical or electronic.)
 - You did very well. Impressive grasp of a lot of different information in a very short time.
 - Excellent!
 - You were both excellent, but it would have been better if you both had a better grasp of Indonesian and USAID regulations.
 - Good facilitators. We would like to see you in follow-up programs.
 - Very good. There were minor matters that could be improved. For example: Time allocation and entertainment, such as film or other show.
 - Excellent job! You kept your cool! A few things could have been better adapted to the Indonesian situation. Need three to four additional days of prep time and more discussion in advance with "Indonesian hands."

- Good job with some very difficult tasks. You did a good job of not letting the discussion deteriorate or stagnate. Due to the highly diverse nature of the parties and hierarchies, I think it was a difficult task to bring about integration and agreement in this many issues.
- You were excellent. It would have been useful to have had an additional day of follow-up to discuss the differences in expectations, implications of policy changes, etc.
- Good organization, movement (pace), and handling of the facilitator's role in a situation where language barriers were present. As good as could be expected.
- Facilitators should have explained more clearly how the basic information was going to be used.
- Excellent comprehension of issues in an extremely short time.
- Did a good job of moving things along.
- Very capable, professional people. Excellent personalities for the work required. Lack of specific familiarity with irrigation, engineering matters, however, prevented them from more effectively leading the workshop to a resolution of the most important matters.
- Excellent and Thank You!



Chapter 6

FACILITATORS' CONCLUSIONS AND RECOMMENDATIONS

6.1 Conclusions

- 1) We feel that the interest and willingness to work on the issues facing the project that we found during the data-gathering phase were continued throughout the workshop. It appears to us that the workshop re-energized interest in the project. The hard work that was done during the workshop by all of the participants left everyone with a strong sense of accomplishment.
- 2) The relationships that were developed or enhanced during the workshop sessions, combined with a serious commitment by all parties concerned, can lead to the resolution of remaining issues. Furthermore, the relationships that were established between agencies and individuals can make the process of resolving future issues that arise much easier. We think it is very important to maintain and continue to develop these relationships.
- 3) This is a very complex project in many ways. It involves several kinds of water resource development efforts, several different institutional entities, and several levels of GOI and USAID officials. The need to maintain open lines of communication and to share project-related information is crucial. The spirit of collaboration and mutuality that characterized the workshop, if continued in the day-to-day operations of the agencies involved, can maintain and strengthen the information sharing process.
- 4) Had the workshop been held earlier, perhaps in December, the practical usefulness of the workshop activities would have been more evident. The provincial project personnel could then have used the work plans that were begun in the workshop to prepare budget proposals (DUPs) for FY88/89. The process of preparing the work plans, with many of the key project personnel from USAID, the technical assistance team, and GOI working together, was very valuable for everyone.
- 5) All of the questions raised during the data-gathering phase were addressed during the workshop. Some were answered through the process of sharing information and developing a common understanding about the project; some questions were answered by arriving at agreements on key issues; other issues, which could not be resolved immediately during the workshop, were dealt with through

the development of recommendations for future actions. That we were able to get through so many questions and issues is a credit to the commitment of the participants.

- 6) A key factor in the success of the workshop was the attendance and active participation of many PU and USAID decision makers. A number of issues were dealt with very quickly and effectively, because the people in positions to make decisions were present at the workshop. Another key factor was the willingness of these senior people to listen to the perspectives and opinions of subordinates. Our request that everyone participate actively was supported and encouraged.

6.2 Recommendations

- 1) There now exists a spirit of accomplishment following the successful resolution of many difficult project issues. There are several issues that remain to be resolved. Recommendations for many of these remaining issues have been developed. We strongly believe that these recommendations should be dealt with seriously and as soon as possible. Specifically, the following issues need immediate attention:
 - Formalizing the assignment of the PU working team to handle SSIMP-related matters.
 - Formalizing the recommendations identifying those persons at PU Center who should have signatory powers for the SSIMP.
 - Formalizing the agreements and/or recommendations reached on procurement, reimbursement, and disbursement, including the recommendations for developing standardized forms and conducting a short training course for USAID, PU Center and project staff in how to use the forms.
 - Formalizing the provisions of SKB 48 that were agreed to at the workshop which give limited signatory powers to the project and sub-project managers in the provinces and the official notification to these people of these policy enactments.
- 2) We recommend that serious consideration be given to providing a training course in project planning and project management for SSIMP personnel at the provincial and project levels, to building on the skills that were introduced in the workshop related to the development of work plans, and to spreading these skills among the entire

project team in each project site. Project planning should be a team effort; and, while the participants in the workshop were introduced to a different approach for developing work plans, the other personnel in the project sites should also learn and participate in the planning process. In order to maximize the effectiveness of such a course, it should be conducted in August or September of 1988 so that the skills developed can be applied to the planning for FY89/90. ISPAN is willing to develop a detailed proposal for such a training course.

- 3) An issue that was not discussed at the workshop but that deserves some serious attention is the preparation for the return to the project of those persons who have been sent overseas for master's degree courses. An orientation workshop for these people to bring them up to speed with where the project is at the time of their return will greatly enhance their effectiveness in the project implementation process. In addition, a brief workshop should also be held for the people who will supervise these returning staff. These workshops should be aimed at clarifying roles and expectations about reintegrating the returning personnel into the project.
- 4) One key issue that must receive attention in the near future is the question of the percentage of loan and counterpart funding for the project. This issue requires top-level attention by GOI and USAID officials and its resolution may lead to a change in the overall scope of the project. A presentation was made at the workshop that outlined some rough figures and suggested the consequences of changing the counterpart/loan ratios. Since the decisions on these issues will have a dramatic impact on the project, we recommend that they be pursued as soon as possible.
- 5) More clarification is needed for the GOI about the role of the site profiles. Questions still remain: What is the scope of the profiles? What do they include? How much technical data should be included? When does a site profile become a feasibility study? There is still a need to reach agreement on the scope of site profiles and the criteria for going ahead on construction.

APPENDIX A

LIST OF PEOPLE INTERVIEWED

LIST OF PEOPLE INTERVIEWED

I. Directorate General of Water Resources Development (DGWRD)

Ir. Soebandi Wirosoemarto, Director General of DGWRD
Ir. Mamad Ismail, Secretary of DGWRD
Ir. Sarbini Ronodibroto, Assistant of DG for Irrigation
Development
Ir. Habibuddin Syafei Simabur, Dipl. H.E., Head of Education and
Training Division
Ir. Robert Sihite, Staff of Mr. Habibuddin, Panitia (Bali)
Ms. Julia, Staff of Mr. Habibuddin

II. Directorate of Planning and Programming (DPP)

Ir. Djoko Sardjono, Head of Sub Directorate of FAA
Mr. Aziz Bockings MSc., Head of Bilateral Assistance Section
Ir. Trie Mulat Sunarjo, M. Eng., Head of Sub Directorate of
Project Evaluation

III. Directorate of Irrigation I (DOI I)

Ir. Soewarsono, Director of DOI I
Ir. Gatot Sunarjo, Head of Administration Division
Drs. Wayan Suyadnya, Head of FAA Sub Division
Drs. Imam Santoso, Staff of Mr. Wayan

For South Sulawesi and NTB Projects - Surface Water

Ir. Bambang Waluyono, Head of the Sub Directorate of Construction
Management for Eastern Area
Ir. Giovani, Head of Region II for NTB Projects

Directorate of Irrigation II (DOI II)

Drs. Hudadi, Head of Administration Division

Drs. Sarwadi, Head of FAA Sub Division

For Groundwater Projects

Ir. Marzuki Saleh, Head of Sub Directorate of Groundwater Dev.

Ir. Suratmo H.S., Head of Construction Preparation Section

Directorate of Logistics

Ir. Djoko Kirmanto Dipl, HE, Head of Sub Directorate of Services
Procurement

Mr. Wibisono Setionobowo MSc., Head of Consultant Services
Section

International Cooperation Bureau

Drs. Gembong Priyono

Directorate of Planning and Programming

Drs. Chaizur Nasri

VII. NTB Province

Ir. M. Hardjono, Head of Provincial Public Works/Kanwil PU

Ir. H. Masnun, Head of Provincial Water Resources Sub Division

Mr. Basir Miran BIE, Project Manager for Batujai and Surabaya
Projects

Ir. Gde Sudanta, Project Manager for Kalimantanong Project

Ir. M. Kartabrata, Project Manager for Embung Project

Drs. Soenyoto, Project Manager for Groundwater Development
Project (P2AT)

Site Profiles

Ir. Wahyu Djoko Marjanto MSc.

Richard Howells	-	PSC	
Bill Menninger	-	PSC	
John Duwell	-	PSC	
Herb Black	-	USAID	
Diana Putnam	-	USAID	
Joes	-	USAID	
Gunawan	-	USAID	
Mang Lew	-	USAID	
Phillip	-		
Robin Ericson	-	T.A.	HARZA
Jeff Joey	-	T.A.	HARZA
Eric Wills	-	T.A.	HARZA
Herb Schoeller	-	T.A.	HARZA

APPENDIX B

List of Conference Participants

SSIMP Second Implementation Workshop,
Sanur, Bali 1st - 5th February, 1988

List of Participants

Jakarta

Ir. Soebandi Wirosoemarto
Ir. Sarbini Ronodibroto
Ir. Rahardjo N.
Ir. Soewasono
Ir. Koesdaryono
Ir. Suparmono
Ir. Trie Mulat
Ir. Gatot Sunaryo
Ir. Bambang Waluyono
Drs. Mudadi
Drs. CH Nasri
Drs. Gembong Priyono, MSc
Ir. Suseno
Ir. Marzuki Saleh
Drs. Sumantoro
Julia Umboh, BA
Drs. Aziz Bockings, MSc.
Ir. Sunaryo SD
Drs. Wayan Suyadnya
Imam Santoso
Ir. Giovani
Drs. Mansur, BE
Ir. Alfa Tampubolon
Ir. Soenarno
Ir. Suratmo
Wibisono, MSc.
Supriyono
Atiganda
Drs. Suyono Kasim
Robert T. Sihite
Mahfuddin
Sarwedi
Drs. Mahfudz
Arselan Harahap - LP3ES
Sofyan Lubis - LP3ES
Ir. Nurachim, Dip. HE

NTB

Ir. Hardjono
Masnun
Basir Miran
Gde Sudante
Kartabrata
Soenyoto
Wahyu
Ibrahim - BAPPEDA
Putra Adnyana - Dept. of Agriculture

NTT

Ir. Sabichis
Ir. Hartono
Ir. Sihombing
Hari Suwito
Sardji Kartosudiro - BAPPEDA
D. Huwae - Dept. of Agriculture

SulSel

Ir. Ainuddin
Ir. H. Abd. Yantahin, Dipl. HE
Ir. Sessu Senang
Ir. Suharman Mattone
Drs. Abd. Wahab
Said Fattah
Dr. Bambang Prastowo - Dept. of Agriculture
Drs. K. Salemo - BAPPEDA
Ir. Abd. Rasyid Djammai
Ir. H. Abd. Rahimsah
Soewarno
Marjo H. - MAROS Research Center

USAID

D. Putman
H. Blank
Mary Lew
Philip Tjakranata
Gunawan
Joes Oemarhamzah
Mark Winter

PSC's

Bill Menninger (JKT)
John Duewel (JKT)
Richard Howells (JKT)
Suzanne Siskel (NTT)
Martin Wright (NTT)

Harza

Eric Will
Geoff Frey
Herb Schoeller
Robin Erickson

Observers

1. Hammond Murray Rust (IMMI)
2. Gene Thompson (Harza)
3. Five PU Officials (Bali)

APPENDIX C

SSIMP Work Plan Activities List and Coordination Chart

SSIMP WORK PLAN ACTIVITIES LIST AND COORDINATION CHART

ACTION STEPS	START DATE	END DATE	ORGANIZATION/INDIVIDUAL RESP.										
<hr style="border: 0.5px solid black; margin-bottom: 10px;"/>													

C=Coordinates	M=Monitors
S=Supervises	R=Reports
R=Responsible	RR=Receives Report
P=Plans	I=Initiates
A=Authorizes	LR=Line Responsibility

APPENDIX D

Work Plan Session

**SSIMP GROUNDWATER DEVELOPMENT PROGRAM - NTT
PROJECT IMPLEMENTATION SCHEDULE (FEB '88 - MARCH '89)**

	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
1) Experimental sites														
a) Luk. Barat, Pariti II:														
- socio-economic survey		—												
- purchase of materials and equipment		—												
- construction			—	—	—	—	—	—	—	—	—	—	—	—
- operation					—	—	—	—	—	—	—	—	—	—
- advise WUA, mangmt.					—	—	—	—	—	—	—	—	—	—
- monitoring					—	—	—	—	—	—	—	—	—	—
b) Other (7) sites:														
- site identification				—	—	—	—	—	—	—	—	—	—	—
- tech. field investig.				—	—	—	—	—	—	—	—	—	—	—
- design, drawings etc.				—	—	—	—	—	—	—	—	—	—	—
- formation of WUAs				—	—	—	—	—	—	—	—	—	—	—
- socio-economic survey					—	—	—	—	—	—	—	—	—	—
- purchase of materials and equipment					—	—	—	—	—	—	—	—	—	—
- construction						—	—	—	—	—	—	—	—	—
- operation						—	—	—	—	—	—	—	—	—
- advise WUA, mangmt.						—	—	—	—	—	—	—	—	—
- monitoring						—	—	—	—	—	—	—	—	—
2) Credit scheme														
- monitoring & advice														
- pumping tests at other sites (if pilot project a success)							←	→						
3) Motivator system														
- training														
- monitoring														
4) Study tours														
- outside NTT														
- within NTT														
5) Other training														
- siteselection w' shop														
- pump operator/mech.														
- computer course														
- mechanics course														
- english language														
6) Hydrogeology														
- exploratory drilling														
- monitoring														
7) Existing P2AT sites														
- monitoring														

NTB PROVINCE SSIMP
(Surface Water Project)

(Rp.

No.	Project Requirements Required item	DTP 1987/1988								DIP. 1988/1989								Remarks
		Kalimantang II		Tiukulit		Capit		Batujai kiri Surabaya		Kalimantang II		Tiukulit		Capit		Batujai kiri Surabaya		
		GOI	AID	GOI	AID	GOI	AID	GOI	AID	GOI	AID	GOI	AID	GOI	AID	GOI	AID	
1.	<u>Site profile :</u> - Data collection. - RRIA / HRS	5	-	3	-	8	-	10	-	-	-	-	-	4	-	4	-	S.K.NTB. (Rp. 45,-) S.K.NTB. (Rp. 20).
2.	<u>Review design local Consultant :</u> - Drilling sub contract. - Additional surveying. - Design.	30	(90)	27,5	(80)	-	-	25	(110)	-	(135)	-	(150)	-	(160)	-	(160)	
3.	<u>Environmental Assessment.</u>																	
4.	<u>VO & U.</u>																	
5.	<u>Equipment :</u> - Computer. - Office equipment.																	
6.	<u>Sediment Studies</u>							20	-									
7.	<u>Construction.</u>											37,5	(112,5)					
8.	<u>Land Acquisition.</u>	49,2								20	-							
	TOTAL	84,2	(90)	30,5	(80)	8	-	55	(110)	20	(135)	37,5	(262,5)	4	(160)	4	(160)	

PROJECT IMPLEMENTATION SCHEDULE

FIGURE 1

PROJECT KALIMANTANG	1987						1988						1989						BUDGET (x 1.000)				REMARKS.
	K A J O R						K A J O R						K A J O R						1987/1988		1988 / 1989		
	T	A	S	I	S	A	T	A	S	I	S	A	T	A	S	I	S	A	GOI	LOAN	GOI	LOAN	
1. Technical Data Collection/ Analysis																							
2. Rapid Rural Irrigation Appraisal (R.R.I.A.)																		5.000	-	-	-	PROY, ACC, TA.	
3. Household Survey (R.E.S.)																							
4. Report No. 1. (preliminary assessment)																						TA, PROJ	
5. Equipment Procurement																						PROY, PU	
6. L.C. Contract preparation / approval																						PU, PROJ, USAID	
7. Environmental Assessment																						PROY, TA	
8. Report No. 1A (Environmental)																						TA.	
9. Review Existing Design/Cont																						TA	
10. Report No. 2 (Feasibility Assessment)																						TA	
11. Contract/Install WUO's																						PU, PROJ, DAN ATPI 88/89.	
12. Project Design and Engineering Cost Estimate																		30.000	(30.000)	-	(135.000)	LOAN, PROJ, TA.	
13. Contract Document/Approval																						PU, PROJ, USAID	
14. Tendering Process / Bid - Selection																						PROY, PU, PROJ, USAID	
15. Construction																							
16. Land Acquisition																		43.200	-	20.000	-	PROY.	
TOTAL.																		84.200	(30.000)	20.000	(135.000)		

PROJECT IMPLEMENTATION SCHEDULE

FIGURE :

NO	PROJECT : E. TUKULIT MAJOR TASK	1987												BUDGET (x1.000)				REMARKS					
		1987						1988						1987/1988		1988 / 1989							
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16		GOI	LOAN	GOI	LOAN	
1.	Technical Data Collection/ Analysis																	3.000	-	-	-	PTC, TR, PROY.	
2.	Rapid Rural Irrigation Appraisal (R.R.I.A.)																						
3.	Household Survey (H.E.S.)																						
4.	Report No. 1. (preliminary assessment)																						TA, PROY.
5.	Equipment Procurement																						(45.000) di DIP SK NTB. (30.000) - SK NTB. PROY, PURBAT
6.	L.C. Contract preparation / approval																						PROY, TA.
7.	Environmental Assessment																						TA
8.	Report No. 1A (Environmental)																						TA
9.	Review Existing Design/Cont																						TA, PROY
10.	Report No. 2 (Feasibility Assessment)																						MASUK DIP 88/89 PTP.
11.	Contract/Install WUA's																						LOCAL CONSULTANT - PROY.
12.	Project Design and Engineering Cost Estimate																	27.500	(80.000)	-	(150.000)	PROY, W. PURB. USAID	
13.	Contract Document/Approval																						PURBAT, PROYOK
14.	Tendering Process / Bid - Selection																						
15.	Construction																						37.500 (112.500) BARE Camp + URAH HANTAN
16.	Land Acquisition																						
TOTAL.																		30.500	(80.000)	37.500	(262.500)		

PROJECT IMPLEMENTATION SCHEDULE

FIGURE :

PROJECT : GAPIT	1987						1988						BUDGET (x 1.000)				REMARKS.						
	M A J O R						M A J O R						1987/1988		1988 / 1989								
	T A S K	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15		16	17	18	GOI	LOAN	GOI
1. Technical Data Collection/Analysis																							
2. Rapid Rural Irrigation Appraisal (R.R.I.A.)																				8.000	-	4.000	-
3. Household Survey (H.H.S.)																							
4. Report No. 1. (preliminary assessment)																							
5. Equipment Procurement																							
6. L.C. Contract preparation / approval																							
7. Environmental Assessment																							
8. Report No. 1A (Environmental)																							
9. Review Existing Design/Cont																							
10. Report No. 2 (Feasibility Assessment)																							
11. Contract/Install WHAO's																							
12. Project Design and Engineering Cost Estimate																							
13. Contract Document/Approval																							
14. Tendering Process / Bid - Selection																							
15. Construction																							
16. Land Acquisition																							
TOTAL.																				8.000	-	4.000	(160.000)

SSIMP - SOUTH SULAWESI
 MAJOR PROJECT TASKS
 FEBRUARY, 1988 THROUGH MARCH, 1989

Irrigation Scheme : AFO

Service Area : 1700 Ha

No.	Major Tasks Item	Budget x 10 ³ (Rp)	1988										1989			Remarks			
			2	3	4	5	6	7	8	9	10	11	12	1	2		3		
1.	Consolidate project organizational structure, and logistic																		DIP 1987/1988
2.	On-going Site Profile and data collection	1,350				240		370				370					370		
3.	Site Profile (RRIA)	-																	Finished
4.	Site Profile (HHS)	-																	Finished
5.	Begin Site Environmental Assesments	-																	USAID
6.	Preliminary Designs)																		
7.	Survey and Investigation (Tehnicah))																		
8.	Estimate Project Costs)	117,709			67,000		44,709												
9.	Project Evaluation)																		
10.	Final Design and Contract-Documents	104,000.								25,000		78,000							
11.	Land Acquisition (.Preparation)	24,000															24,000		If possible will be allocated DIP 88/89
12.	Commence WUAD Organizati-onal Activities	-																	DOI-1
13.	Local Consultant Procurement	-																	
14.	Tender Preparation for Construction	-																	
		25,350				67,240		71,079				78,370					24,370		



SSIMP.- SOUTH SULAWESI
 MAJOR PROJECT TASKS
 FEBRUARY, 1988 THROUGH MARCH, 1989
 Irrigation Scheme : Salomeko
 Service Area : 1400 Ha

No.	Major Tasks Item	Budget x 10 ³ (Rp)	1988												1989			Remarks			
			2	3	4	5	6	7	8	9	10	11	12	1	2	3					
1.	Consolidate project organizational structure and logistic	-	-----															DIP 1987/1988			
2.	On-going Site Profile and data collection	<u>1,350</u>				240		370				370				370					
3.	Site Profile (RRIA)	-	-----															Finished			
4.	Site Profile (HHS)	-	-----															Finished			
5.	Begin Site Environmental Assesments	-				-----											USAID				
6.	Preliminary Designs)																				
7.	Survey and Investigation (Tehcnical))																				
8.	Estimate Project Costs)	<u>209,577</u>			98,000		83,577			28,000	-----										
9.	Project Evaluation)																				
10.	Final Design and Contract-Documents	<u>154,000</u>										116,000		38,000	-----						
11.	Land Acquisition (Preparation)	-																	Inventory		
12.	Commence WUAO Organizational Activities	-			-----													D01-1			
13.	Local Consultant Procurement	-	-----																		
14.	Tender Preparation for Construction	-																			
		<u>1,350</u> <u>363,577</u>			98,240		83,947			144,370				38,370							

89

SSIMP - SOUTH SULAWESI
MAJOR PROJECT TASKS
 FEBRUARY, 1988 THROUGH MARCH, 1989

Irrigation Scheme : Selli Coppo Bulu
 Service Area : 2000 Ha

No.	Major Tasks Item	Budget x 10 ³ (Rp)	1988												1989			Remarks
			2	3	4	5	6	7	8	9	10	11	12	1	2	3		
1.	Consolidate project organizational structure and logistic	-	-----															DIP 1987/1988
2.	On-going Site Profile and data collection)				240		370				370				370		
3.	Site Profile (RRIA)) 9,350				1,600	1,600											
4.	Site Profile (HNS))										3,200	1,600					
5.	Begin Site Environmental Assesments	-			-----												USAID	
6.	Preliminary Designs)																
7.	Survey and Investigation (Tehcnical))																
8.	Estimate Project Costs) 238,000							47,600		95,200				95,200			
9.	Project Evaluation)																
10.	Final Design and Contract-Documents	-																
11.	Land Acquisition (Preparation)	-																
12.	Commence WUAO Organizati-onal Activities	-																
13.	Local Consultant Procurement	-			-----													
14.	Tender Preparation for Construction	-																
		<u>9,350</u> 238,000				1,840			49,570			98,770			97,170			

APPENDIX E

Budgets

SMALL SCALE IRRIGATION MANAGEMENT
SUMMARY COST ESTIMATES
(US\$ MILLION)

CATEGORY	ORIGINAL ESTIMATES				PROPOSED REVISION			
	Grant	loan	GOI	TOTAL	Grant	loan	GOI	TOTAL
A. CONSTRUCTION	-	32	39	71	-	32	16	48
		(35%)	(44%)	(73%)		(48%)	(24%)	(72%)
1. Surface Water	-	23	29	51	GOI: Non Const - 12			10% 90%
2. Ground Water	-	5	11	16	CONST - 4 →			
3. Equipment & Commodities	-	3.3	0.2	3.5	LOAN - 32 →			
B. NON-CONSTRUCTION	7	7.3	0.3	14.6	7	7.3	0.3	14.6
	(8%)	(8%)	(-%)	(16%)	(11%)	(11%)	(-%)	(22%)
1. Training	-	1.4	0.3	1.7		1.4	0.3	1.7
2. Spec. Studies/ Pilot Act	1	1.5	-	2.5	1	1.5	-	2.5
3 Tech. Ass	6	4.4	-	10.4	6	4.4	-	10.4
C. CONTINGENCY	-	4	-	4	-	4	-	4
		(5%)		(5%)		(6%)		(6%)
TOTAL	7	43	40	90	7	43	17	67
	(8%)	(48%)	(44%)	(100%)	(10%)	(65%)	(25%)	(100%)

APPENDIX F

Procurement Plan

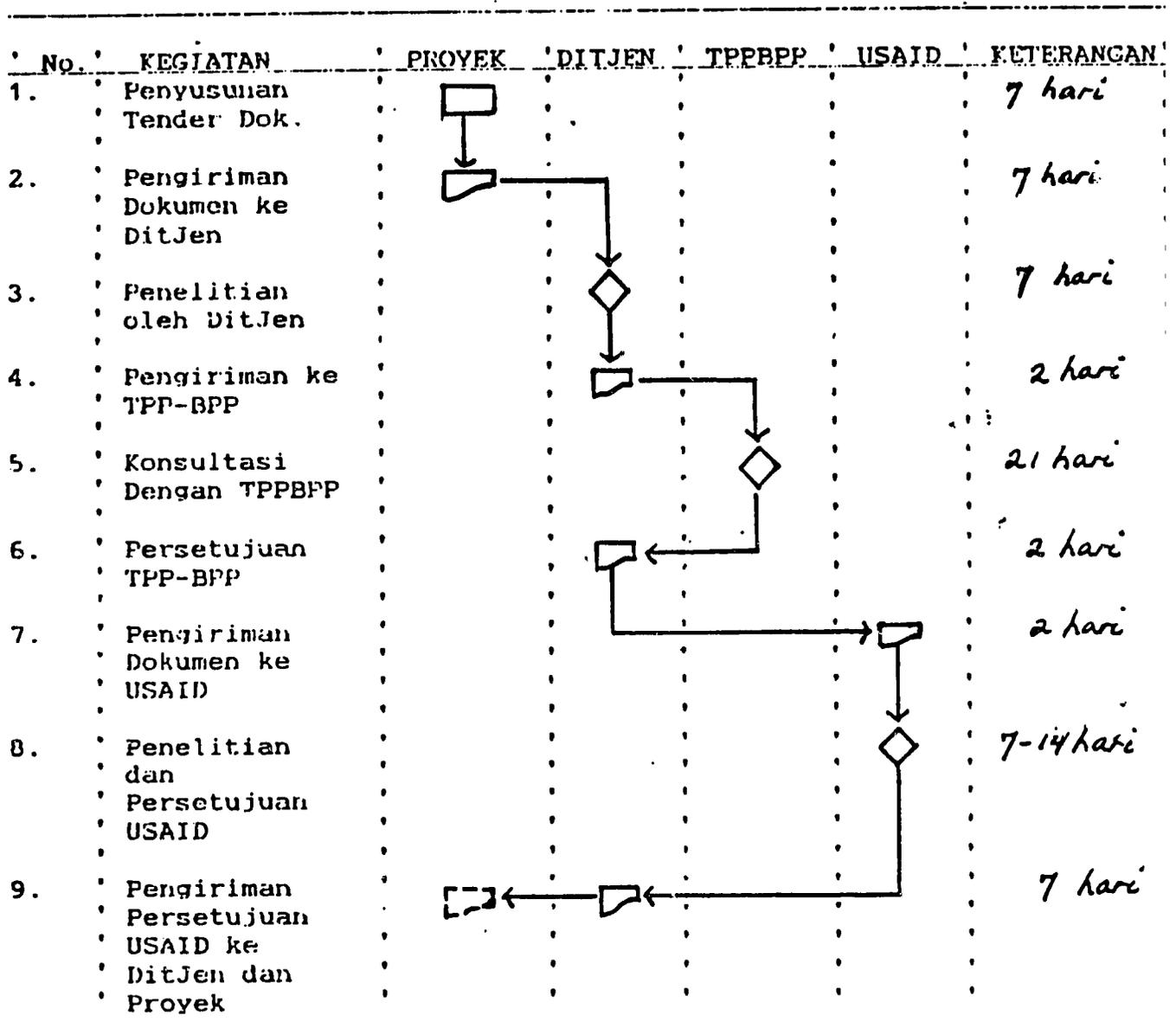
PROCUREMENT PLAN

No.	KEGIATAN	PROYEK	DIREKTORAT	BAPPENAS		KETERANGAN
				USAID	DEP KU	
1.a.	Rencana Pengadaan - Packing - Spec. - Est. Eng					60 hari
b.	Penyiapan Tender Dokumen					7 hari (pengiriman ke Dit)
2.	Penelitian Dit./Pengajuan ke USAID					10-30 hari
3.	Penelitian USAID					14-30 hari
4.	Persetujuan USAID					7 hari
5.	Proses DUP/DIP					90 hari
6.	Permintaan PIL Earmark					7 hari
7.	Penerbitan PIL Earmark					7-21 hari
						202 - 252 hari

CATATAN:

- * Untuk Pembiayaan Pendahuluan (PP), Earmark dan Commitment PIL digabung, jika nilai Kontrak < \$100,000. Proses Pengadaan dipakai Prosedur Departement.
- ** Untuk Fixed Amount Reimbursement (FAR), Earmark dan Commitment PIL digabung dan tidak tergantung dari besarnya Nilai Kontrak.

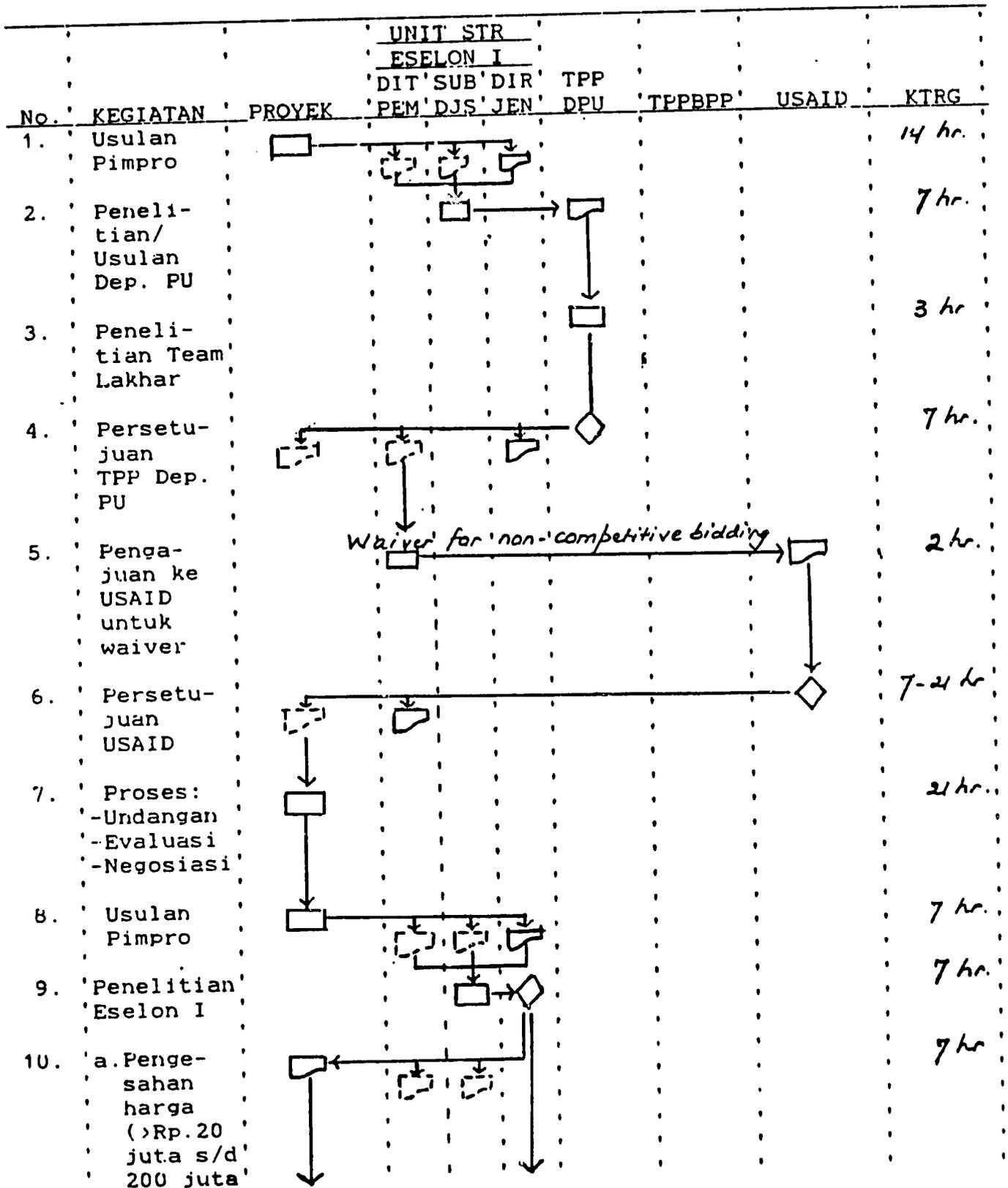
Proses Penyesahan Tender Dokumen
> Rp. 500 juta

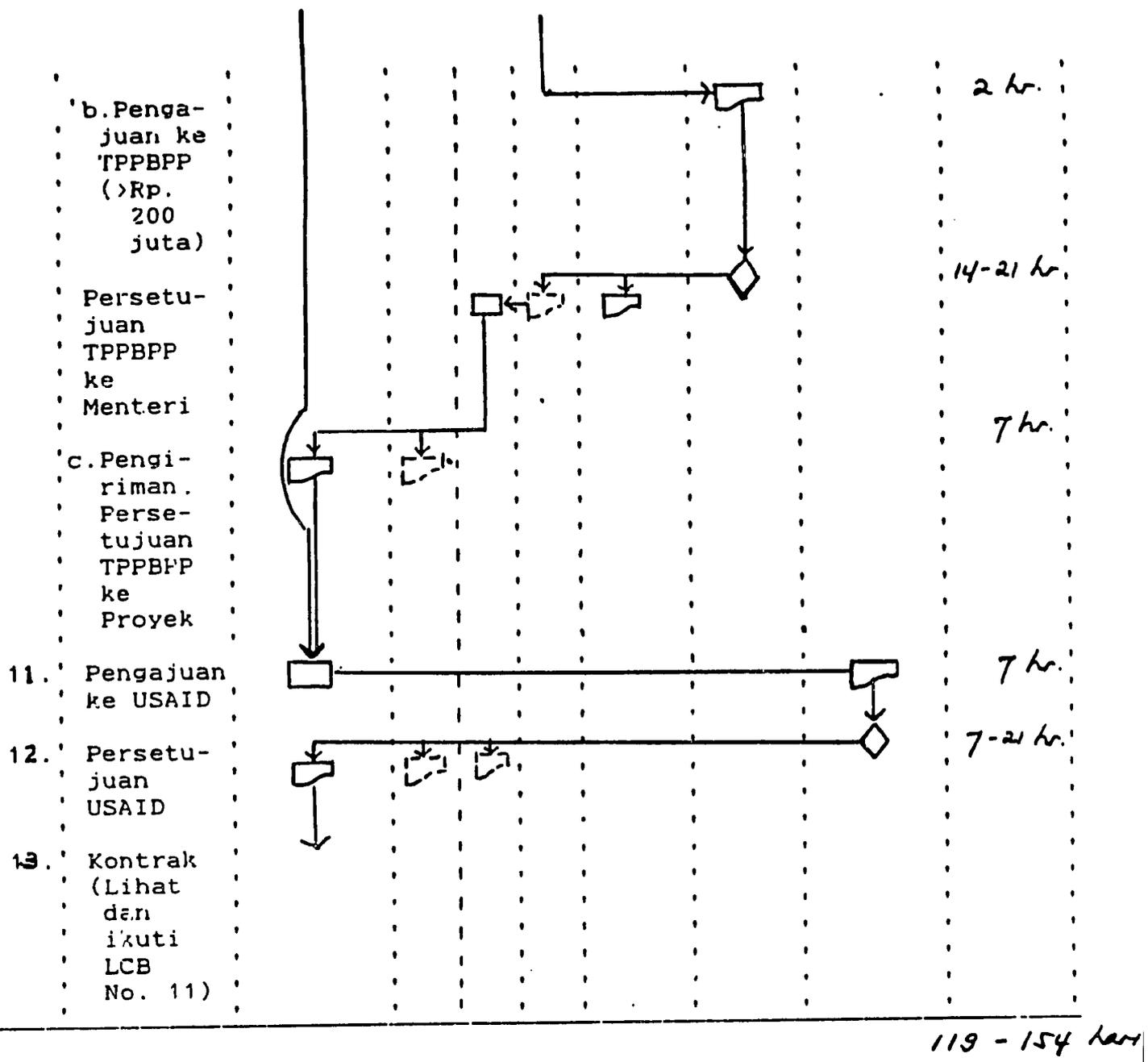


62-69 hari

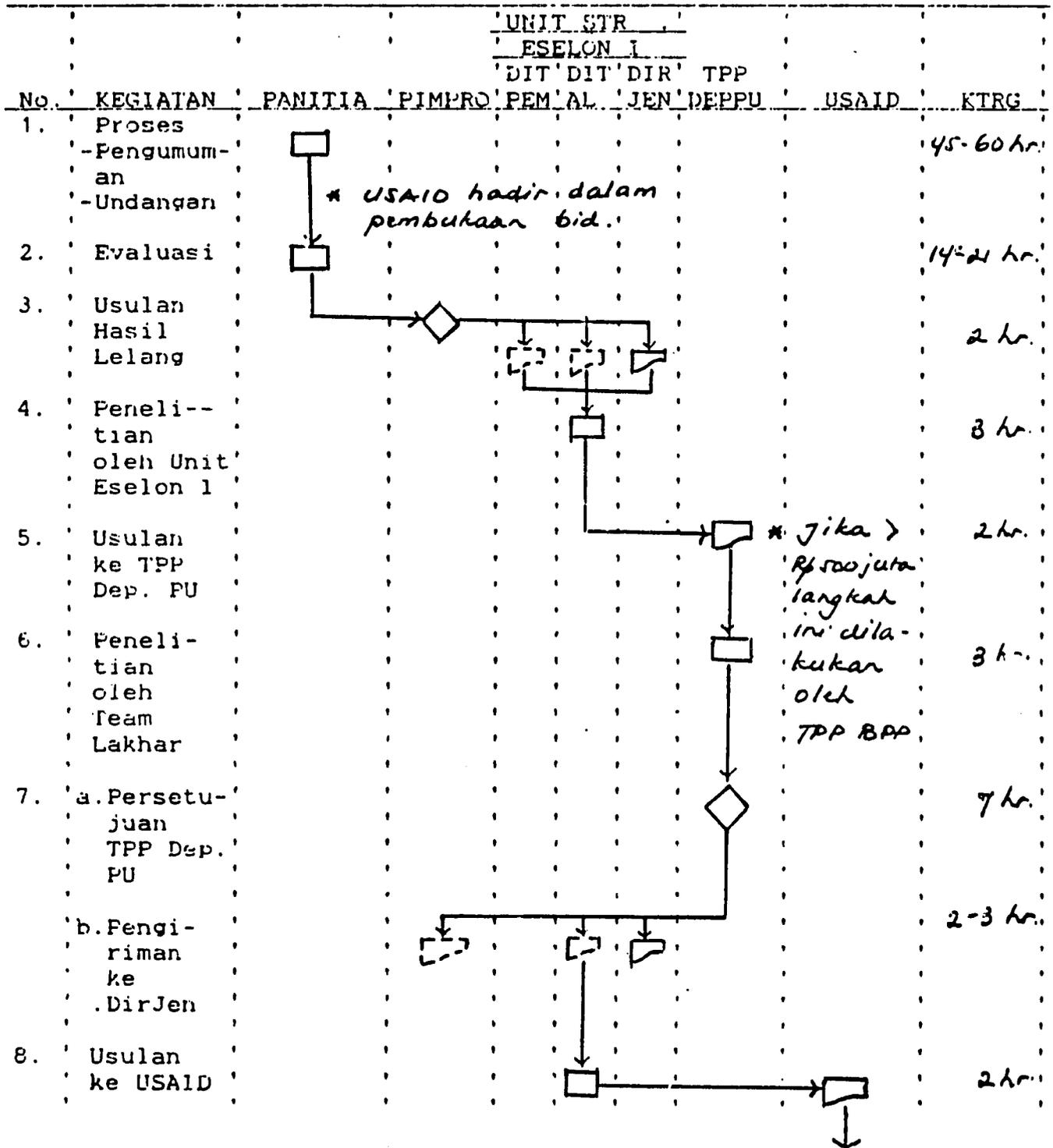
CATATAN:

**PELAKSANAAN PENGADAAN
DENGAN PENUNJUKAN LANGSUNG**

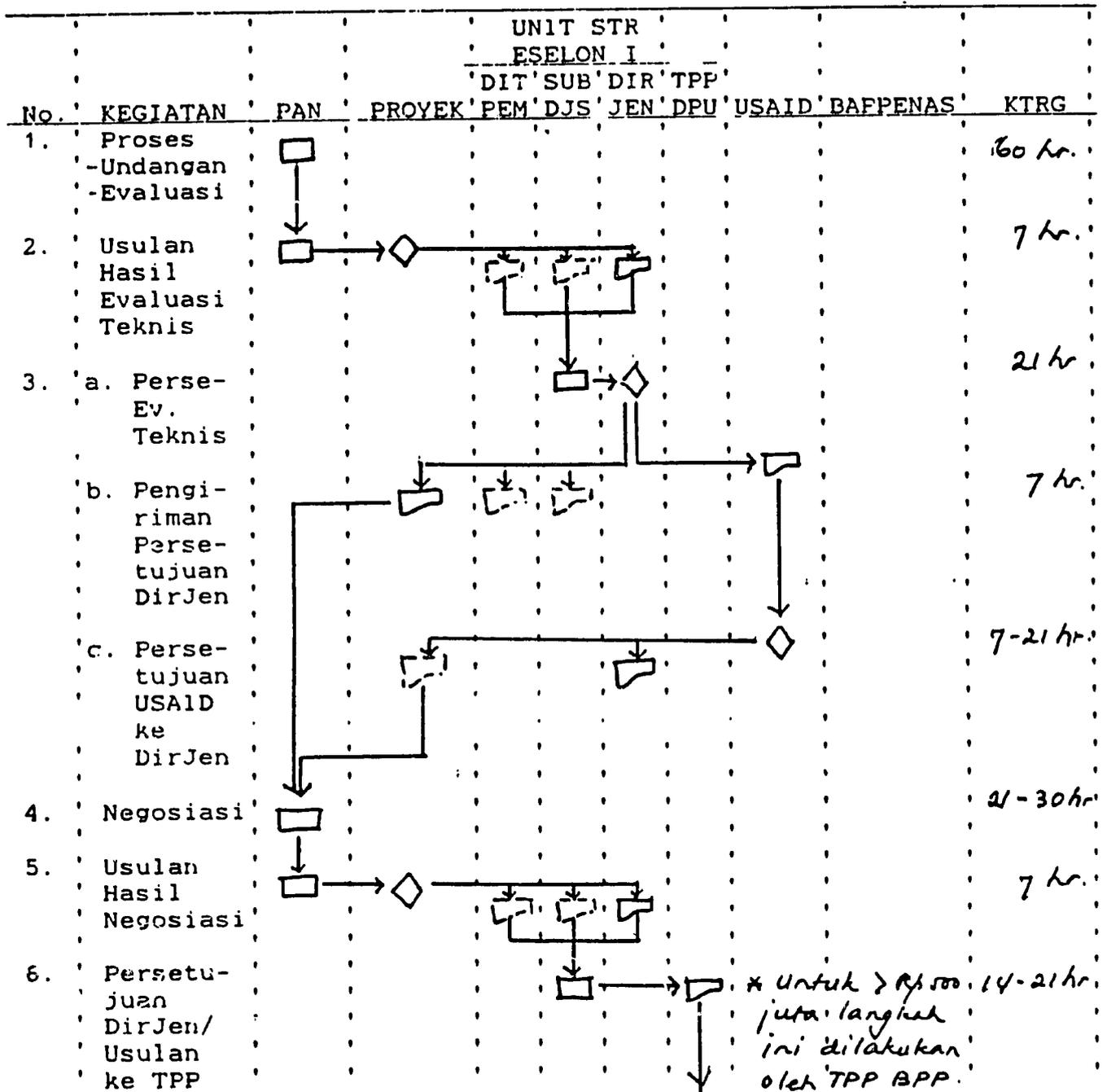


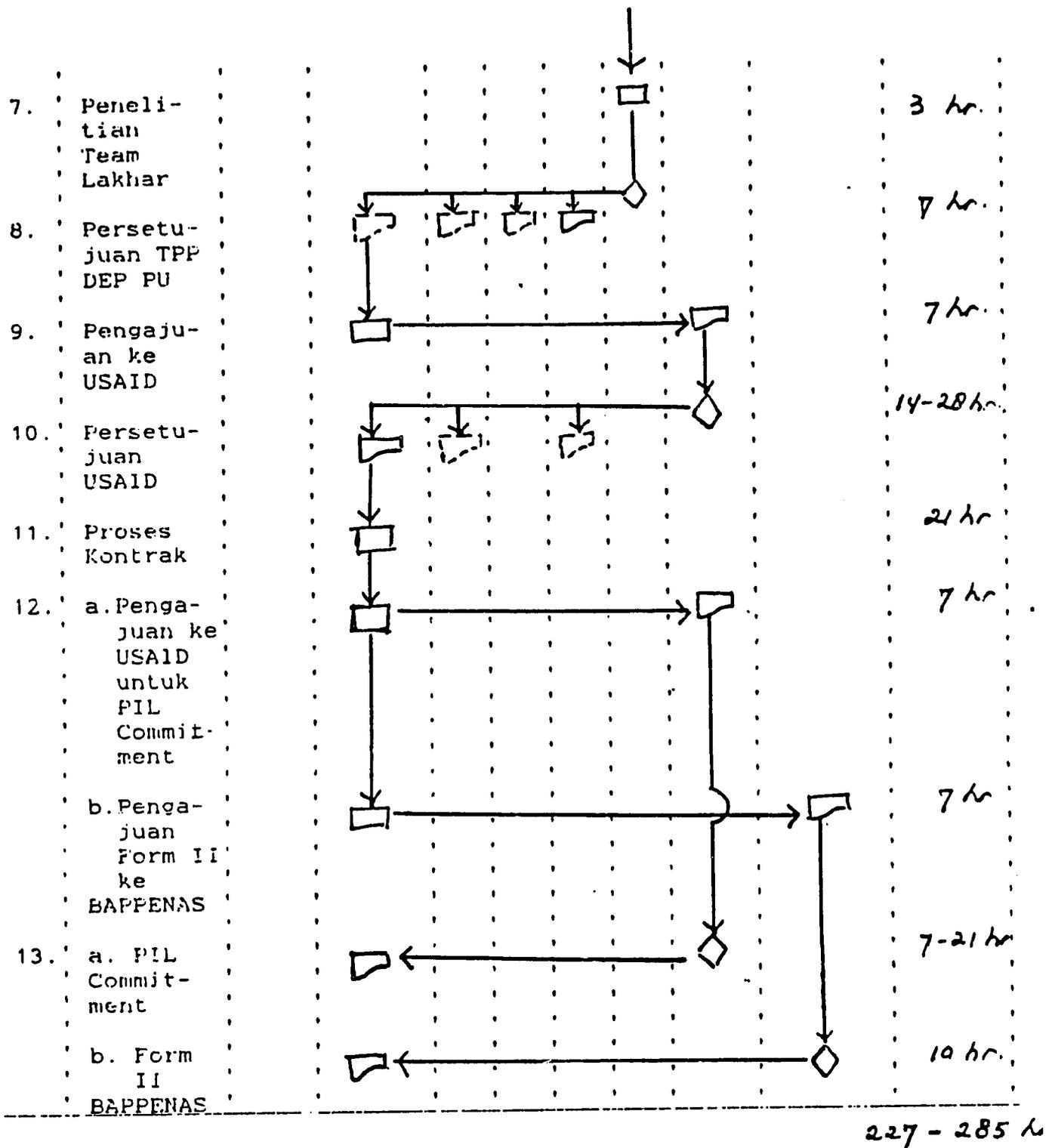


PELAKSANAAN PENGADAAN PERALATAN
(>Rp. 100 juta s/d Rp. 500 juta)



PELAKSANAAN PENGADAAN JASA
KONSULTAN DENGAN LCB
Rp. 100 juta s/d Rp. 500 juta

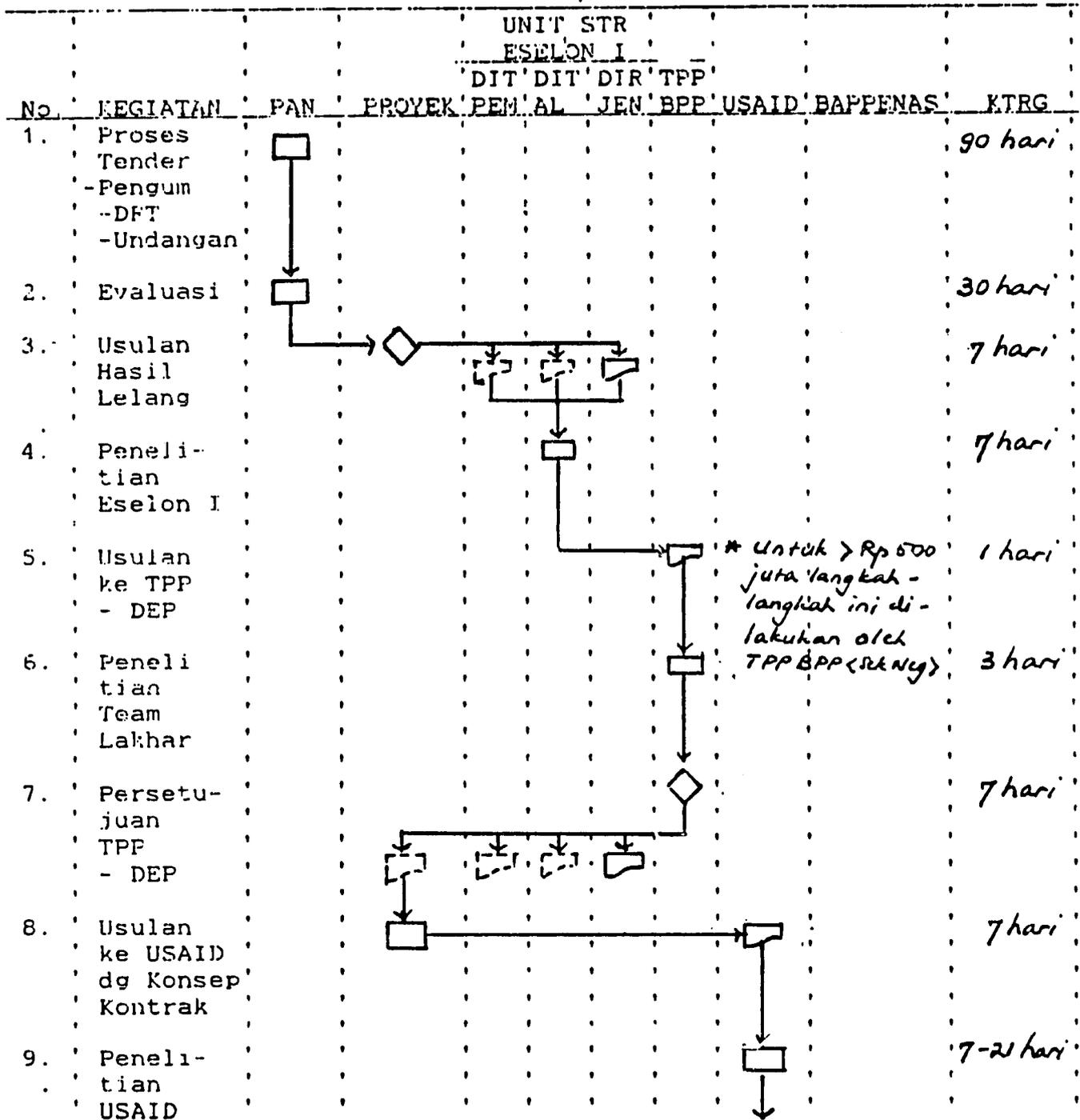




Keterangan:

- Prosedur ini berlaku untuk kontrak bernilai > \$ 100,000 dengan sistem pembayaran langsung (PL) oleh USAID.
- Untuk nilai kontrak < \$ 100,000 dan untuk sistem pembiayaan pendahuluan (PP), Earmark dan Commitment PIL akan diterbitkan oleh USAID pada butir 9 & 10.

**PELAKSANAAN PENGADAAN JASA
KONSTRUKSI DENGAN LCB
Rp. 100 juta s/d Rp. 500 juta**

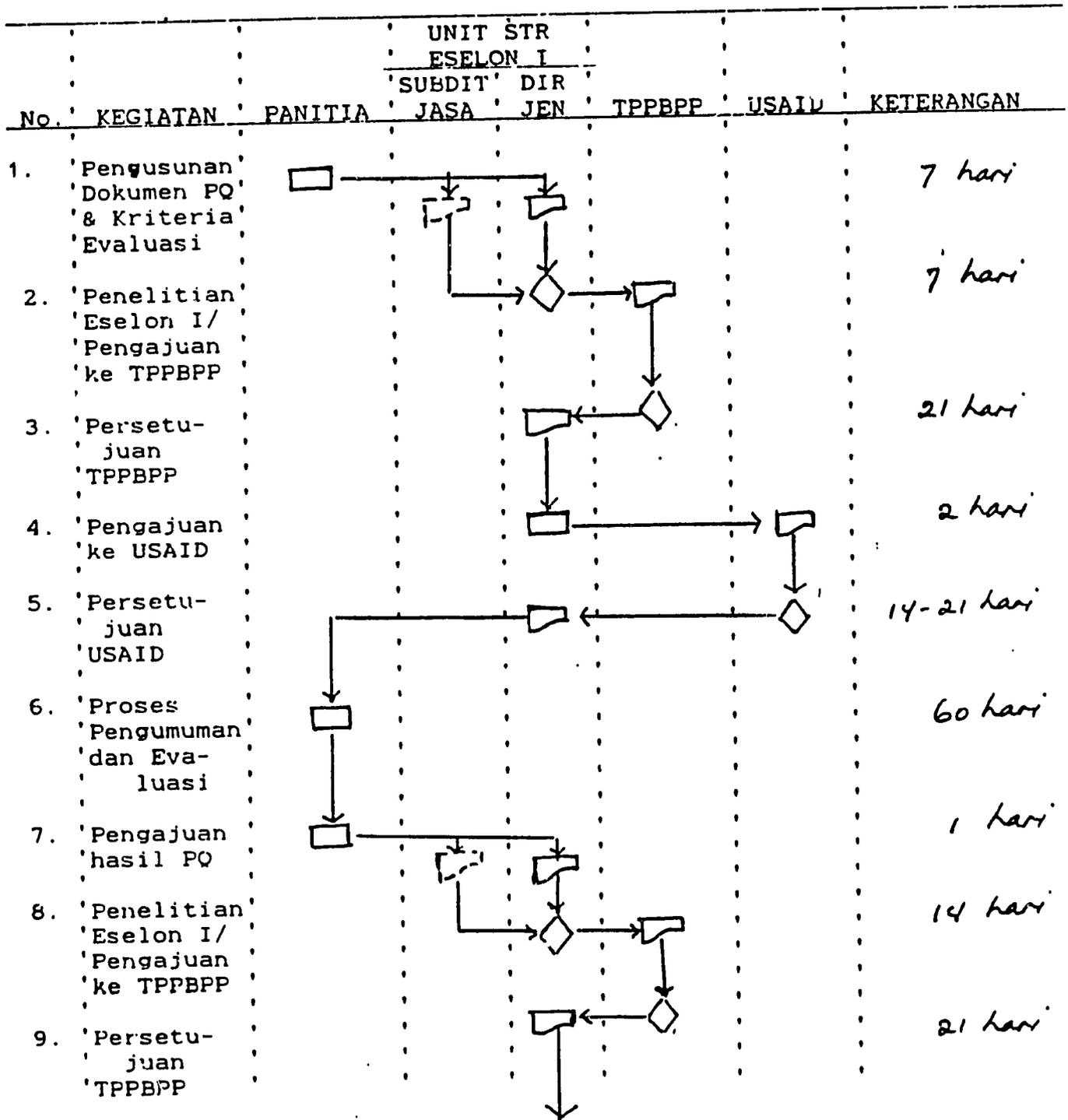


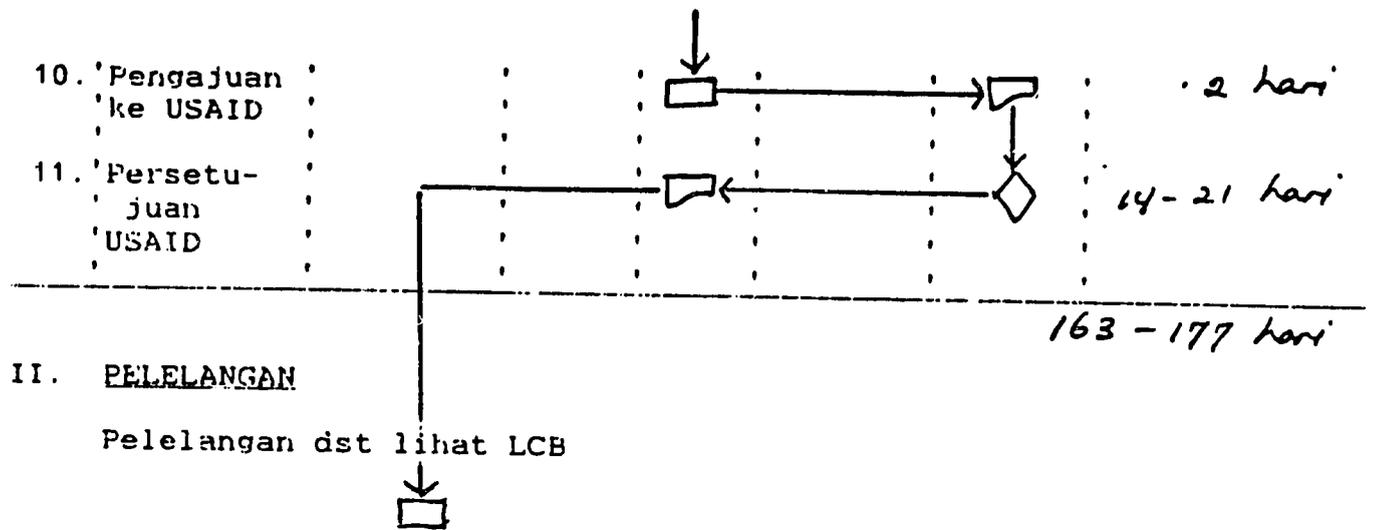
No.	KEGIATAN	PAN	UNIT STR ESELON I					KTRG
			PROYEK	PEM AL	JEN	PPP	USAID	
10.	Persetujuan USAID						7 hari	
11.	Kontrak						21 hari	
12.	a. Pengajuan Kontrak ke USAID						7 hari	
	b. Pengajuan Form II ke BAPPENAS						7 hari	
13.	a. FTL Commit.						7-21 hr.	
	b. Form II BAPPENAS						10 hr.	

218-246 h

**PELAKSANAAN PENGADAAN JASA
KONSTRUKSI DENGAN ICB
> Rp. 500 juta**

I. PRAQUALIFIKASI (PQ)





Total PQ + Pelelangan = 384 - 426 hari

APPENDIX G

Major Project Issues

1. Policy Issues
2. SKB 48/Reimbursement/Disbursement
3. Project Management and Monitoring Issues
4. Procurement Issues
5. Site Profile Issues
6. Water User Association Organizer Issues

POLICY GROUP

1. How can the TA Team best serve as a link between USAID and GOI?
 - a. TA team must work operationally under direction of GOI (DG).
 - b. All important matters must be discussed between GOI, USAID, and TA. But GOI must make the decisions.
2. Who is responsible to make key project implementation decisions at the provincial level?
 1. Policy: Governor, through Bappeda
 2. Physical: Provincial Project Manager makes implementation decision.
3. Who is responsible to make key project implementation decisions at the center?

DG, through Director concerned.
4. Who is responsible to make key project implementation decisions at USAID?

The Mission Director (Jakarta) through WRD.
5. What is meant by project monitoring?

A continuing process, to determine whether the project is achieving the planned objectives. In general terms, known as level A, B (Project Construction), C & D (AG input/output), E (socio economic objectives) of the project
6. Is there a need for a project management team? No.
 - (1) We recommend that the coordination within the DGWRD will be done by the Assistant DG or Irrigation Development
 - (2) National Level: Bappenas, Chief, Bureau Agriculture and Irrigation
 - (3) Provincial Level: Governor/Chief Bappeda

7. Does the center have too much control of the project?

No, but all other involved agencies should be well informed, particularly provincial PU.

8. What project documents must be signed at the center?

Presently:

1. Loan Documents
2. D.I.P.
3. PIL (Earmark and Commitment)
4. Disbursement application
5. ICB Procurement Process

9. Should signatory power at the center be changed?

Yes, but only for 8.3. and 8.4

Also, we recommend new signatories (authorized representatives) for disbursement applications according to the provisions of SKB 48.

10. Should limited signatory power be assigned to the sub-project level?

Yes, in accordance with SKB-48.

11. How does SKB-48 change the project implementation role of:

A) The center?

Delegates signing of contracts to project manager.

(B) The Provinces?

Gives project managers more authority to sign contracts and withdrawal applications.

12. What are the implications for project implementation?

1. Simplify the procedures for payment

2. Expedite project implementation

13. Should WUAOs be funded from central or provincial funds?

No.

Must be discussed with BAPPENAS and USAID.

WUAO	Private
	From the project trained
	WUAO
WUAO	DIP (province)
	USAID Loan

SKB 48 / Reimbursement / Disbursement

SSIMP PROJECT IMPLEMENTATION WORKSHOP ISSUES

SKB 48

The GOI has recently instituted a new policy referred to as SKB 48.

- What are the key provisions of SKB 48?

1.1 Contract signed by Project Manager (DIP Holder)

1.2 Reimbursement:

Request for reimbursement is issued by Bank of Indonesia based on the evidence of payment submitted by the Project Manager.

1.3 Disbursement:

Request for payment is issued by the Project Manager and is countersigned by the Bank of Indonesia.

- What are the implications for project implementation?

The following actions will speed up payment:

1. Send a letter to USAID concerning the authorized representative for reimbursement and disbursement. For PILs request and direct payment approval it is the Project Manager. Bank of Indonesia for reimbursement application (financial report) and countersigning for Direct Payment application.

- How does SKB 48 change the project implementation role of the Center?

The Directorate will take the responsibility to supervise and monitor the implementation of the project.

BI is responsible for disbursement based on request from the Project Manager.

- How does SKB 48 change the project implementation role in the provinces?

The Project DIP holder is fully responsible for the implementation of the project including preparation of the financial plan (PILs request) and evidence for disbursement and reimbursement.

Reimbursement

GOI has a number of projects funded by international donor agencies including the IBRD, ADB and USAID. GOI officials feel that USAID reimbursement procedures are very complicated when compared to the other donor agencies.

- Is it possible to reconcile the differences in procedures between GOI and USAID?

This issues group discussed and came to an agreement on procedures. They were asked to develop an outline of the agreement. Their recommendations follow below:

- Is it possible to simplify AID procedures?

It was requested that USAID, where possible, Earmark PILs and Commit PILs be submitted at the same time. It is possible under some circumstances for Earmark and Commit PILs to be submitted simultaneously. It is important for USAID to outline these circumstances and forward them to all Project Managers and other PU offices.

- Is it possible to simplify GOI procedures?

The provisions of SKB 48 represent a significant simplification of GOI procedures. It is important that these procedures be implemented throughout the PU.

DISBURSEMENT

Grant and loan disbursement procedures need clarification and agreement.

- How can we keep track of loan vs grant funds?

Based on the Project Accounting system procedures (Kep Men....KEB/1987) the Project Manager (DIP Holder) will prepare a separate record for this loan expenditure.

USAID is requested to inform GOI (DGWRD) of the consolidated loan expenditures on a Quarterly basis.

- What are the expenditures in each category?

As specified in the loan agreement and contract package.

Recommendations

1. The Earmark PIL for 1988-1989 should be finalized in April, 1988, based on the DIP 1988/89.

Actions to be taken:

- 1.1 Request for Earmark PILs should be submitted by the Project Manager in mid-March, 1988.
(A copy of this PIL should be sent to the Directorate concerned.)
- 1.2 USAID will issue Earmark PIL by early April.
2. In order to speed up the disbursement process, it is recommended that:
 - 2.1 A standardized document be prepared by mid-March with guidelines based on the reconciliation of SKB 48 and USAID procedures.
 - 2.2 A two day disbursement course be held for project financial officers and/or other related officials from the Directorate, Bank of Indonesia, Ministry of Finance and USAID. The course content would be:
 - a. An introduction to the regulations, procedures and manuals or materials.
 - b. Exercises that give participants experience in completing the new standardized form and all supporting documents.
 - c. Discussions of the reporting and monitoring procedures of the Loan and of GOI expenditures.
 - 2.3 Consultation meetings between DGWRD and be held monthly in Jakarta for a minimum of 3 months to monitor and evaluate the disbursement process.
3. USAID quarterly financial statements regarding direct payments or reimbursement will be forwarded to DGWRD for monitoring purposes.
4. Additional authorized signatory persons including all Project Managers in South Sulawesi, NTB and NTT which have been proposed to BAPPENAS should be finalized before the end of March, 1988.
5. It is expected that Commit PILs will be issued by USAID not more than 2 weeks after they are received.
6. To speed up the issuance of the PIL by AID, it is recommended that AID approve the standard GOI contract in advance.

ISSUES GROUP QUESTIONS

Project Management/Monitoring Group

1. How do we get construction started in 88-89?
 - Budget should be available soon.
 - Tender document should be finished by the end of July 1988.
 - Tendering process should be L.C.B.

2. Is there a need for a project steering committee? (See Loan Agreement)
 - What should be the responsibilities of a steering committee?
 - What would be the membership of a steering committee?

No, there is not.
Since we should use the existing institutions.

3. Does the center have too much control of the project?

No not too much

4. What is the purpose of design review?

To review the existing design and revise as required.

5. Who should be involved in the design review phase?

The project will direct local consultant to perform design and advice by T.A. team

6. Is it possible to begin design review before site profiles are completed?

Yes.

 - Technical and economical feasibility should be complete prior to design.
 - Social and environmental feasibility may overlap design.

7. Who is responsible to make key project implementation decisions at the sub-project level?

The Project Manager.

8. Who is responsible to make key policy decisions at the provincial level?

Governor through Bappeda I.

9. How can the TA team best serve as a link between GOI and AID?
The TA team does not serve as a link. The role of the TA team is to assist the project (GOI).
10. Harza's primary identification is with the provinces, but they also have a role at the center. How should they carry out these roles?
- Chief of Party (Harza) should work closely with Center (DOI, DOI II, DPP) and USAID on general/policy matters.
 - Prov. team leader direct participation of TA staff as a part of the overall project team TA staff (Pusat and local consultant).
11. What project documents must be signed at the center?
1. Approval the winner. Rp. 100,000,000 s/d 500 juta.
 2. Approval the winner Rp. 500,000,000
by Sek.Neg
 3. Approval of Tender Document Short List - By TPPBPP for construction works more than Rp. 500,000,000
 4. Program and Budget allocation (annually)
12. Should signatory power of the center be changed?
According to SKB-43
13. Should limited signatory power be assigned to the sub-project level?
Yes, it should be given to Project Manager (DIP holder according to SK Menteri)

Issues Group Questions

Procurement Procedures/Tendering Process Equipment and Consultant Services Group

1. How can we assure that GOI/USAID procedures are mutually understood?
 - By preparing flow charts that mutually agreed to by USAID and GOI and which describe procedures, conditions and responsibilities of each party at each level involved in the procurement.
 - Disseminate these flow charts to all parties concerned.
2. - What are the consequences to the project of not following established procedures?
 - Delay of project implementation which create funding problems from both parties.
 - Loss of economic viability of the project.
 - Could cause friction between donor and GOI and other parties.
3. GOI/USAID regulations for ICB's and LCB's are different. Is it possible to reconcile the differences in these sets of regulations? How? (Suggest an approach to reconcile differences).
 - Recommend that, for tender sizing to below \$500,000, a blanket wawiv'er will be issued for LCB in this project. Subsequent to this, the administration process will be simplified.

- Outline process:

- DGWRD requests USAID to issue the required blanket waivers with all reasons and justifications for equipment, consultant and construction services.

Information to support the request for waiver will include:

1. Contract packages.
2. Estimated value of each contract.
3. Staging/timing of contract implementation.
4. Reasons for waiver:
 - Availability of GOI budget (limited).
 - Encourage local construction industry.

4. What are the advantages/disadvantages of direct appointment?

Advantage:

- shorter time frame
- assurance to get the required commodities/services.

Disadvantage:

- need special approval from both parties.
- possible higher cost.

5. Is direct appointment appropriate for this project?

- Yes, in certain circumstances.

What circumstances?

1. Additional works.
2. Follow-on works.
3. Single source.
4. Natural disaster's works.
5. R.O.

6. Who is responsible for the tendering process at:

a. Subproject level?

- Indonesian sub-project managers.

b. Provincial level?

- Indonesian sub-project manager.

c. Center?

- Executive Director.
- Director General
- Ministry's Procurement Committee. (TPPBP Dep.)
- National Procurement Committee (TPPBPP)

d. USAID?

- Project Officer.

Project Management

Issues Group Questions

SITE PROFILES

1. What is a site profile?

An experimental pilot program to develop physical, socio-institutional and economic description of a potential irrigation project site. (Site profiles are used to help assess the feasibility of individual sites and to establish a base-line for future project monitoring and evaluation).

Components: RRIA, RHSC, Technical Data

(a) Includes

- technical data
- social-economic data
- environmental (P.I.L)
- evaluation of data

(b) It is a "Decision Making Instrument" conducted in phases to help decide whether continue further studies or not

2. How and when will the site profiles be used in project monitoring?

How = it helps establish indicators and benchmarks

When = (a) routine, on-going monitoring from the beginning of study through implementation and after.

(b) phased, periodic review

- Must be "somehow" incorporated in the PME program. (project monitoring and evaluation - Bina Program)

3. What is the nature of the involvement of the center in the site profile process?

(a) early site profile phases--TOR, criteria, guidance, consultation

(b) mid-late site profile phase--contribute to decision making on project feasibility (mid-term status review)

4. What is the nature of the involvement of the Harza team in the site profiles?

Harza is responsible for the site profile process relationships

5. What is the nature of the involvement of provincial personnel in the site profile process?
- a. Team members selected by a committee at province level (senior staff PU, Bappeda, Pertnian, local government)
 - b. Technical and Social/Economic Specialist to participate.
 - c. Technical Specialist to return to their technical fields with a good understanding of soft socio economic issues.
 - d. A training program is established so the process remains in case of transfers, etc.
 - e. Social/Economic Specialist will continue to monitor and follow up as required.
 - f. Report to be made to Provincial Committee and sent to interested parties.
6. Is it possible for the project teams with previous site profile experience to conduct some of the remaining site profiles on their own?
- (a) Not yet
 - (b) Not until methodology is approved by PU-USAID, Provincial, Bappeda (Pertanian), and Bupati
 - (c) If is an "experiment". The methodology is a dynamic process and previous site profile experience is not enough to prepare provincial teams to conduct on their own.
7. How should the site profiles be used in the project design phase?

They should be phased and should include technical engineering data.

Sample of Basic Design Data.

eg. river hydrology	water supply
rainfall	water requirements
soils cropping	
topography (special scale)	(design capacities)
existing facilities	(facilities, funds, money and
socio-institutional	(pumping, etc.)
cropping patterns	
existing farming systems	
population location-spatial	

ISSUES GROUP
QUESTIONS

WUAOs Group.

1. Do we want to direct appoint LP3ES or put out a tender?
Direct appointment of NGO is recommended.
2. Should WUAOs be funded out of Central or Provincial funds?
At Central. (requires negotiation)
3. When and for how long should the WUAOs program be implemented?
 1. During design process.
 2. During the construction
 3. + 2 years after construction
4. Who will supervise the WUAOs?
 1. WUAO coordinator (NGO)
 2. PU, Agriculture and Provincial government

APPENDIX H

Project Management Expectations

1. USAID Expectations of PU/PU of USAID
2. Provincial Expectations of USAID/USAID of the Provinces
3. Provincial Expectations of the TA Team/TA Team of the Provinces
4. PU Center Expectations of the Provinces/Provinces of PU Center
5. PU Expectations of the TA Team/TA Team of PU
6. TA Team Expectations of USAID/USAID of the TA Team

Project Management Expectations

USAID Expectations of PU

1. How do you expect the other groups to share project information with you? (What type? how much? how often?)
 - Annual written approval of annual program and budgeting for SSIMP
 - Bi-monthly meetings on implementation and disbursement.
 - Annual commodity reports
 - Informal meetings when necessary

2. How do you expect organizational relationships to be handled?
 - Coordination
 - Cooperation
 - Control and provide guidance to TA Team
 - SK of DG coordinators and regular meetings with these persons

3. What kind of written reports do you expect to prepare for or receive from the others?
 - Reports on host country contributions (grant and loan DUP/DIF)
 - Others as specified

4. How do you expect to make decisions that involve the other groups?
 - Approval of program and budget
 - Group coordination

5. How do you expect monitor individual and overall project performance?
 - Mutual, periodic site inspections
 - Project completion report
 - Meetings
 - PU and Provincial coordination

6. To what extent will you involve the other groups in planning project activities?
 - Mutual review and approval of project proposals
 - Expedite processing of procurement and payment
 - Bi-monthly meetings
 - Approval of DUP/DIP (USAID portions)

7. What other expectations do you have of the other entities represented here?

- Good coordination and participation
- Coordination among directors involved in SSIMP

PU Expectations of USAID

1. How do you expect the other groups to share project information with you? (What type? how much? how often?)

- Annual written approval of annual program and budgeting for SSIMP
- Bi-monthly meetings on implementation and disbursement.
- Informal meetings when necessary

2. How do you expect organizational relationships to be handled?

- Coordination
- Cooperation
- Control and provide guidance to TA Team
- Regular meetings

3. What kind of written reports do you expect to prepare for or receive from the others?

- Completion reports and evaluation reports
- Handbook guidance on quarterly reports on disbursements

4. How do you expect to make decisions that involve the other groups?

- Approval of program and budget
- Group coordination

5. How do you expect monitor individual and overall project performance?

- Mutual, periodic site inspections
- Project completion report
- Meetings

6. To what extent will you involve the other groups in planning project activities?

- Mutual review and approval of project proposals
- Expedite processing of procurement and payment
- Bi-monthly meetings
- Approval of DUP/DIP (USAID portions)

7. What other expectations do you have of the other entities represented here?

- Good coordination and participation
- Coordination among the directrates involved in SSIMP

Project Management Expectations
Provincial Expectations of USAID

1. How do you expect the other groups to share project information with you? (What type? how much? how often?)
 - Contract (USAID and Harza)_
 - Contract (USAID and PSCs)
 - Visiting schedule and reports
 - Progress report on overseas training
 - Programming including annual financial allocations
 - Procurement and financial procedures

2. How do you expect organizational relationships to be handled?
 - Information
 - Periodic meetings

3. What kind of written reports do you expect to prepare for or receive from the others?
 - Programming before November
 - Project budget needs
 - Visiting schedule
 - Visiting report

4. How do you expect to make decisions that involve the other groups?
 - Advice
 - Cooperation

5. How do you expect monitor individual and overall project performance?
 - nil

6. To what extent will you involve the other groups in planning project activities?
 - Comments and advice

7. What other expectations do you have of the other entities represented here?
 - Meet the target or goal
 - Do evaluation

USAID Expectations of the Provinces

1. How do you expect the other groups to share project information with you? (What type? how much? how often?)
 - Annual budget meetings
 - Meetings during inspection visits to monitor progress

2. How do you expect organizational relationships to be handled?
 - Coordinator for SSIMP in each province (requires SK from Kepala sub-Dinas Pengairan (Province response to this is that not too much should be expected out of this role)

3. What kind of written reports do you expect to prepare for or receive from the others?
 - USAID to province: Handbook guidance
 - Province to USAID: Site profile reports; DUP proposals

4. How do you expect to make decisions that involve the other groups?
 - Through coordination at the province (+PU when appropriate)

5. How do you expect monitor individual and overall project performance?
 - Through reports, meetings and inspections
 - Through the PU coordinator
 - through provincial coordination

6. To what extent will you involve the other groups in planning project activities?
 - Approval of relevant DUP proposals

7. What other expectations do you have of the other entities represented here?
 - Coordination among the projects in each province

Project Management Expectations

Provincial Expectations of the TA Team

1. How do you expect the TA Team to share project information with you? (What type? how much? how often?)
 - Quarterly work plans
 - Quarterly Technical reports
 - Plan of operation (quarterly)
 - Monthly progress report
 - Minutes of any relevant meetings
 - Types of equipment

2. How do you expect organizational relationships to be handled?
 - Give engineering advice
 - Copies of regular reports
 - Transfer of knowledge and skill
 - Coordinate with project and sub-project managers.

3. What kind of written reports do you expect to prepare for or receive from the others?
 - Assistance in preparing technical reports, plans of operation, etc.
 - Executive reports

4. How do you expect to make decisions that involve the other groups?
 - Active participation of TA team in recommending action, especially for technical aspects.

5. How do you expect to monitor individual and overall project performance?
 - Make comparisons between the planned program and progress

6. To what extent will you involve the other groups in planning project activities?
 - All planning should be discussed as required

7. What other expectations do you have of the other entities represented here?
 - Transfer knowledge and skill
 - Technical evaluations
 - Regular meetings

T A Team expectations of the Provinces

1. How do you expect the Provinces to share project information with you? (What type? how much? how often?)
 - all pertinent to satisfactory performance of contract and provisions of Technical Assistance
 - Memos
 - Reports
 - Participation in meetings
 - Letters (weekly or as required)
 - Sub-project priorities and needs
 - Information on other donor agency projects
 - Regular scheduled meetings with PM and other PU personnel
 - Budgets and plans
2. How do you expect organizational relationships to be handled?
 - Thru Team leaders with Project Managers, Project Coordinator, and Sub-project managers.
3. What kind of written reports do you expect to prepare for or receive from the others?
 - Give assistance in preparation of technical; reports and documents as required.
4. How do you expect to make decisions that involve the other groups?
 - We do not make decisions. We make recommendations and provide technical assistance.
5. How do you expect monitor individual and overall project performance?
 - By reference to work plan, schedule, and budgets
6. To what extent will you involve the other groups in planning project activities?
 - Work closely with all to plan and execute project activities. (As required) (As requested) (Daily)
7. What other expectations do you have of the other entities represented here?
 - Timely provision of logistical support
 - Timely response to communications
 - Sensitivity to GOI regulations and constraints.
 - Close coordination with USAID, Pusat and Province

PU Center expectations of the Provinces

1. How do you expect the Provinces to share project information with you? (What type? how much? how often?)
 - Site selection--monthly, quarterly, annual
 - Physical and financial project reports--monthly, quarterly, annual
2. How do you expect organizational relationships to be handled?
 - Project report to PU and to other institutions
 - For technical matters, report to PU pusat
 - To conduct coordination and supervision
 - Methodology
 - a. Field supervision
 - b. Mechanical Operation
 - c. Counterpart
 - d. Field laboratory
3. What kind of written reports do you expect to prepare for or receive from the others?
 - Site profile reports
 - Physical and financial reports
4. How do you expect to make decisions that involve the Provinces.
 - Make a joint program for DUP/DIP consultation prior to decision making
5. How do you expect monitor individual and overall project performance?
 - Monthly reports in standard forms for each project
 - Periodical site inspections
 - Annual reports (physical and financial)
6. To what extent will you involve the Provinces in planning project activities?
 - Preparing project proposal and its priorities for the next fiscal year.
7. What other expectations do you have of the Provinces?
 - Good coordination and cooperation with other institutions

Project Management Expectations

Provincial Expectations of PU

1. How do you expect PU Center to share project information with you? (What type? how much? how often?)
 - Policies and directives
 - Budget allocations
 - Guidelines for any regulations
 - All the commitments, agreements and discussions between PU and USAID should be delivered to the project.
2. How do you expect organizational relationships to be handled?
 - To approve DIP administration and DIP revisions
 - To speed up the appointment of consulting services
 - To prioritize the making available of funds for projects for which there is already commitment.
3. What kind of written reports do you expect to prepare for or receive from PU?
 - Reports ke PU:
 - Information on budget reallocations
 - Organization
 - Progress of procurement process
 - Prepare reports on financing and construction for the province for the Center.
 - PRT
 - Coordinator SPP
4. How do you expect to make decisions that involve PU?
 - Directive and information on studies of the -implementation of the project.
5. How do you expect to monitor individual and overall project performance?
 - Guidance and suggestions
6. To what extent will you involve PU in planning project activities?
 - Directives
 - Prepare the T.O.R., technical specifications and costs
7. What other expectations do you have of PU?
 - Cooperation

Project Management Expectations

PU Expectations of the Technical Assistance Team

1. How do you expect the TA team to share project information with you? (What type? how much? how often?)
 - Work plan
 - Inception reports
 - Quarterly reports (10 copies)
 - Annual reports (25 copies)
 - Final report (50 copies)
 - Special reports are required (25 copies)
 - Copies of all reports required by USAID
2. How do you expect organizational relationships to be handled?
 - Coordination
3. What kind of written reports do you expect to prepare for or receive from the TA Team?
 - Assist the project in preparing FS reports, design reports, site profile reports as well as contract documents.
4. How do you expect to make decisions that involve the TA Team??
 - Make recommendation with regard to the decisions that will be made by PU
5. How do you expect monitor individual and overall project performance?
 - Periodic site inspection
 - Access to progress reports
 - Periodic consultation
 - Technical notes on findings of special consultants
6. To what extent will you involve the TA Team in planning project activities?
 - Assist PU province in preparing project proposals:
 - technical specifications
 - cost estimates
 - procurement of equipment
7. What other expectations do you have of the TA Team?
 - Flexibility in responding to local conditions and circumstances

T A Expectations of P U

1. How do you expect PU to share project information with you?
(What type? how much? how often?)
 - Thru C of P
 - All pertinent and satisfactory performance of contract provision of Technical assistance to GOI.
 - Memos
 - Reports
 - Participation in meetings
 - Letters (weekly and/or as required)
 - Planning and budgets
 - Organizational changes
 - Informal liaison between the Province and Center
2. How do you expect organizational relationships to be handled?
 - Thru C of P with responsible project officer and contract officer. GOI is the owner of the project.
3. What kind of written reports do you expect to prepare for or receive from PU?
 - Give assistance in preparation of Technical reports and documents as required.
 - Receive all pertinent reports, data, and documents (eg DIP/DUP).
4. How do you expect to make decisions that involve PU?
 - We do not make decisions. We make recommendations and provide technical assistance.
5. How do you expect monitor individual and overall project performance?
 - By reference to work plans, schedule and budgets.
 - Inspections
 - Meetings
6. To what extent will you be involved with PU in planning project activities?
 - Work closely with all to plan and execute project activities. (As requested) (As required) (Daily)
7. What other expectations do you have of PU Center?.
 - Timely provision of logistical support
 - Timely response to communications
 - Sensitivity to GOI regulations and constraints
 - Close coordination and cooperation with USAID and Provinces.

Project Management Expectations

T A Team Expectations of USAID

1. How do you expect the TA Team to share project information with you? (What type? how much? how often?)
 - all pertinent to satisfactory performance of contract and provision of Technical Assistance to GOI.
 - Memos
 - Reports
 - Meetings
 - Letters--weekly as required
 - Travel (informal)
2. How do you expect organizational relationships to be handled?
 - Thru C of P with the Project Officer and Contract Officer
3. What kind of written reports do you expect to prepare for or receive from the TA Team?
 - Inception
 - Quarterly
 - Annual
 - Final
 - Special reports as required
 - trip reports as relevant
4. How do you expect to make decisions that involve the other groups?
 - We do not make decisions. We make recommendations and provide assistance.
5. How do you expect monitor individual and overall project performance?
 - By reference to work plan, schedule, budgets, inspections, meetings.
6. To what extent will you involve the TA Team groups in planning project activities?
 - Work closely with all to plan and execute project activities! (As requested) (As required) (Daily)
7. What other expectations do you have of the TA Team?
 - Good coordination and cooperation
 - Sensitivity to GOI regulations and constraints.

USAID Expectations of the TA Team

1. How do you expect USAID to share project information with you? (What type? how much? how often?)
 - all pertinent to satisfactory performance of contract and provision of Technical Assistance to GOI.
 - Memos
 - Reports
 - Meetings
 - Letters--weekly as required
 - Travel (informal)
2. How do you expect organizational relationships to be handled?
 - Thru C of P with the Project Officer and Contract Officer
3. What kind of written reports do you expect to prepare for or receive from USAID?
 - Inception
 - Quarterly
 - Annual
 - Final
 - Special reports as required
 - trip reports as relevant
4. How do you expect to make decisions that involve USAID?
 - We do not make decisions. We make recommendations and provide assistance.
5. How do you expect monitor individual and overall project performance?
 - By reference to workplan, schedule, budgets, inspections, meetings.
6. To what extent will you involve USAID in planning project activities?
 - Work closely with all to plan and execute project activities! (As requested) (As required) (Daily)
7. What other expectations do you have of the other entities represented here?
 - Good coordination and cooperation
 - Sensitivity to GOI regulations and constraints.