



**Royal Government of Cambodia  
National Committee for Democratic  
Development at Sub-National Level**

# **Process Audit on Implementation of C/S Fund Projects**

## **Final Report**

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## PROCESS AUDIT ON IMPLEMENTATION OF C/S FUND PROJECTS

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## List of Abbreviations

AWG	Accountability Working Group
CBO	Civil Society Organization
CSO	Community Based Organization
C/S	Commune/Sangkat
CIP	Community Investment Program
DFT	District Facilitation Team
DIME	Department of Industry, Mines and Energy
DIW	District Integration Workshop
DoE	Department of Education
DOLA	Department of Local Administration
DoWRAM	Department of Water Resources and Meteorology
DPWT	Department of Public Works and Transport
EA	Environmental Assessment
EIA	Environmental Impact Assessment
EMP	Environmental Management Plan
ExCom	Executive Committee
I/O	International Organization
KPI	Key Performance Indicator
LAU	Local Administration Units
NGO	Non-Governmental Organization
NOL	No-Objection Letter
MEF	Ministry of Economy and Finance
M&E	Monitoring and Evaluation
MoI	Ministry of Interior
MRD	Ministry of Rural Development
NCDD	National Committee for Democratic Development at Sub-National Level
PBC	Planning and Budgeting Committee
PFT	Provincial Facilitation Team
PID	Project Information Database
PIM	Project Implementation Manual
PMC	Project Management Committee
PRDC	Provincial Rural Development Committee
PSDD	Project Support for Decentralization and Deconcentration
TSO	Technical Support Official
TSU	Technical Support Unit
VLGR	Voluntary Land Compensation Report

## **Executive Summary**

### **Purpose**

This report presents the findings of the process audit on implementation of infrastructure projects supported by the Commune/Sangkat (C/S) Fund during 2009.

The C/S Fund covers all 24 provinces of Cambodia and municipalities. While this is a Fund of the Royal Government of Cambodia (RGC), the International Development Association (IDA) has been providing substantial financial and technical assistance for the Fund and its utilization since 2003 under the Rural Investment and Local Governance Project (RILGP).

The implementation of small scale infrastructure projects is one of the means employed by the RILGP to assist rural development and poverty reduction efforts at the commune level, as well as promoting good local governance through support of decentralized and deconcentrated participatory local governance systems at the commune and provincial levels.

The purpose of the process audit was to investigate compliance with procedures in the 2009 Project Implementation Manual (PIM) which set procedures and safeguards for the preparation, design, competitive bidding and construction of individual infrastructure projects paid by the C/S Fund with the support of RILGP. It was also required to identify any forces and factors which obstruct the objectives of the process, make recommendations and elaborate on specific recommendations which would require modifications and enhancements to systems, and for possible future monitoring of C/S Fund projects.

### **Methodology**

The process audit was conducted in two phases.

#### **Phase 1**

During Phase 1 between mid-September and mid October 2009 a questionnaire was put to 15 key stakeholders at each project covering four groups: commune officials, beneficiaries, non-beneficiaries, and provincial and district officials. The questionnaire was structured around 14 Key Performance Indicators (KPI). It comprised 154 questions but not every question was put to every stakeholder, only those relevant to the stakeholder group. The results were entered into an SPSS database to facilitate data analysis. The detailed methods and results of Phase 1 are included at Annexes 1 and 4 of this report.

#### **Phase 2**

During Phase 2 in mid-November 2009 case studies were conducted for a sub-sample of 20 projects. These were chosen from the Phase 1 sample based on poor performance against KPI. The main survey tools for the 20 projects were document scrutiny for compliance with PIM procedures and focus group discussions with commune committees and the beneficiaries. Separate questionnaire and interviews were conducted with the contractors for the sub-sample projects. As an additional task, telephone interviews were conducted with provinces focused on the timeline of project implementation; the purpose was to investigate why the majority of 2009 C/S projects were not complete by mid-September in time for inclusion in the survey. The detailed methods and results of Phase 2 are included at Annexes 2 and 3 of this report.

### **Workshop**

Following Phase 2, on 20 January 2010, a Workshop was held to discuss the findings of the process audit. Comments were focused on the principal conclusions and general recommendations of the process audit and are summarised against the relevant items at section 3.4 and 3.9 of this report. The Final Report has taken account of both these comments from the Workshop and others received following review of intermediate reports.

### **Principal Conclusions**

- There is widespread non-compliance with documentation procedures with key documents not correctly completed or not on file in the commune as required.
- The non-compliances are procedural; there were no significant problems over building the projects, no formal complaints, no one complaining land was lost, and an overall satisfaction with the built infrastructure.
- Environmental safeguards are not well understood and officials are confused by the procedures.
- Records of local contributions do not follow the required procedures; the reason appears to be that it involves a lot of time and paperwork for issuing receipts and listing contributors.
- The most common comment from all parties is that projects should not be built during the wet season.
- The solution to this people say is to start the process earlier and simplify or make quicker the procedures.
- Communes in particular value the C/S Fund process because they are involved at all stages and they see it as a means of improving local governance.

### **Changes since 2005**

Comparison is made with the process audit on implementation carried out in 2005 and the following conclusions were drawn in comparison with the situation found in 2009:

- There continues to be non-compliance in the detail of the process but the overall objective of delivering small-scale infrastructure to the C/S is being achieved, and this satisfies the communities.
- The knowledge and take-up of training amongst commune officials has improved but still has a way to go.
- In 2009 women are more involved than they were in 2005.
- The process continues to deal poorly with environmental safeguards.

### **Factors and Forces Affecting Objectives**

There are judged to be five principal interrelated factors which affect compliance with process, these are summarised below and elaborated at section 4:

1. **Project cycle calendar:** the project cycle is structure around the financial calendar but for construction it is best structured around the water year (construct in dry season).
2. **No defined target timeline for implementation:** without target dates there is no effective tool to monitor which projects are falling behind schedule or to take early corrective action.
3. **Problems with correct and timely use of PIM forms:** the forms are simple but still the number of forms to be processed causes problems for many implementers and can take considerable time to complete the approval procedures.
4. **Varying levels of competence amongst implementers:** provincial and district officials, especially Technical Support Officials (TSO), are often not well trained or experienced in the construction sector; commune officials are generally not.
5. **Ineffective application of safeguards:** communes and TSO do not have the knowledge or experience to implement effect safeguards

## **Recommendations**

The general recommendations of from the Process Audit on Implementation are elaborated at section 3.9 and are:

1. Harmonize planning, procurement, implementation, narrative and financial reporting of all government infrastructure projects – using 2009 PIM procedures.
2. Do not build infrastructure during the wet season.
3. The process needs to be quicker to implement, and it must avoid construction during the wet season, and during harvest.
4. Eliminate the sharp division between the planning and implementation stages of the C/S Fund projects.
5. Carefully and seriously evaluate simplification, streamlining and consolidation of the PIM Forms.
6. Consider introduction of online forms, which are self-checking and reduce incidence of clerical errors.
7. Review and improve the effectiveness of training at every stakeholder level.
8. Instruction and training on preparation of operation and maintenance plans should be improved.
9. Simplify the procedures for documenting local contributions.
10. Revise environmental safeguards procedures so that they really do protect the environment, and which ensure that competent specialists are called for projects with a potentially significant environmental impacts.
11. Introduce stronger verification that people are correctly informed of land rights.
12. Ensure competent safeguard advisors police projects in highland people watch-list communes.
13. Be more vigilant on collusive tendering and take measures to eliminate illegal fees.
14. The prequalification process should give a limit to the number of NCDD projects awarded to a contractor at any time. Police sub-contracting as a means of contractors getting around the restriction.
15. Reconcile C/S Fund procedures with line Ministries and Departments. Instigate local joint work groups and training to ensure efficient processing of NCDD requirements.
16. Use telephone interviews and focus groups to have more frequent monitoring of KPI.
17. Trial outsourcing of the technical roles of TSO.

## **Possible Modifications and Enhancements of Process**

Implementation of the above recommendations would require modifications and enhancements of current PIM processes, these are discussed at section 5 and are summarised as follows:

### ***Timeline: recommendations 2, 3 and 4***

This will require application of:

- project management techniques and use of Gantt charts to fix key target dates for the process for each project to allow monitoring of progress and to trigger corrective action when progress falls behind target.
- Clear guidelines on timeline to be incorporate into the PIM.

- The timeline to provide for activities in advance of DIW, guidance to be included in PIM or Technical Manual.

**Forms: Recommendations 5, 6 and 9**

The recommend changes to forms are:

1. Targeted on the job training and mentoring on correct use and filling of forms.
2. An independent review with the objective of optimising the design and processing of the forms.
3. In parallel investigate greater use of computer for generating forms.
4. Reduce the forms required for local contribution, stop requirement for receipts and make the listing of individual contributors optional not mandatory.
5. Transfer responsibility for processing supplementary environmental and highland people safeguard forms from commune TSO to designated environmental/safeguards officers (repeated for comments on safeguards).

**Operation and Maintenance Plans: Recommendation 7**

Develop clearer guidelines, specific examples and targeted training for operation and maintenance plans.

**Training: Recommendation 8**

Improve the penetration of training by more on the job training and mentoring, all training material should be accessible with practical examples and exercises. Training for officials should include project management methods and use of Gantt Charts.

**Safeguards: Recommendations 3.9.10, 3.9.11 and 3.9.12**

The recommendation is that supplementary safeguard procedures are processed by safeguard offices not by the TSO and communes.

**Contractors: Recommendation 14**

Limit the number of NCDD projects awarded to a single contractor at any one time according to the contractors capability and resources

**Outsourcing: Recommendation 17**

Trial outsourcing of the technical roles of TSO.

**Future Monitoring of Process**

At section 6 the report includes specific recommendations for future monitoring of the process, specifically:

- Use document scrutiny checklist pro-forma on a sample of projects as the primary tool for routine monitoring and evaluation.
- Use focus groups as a baseline cross-check for document scrutiny or for investigation of poorly performing projects.
- Use telephone interviews for quick feedback on issues and concerns arising for the process.

**Incentives and Sanctions**

Incentives are recommended as reward for good compliance to process. The preference is a 'league system' where good performing communes are given priority for funding at the DIW, possibly linked to a scale of funding ceiling. Sanctions against communes for poor performance are not considered appropriate, the scale of the investment is too small and there are too many factors outside the commune's control.

# 1 Introduction

This is the Final Report for the Process Audit on implementation of Commune/ Sangkat Fund (C/S Fund) projects. The audit is of projects notionally implemented during C/S Fund project year 2009, the planning process for these projects occurred principally during 2008 and actual construction of projects can be any time from early 2009 into the dry season 2010. The planning process is subject to a separate audit and is not addressed by this study or report although there are some overlapping issues to address with respect to the project implementation timeline.

The Royal Government of Cambodia National Committee for the Management of Decentralization & Deconcentration Reform appointed Leighton Williams as Senior Evaluation Expert for the process audit. The Senior Evaluation Expert was required to mobilize and manage a team of support staff for the conduct of field survey of sample projects by questionnaire and interview and for statistical analyses of the same. These support staff and logistics were provided by iLi Engineering Consultants Mekong, Phnom Penh.

## 1.1 Reporting Protocol

This Final Report is the third of three technical reports for the process audit and additional to an Inception Report.

1. Factual Report
2. Review Report
- 3. Final Report**

The purpose of the *Factual Report* was to present the results together with some initial analysis of the Phase 1 survey of a sample of 100 projects. The Phase 1 survey comprised a questionnaire to stakeholders. For each project fifteen stakeholders drawn from four stakeholder categories were interviewed: commune officials, province and district officials, beneficiaries and non-beneficiaries. The purpose for reporting at this stage was to inform the choice of 20 projects from the original sample for further investigation. The 20 projects were chosen from those that appear in some way deficient in terms of the process, either because of the overall outcome or in some specific aspect(s).

The *Review Report* was prepared upon completion of the Phase 2 survey and presented the main analysis and discussion of the both phases and the process audit.

Version **R0** of the *Final Report* which incorporated comments received from NCDD/PST on the Review Report was prepared and distribution prior to a Workshop to discuss the findings of the process audit. Although this was a departure from the Terms of Reference, which had only required the *Final Report* to be prepared after the Workshop, the change allowed all parties to deliberate more about the results of the process audit and how they wish these to be presented in the *Final Report*. This document is therefore version **R1** of the *Final Report* and incorporates all requested amendments. Acceptance of the *Final Report* by NCDD will conclude the process audit.

## 1.2 Background

The background and context for C/S Fund projects was set out in the Terms of Reference for the process audit, and attached at Annex 1 of the Inception Report<sup>1</sup>. The C/S Fund covers all 24 provinces of Cambodia including Phnom Penh. While this is a Fund of the Royal Government of Cambodia (RGC), the International Development Association (IDA) has been providing substantial financial and technical assistance for the Fund and its utilization since 2003 under the Rural Investment and Local Governance Project (RILGP).

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<sup>1</sup> **Williams L.** *Inception Report, Process Audit on Implementation of C/S Fund Projects*, Phnom Penh, September 2009.

There are over 1,600 rural communes and urban Sangkats in Cambodia. Each Council, through the Planning and Budgeting Committee (PBC) prepares a five-year Development Plan, a more frequent Investment Program and an Annual Budget. The budget is funded by fiscal transfers from national government through the C/S Fund mechanism, by local contributions and by donor support. The Commune/Sangkat Councils apply revenues for development activities to local development projects, mainly small-scale infrastructure. The process audit was conducted on a sample of 100 infrastructure projects for 2009.

In brief there has evolved over some years a well established system of planning, budgeting and implementing C/S Fund infrastructure projects. The fundamentals were in place in 2005 when a similar planning and process audit was conducted by John Holloway<sup>2</sup>. Since 2005 much work has been done on C/S Fund projects, including the introduction and revision of guidelines for developing the C/S Plan and Budget, elaboration and revision of an increasingly detailed Project Implementation Manual (PIM), expansion and strengthening of safeguard measures, extensive training of government staff and Commune Councillors, streamlining of financial procedures and tightening of procurement procedures. Data collection and storage on C/S Fund projects implementation has been greatly expanded, especially through the Project Information Database (PID) managed at national level, but fed by detailed information from the provinces. Another change since 2005 is the election of new Commune Councils in 2007 and the arrival of many new Councillors.

In implementation of the RILGP, the RGC and World Bank attaches great importance to the proper implementation of transparent procurement procedures, and of correct implementation of procedures designed to safeguard the rights of local land users and of Highland People and to safeguard the environment.

The process audit was one of several concurrent studies planned to shed light on the specific and collective effects of these interventions and changes, with special attention to the application of the revised PIM and the expansion of safeguard arrangements.

### **1.3 Navigating This Report**

The principal findings and review are in the main body of the report at sections 3 to 6 together with conclusions and recommendations.

This arrangement has been used because most readers will be interested in the findings rather than the detail of the process audit and will want to get to these easily. However, the findings are based on some valuable and informative detail, which has required significant effort and time to collect and analyse. It would not be right to hide this away in separate volumes or databases where it will be hard to find and quickly forgotten, it should be part of the Final Report. Therefore, detailed summaries of the methods and results from the two phases of the process audit are included at Annex 1 to 4. The questionnaire and forms used can be found as annexes to the Factual and Review reports.

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<sup>2</sup> **John Holloway, Chom Sok and the Researchers from The Crossroads Consultancies Group.** *Process Audit Of Commune/Sangkat Fund Projects*, (CMB/01/272/RILG), The Cambodian Seila Task Force, Phnom Penh, July 2005.

## **2 Objectives of Process Audit**

### **2.1 Overall Objectives**

The objectives of the process audit were:

1. To make a statistically valid, quantitative assessment of the quality of the process of elaboration, clearance, procurement and implementation of C/S Fund projects, measured by a defined set of indicators;
2. To identify the most important factors and forces during the above stages that prevent certain projects from fully achieving their objectives;
3. To produce detailed recommendations for possible modification and enhancement of systems, procedures and support;
4. To develop and field test criteria that could be used for future monitoring of C/S Funds, possibly linked to incentives and sanctions.

### **2.2 Key Performance Indicators**

The studies were required to examine a number of key performance indicators (KPI) for process quality, specifically:

1. Conformity of process to PIM guidelines on key issues;
2. Timeliness of procedures and decisions;
3. Adequacy of budget from C/S Fund and other sources;
4. Adequacy of financial procedures;
5. Knowledge and access to information by key stakeholders: villagers, Commune Councillors and Government staff at various levels;
6. Quality and quantity of participation of key stakeholders in different stages of the implementation process;
7. Quality and quantity of technical support and guidance by Provincial and District Staff;
8. Involvement of and performance by contractors;
9. Safeguarding of the natural environment – in different environmental conditions;
10. Safeguarding of stakeholders' land rights in connection with land claimed by projects;
11. Safeguarding of rights of Highland People to be informed and involved;
12. Satisfaction of key stakeholders with outcomes;
13. Use and results of complaints procedures in connection with C/S Fund projects.

A fourteenth indicator was added to evaluate other information.

14. Any other comments.

## 3 Review of Process

### 3.1 Limitations

#### 3.1.1 Size of sample

The major limitation to the process audit is that it was meant to be a sample from 1,814, 2009 infrastructure projects whereas only 13%<sup>3</sup> of these projects could be identified as completed in time for the audit. Obviously, the audit has not been able to examine the causes for delay because the sampled projects were not significantly delayed; otherwise, they would not have been completed in time for the audit. Future audits of this nature should not proceed until the sample population is available for audit, say not less than 90%.

#### 3.1.2 Veracity<sup>4</sup> of answers.

A fundamental problem with use of questionnaire methods in communities of the structure and type found in Cambodia is the difficulty in getting accurate and truthful answers. There are several reasons for this including:

- The stakeholders, especially at commune level, have limited education so it is sometimes hard for them to grasp esoteric concepts such as ‘the environment’.
- There is a tendency to give the answer that the stakeholder perceives the questioner wants, which is usually the ‘positive or conforming’ answer.
- It was noted in the 2005 Holloway report that officials well know the ‘positive or conforming’ answers and have a tendency to give these whether this is the correct and truthful answer or not; if the Commune Chief answers on way the others will not contradict and will give the same answer.
- Stakeholders who are not officials can also feel obliged to give a ‘positive and conforming’ answer so as not to be seen to cause dissent in the community.

The questionnaire incorporated some measures to counter these problems. For example, a Yes answer is not always the ‘positive or conforming’ response and the inclusion of numbers, dates and explanations probes the answers more deeply.

Even so, there were mixed results from more probing questions, often the interviewees, when, asked would not give the reason for a certain answer. It was easy for them to answer Yes or No but for an open-ended question, which needed more thought, many skipped to answer the next question. It is the researchers’ opinion based on experience that a survey of this depth often encounters socio-economic and cultural barriers in low-income rural communities as found in Cambodia. This is due to a mixture of reasons. Sometimes the interview might find it difficult to answer, especially if they consider it a sensitive issue, or because they are shy and lack confidence. In such cases, it is not correct to force them to give an answer, for which in any case the answers obtained could not be considered reliable.

It was apparent from the results of Phase 1 that the answers to individual questions had to be treated with caution. There was a tendency towards the ‘positive or conforming’ answer, especially amongst officials. Since the purpose of the exercise was to pin-point areas of non-conformity of process it was more important to look for ‘flags’ amongst the groups of answers that indicate that something may not be quite as compliant or successful as would

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<sup>3</sup> In fact, by late November it was apparent that a higher proportion of projects than this were completed by the end of September 2009, more than 50%, but the flow of information in and out of provincial offices was poor such that in September even extensive enquiry could not identify more than 13% completed projects. This issue is addressed at section 0.

<sup>4</sup> Veracity in this context means the power of conveying or perceiving truth, conformity with truth or fact, and accuracy.

be thought from answers to the more direct questions. For the same reason over rigorous statistical analysis is will give misleading answers; in these circumstances the questionnaire is a pointer to the overall situation but not the absolute answer.

Phase 2 focus group discussions were better at teasing out truthful answers, but by no means completely. Focus groups of officials tended to follow one or two dominant individuals and often all gave the same responses. The focus groups of beneficiaries without officials present were better and often gave a different view to officials. There were some mature and insightful responses from all the focus groups. The interviews with contractors and telephone interviews with the provinces also yielded very useful information. The document scrutiny of 20 projects revealed much poorer compliance with procedures than claimed by officials.

### **3.1.3 Educational Standards**

It is in no way derogatory or surprising that for the majority of stakeholders' educational standard is a constraint to understanding and engaging fully the C/S Fund process. As explained above it affects the veracity of the questionnaire.

At province and district level, the senior staff is expected to have a fair to good standard of education and a good capacity to fully understand the process. Amongst TSO, the issue is that most have a very limited or no educational background in building and construction although they are arguably the key individual in the process. Many have received formal training for the 2009 PIM and in most cases had received training under earlier programmes. This training probably does provide sufficient guidance for the process but it does not equip TSO with the broader technical knowledge and experience to be fully effective in their role. Individuals with all the skills that the job of TSO can require will more likely move on to better paid and more responsible jobs elsewhere; the TSO post is not attractive to the best educated and ambitious individuals.

Commune chiefs tend to be from the older generation, they head the community because of their interpersonal and political skills but often lack a technical education. In many cases, they rely on their clerks or secretaries who are usually much younger and with sufficient education for administrative matters.

The other commune officials, beneficiaries and non-beneficiaries will seldom have more than high school education, commune officials will usually have at least basic literacy but amongst the villagers, many may have had no schooling. It is expecting a lot for such people to understand and assimilate short blocks of formal training such as that given for the 2009 PIM. In practice, these groups need support over time to learn and fully understand the procedures. It was interesting to note that during the Phase 1 survey that many stakeholders said that answering the questions helped them understand the process much better.

### **3.1.4 Interest in Process**

Not all stakeholders at village level are interested to engage in the C/S Fund process. The relatively high attendance at meetings, which far exceeds the interest that might be shown in developed countries, does not necessarily reflect interest because the villagers are specifically called to attend by commune officials. There will always be a proportion of people who for whatever reason wants nothing to do with a project; even though they are considered beneficiaries and may even agree to make a financial contribution. For example, owning land and growing a little rice does not mean the family are farmers interested in irrigation; they can be making a living from many other means and will not engage in a user group or make recurrent contributions.

### **3.1.5 Small Number of Completed 2009 Projects**

Attention has already been drawn to the fact that only 13%, or 240 out of 1,814, 2009 C/S Fund projects planned for the year, could be identified as completed by September 2009 in

time for evaluation by this process audit. This situation was not foreseen when the terms of reference for the audit was prepared; indeed multi-choice random sampling methods were specified in order to select a sample of 100 from the large total number of projects. Although it could be expected that some 2009 projects would not be completed in time for the audit it was anticipated that the majority would be.

Even though the total number of projects is large, the individual projects are small in size and value, the workload spread between 24 provinces, construction cost is typically about \$10,000 and most can be constructed in two to twelve weeks. In terms of the infrastructure to be built there appears to be more than ample time to complete the procedures and construction of the projects during a single year.

Therefore, the question that must be asked is why are 2009 C/S Fund infrastructure projects taking so long to finish?

Although this was not an issue that the process audit was intended to address; it is such a fundamental question that it was thought prudent to take the opportunity to explore the reasons during Phase 2 of the audit. Without prejudging or limiting the enquiry, the reasons investigated included any combination of the following:

- complexity of the process;
- unfamiliarity with changes in the 2009 PIM;
- changes in the 2009 PIM taking longer to implement;
- prior approvals by the World Bank;
- too much work load for the officials to process;
- insufficient knowledge and experience for individuals at any point of the process;
- lack of application by individuals because of distraction to other tasks or for other reasons;
- time taken for new safeguard measures;
- time taken for latest procurement procedures, periods and notices required; and
- difficulty of construction during the wet season.

In discussion with NCDD/PST it was agreed that the Phase 2 survey would be slightly amended to substitute repeat interviews with individual stakeholder with a short questionnaire to all provinces to identify the time taken and the occurrence of delays in the 2009 PIM process. The details of Phase 2 are at Annex3: A3.3.

### **3.2 Key Performance Indicators**

The key performance indicators were used to compare project performance. The scoring system is described at Annex 2: A2.2. Scores are expressed as a percentage of the maximum possible score. This eliminates 'noise' from the differences in the number of questions by KPI. The objective of the scoring system is to allow comparison, not to provide an absolute measure of performance. Although a perfect project would score 100%, scores less than 100% do not give a measure of how unsatisfactory a project might be, it is necessary to look at the individual results to see why percentage points are lost. In particular, *Do not know* answers in the questionnaire are given a neutral zero KPI score; so a high proportion of *Do not know* answers gives a proportionate reduction in the total KPI scores.

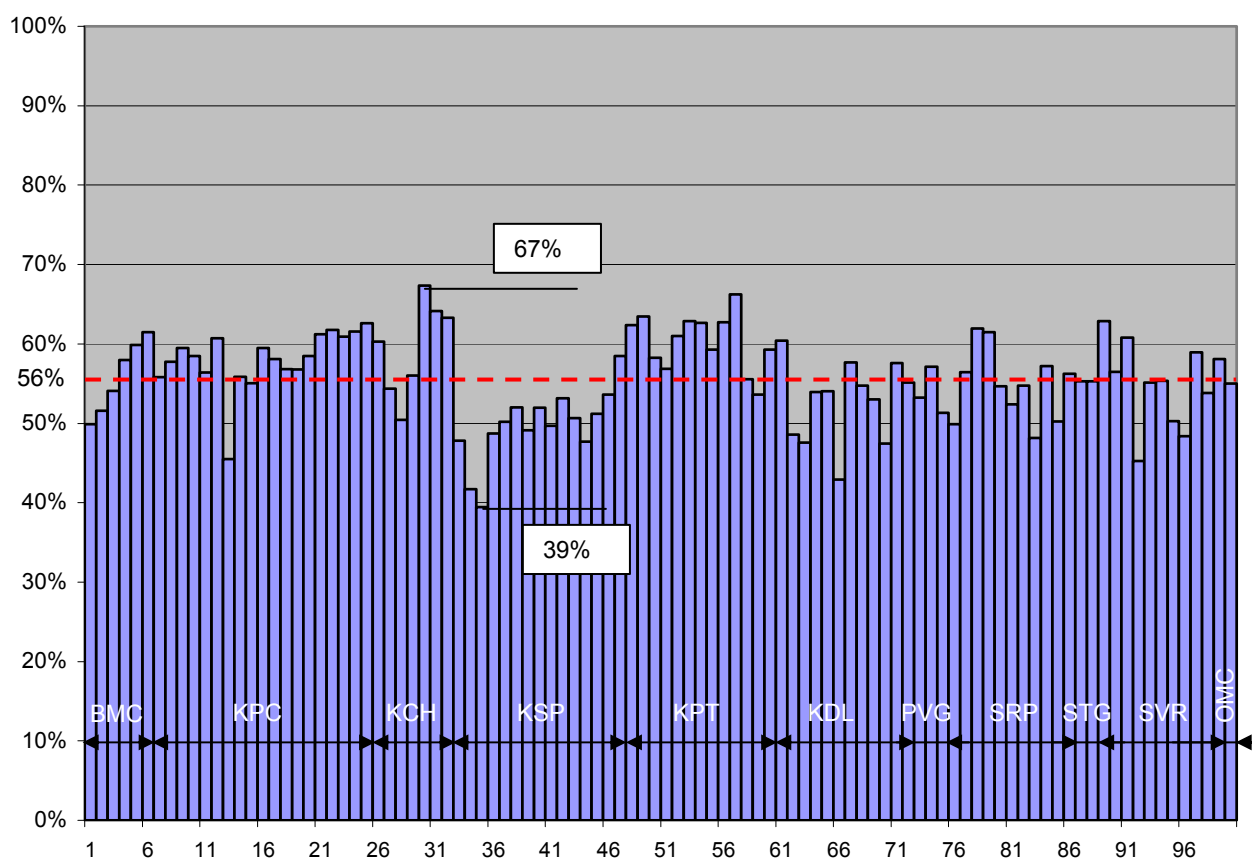
The data has been 'cleaned' for the results that follow. For example, there are only six highland people watch-list communes in the 100-project sample; therefore, negative highland

people safeguard scores have been removed for the other 94 projects. Similarly, results for beneficiaries, non-beneficiaries, and province and district officials have been disregarded for several KPI where their inclusion was seen to distort the results.

### 3.3 Performance Against Overall KPI.

There is a significant variation between overall KPI scores by project, ranging between 39% and 67% with an average score of 56%. All provinces sampled have a mixture of above and below average scores, except Oddar Meanchey where only one project was sampled and which was above average. Kampong Speu, Kandal, Siem Reap and Svay Rieng had high proportions of below average scores, also Prey Veng and Stung Treng but the sample in these two provinces was small. The chart illustrates variations, details are provided in the table that follows.

**Overall Percentage KPI Scores for Sample of 100 Projects**



Key	Project	Commune	Overall % KPI Scores	Key	Project	Commune	Overall % KPI Scores
1	010211/090101	Soea	50% Below average	51	060503/090101	Sambour	57% Above average
2	010602/090101	Sangkat Kampong Svay	52% Below average	52	060504/090101	Sraeung	61% Above average
3	010607/090101	Sangkat Preah Ponlea	54% Below average	53	060601/090101	Chheu Teal	63% Above average
4	010702/090101	Kouk Romiet	58% Above average	54	060603/090101	Klaeng	63% Above average
5	010802/090101	Sarong	60% Above average	55	060604/090101	Mean Rith	59% Above average
6	010807/090101	Treas	61% Above average	56	060605/090101	Mean Chey	63% Above average
7	030203/090101	Cheyyou	56% Below average	57	060606/090101	Ngan	66% Above average
8	030203/090202	Cheyyou	58% Above average	58	060702/090101	Chroab	56% Below average
9	030203/090303	Cheyyou	60% Above average	59	060703/090101	Kampong Thma	54% Below average
10	030301/090101	Khnor Dambang	58% Above average	60	060704/090101	Kakaoh	59% Above average

Key	Project	Commune	Overall % KPI Scores		Key	Project	Commune	Overall % KPI Scores	
11	030302/090101	Kouk Rovieng	56%	Above average	61	080405/090101	Kaoh Thum Kha	60%	Above average
12	030303/090101	Pdau Chum	61%	Above average	62	080703/090101	Preaek Anhchanh	49%	Below average
13	030306/090101	Sampong Chey	45%	Below average	63	080707/090101	Roka Kong Ti Muoy	48%	Below average
14	030308/090101	Soutib	56%	Below average	64	080711/090101	Svay Amppear	54%	Below average
15	030609/090101	Krala	55%	Below average	65	080711/090201	Svay Amppear	54%	Below average
16	030615/090101	Vihear Thum	60%	Above average	66	080806/090101	Kantaok	43%	Below average
17	030701/090101	Angkor Ban	58%	Above average	67	080811/090101	Peuk	58%	Above average
18	030703/090101	Khchau	57%	Above average	68	080908/090101	Ponhea Pon	55%	Below average
19	030708/090101	Roka Ar	57%	Above average	69	080909/090101	Preaek Phnov	53%	Below average
20	030711/090101	Sour Kong	58%	Above average	70	080910/090101	Preaek Ta Teaen	47%	Below average
21	031101/090101	Ampil Ta Pok	61%	Above average	71	081102/090101	Sangkat Preaek Ruessei	58%	Above average
22	031101/090201	Ampil Ta Pok	62%	Above average	72	081104/090101	Sangkat Ta Khmau	55%	Below average
23	031103/090101	Damril	61%	Above average	73	140304/090201	Chrey	53%	Below average
24	031104/090101	Kong Chey	62%	Above average	74	140309/090101	Prasat	57%	Above average
25	031309/090101	Prey Chhor	63%	Above average	75	141108/090101	Ta Kao	51%	Below average
26	040103/090101	Chak	60%	Above average	76	170101/090101	Char Chhuk	50%	Below average
27	040301/090101	Sangkat Phsar Chhnang	54%	Below average	77	170101/090201	Char Chhuk	56%	Above average
28	040302/090101	Sangkat Kampong Chhnang	50%	Below average	78	170202/090101	Leang Dai	62%	Above average
29	040303/090101	Sangkat B'er	56%	Above average	79	170604/090101	Krouch Kor	61%	Above average
30	040603/090101	Cheung Kreav	67%	Above average	80	170607/090101	Saen Sokh	55%	Below average
31	040604/090101	Chrey Bak	64%	Above average	81	170709/090101	Pou Treay	52%	Below average
32	040609/090101	Prey Mul	63%	Above average	82	170716/090101	Yeang	55%	Below average
33	050201/090101	Sangkat Chbar Mon	48%	Below average	83	171006/090101	Chreav	48%	Below average
34	050203/090101	Sangkat Rokar Thum	42%	Below average	84	171008/090101	Sambuor	57%	Above average
35	050204/090101	Sangkat Sopoar Tep	39%	Below average	85	171105/090101	Kien Sangkae	50%	Below average
36	050304/090201	Pechr Muni	49%	Below average	86	171106/090101	Khchas	56%	Above average
37	050311/090101	Sraeng	50%	Below average	87	190205/090101	Ou Ruessei Kandal	55%	Below average
38	050312/090101	Teuk Laak	52%	Below average	88	190207/090101	Srae Krasang	55%	Below average
39	050403/090101	Tropeang Chour	49%	Below average	89	200203/090101	Banteay Krang	63%	Above average
40	050404/090101	Sangkae Satoub	52%	Below average	90	200205/090101	Khsaetr	57%	Above average
41	050505/090101	Krang Cheyk	50%	Below average	91	200208/090101	Prey Thum	61%	Above average
42	050510/090101	Veal Pong	53%	Below average	92	200401/090101	Samyaong	45%	Below average
43	050515/090101	Phnum Touch	51%	Below average	93	200510/090201	Ampil	55%	Below average
44	050608/090101	Prey Rumdol	48%	Below average	94	200513/090101	Kraol Kou	55%	Below average
45	050611/090101	Tang Sya	51%	Below average	95	200516/090101	Svay Angk	50%	Below average
46	050711/090101	Trang Krouch	54%	Below average	96	200601/090101	Svay Yea	48%	Below average
47	050714/090101	Tumpoar Meas	58%	Above average	97	200708/090101	Sangkat Svay Rieng	59%	Above average
48	060501/090101	Chhuk	62%	Above average	98	200709/090101	Romeang Thkaol	54%	Below average
49	060502/090101	Koul	63%	Above average	99	200711/090101	Sambuor	58%	Above average
50	060502/090101*	Koul	58%	Above average	100	220105/090101	Thlat	55%	Below average

The graphs that follow show stakeholder group and provincial percentage KPI by province, for overall and individual KPI when meaningful.

The correlation between stakeholder groups and by province for overall KPI unsurprisingly shows the same provinces performing below average overall. Interestingly the commune officials in all provinces, and with a 64% score on average, consistently rated performance 14% to 17% higher on average than the other stakeholder groups, including province and district officials. Beside that, there was no pattern between the other stakeholder groups, the ranking varying between provinces.

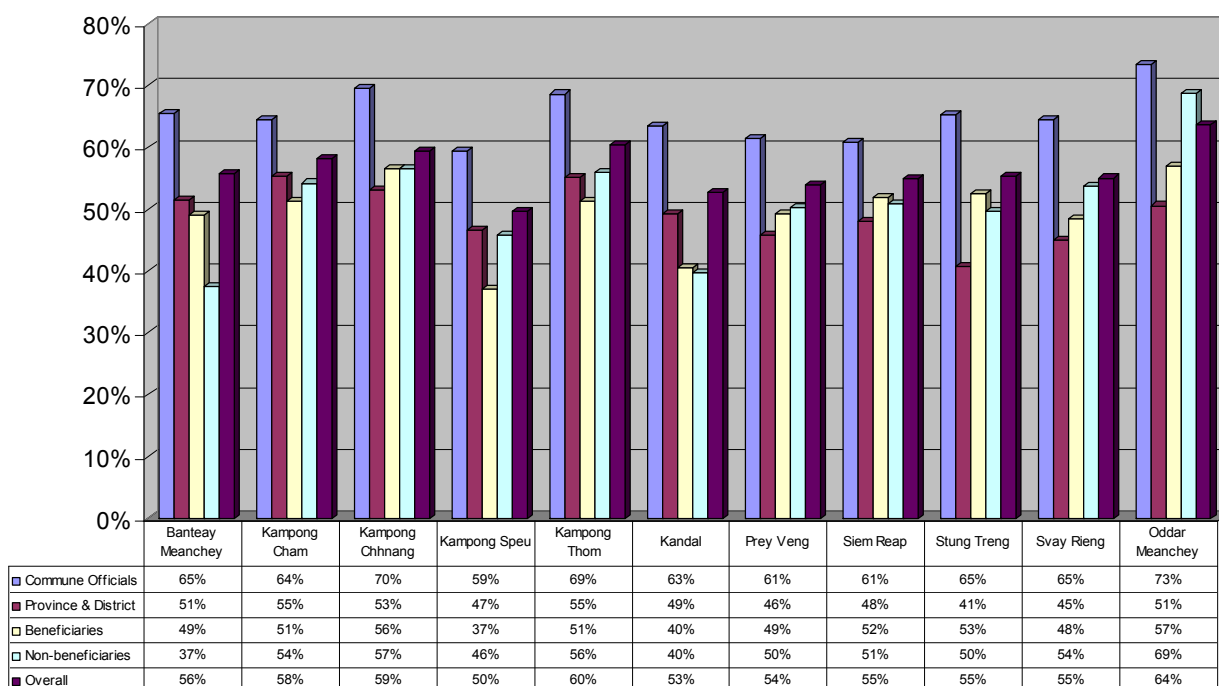
**Comment at Workshop:**

- Commune officials scored higher than other stakeholders because they are more involved in the project implementation process.
- Why do non-beneficiaries rate higher than the beneficiaries in five provinces (KPC, KSP, KPT, SVR & OMC)? Some non-beneficiaries of 2009 projects have experience of C/S Fund projects in earlier years and are therefore familiar on the process.

*With respect to the first observation made at the Workshop, yes it is true that commune officials are more involved in the project implementation process than beneficiaries, but not why they rate consistently higher than province and district officials who are paid to be involved in the process, and not just for one but many projects. The audit team agree with the second observation, this explanation is hypothesised in the report.*

There is not an obvious reason why KPI scores vary between provinces. Sampling was not designed to examine this and difference in the size of sample in the listed provinces means the results should be treated with caution. However, it is probable that there are real differences variously because of differences in circumstances, capacity, capability, motivation and moral across the provinces.

**Comparison of Percentage KPI Overall Scores by Province**



### 3.4 Performance Against Individual KPI

#### 3.4.1 KPI 1: Conformity of process to PIM guidelines on key issues

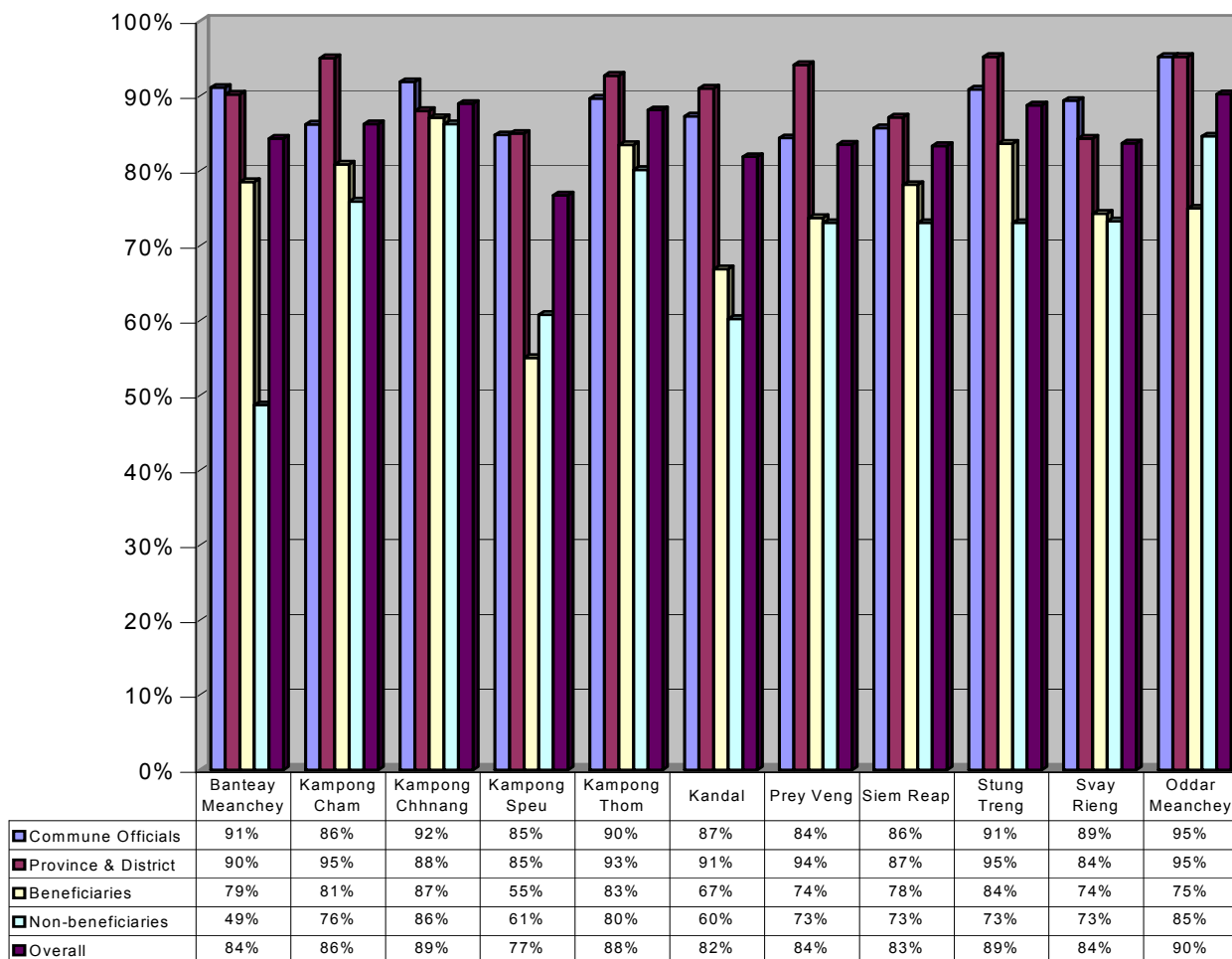
The KPI 1 scores are based on 26 scoring questions<sup>5</sup> from a total of 32 questions focused on the details of the procedures, completion and signing-off of forms and related procurement issues plus arrangements for operation and maintenance. In addition, because they were

<sup>5</sup> See section Annex 2: A2.2. Scoring questions are those that relate to performance against KPI, non-scoring questions are those that do not relate to performance, usually they are qualitative in nature. The scoring scheme was presented in the Factual Report.

not relevant to the stakeholder group, four of the 26 questions which related to beneficiaries and non-beneficiaries understanding of the process were not posed to the officials and 17 questions relating to detailed procedural matters were not posed to the beneficiaries and non-beneficiaries. KPI 1 is therefore very much an indicator for compliance with the mainstream procedures in the PIM.

The overall average score is 84%, and the averages for commune and province and district officials are 90% and 88% respectively. There is no significant difference between provinces that have benefited from C/S Fund support for a number of years and those new to the process. Beneficiaries and non-beneficiaries were less positive at 74% and 70% respectively but there were a lot of *Do not know* responses in these groups.

**Comparison of Percentage KPI 1 for Conformity to Process**



**CONCLUSION:** It is disappointing that after so many years using the 2005 PIM and now the 2009 PIM that the scores for officials in so many provinces are in the 80%'s and low 90%'s when they ought to be in the high 90%'s.

**Comment at Workshop:**

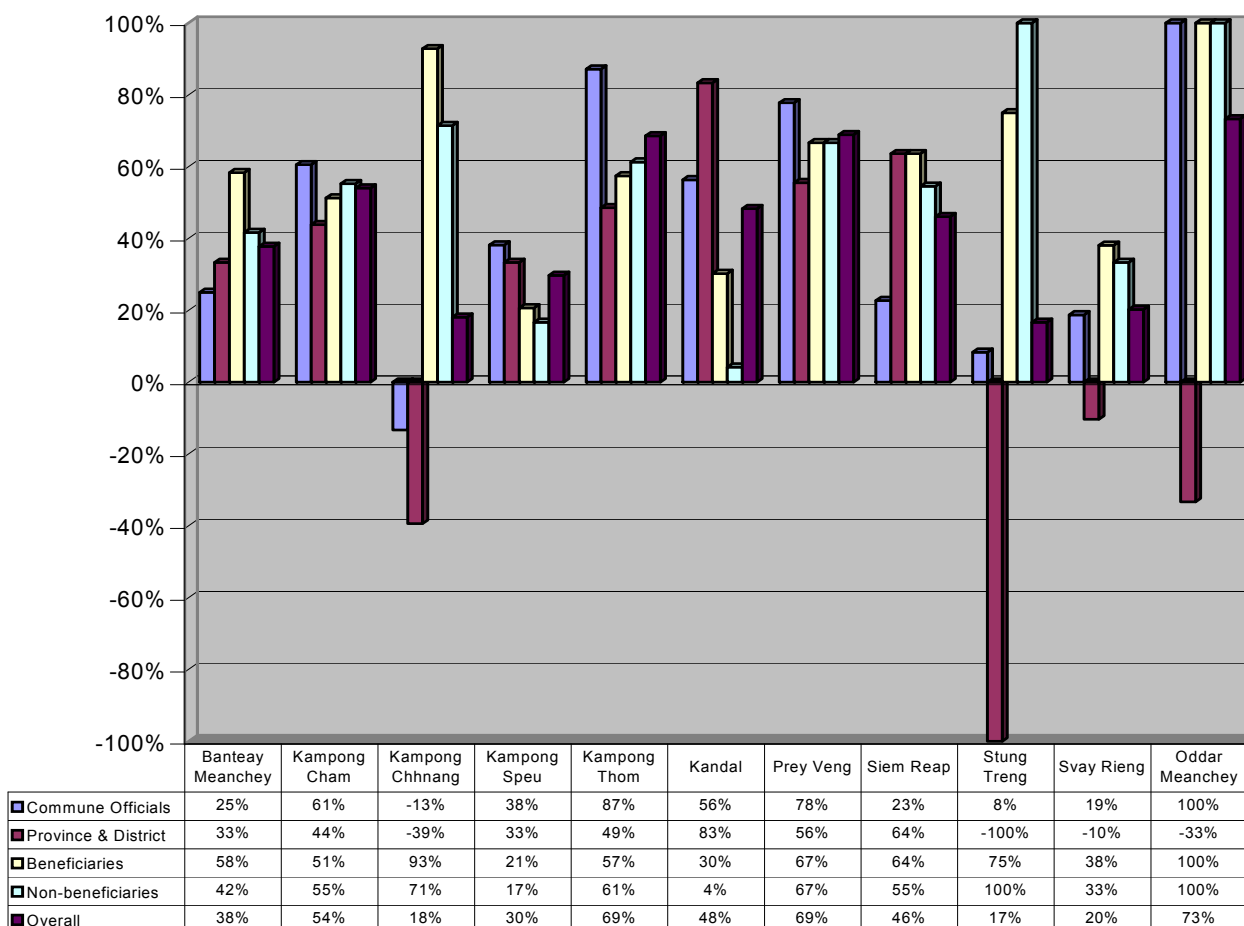
- Low understanding of implementers on the procedures.
- Training was not enough and commune officials easily forget the training.
- Too many procedures to follow, still confused with forms, some are still using 2005 PIM Forms.

The comments made at the Workshop were also recorded many times during the Phase 1 and Phase 2 surveys.

### 3.4.2 KPI 2: Timeliness of procedures and decisions

The KPI 2 score is based on one scoring question on whether the project was delayed. There were also two non-scoring questions. Bearing in mind that the sample is from 13% of 2009 C/S Fund projects identified as completed by early September 2009, and thereby by implication on time or subject to only minor delay, then the overall average score of 45% is indicating that even here the incidence of delay is a significant issue.

**Comparison of Percentage KPI 2 for Timeliness of Procedures and Decisions**



Province and district officials with an average score of 35% most often reported delays whereas commune officials scored 50%, possibly because they are less aware of processing delays than the province and district. There are differences between provinces and negative scores are valid. Stung Treng where two projects were surveyed scored -100% from the province and district officials meaning there was agreement both projects were late; corroborated by an 8% score from commune officials. Kampong Chhnang where seven projects were surveyed also had negative scores, -13% and -39% respectively for the commune and province and district officials. Generally, officials appear more aware of delays than beneficiaries and non-beneficiaries.

The sample did not identify one single cause for delay, The document scrutiny reported at Annex 2: A2.1 which recorded key dates in the process indicates that it is a cumulating delay getting forms correctly completed, moving between desks, approved in the commune and at the provincial offices, other required clearances, outside the commune approval and

clearances seem to be processed in batches not as when ready, and apparent pauses in the work which could equally be because of workload, lethargy or obstruction.

**CONCLUSION:** Delay appears to be a major issue in process. A 45% overall score for the minority 13% of 2009 projects apparently finished almost on time flags that measures are urgently needed to speed-up the process or otherwise formulate a more realistic calendar.

**Comment at Workshop:**

Participants cited the following as reason for delay:

- Rain and flood.
- Contractors with too many contracts.
- Late District Integration Workshop.
- Delayed response on WB Packages (But project planning and preparation of all projects should be done while awaiting receipt of NOL).
- Land issues.

*The comments made at the Workshop were also recorded many times during the Phase 1 and Phase 2 surveys. Unseasonal rains excepted, the dates of the wet season are known and projects can be scheduled so that there is no construction during this period. Land issues were not a significant cause of delay for sampled projects, when land issues arose they were settled locally and the audit team received no complaints about this.*

**3.4.3 KPI 3: Adequacy of budget from C/S Fund and other sources**

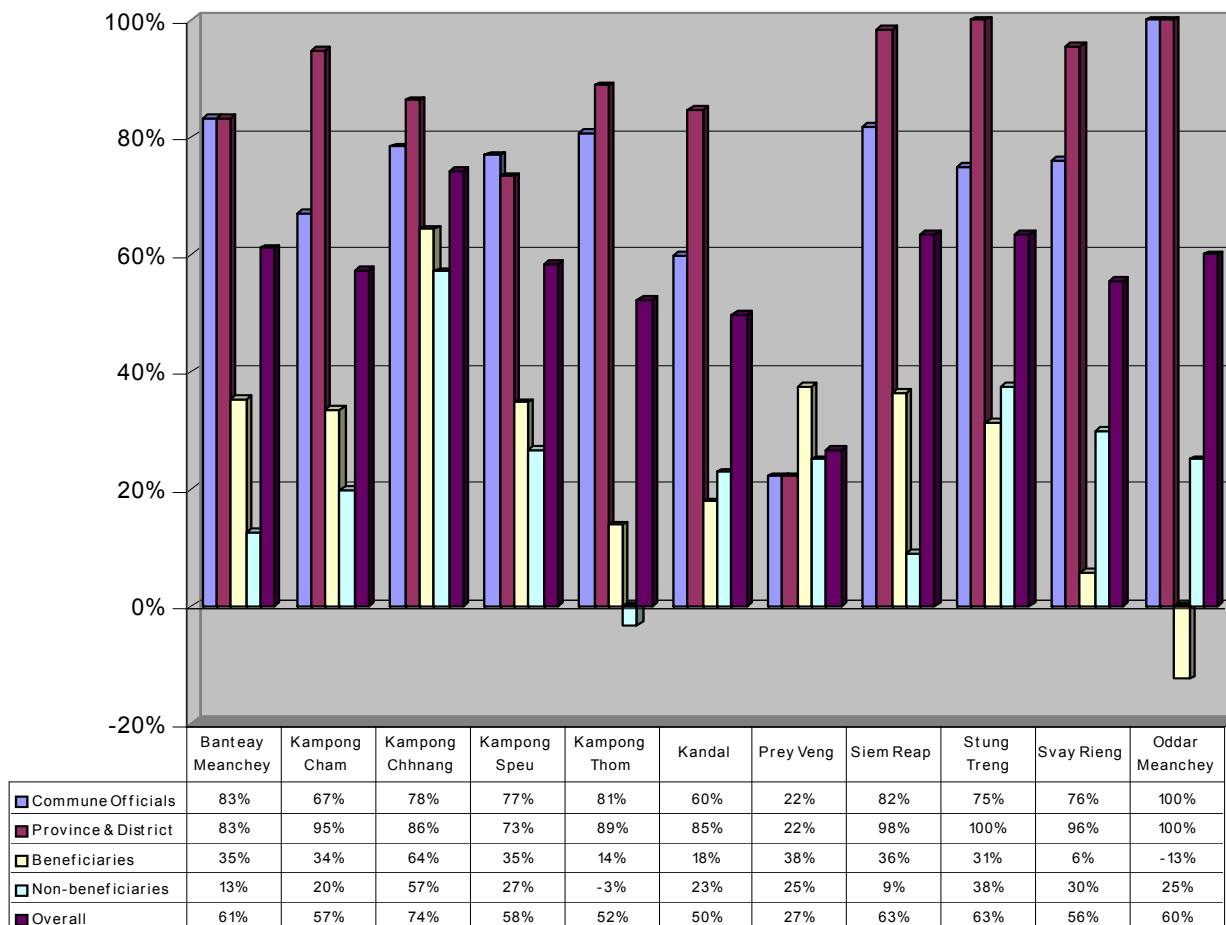
All three questions for KPI 3 were scoring. The objective was to probe whether C/S Fund support was enough to meet the communities' aspirations. Previous reports often concluded funds were too meagre to build what is really wanted or needed, e.g. a water gate does not create an irrigation system, and a single pipe culvert will not stop a road flooding. It was anticipated that the question might be a little too esoteric to elicit a meaningful response. However, the response does reveal that a majority consider the funding not enough to get what people want, and this was borne out by the results from Phase 2 reported at Annex 2: A2.1.

The C/S Fund, with the addition of local contributions, was the only source of funds for the sampled projects. None of the these projects received support from NGOs or other donors.

The overall average KPI score is 55% with 72% for commune officials and 86% for province and district officials. The scores are particularly low for beneficiaries at 26% and non-beneficiaries at 21%.

**COMMENT:** The revised template designs to be introduced from 2010 are going to be significantly more expensive than the Seila template designs dating from 2003. Better designs were needed because many of the Seila templates were poor quality, did not meet the standards of the line ministries and were not sustainable. Spreading the money too far and too thin is a guaranteed waste of funding.

**Comparison of Percentage KPI 3 for Adequacy of Budget**



**CONCLUSION:** The money available for individual projects needs to be increased, if the total available funding is not enough then less but more expensive projects should be built each year, maybe meaning there will have to be an annual rotation of communes, e.g. communes get a project only every second or third year.

**Comment at Workshop:**

General comments made included:

- Commune officials know the C/S Fund allocation and base the size of the project on the available funds, whereas the villagers do not know this and expect the C/S to fund the required needs of the commune.
- Increase fund to raise interest of participation?
- Increase local contributions? (But population is already receiving many requests for different projects (e.g. Pagoda, C/S Fund, wells, various maintenance committees, cow banks, etc.). Explanation: 1. historically the population has expected the State to provide; 2. people are too poor; 3. people are busy with other activities and unless it is clear that they will directly benefit they will not participate.
- Increase fund for the project to be more sustainable?

To the question “should fewer projects be built each year?”

- Decentralization concept - up to the commune to decide if they implement every year with small projects or every 3 years for a bigger/sustainable project, but if they implement the latter, it will lose the momentum of the programme (If this is agreed then guidance for

C/S Councillors needed on how to plan and budget for it).

- “If five are hungry will you feed only one and let the four be hungry or you will share to all five little by little”?
- Too little to raise the interest from the beneficiaries
- Putting the money that will benefit people in the long term and not wasted by constructing below standard projects.
- Small projects but strong and sustainable rather than big but easily destroyed.
- Combine two or more year’s C/S Fund budget to finance larger projects or maintain the principle of equitable sharing of C/S Fund amongst all the villages in the Commune – resulting in small size of projects which do not satisfy the needs of the C/S?

*The comments at the Workshop indicate agreement that the money available to the communes from the C/S Fund is too small to meet the needs but this group could not agree a solution. There is no easy solution except to increase funding and that is a political decision by how much and how it is shared. The C/S Fund must pay attention that money is not being wasted on poor quality unsustainable projects just because a budget allocation is available.*

#### **3.4.4 KPI 4: Adequacy of financial procedures;**

There were seven scoring question of the eleven questions asked for KPI 4 but two of the scoring questions were not posed to the beneficiaries and non-beneficiaries since they were not within the knowledge of these stakeholder groups.

The overall average score was 67% but it is the scores of the officials which are most important because they are directly involved with the financial procedures. The commune officials scored 80% on average and the province and district scored 84% on average. There were many *Do not know* responses from the beneficiary and non-beneficiary groups which pulled down the score even after correction for the two omitted scoring questions.

The KPI 4 measures timeliness of payments, collection of local contributions, record keeping and issue of receipts for payments, mistakes and abuses. One of the factors lowering the scores is the sub-standard record keeping in many of the sampled communes for local contribution and issue of receipts. All 20 projects investigated during Phase 2 had deficiencies and non-compliance for this issue, some serious. Although there are reasons for this discussed later it is still unacceptable and falls short of RGC and World Bank requirements for proper implementation of transparent procurement procedures.

**CONCLUSION:** KPI 4 scores in the low 80%’s from officials is a cause for concern. There is particular concern about poor record keeping and that receipts for local contributions are not issued. The procedures in place require revision to bring the score into the high 90%’s.

#### **Comment at Workshop:**

- Many mistakes in filling up of forms, some procedures applied only recently (e.g. local contribution).
- Reluctance of people to contribute because they expect infrastructure to be provided by the government
- There are 2 types of contributions:
  1. Household contributions (with big contributions from the rich and small contribution from the poor), many don’t bother to get receipts because they rely to commune officials, they just pay and do not need a receipt, it is common practice.
  2. Fund raising through ceremonies (receipt issued here is either lump sum or equal amount listed among the beneficiaries)
- Many people are busy in their daily business and have no time to understand commune

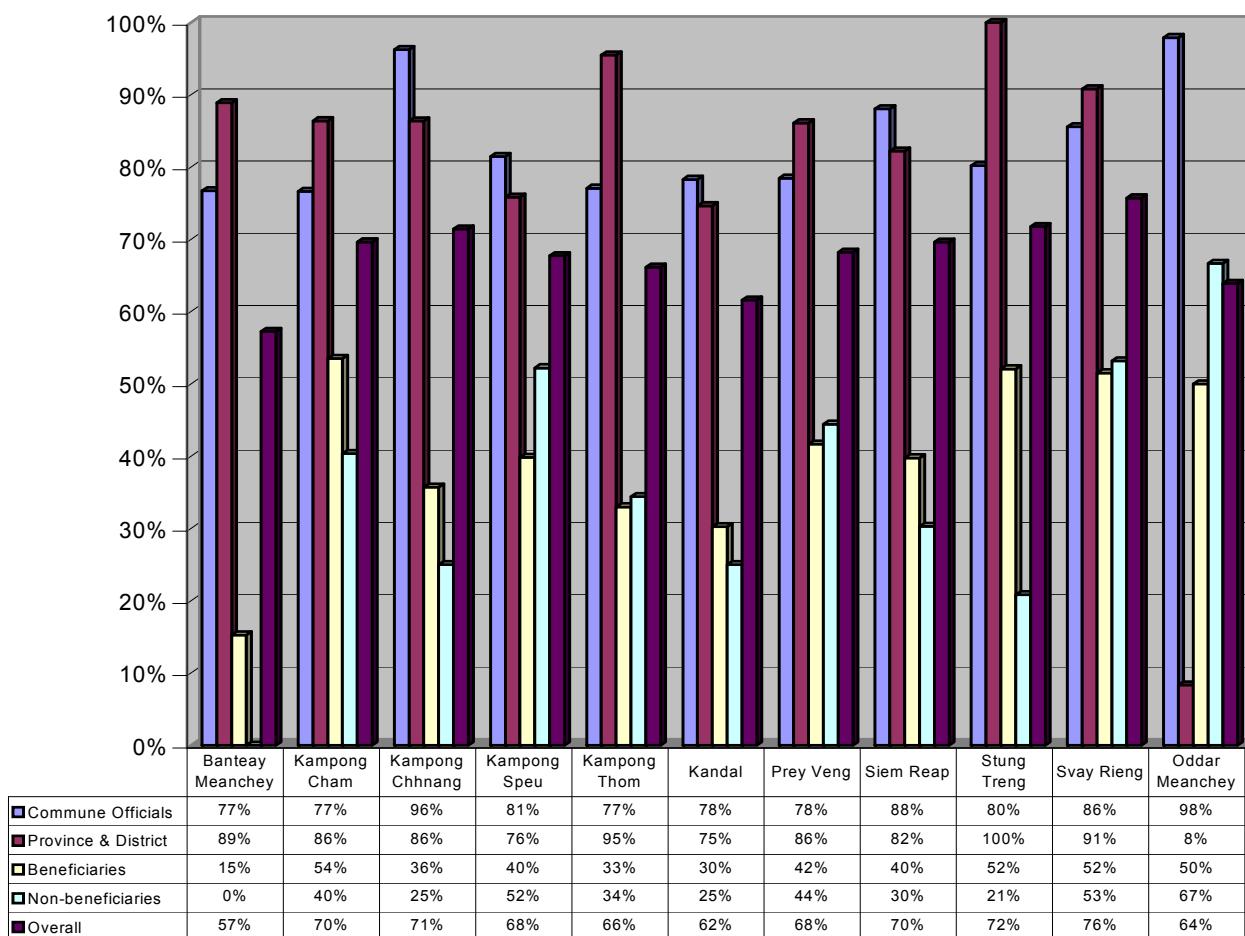
projects.

- No checking, only the Village Chief, Commune Chief & Commune Clerk handle the contribution, internal audit on contributions.

The above make PIM difficult to follow.

- Are we interested in the commune to mobilize local resources or,
- Are we interested the beneficiaries to co-pay through contributions.
- “No legal authority for the commune to manage their local resources”.
- MRD holds the legal authority for rural roads but they designated communes to build rural roads.

**Comparison of KPI 4 for Adequate Financial Procedures**



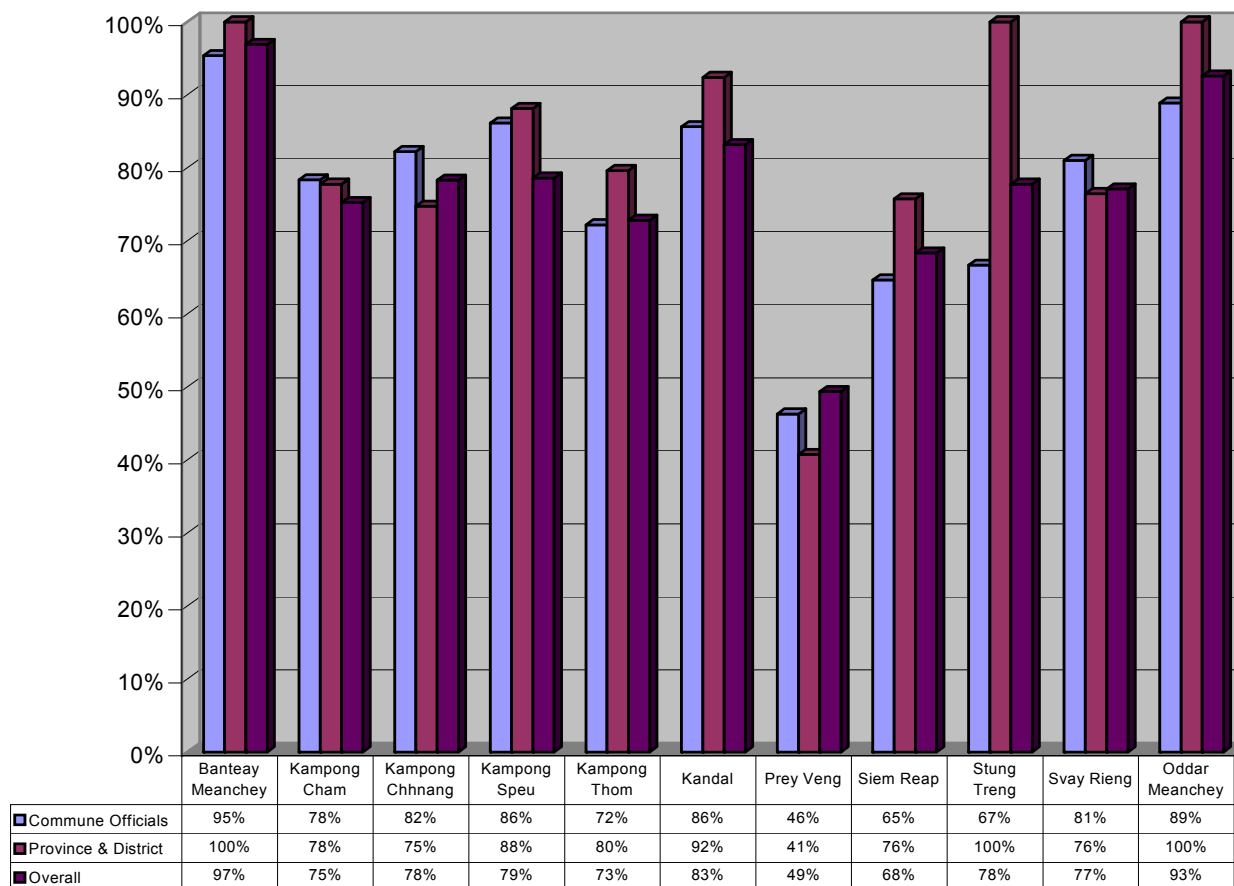
**3.4.5 KPI 5: Knowledge and access to information by stakeholders group**

There are three scoring questions from the six posed for KPI 5. Only one scoring question was posed to the non-beneficiaries. Otherwise the questions were not restricted to officials deliberately to seek the wider knowledge of villagers about where to find information. However, some data was not collected during the Phase 1 survey and for clarity for the reporting here the results are restricted to officials.

The scoring questions asked whether training had been received, was training enough to be understood, and whether there was access to the 2009 PIM. Non-beneficiaries were only asked whether they had access to the 2009 PIM.

The overall average KPI score was 81%, with 80% for commune officials and 83% for province and district officials. However, the scores by province reveal some big difference. Commune and district officials in Banteay Meanchey, Stung Treng and Oddar Meanchey have 100% scores. Prey Veng had very poor scores 49% overall. Generally the commune officials' knowledge correlates with the province and district officials, except for Stung Treng where the commune officials only scored 67%.

**Comparison of Percentage KPI 5 for Knowledge and Access to Information**



**CONCLUSION:** The results indicate that more needs to be done to promote understanding of and access to information on the process and PIM; after all the two groups of officials here are meant to be managing the process and the question must be asked how can they be effective in this if so many admit they do not understand the process.

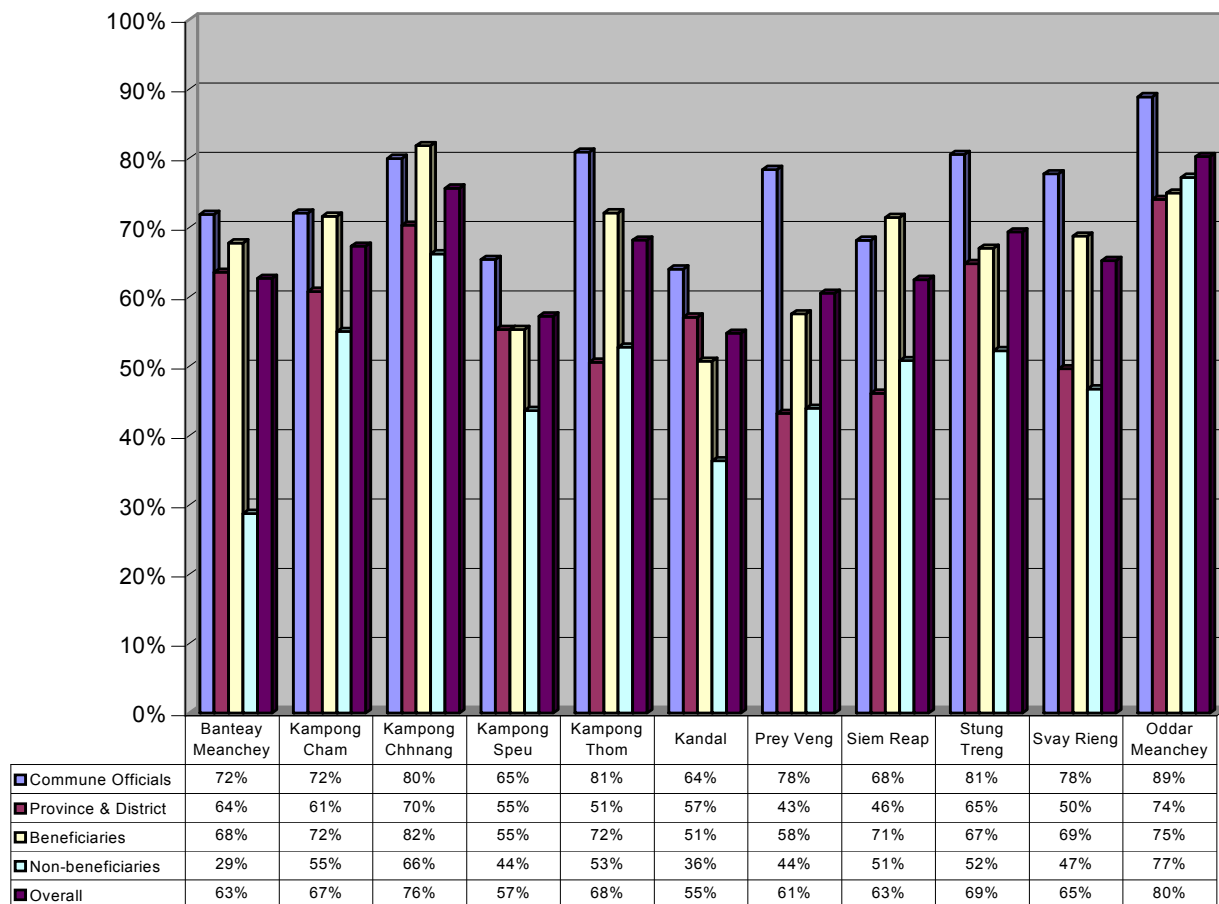
**3.4.6 KPI 6: Quality and quantity of participation of key stakeholders in different stages of the implementation process**

Scoring for KPI 6 is a little complex. There were three questions, all scoring. The first asked at which of nine stages of the process were the stakeholders involved. Officials living in the commune might also be beneficiaries or non-beneficiaries but the answers of officials relating to this capacity were excluded to eliminate double counting. Officials were excluded from the second and third questions, which related to the beneficiaries' and non-beneficiaries' participation and ability to make their views known at meetings.

The overall average KPI score was 63% with 65% for beneficiaries as the stakeholder group for whom this issue is most relevant. Because of the weight given to participation the absolute score is not paramount because the issue is that participation is possible, not that it is mandatory or necessary at every stage by every stakeholder. The more important issue is

the relatively high proportion of stakeholder who said that they could not express their opinion at meetings; see the results for Q6C at section 0.

**Comparison of Percentage KPI 6 for Participation of Stakeholders in Process**



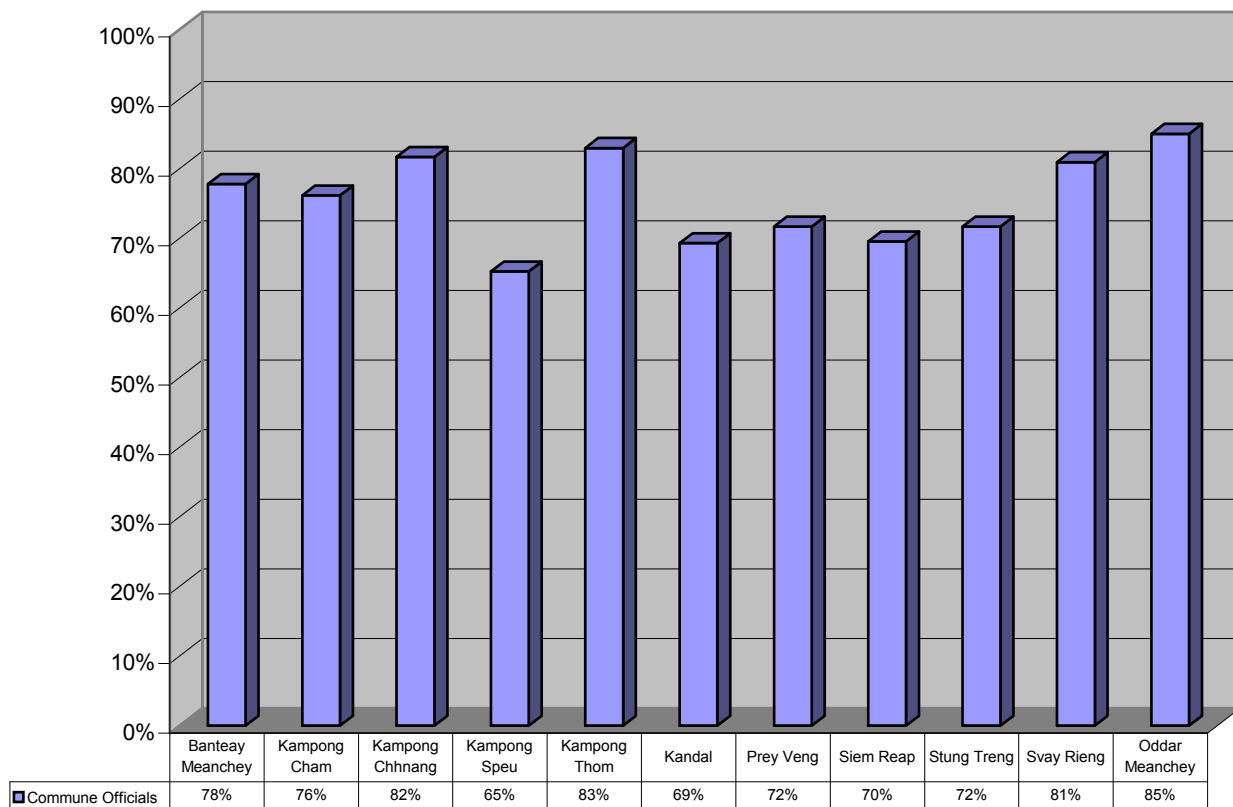
**CONCLUSION:** All stakeholders are getting the opportunity to participate, but not all do or need to. The one concern is that many say they cannot make their opinion known at meetings (Q6C), it is difficult to see a simple solution to this which in many cases derives from an individuals reluctance to express themselves.

**3.4.7 KPI 7: Quality and quantity of technical support and guidance by Provincial and District Staff**

Five of the nine questions asked for KPI 7 are scoring. The focus was on commune officials as direct recipients of the support. Two of the questions were put to province and district officials for triangulation but are excluded from the results shown as not directly relevant. For similar reasons one scoring question was put to the beneficiaries and non-beneficiaries but there were many *Do not know* responses so it has been decided to also exclude these results.

The overall KPI 7 score is 75% but dissatisfaction levels range from 65% in Kampong Speu to 85% in Oddar Meanchey.

### Comparison of Percentage KPI 7 for Quality of Technical Support



**CONCLUSIONS:** The satisfaction with technical support is rather disappointing for a system that has been in place since the Seila programme. It is not realistic to expect 100% scores against this KPI but they ought to be into the 90%'s and are falling well short of this.

#### Comment at Workshop:

- Technical Support: There is evidence that some TSO help to steer the choice of C/S Fund projects towards roads.
- Will the new construction quality checklists (in Technical Manual) result in improved construction quality? – too early to know at this time.

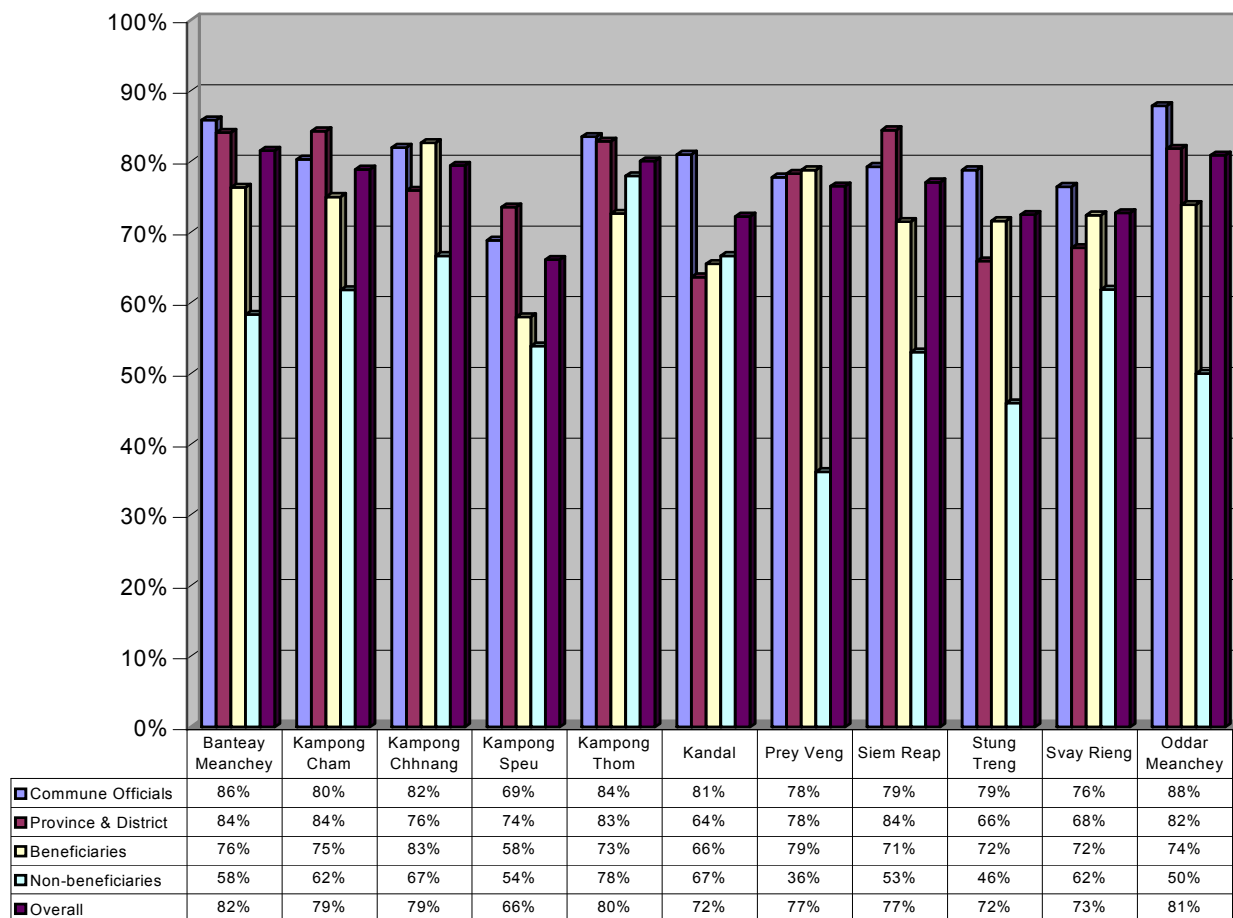
### 3.4.8 KPI 8: Involvement of and performance by contractors

Sixteen of the nineteen questions asked for KPI 8 are scoring, but only two scoring questions were posed to non-beneficiaries. The questions relate mostly to the perceived performance of the contractor, whether the work was on time, change control, and compliance to the process.

The overall KPI score was 75%. There is no strong pattern; commune officials tend to have the highest satisfaction, non-beneficiaries the lowest. The answers to Q8A at section 0 indicate the contractors were overwhelmingly rated as good or OK with a minority rated bad. When problems occur it is often blamed on trying to work during the wet season, with the secondary reason being the contractor having other competing work.

Separate interviews were conducted with the contractors for the 20 projects studied during Phase 2 (section 0). The responses from the contractors correlate very well with the Phase 1 stakeholder questionnaire for these 20 projects.

**Comparison of Percentage KPI 8 for Performance of Contractors**



**CONCLUSION:** With the contractors rated good or OK the less than perfect scores relate to implementation of the detail of the process. All the stakeholder including the contractors have a role in improvement. It can be said that the discipline of the C/S Fund process, with improvements in construction supervision expected in 2010, is contributing to overall improvement amongst provincial contractors.

### 3.4.9 KPI 9: Safeguarding of the natural environment

There are eight scoring question amongst the twelve asked for KPI 9, the non-beneficiaries were only asked three of the scoring questions.

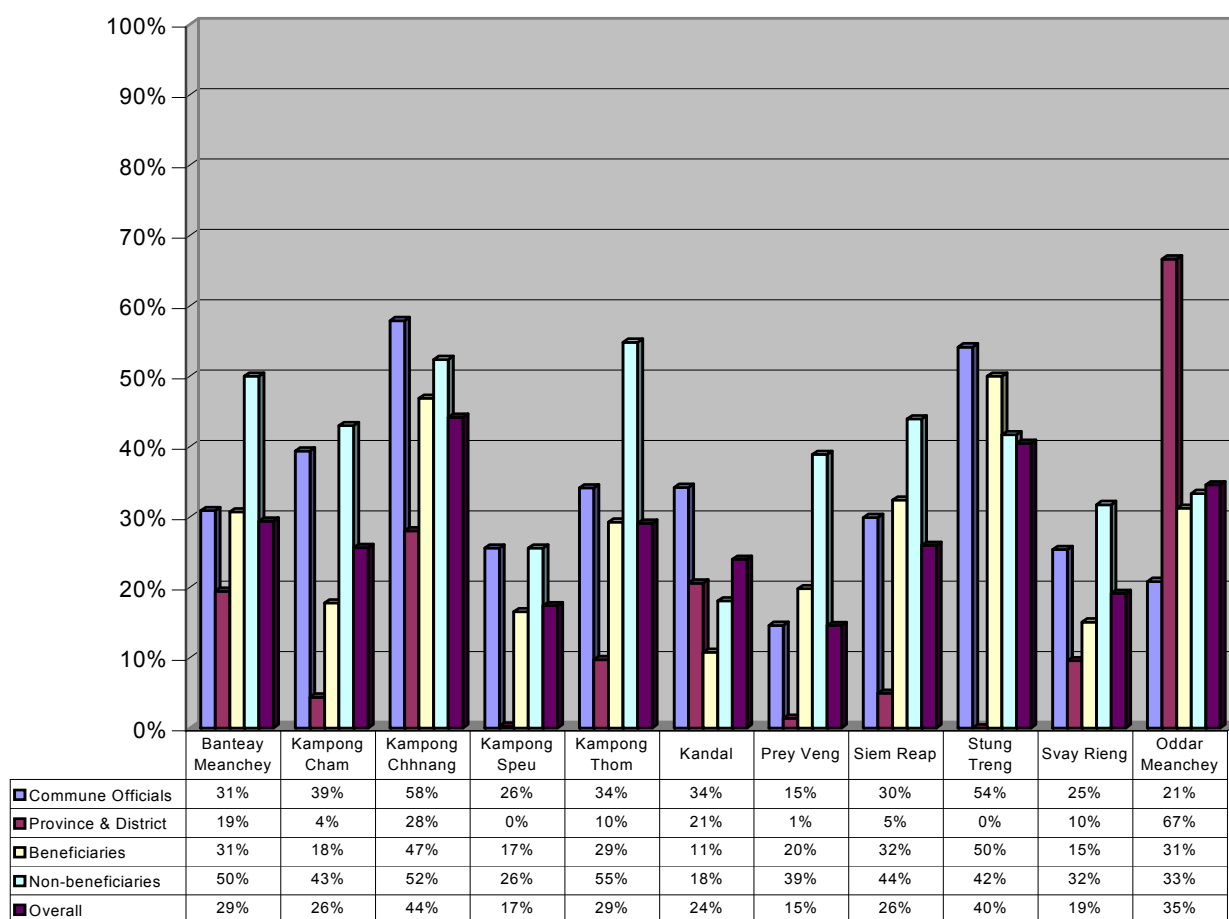
Although only twelve of the sampled communes were on the environmental watch-list, environment should be taken as a serious issue for all projects. The overall KPI score is a seriously poor 24%; province and district officials scored only 9%.

Actually the scores reflect poor adherence to environmental procedures rather than damage to the environment, and an inexplicable response from the commune officials that environmental safeguard procedures were being followed more often than reported by the province and district officials, see section 0. The impression is that the poor scores for procedures are a symptom of a poor understanding of environmental issues. It appears that most stakeholders involved treat the issue as a procedure to be ‘ticked-off’, and do not understand the importance of it being there.

**Why should they care about the environment?** Environmental impacts are a broad topic covering many specialised disciplines<sup>6</sup>. Even distilled down to the simple procedures required by the PIM there is much to take into account. Moreover, the projects are generally small and the stakeholders can only see positive socio-economic impacts. However, even small projects can, when badly planned, have significant negative impact, e.g. a badly designed culvert can cause soil erosion, loss of productive agricultural land, damage to fisheries, etc. In a landscape already scarred by ill-considered engineering<sup>7</sup> one more piece of damage may seem small, but damage is cumulative. The way the procedures are being applied is only 'paying lip service' to the environment; it does not achieve environmental protection.

The document scrutiny for the 20 Phase 2 projects revealed confusion about what procedures to follow, what forms are needed, and inability to complete the procedures completely. One commune did not even know it was on the environmental (and highland people) watch-list and the safeguard screening Form 1 was signed-off as neither safeguard being required.

**Comparison of Percentage KPI for Safeguards for the Environment**



<sup>6</sup> Such as terrestrial and aquatic ecology, fisheries, forestry, agriculture, pedology, archaeology (history and culture), water resources, etc.

<sup>7</sup> This includes irrigation systems built without regard to water resources and hydrological regime, both during the Khmer Rouge regime and more recently by poorly considered donor fund projects; also numerous cheaply built road projects crossing flood plains which further disturb the hydrological regime and which are seldom constructed in a sustainable way.

**CONCLUSION:** The environmental safeguard procedures are followed very poorly, almost certainly because the reasons for the procedures and the potential for negative environmental impact is badly understood by many of those involved. The way the procedures are applied is only 'paying lip service' to the environment; it does not achieve a tenable system of environmental protection.

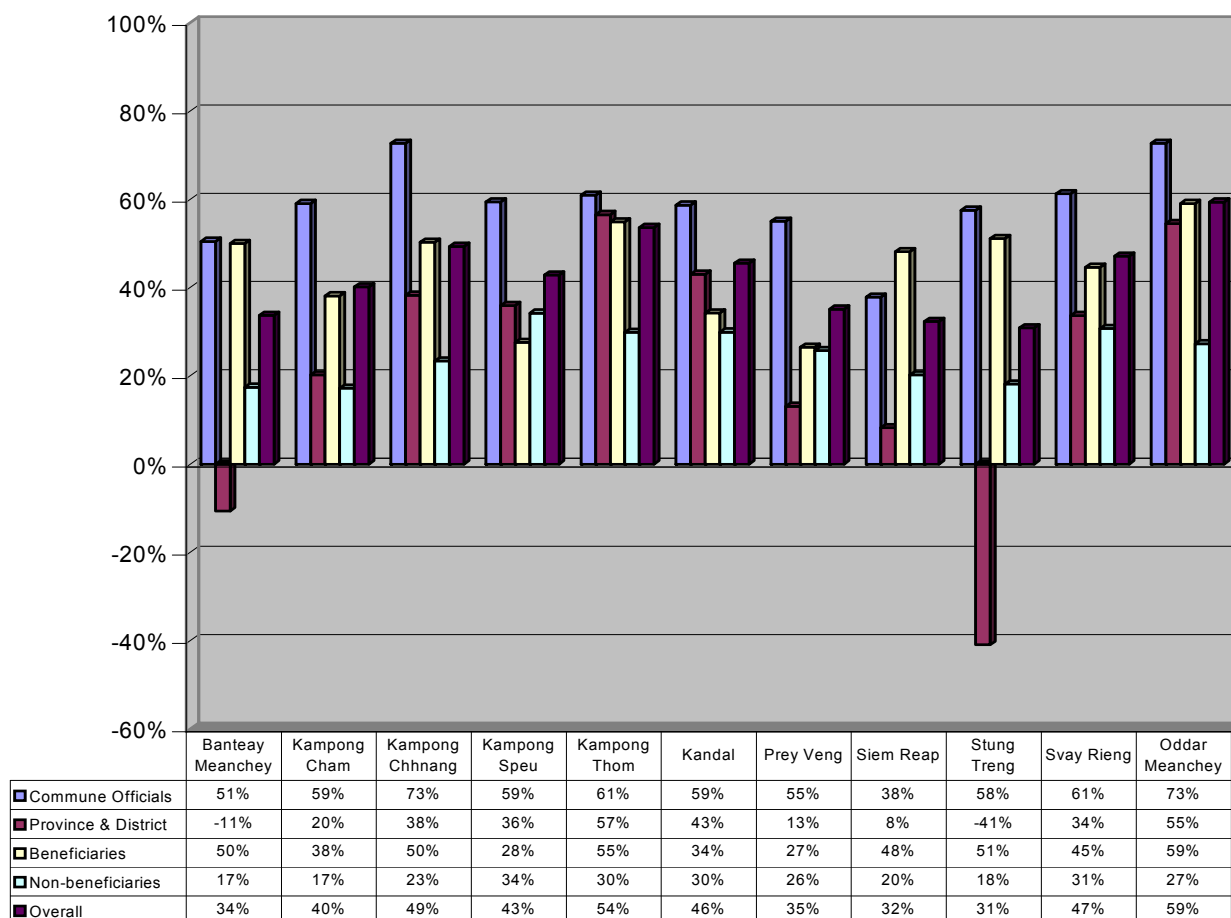
### 3.4.10 KPI 10: Safeguarding of stakeholders' land rights in connection with land claimed by projects;

There are nine scoring questions amongst the ten posed for KPI 10, they were put to all stakeholders. The questions focused on whether people were well informed of their rights over land issues as well as implementation of the safeguards. The overall average KPI score was a poor 44%. The average score for commune officials was 59%, much better than the average score for province and district officials with an average score of 31%. Beneficiaries had an average score of 41%, non-beneficiaries only 26%.

The low scores derive mostly from people being poorly informed of their rights over land. Amongst the projects surveyed there were few if any land issues and no compensation was paid. It is not possible to tell whether this is a true reflection of the situation, or whether the issue was treated with total transparency at the communes.

However, people do not willing give away land that they legally own or have title and would make a fuss if it was seized. It is more probable that for land in public ownership such as the road reserve the issues have been settled locally and quietly without any significant compromise of rights, at least for the sample.

**Comparison of Percentage KPI 10 for Safeguarding Land Rights**



**CONCLUSION:** There was no evidence of abuse of land rights in the sample. However, there measures to inform people of their rights over land are not being followed well.

### 3.4.11 KPI 11: Safeguarding of rights of Highland People

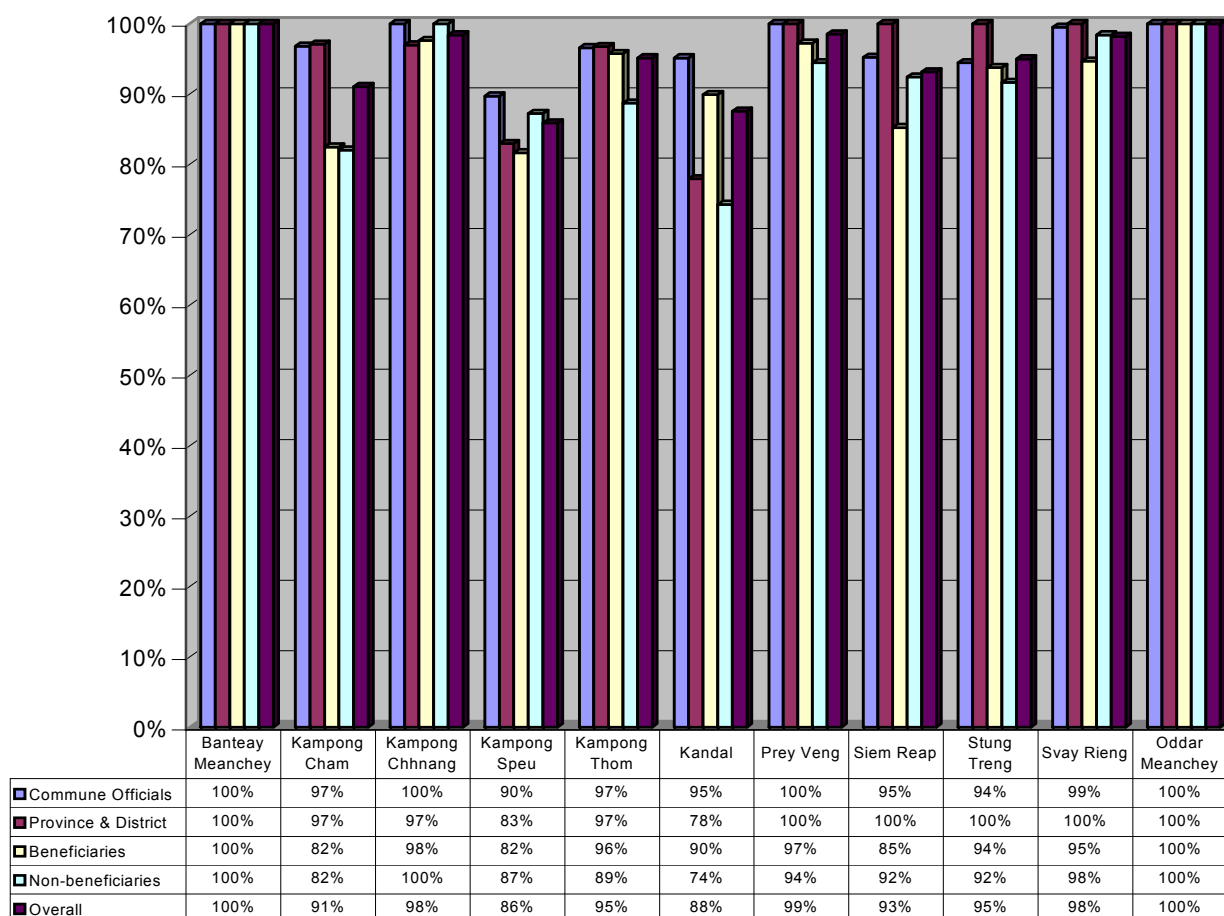
Only two projects in Kampong Speu and four in Kampong Thom were in highland people watch-list communes. Moreover, there were said to be no highland people in the villages benefiting from the projects (not actually true in the case of one project examine during Phase 2). Both these provinces have small populations of highland people. The sample was not a good test of the safeguards. Unfortunately, there were no other projects in highland people watch-list communes amongst the 13% of projects ready in time for the process audit on implementation.

**CONCLUSIONS:** There is little that can be concluded since none of the sampled projects required safeguard procedures for highland people, only screening. Under the rules, no safeguard measures were required.

### 3.4.12 KPI 12: Satisfaction of key stakeholders with outcomes;

Five scoring questions were asked for KPI 12, and posed to all stakeholders. They were asked if they were satisfied with the project, the process, and whether they got what they wanted. They were also asked whether it was better than projects built in earlier years and in what ways were previous projects worse.

**Comparison of Percentage KPI 12 for Satisfaction with Outcome**



The overall average KPI score for satisfaction was a good 93%, even though it incorporates some negative responses on earlier projects. There was some variation between provinces, which depressed the overall scores, notably Kampong Speu with 86% and Kandal with 88%.

**CONCLUSION:** Overall satisfaction levels with projects is good, but there are differences between provinces.

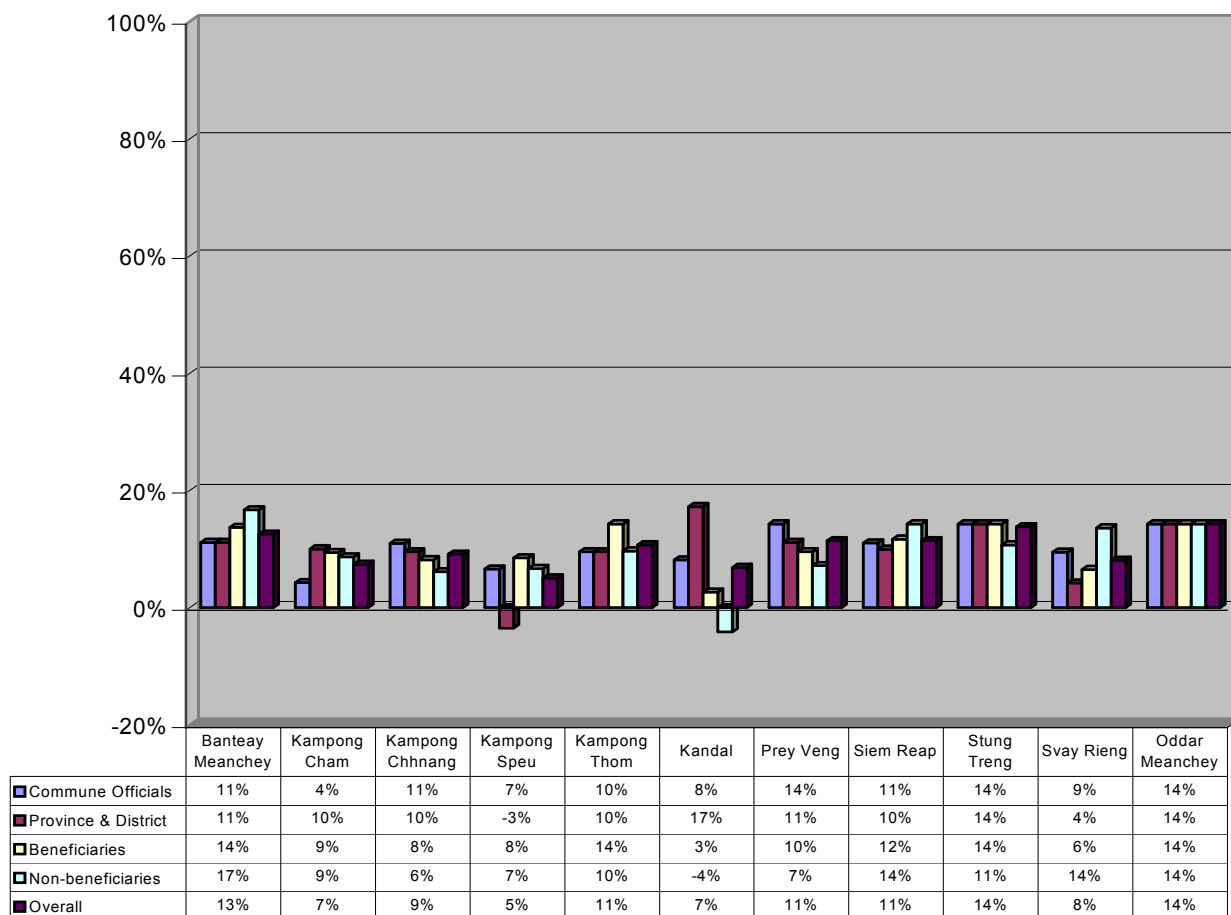
**3.4.13 KPI 13: Use and results of complaints procedures**

There were seven scoring questions for KPI 13, posed to all stakeholders. The questions focused on whether there were complaints amongst the community about projects and whether these were recorded and processed.

The overall average KPI score was only 8%, reflected across the stakeholder groups and provinces. One reason for the low score was the large number of *Do not know* responses. However the other reason, apparent in the detailed results at section 0, is that although many people said there were complaints, these complaints were never recorded and so there was consequently no follow-up.

It is not possible to tell whether the spoken complaints had substance or were just idle gossip. It is probable that the commune officials do not encourage formal complaints since it could be thought to reflect badly on their own performance.

**Comparison of Percentage KPI 13 for Complaints Procedures**



**CONCLUSION:** There were negligible formal complaints. Although there is talk of complaints in the community these are probably not over substantial issues. 'Self policing' of complaints by the commune will not encourage posting formal complaints.

#### **3.4.14 KPI 14: Any other comments**

There were only three scoring questions amongst the eight posed for KPI 14, and these were only addressed to province and commune officials. The Questions related to whether there were sufficient staff at province and district levels, and whether things could be done better next time. Many respondents indicated that more staff is needed and that things could be done better next time.

**CONCLUSION:** There general feeling is that there is still room for improvement.

### **3.5 Case Studies of 20 Projects**

The detailed case studies are presented at Annex 3: A3.1. The case studies focused on the following issues:

- Document scrutiny for compliance with PIM procedures.
- Focus group demography.
- Further scrutiny for low KPI scores identified during Phase 1.
- Focus group discussion against a selection of open topics.

The following sub-sections summary results and records of what was said, they are not conclusions or recommendations, these follow later in the report.

#### **3.5.1 Document scrutiny**

Document scrutiny revealed a greater level of non-compliance to the 2009 PIM than apparent from responses to the Phase 1 questionnaire.

- None of the 20 projects complied completely with all the PIM requirements, some were very bad indeed.
- Mandatory forms were frequently not on file at the Commune, ranging from a few to many. Often the missing forms were for the early implementation stage.
- Forms were not signed as approved and sometimes undated.
- Sometimes safeguard screening was incorrect.
- No commune correctly followed the procedures for recording contributions; some communes had no records at all.
- No project had a tenable O&M plan, they all lacked detail and credibility.
- Compliance with environmental safeguard procedures was confused; some projects had environmental forms when safeguard screening said they were not necessary, others, including watch-list communes, had made superficial attempts at completing the forms.
- Land acquisition was not an issue for any of the projects but the indications were that officials were not communicating enough information on land safeguards to the villages.
- Highland people safeguards were not really tested by the sub-sample for reasons previously explained; however, provincial, district and commune officials in one commune were unaware that they were on both the environmental and highland people watch-lists.
- Communes are not keeping records of the contractor list.
- Most communes do not have a copy of the technical specification on file.

- There is circumstantial evidence of contractors fixing bid prices to share work to their convenience (there was also complaints that cost estimates were leaked to contractors but it in fact NCDD practice for contractors to be told the cost estimate).
- Minutes of meetings during the construction period are often not on file; particularly minutes are not kept for PMC meetings.
- The Site Works Notebook is not on file, communes often say it was kept by the contractor; but contractors also do not know its fate.
- Construction checklists are usually not on file and were often not used.

### 3.5.2 Focus groups

The following were stated to be important issues by the focus groups.

- The C/S Funding is too small to pay for the infrastructure needs in the communes; they are building what they know to be substandard and unsustainable projects only because it is the best they can get.
- Projects should not be built during the wet season; they should be built during the dry season after the harvest.
- People want rural roads to be paved with concrete because they last longer and require little maintenance compared to Laterite.
- There are too many forms and too much paperwork.
- Collecting local contributions is a significant bureaucratic task for a group of people without necessary education or experience; consequently, they are not complying with the PIM procedures, if they attempt it at all.
- C/S Fund should provide budget for land safeguards.
- Other donor projects are larger so the results are better but they do not involved the communes, they simply deliver a project.
- C/S Fund projects are growing the governance capacities of the commune but the projects themselves are too small to be much use and are often not sustainable.
- The people need to take ownership and maintain projects, but they want a maintenance budget from the C/S Fund.
- Politics interferes in some communes, officials refuse to cooperate and clearance from LAU takes a long time.
- One commune on the environmental watch-list complained that the new road was used by loggers and that officials did nothing to stop outsiders exploiting the natural resources that the watch-list was designed to protect.
- The Commune Chief is seen as the most important person to the process.
- People need to understand how to use the PIM.
- People value additional training, particularly regular on the job training.

### 3.6 Contractors

Details of the contractor survey are at Annex 3: A3.2. The interviews were confined to the 20 contractors who built the projects in the Phase 2 sub-sample. The contractor survey correlated well with the results of the Phase 1 survey, particularly for the sub-sample for which direct comparison was made. Observations from the contractors include:

- Projects should be constructed in the dry season after the harvest.

- If NCDD used commercial banks it would be better because then payments only take two days whereas there is delay with provincial treasuries, and illegal fees<sup>8</sup> are charged.
- NCDD requires a lot of effort for a small project.
- NCDD TSO have low education.

### **3.7 Provincial Perspective of Implementation Timeline**

The telephone interviews of provincial officials are reported at Annex 3: A3.3. The following comments and suggestions from the provinces are relevant to the project implementation timeline.

- The District Integration Workshop (DIW) should be organized in late September or early October.
- If feasibility studies are started earlier it would speed up the process.
- Start construction earlier, before the wet season.
- Safeguards should be done as early as possible; line agencies should cooperate and act faster (KPC).
- Improve the capacity of commune officials; especially on planning and management of project many are still slow and dependent on commune clerk and TSO.
- Assign a maximum number of communes to each TSO; not one TSO responsible for one district.
- Reduce forms for C/S Fund project implementation, there are too many forms to complete and this causes mistakes, which take time to correct and add to delay.
- Line departments do not cooperate for technical clearance; many have a poor working relationship with NCDD.
- Packages for prior-review have to be partly or totally eliminated.
- If not, then the process of prior review should be quicker and simpler including safeguards study; here “simpler” is taken to mean requiring less paperwork.
- WB should identify information needed in the preparation package and inform to stakeholders (information needed in a report during preparation of package for bank).
- Selecting Project Priority and conducting project feasibility study should be done in the first year but project bidding and project implementation should be processed in the year after. Doing like this we assure that projects will be not delayed because its will be implement during dry season.
- For 2010 provinces foresee that feasibility will take more time as TSO have to collect data and enter to the project generator.
- Safeguards and watch lists should be revised based on village level instead of commune as not all villages in a commune are necessarily under the watch-list.
- Want the process to be easier, but without the process it would not be possible to guarantee the participation of stakeholders, transparency, accountability and quality of the projects.
- Some points in revised 2009 PIM such as tax calculation should be clearly stated and consistent in accordance with existing regulations (STG).

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<sup>8</sup> This is taken to mean a bribe must be paid.

- National level should cooperate with all Provincial Taxation Departments to follow only one guideline for patent preparation for contractors.

### 3.8 2005 Process Audit (the Holloway Report)

This section presents a comparison between the 2005 Process Audit of Commune/Sangkat Fund Projects by John Holloway, Chom Sok and the Researchers from The Crossroads Consultancies Group and the 2009 Process Audit on Implementation.

The significant improvements to the process and general changes meant it was inappropriate to follow the same methodology or ask exactly the same questions as Holloway. However, the issues in 2005 remained in 2009 so a comparison is appropriate. This is presented in the table that follows. Key findings in the Holloway audit are in the left column, comments with respect to the 2009 audit are in the right column.

General conclusions can be drawn:

- There continues to be non-compliance in the detail of the process, not all procedures are followed and often the paperwork is incorrect, but the overall objective of delivering small scale infrastructure to the C/S is being achieved, and the communities are satisfied by this.
- The knowledge and take-up of training amongst commune officials has improved but still has a way to go because there remains a significant minority that consider they do not yet have enough knowledge to fulfil their role.
- The C/S Fund is valued for providing new infrastructure and even more as a route to better governance skills but the scale of infrastructure it delivers is a small fraction of communities aspirations for improved infrastructure.
- In 2009 women are more involved than they were in 2005.
- The Commune Chief is the key person in the eyes of the community but it is the Commune Clerk in combination with the TSO who have most impact on compliance to the process and the success of the project.
- The process continues to deal poorly with environmental safeguards.
- Local contribution is usually collected in cash yet there remains a high level of non-compliance with the 2009 PIM procedures for issue of receipts.

Holloway 2005	Process Audit 2009
Although the process does not follow the guidelines the majority of projects are well implemented.	Little changed, procedures and paperwork are still often non-compliant but most projects are completed as intended.
Majority of beneficiaries are happy.	98% of beneficiaries express overall satisfaction with the projects (Q12A also section 3.4.12), but with the caveat that more probing questions reveal many aspects where satisfaction is lower.
Development priorities have been recognized.	2005 conclusion is not a true reflection, people are happy to get the project but survey results, particularly Phase 2 found that more funds were wanted for larger, better quality and more sustainable projects and that Communes recognise they need much more infrastructure development to meet their wider development priorities.

<b>Holloway 2005</b>	<b>Process Audit 2009</b>
Commune officials, particularly Commune Chiefs are familiar with the rules.	The situation is less good than suggested by the 2005 findings, Commune Chiefs rely heavily on Commune Clerks for the process (see section 3.4.5, Annex 2 and Annex 4)
Beneficiaries involved are learning the procedures well.	Beneficiaries are aware of the basic process but it is an overstatement that they have learned the procedures well, they rely on commune officials and village chiefs for information and detail, this is arguably as it should be.
Non-beneficiaries are largely ignorant.	No longer true, non-beneficiaries are often more knowledgeable than beneficiaries, probably because they had been beneficiaries from earlier Seila and NCDD projects, a result predicted by Holloway.
Commune Chiefs 59/60 were male, 90% over 49 years old.	6% of Commune Chiefs interviewed were female, the average age of commune officials is 52.7 years and the oldest serving commune official is 79 years.
Commune Chief knowledge level 93% to 100%.	The knowledge level of Commune Chiefs is less good than suggested by the 2005 findings, for example 17% said that the training received was not enough for what they needed to know, and the general reliance on Commune Clerks already observed supports this judgement.
Commune Chiefs 100% had received training but 20% did not understand it well.	
Commune Chief said environmental impact was considered and addressed.	One of the principal findings of the 2009 audit is how poorly understood environmental impact is understood, and that the application of the environmental safeguards in the 2009 PIM is erratically applied.
Officials and villagers have little concept of environmental impact, particularly the potential for negative environmental impact.	
Commune Chiefs rely on TSO	Commune Chiefs also rely on the Commune Clerk who will most likely be the individual who interfaces with the TSO for procedural aspects of the process.
Commune Chiefs unclear on bidding process.	Changes frequently mentioned by officials are the improvements in the procurement process under the 2009 PIM; particularly that the process is quicker.
Commune Chief robust in approving quality of projects.	The quality of projects built in 2005 was criticised by contemporary technical audit reports, the responses to Q12D and Q12E reveal poor design and construction standards as enduring problems, the new project generator and templates may improve on this but will also require effective implementation to yield the desired improvements.

<b>Holloway 2005</b>	<b>Process Audit 2009</b>
Commune Chiefs were very “questionnaire aware” and gave conforming or positive answers.	The 2009 audit also found this to be a problem and that it was very difficult to get truthful and reliable answers, the interviewees in all stakeholder groups, but particularly officials, tend to give ‘positive and conforming’ answers (section 3.1.2).
Commune councillors were also “questionnaire aware” and gave conforming or positive answers.	
80% Commune Chiefs said receipts were issued for contributions, only 30% of beneficiaries said that they were.	Commune officials said receipts were issued in 87% of cases but beneficiaries said this was the case only 67% of the time, the sub-sample of 20 projects found the situation worse with few projects compliant with the 2009 PIM procedures for contributions.
Commune councillors 57/60 men, 73% over 49 years old.	Almost 37% of commune councillors interviewed were female, average age of commune officials is 52.7 years.
Most commune councillors had received training but 48% did not understand it well.	9% of commune councillors said the training they had received was insufficient for the requirements.
Commune councillors saw the Commune Chief as being “in charge”.	This continues to be the case.
90% of commune councillors had monitored construction but far fewer were satisfied with the quality.	The task is shared between the PMC, other commune officials and beneficiaries but varies between communes.
Beneficiaries less knowledgeable than officials but still had good knowledge and involvement with the process.	The answers at Annex 4: A4.5 do not lead to the same conclusions as the 2005 audit, only about two-thirds of beneficiaries assert knowledge and only a minority know where to get information beyond asking their Village Chief or a commune official; but do they need to have knowledge beyond that projects are supported by the RGC C/S Fund?
80% of PBC had received training on project implementation and 60% of these did not understand it well.	16% of PBC members do not understand the training well.
PMC 53/60 men, 65% over 49 years old.	4% of PMC members are female, average age of commune officials is 52.7 years.
Commune Chiefs thought PMC were trained and competent.	11% had not understood the training.
PMC seem well informed on project implementation but 33% had not understood the training.	
For monitoring construction PMC trained by TSO and 90% said they understood this training.	Not evaluated.
PMC said they were 88% effective in controlling quality, but the audit found them	Not evaluated for PMC, commune officials and beneficiaries generally jointly involved

<b>Holloway 2005</b>	<b>Process Audit 2009</b>
less good than this claim.	but the technical quality of the work was not part of the process audit so no judgement can be given.
Beneficiaries 118/122 were men, 31% over 49 years old.	The terms of reference required gender equality for the beneficiary sample, therefore 197 males and 197 females were interviewed.
83% of beneficiaries were satisfied with the choice of project.	99% of beneficiaries said that they were satisfied with the choice of project.
40% contributed land 78% cash.	90% of contributions were in cash.
30% were dissatisfied with the quality of construction.	The projects are all too new to get ask meaningful questions on this issue however complaints about quality were common in Phase 2 sub-sample focus group discussions: poor design and non-compliance with the specification for materials, equipment and workmanship are the issues.
Do not construct in the rainy season.	There is no improvement over 2005 on this issue, most of the surveyed projects were built during the rainy season and there were significant negative effects for quality and delay for many.
Well projects failed because there was no skilled support for hydrogeology.	This is a technical issue not investigated, no wells were sunk in time for the audit. There remains virtual zero competency for hydrogeology in Cambodia, attempts to map resources usually end with the donor support and private sector groundwater contractors are inexperienced and unreliable.
Irrigation projects fail because of limited survey and technical skills.	This is a technical issue not investigated by the audit. It is observed that the C/S Fund budget is not sufficient for complete irrigation systems but is appropriate for small maintenance, repair and improvement.
Final contract payment should be 20% not 5% to ensure contractors do maintenance.	This change has been made in the 2009 PIM.
Poor levels of participation at meetings.	Participation levels are high. The evidence is that all members of the community are given good opportunity to participate if they so wish.
Contributors should receive receipts and the contribution should be shown on the project signboard.	Signboards were posted for all sample projects. The issue of receipts remains a problem; it appears the paperwork intended for transparency is a heavy administrative burden for the communes and, from their perspective, of little benefit.

<b>Holloway 2005</b>	<b>Process Audit 2009</b>
TSO not given petrol to get to site.	A minimum of three supervision visits is being made during construction, time and access are other constraints.
Commune Chiefs have an autonomous attitude.	This persists. The community regards the Commune Chief as the leader, and the culture is not to openly question the leader.
Contractors complain that Provincial Treasury staff are corrupt and abusive.	The use of private sector banks to pay contractors is an improvement. Contractors are still frequently asked for an 'extra fee' for issue of a tax patent. Communes experience difficulty over release of funds from the treasury to private banks.

### 3.9 Recommendations

This section lists the general recommendations coming from the process audit.

Some of these recommendations relate to modifications and enhancement of the systems, procedures and supports for which Objective 3 of the Terms of Reference required detail; this detail is elaborated at section 5, the recommendation relating to monitoring and evaluation are at section 6.

#### 3.9.1 For the Future

##### Recommendation

***Harmonize planning, procurement, implementation, narrative and financial reporting of all government infrastructure projects – using 2009 PIM procedures.***

##### Discussion

The C/S Fund infrastructure projects, the Seila Programme and similar initiatives are frequently criticised for delivering low quality infrastructure, which is not sustainable. These criticisms are valid but are only part of the picture. The true success of the C/S Fund is the improvement in local governance. It provides a project focus for the still relatively new communes to achieve a tangible outcome in their own right, not just accept the generally ad-hoc donor supported improvements which come their way. They are projects that the commune really owns, and there is no doubt from the survey that this is highly valued.

The 2009 PIM processes, and the parallel procedures for service projects, are suitable for much larger projects and are only held back from this by the small budget allocations. Granted, larger projects need better technical support, but this can be procured through the PFT/DFT structure until such time as C/S are competent to procure it themselves. There is an embryonic private sector in Cambodia that can deliver the service, and that sector also needs work to grow.

The C/S Fund can also be expanded for greater donor support. Historically, donor projects are not well coordinated one to another; they each develop new procedures and infrastructure design, experience the same problems, and are not universally successful. Better and more sustainable results could be obtained if some of this donor support was encouraged for expanding the scale of C/S Fund projects.

##### Comment at Workshop:

- This was tried before but it did not work (only WB, ADB & IFAD followed).
- From the technical point of view it could be done and would be easy.
- From the political point of view it would be difficult is not currently possible. A strong

Government lead needed.

- CCDP initially used the C/S Fund procedures but after review developed it's own.

**Conclusion: Still needs to be pursued.**

*The comments confirm the cross-sector difficulties identified during the process audit. Difficulties are not a reason for not pursuing the recommendation, it is one way to sustain the donor investment in the C/S Fund process when donor support ends.*

### **3.9.2 Construction Season**

**Recommendation (see section 5.1 for elaboration of this recommendation)**

***Do not build infrastructure during the wet season.***

#### **Discussion**

This recommendation was made in the 2005 Holloway report, and the officials and villagers made it repeatedly during the 2009 process audit. Why is it that when there are usually seven dry months each year in Cambodia that C/S Fund projects are still timed for construction start during the five wet months, or have to be delayed to start after this and the clearing of harvest? The solution is a change in the project timeline.

#### **Comment at Workshop:**

- Complete planning in first year, implement during the following year (This is already done in some provinces, e.g. KRT. So formalize and permit?)
- Shorten the planning period (difficult because have to wait result from DIW).
- DIW to be done in September
- One year's budget does not have to be expended in that year. Carry forward is permitted. Perhaps some implementers are unaware of this and thus guidance is needed?

*The comments support recommendations at section 3.4.3 and 3.9.4.*

### **3.9.3 Timeline**

**Recommendation (see section 5.1 for elaboration of this recommendation)**

***The process needs to be quicker to implement, and it must avoid construction during the wet season, and during harvest.***

#### **Discussion**

The current process takes too long and implementation starts too late in the year.

*Either.*

- Advance the C/S Fund planning process so that the DIW is done by September and implementation can start October.
- Feasibility studies and design completed by January.
- Safeguard processes to run in parallel to design.
- Bidding in January for construction starts from February.
- Prior approval, if retained, to be streamlined and adjusted to new timeline.

*Or.*

- Consider two speed process; straightforward projects without complication or extended safeguard procedures to be fast tracked for construction from February; projects requiring longer to continue the process through the wet months for construction start in November.

Also:

- Incorporate project implementation timeline calendar(s) into the PIM, to meet the above targets.
- Monitor achievement of target dates by effective use of the PID.

**Comment at Workshop:**

- Dependent on availability of fund, need at least 80% of fund by 1st quarter of the year (cash flow is beyond the control of implementers).
- Rolling three year planning cycle used before but recently stopped – why?
- Possibility of parallel project feasibility studies and planning (most projects are already known and so studies could be done, hence a ‘stock’ of projects could be ready for quick implementation). But there is a reluctance to study and design projects when there is no guarantee that the project will be implemented.
- Cluster similar projects and study together?

### 3.9.4 Planning

**Recommendation (see section 5.1 for elaboration of this recommendation)**

***Eliminate the sharp division between the planning and implementation of the C/S Fund projects.***

**Discussion**

This recommendation steps outside the process audit on implementation but it is relevant because for the present the end of the planning marks the start of implementation, and the timeline beyond. This creates a sharp division because project information does not start until planning is finished. The recommendations for timeline include moving the aspects of study and safeguard measures to overlap the planning stage. This may result in some abortive work or shelved projects but these issues can be resolved when looking at the detail, in any case the better information on the projects ought to inform the planning process.

It is also necessary to understand commonality between projects; there are projects in neighbouring communes and many projects from earlier years, so that the information for planning and design is often common and probably already available. TSO can organize the preparation and do much of the study prior to results of the DIW, not use the DIW as reason not to start this work.

**Comment at Workshop:**

- If we don't know the priority project how can we do the implementation?
- Start feasibility study for several projects before prioritization.
- There is too much reporting for the communes to do.
- Process is dependent on World Bank packages.

### 3.9.5 Forms

**Recommendation (see section 5.2 for elaboration of this recommendation)**

***Carefully and seriously evaluate simplification, streamlining and consolidation of the PIM Forms.***

**Discussion**

The 2009 PIM distils the C/S Fund process into a set of procedures implemented by completion of a suite of PIM Forms. The process is inherently quite simple and easy to follow if the user is a well educated and experienced practitioner, but the sheer volume of

forms is very daunting for the majority of rural commune officials that have to fill the forms. Even though many of the communes said that the best way to speed the process is to follow the PIM and complete the forms correctly, the reality of achieving this is not much better in 2009 than it was in 2005. It is a paper heavy process for what are very small projects. The forms are completed by hand and mistakes require forms to be resubmitted, not easy for isolated communes. Many provincial and district officials also find the work daunting. In 2009 many stakeholders are asking for fewer forms, even though they recognise the purpose and need for transparency. Often forms have to pass several desks and this all adds time. Certainly, the response to this process audit should not be an expansion of the paperwork and approvals.

This is not to be taken as a recommendation to drastically change procedures, it is simply a suggestion to improve and optimise the forms and form structure.

**Comment at Workshop:**

- Good, easy to say but difficult to do.
- The 2009 PIM 2009 is still new.
- Some forms are not difficult, the problems is only lack of understanding of people filling the forms.
- Consultant to make specific recommendation, which form need to be simplified and consolidated.
- Follow-up/refresher training needed.

**3.9.6 Form Filling**

**Recommendation (see section 5.2 for elaboration of this recommendation)**

***Consider introduction of online forms, which are self-checking and reduce incidence of clerical errors.***

**Discussion**

A complaint from officials, and reason given for delay, is that clerical mistakes lead to rejection of forms and the extra time taken causes delay. Online forms can eliminate many potential errors: data fields such as a project title only have to be filled once, and other answers can be controlled by drop down menus, etc. It will also be possible to generate the forms necessary consequent to a particular answer, e.g. if environment is an issue the correct mandatory forms will be generated to fill and the correct paperwork guaranteed before proceeding. It is understood that the new project generator has some of these features so that officials will soon become familiar with this method of working.

**Comment at Workshop:**

- Good idea but not feasible, most communes have no internet

*Most communes do not have access to computers and Internet, and they will not for the Project Generator. The forms would be filled where computer facilities are available, probably by the TSO. The information can be gathered from liaison visits to the commune, a commune official coming to the province, and queries by telephone. Forms are then printed for the required signatures. Forms requiring some hand completion can be pre-titled and generated.*

**3.9.7 Operation and Maintenance Plans**

**Recommendations (see section 5.3 for elaboration of this recommendation)**

***Instruction and training on preparation of operation and maintenance plans should be improved.***

## Discussion

The document scrutiny in Phase 2 revealed that although operation and maintenance plans were filled using PIM Form 17 these were not tenable, they lacked detail and instruction for the maintenance, for its timing and cost. Consideration might be given to preparing technical notes that can be used as the basis of instruction for different types of maintenance. Very poor operation and maintenance of public sector projects is a perennial problem in Cambodia, the plan alone will not solve this but at least it is a first step in setting down what has to be done.

### Comment at Workshop:

- Training on how to prepare and examples of plans needed.
- Emphasis on budgeting for O&M needed. (C/S Fund can be used for maintenance).

## 3.9.8 Training

**Recommendation (see section 5.4 for elaboration of this recommendation)**

***Review and improve the effectiveness of training at every stakeholder level.***

### Discussion

Logistically and economically the current method of cascade training probably has to continue. Yet, the penetration of this training is incomplete. Every group of stakeholder sees a need for further training. In fact, the provincial and district officials express a greater need for training than the communes.

### Comment at Workshop:

- Recommendation well taken.
- 'Cascade training' results in poor understanding: Perhaps 80% comprehension at National training results in 60% at provincial level that leads to 40% at District level leads to 20% at CS level.

## 3.9.9 Contributions

**Recommendation (see section 5.2 for elaboration of this recommendation)**

***Simplify the procedures for documenting local contributions.***

### Discussion

The procedures are designed to ensure transparency and provide an audit trail, but they require lists and numbered receipts to achieve this. The reality is that the Communes find the procedures tedious and difficult to implement and are not carrying it out correctly, or in some cases effectively not doing it at all. The individual contributions are small 2,000 R to 20,000 R. The effort required ought to be more proportional to the sum involved. Other methods might be considered for auditing that the money is used correctly.

### Comment at Workshop:

- Forms are already simplified, what is needed is following it correctly – needs coaching and checking.
- Need to push for efficiency and correct compliance to procedures.

### 3.9.10 Environment

**Recommendation (see section 5.5 for elaboration of this recommendation)**

***Revise environmental safeguards so that they really do protect the environment, and which ensure that competent specialists are called for projects with a potentially significant environmental impacts.***

#### Discussion

The existing environmental safeguards are not effective because the TSO and commune officials carrying out the process do not have enough knowledge and experience on the issues. It is not realistic to expect that they will ever reach the required level. Currently, C/S Fund projects are small and in most cases will not have significant environmental impact, but they can; e.g. culverts that alter a flood regime in a negative way or the case study in Phase 2 where a new road is used by illegal loggers, or roads. Spotting these types of impact needs a holistic perception that cannot be provided by completing a simplified environmental impact checklist.

The audit noted that the safeguard checklist PIM Form 1 is often incorrectly completed. Mandatory environmental procedures are not being applied, e.g. for new road alignments, although these cases it is perhaps because the roads are not truly new alignments.

#### Comment at Workshop:

- Form filling does not result in improved environmental protection. There is no real risk assessment, proper EIA, preparation of an EMP or implementation of this plan.
- Focal points have no authority to stop illegal logging; it is under the Forestry Department.
- Also beyond the control of local authorities (Commune can report only to the authorities in-charge).
- E.g. If a road is to be built or rehabilitated in a forested area then there is clearly a potential negative affect on the environment caused by improved access & hence an increased chance of logging. Thus DOE should not approve such a road. Should all roads in forested areas be forbidden and only narrow tracks for motorbikes permitted?

### 3.9.11 Land Rights

**Recommendation (see section 5.5 for elaboration of this recommendation)**

***Introduce stronger verification that people are correctly informed of land rights.***

#### Discussion

The sampled projects were small and none appeared to have significant issues over land right safeguards. People were willing to donate land; generally the land was in public ownership anyway and people were simply using e.g. as rice field. Changes were made to two projects to avoid issues over land. Generally people will make this an issue if they did consider they are forced to give land or treated improperly. However, there is a tendency for commune officials to try to solve land issues quietly in order to avoid formal procedures and payments. This is arguably a reasonable approach. But it does mean that the officials often try avoiding explanation to people their rights over land. During the audit some beneficiaries learned of their rights the first time. This is why there is a need for stronger verification that people are informed.

#### Comment at Workshop:

- Only seven provinces have orientation on land rights.

### 3.9.12 Highland People

**Recommendations (see section 5.5 for elaboration of this recommendation)**

**Ensure competent safeguard advisors police projects in highland people watch-list communes.**

**Discussion**

Even though six of the sampled projects were in highland people watch-list communes highland people were not directly impacted so safeguards were not implemented. It is however noted that the officials in these communes were not very aware of the safeguards. This is the reason that safeguard advisors should be involved wherever projects are in a highland people watch-list commune.

**Comment at Workshop:**

- NCDD Pamphlet asked in Q11A is not yet done/distributed.
- Definitions of public and private land are not clearly understood.

*The pamphlet referred to was created 21 November 2008 and provided to the consultant by NCDD/PST. The responses to Q11A indicate that the majority of officials in highland people watch-list communes had seen this form.*

**3.9.13 Corruption**

**Recommendation**

- ***Be more vigilant on collusive tendering.***
- ***Take measures to eliminate illegal fees.***

**Discussion**

There was limited evidence of corruption in the C/S Fund process; the contract sums are too small. There is also a 'code of silence', which people will not break. It appears to be the Contractors who have to pay illegal fees and small favours to officials, a practice that remains common in Cambodia and which is difficult to eliminate. Collusive tendering is improper but the estimation process used for NCDD projects is open and it is not difficult for Contractors to manage together who wins which work.

**Comment at Workshop:**

- No objection (well taken).
- Explanation of why collusion may not be such a bad thing: Efficient use of limited resources such as equipment; reduced chance of sub-contracting with all the attendant problems in reduction of quality and timeliness of work.

**3.9.14 Contractors**

**Recommendation (see section 5.6 for elaboration of this recommendation)**

***The prequalification process should give a limit to the number of NCDD project awarded to a contractor at any time according to the contractors capability and resources. Police sub-contracting as a means of contractors getting around the restriction.***

**Discussion**

A complaint from communes is that contractors were slow because they would win multiple NCDD projects and did not have the resources to service them all simultaneously. Communes suggested reassessing resources at the time of award but it will be more efficient to set the limit during the prequalification process. This will not of course prevent the contractors taking work other than NCDD.

**Comment at Workshop:**

- KPC, KPT, KSP and PVG awarded many contracts to a few contractors in 2009.
- PIM has no restriction on number of contracts per contractor
- But can impose penalty for delays, but it has never been used so it is not an effective sanction. Only sanction used is black-listing after the event.
- Guidance on limiting number of projects needed.

### **3.9.15 Cooperation between Ministries and Departments**

#### **Recommendation**

***Reconcile C/S Fund procedures with line Ministries and Departments. Instigate joint work groups at province/district level and orientation training to ensure efficient processing of NCDD requirements.***

#### **Discussion**

The C/S Fund works in several infrastructure sectors requiring cooperation with technical and financial line Ministries and Departments. The provinces in particular complain that delays are caused because procedures and regulations are not aligned; the other parties do not understand C/S Fund procedures, and that they are slow to respond. There is also a perception that these outside parties are not fully supportive of the C/S Fund process. The recommendation is targeted at improving cooperation; if the parties can become accustomed to working more closely the improvements should follow.

**Comment at Workshop:**

- Difficult to do – much still need to be done
- But it needs to be done!
- Improved inter-department coordination, communication and cooperation needed. – via ExCom.
- Delays occur before an issue is brought to the Governor's attention.
- Clarity needed on project type needed and hence which department is responsible for technical clearance and also for some projects more than one department may need to provide clearance. (e.g. Sewage project – clearance by Department of Public Works in a Municipality),.

### **3.9.16 Monitoring and Evaluation**

#### **Recommendation (see section 6 for elaboration of this recommendation)**

***Use document scrutiny, focus groups and telephone interviews for routine monitoring and evaluation.***

#### **Discussion**

The audit team found that the document scrutiny, focus group discussions for different groups of stakeholders and telephone interviews with provincial officials yield by far the best information for the audit. The questionnaire survey often yielded inconsistent and conflicting answers within the sampled projects; it was expensive to conduct and for this reason cannot be used too often.

**Comment at Workshop:**

- Well taken.
- But need qualified independent people who understand the PIM and issues to conduct the interviews.

### **3.9.17 Outsourcing**

**Recommendation (see section 5.7 for elaboration of this recommendation)**

***Trial outsourcing of the technical roles of TSO.***

#### **Discussion**

A problem identified by reports and others who come into contact with the NCDD and the earlier Seila Program is the weakness of officials, in particular the TSO who must provide liaison and technical services for project design and implementation. It is a demanding role but it is most often filled by individuals without the necessary technical knowledge or experience, and it is unlikely the job will ever become attractive to people with sufficient knowledge and experience. The C/S use the TSO by default, only construction is outsourced to an external contractor. Although the PIM does allow the C/S to outsource some roles taken by the TSO, in practice this seldom happens and no example was sampled during this process audit. It is beyond the capacity of the C/S and also not appropriate for such small infrastructure; it will require a more mature and autonomous form of local government to evolve before direct appointment are appropriate.

#### **Comment at Workshop:**

- This recommendation was added after the Workshop

### **3.9.18 Additional recommendations**

#### **Comment at Workshop:**

It was suggested additional recommendations could be made for:

- Awareness increase in various issues.
- Improve mechanism on complaints.

*There are no recommendations arising from the process audit for these topics from the process audit; the procedures are considered adequate, and can be made to work the same as other procedures.*

## 4 Factors and Forces Affecting Objectives

Objective 2 of the Terms of Reference is to identify the most important forces and factors that prevent certain projects achieving their objectives. In this context the objective is compliance with the process, not how well the project is built and is fit for purpose.

There are judged to be five principal interrelated factors which affect compliance with process:

1. project cycle calendar;
2. no defined target timeline for implementation;
3. problems with correct and timely use of PIM forms;
4. varying levels of competence amongst implementers; and
5. ineffective application of safeguards.

The issues are elaborated below.

### 4.1 Calendar

The project cycle is structured around the financial calendar but for construction it should be structured around the water year. If the project cycle was arranged for construction between November and May, most delays and difficulties of construction during the wet season, or projects delayed after the wet season, would be eliminated.

This is not a non-compliance to process but it a factor which affects compliance with process and therefore project objectives.

**Impact on project objective: can cause delay and reduce quality of construction.**

### 4.2 Timeline

There is no defined timeline for the intermediated steps in the implementation process. This was confirmed by NCDD/PST who was unable to provide the process audit team with documentation which defined a timeline. Without target dates there is no effective tool to monitor which projects are falling behind schedule or to take early corrective action.

This is not a non-compliance to process but it a factor which affects compliance with process and therefore project objectives.

**Impact on project objective: slow implementation and delay.**

### 4.3 Processing Forms

There are many forms to be completed, processed and approved, internally to NCDD and with external line ministries and departments. Individually the forms are simple but the audit found numerous problems arise from the forms including:

- a significant proportion of implementers do not or cannot fill the forms correctly;
- the cumulative time for forms to move between the commune, the province, and around the desks of all involved.
- diligent officials reject incorrect forms which have to returned to communes for correction which introduces delay;
- line ministries and departments have no incentive to cooperate with the process and slow response causes delay;
- safeguard procedures introduce additional implementation processes which require time and understanding, this can add to delay; and
- forms, issues and procedures which implementers consider to take too long, or regard as irksome and difficult are not prepared or are filled incorrectly just for the sake of the process.

These factors in various ways are non-compliances to process which affect project objectives.

**Impact on project objective: delay and non-compliance with procedures.**

#### **4.4 Competence**

Provincial and district officials, especially TSO, are often not well trained or experienced in the construction sector; commune officials are certainly not. The situation is not static and all implementers will learn with experience, but this takes time and new stakeholders are involved each year. Competence is a limitation to all aspects of the project objectives.

The element of non-compliances to process is that these individuals responsible for implementation are not sufficiently competent for the tasks required to meet project objectives.

**Impact on project objective: imperfect implementation, mistakes, slow implantation, poor design and construction.**

#### **4.5 Safeguards**

Safeguard procedures are implemented through the commune. The audit found that environmental safeguards were not being implemented effectively through the communes. The audit was not able to test the highland people safeguards but it should be expected to suffer similar problems as the environment. Communes working with TSO do not have the knowledge or experience to implement effect safeguards.

Land rights safeguards are being implemented through the communes, there is some non-compliance but the audit found no abuses of land rights. The reason is that most projects are so small that they can avoid use of privately owned land, and the commune is able to negotiate agreement over public land which has been used by individuals, e.g. rice paddy within the road reserve.

The non-compliance is that projects do not meet environmental and highland people safeguard objectives.

**Impact on project objective: Environmental and highland people safeguards are not implemented effectively.**

## 5 Possible Modifications and Enhancements of Process

Objective 3 of the Terms of Reference is to make detailed recommendations for modifications and enhancement of the systems, procedures and supports. Implementation of the recommendation at section 3.9 is not a simple recommendation → action relationship; therefore, this section is organized around the actions back referred to the recommendations. Note also that not all the recommendations at section 3.9 require modification or enhancements to the process.

### 5.1 Timeline: Recommendations 3.9.2, 3.9.3, 3.9.4

The recommendation on construction season, timeline and planning all relate to organising the process to deliver a constructed project in the shortest possible time and so that construction does not occur during the wet season.

The period where most delay occurs is during project preparation. The bidding process is efficient but delays can occur if projects need to be rebid. Construction for the majority of projects takes less than one month and seldom more than three months (Annex 4: A4.2.8 Q8P), provided it is not delayed by attempting construction during the wet season.

The project preparation flowchart used by NCDD/PST shows a step-by-step procedure which complies with the PIM. A project without safeguards goes through the steps of screening, preparing a study work plan, forming commune committees and organizing the contributions, gathering the data before proceeding to design. If there are safeguards the flowchart shows the start of design dependent on clearance of safeguards, which is reasonable if the design needs to be changed for mitigation or the project is stopped. But it does mean that the design only begins following clearance. Cost estimation and completion forms are then prepared so that the project can be approved and cleared to proceed to bidding.

For 2009 projects the requirement for prior agreement of the World Bank to one project for each province, the preparation of four packages for stages of these projects, and issue of No-Objection Letters (NOL) by the World Bank has been an additional factor affecting the timeline. It is not however part of the PIM procedures and is therefore not within the scope of these recommendations.

The problem at the project preparation stage is not the procedures but the lack of a clear definition of the time needed for each task. **It is recommended that project management techniques are applied as follows:**

1. **Fix target time required for each task, e.g. data PIM Form 10 say half day of a (multi-purpose) liaison visit to commune plus half day at province to complete; design and cost estimate 2 days, etc.**
2. **List tasks on a Gantt chart and show linkages and dependencies.**
3. **Look for opportunities to run tasks in parallel, e.g. safeguards procedures.**
4. **Do the exercise for all tasks under responsibility of each TSO.**
5. **Programme for the number of projects under responsibility of each TSO.**
6. **Take account of down time, holidays, requirements for approvals, etc and allow 20% slack.**
7. **Read off key dates for each project, start, design, clearance, bidding and construction.**
8. **Monitor progress against this programme.**

This is not a complicated exercise, and use can be made of project management software such as MS Project. However, it will exceed the competence of some staff so it is suggested

model schedules are prepared for them. Programmes should be developed for one, five, ten projects up to the maximum allocated to one TSO. Set the timescale for days and weeks but allow the start date to be set by the TSO. The performance of the TSO can then be monitored against this programme.

**Incorporate guidance on timeline into the PIM.** The basis of the timeline to be explained in the PIM, otherwise the technical manual with the objective that more capable provinces can prepare their own programmes. However, basic target dates should be set.

Time for safeguard procedures depends on the circumstance at individual projects; see the recommendation at section 5.5 which will mitigate the impact on the timeline.

It is recommended that a two speed process is allowed. Straight forward projects should always be fast tracked for construction completion before the wet season. Complex projects, either due to technical issues or safeguards should at the outset be programmed for later construction start, after the wet season and harvest, if necessary during the next project year. Unforeseen delay of fast track projects should be reprogrammed to the slower track.

**Timeline to provide for activities in advance of DIW, guidance to be included in PIM or Technical Manual.** There is undoubtedly scope for some work in advance of the DIW, not knowing the final list of projects should not prevent this. It is a simple matter to complete the safeguards screening PIM Form 1 for all aspects except possibly land rights prior to the DIW, this can trigger environmental and highland people safeguard processes for projects with good prospects of acceptance by the workshop. There are aspects of study that will be common to projects, e.g. updated rainfall data, such matters do not have to await the final project list to precede. This addresses recommendation 3.9.4.

## **5.2 Forms: Recommendations 3.9.5, 3.9.6 and 3.9.9**

The recommended changes to forms are:

- 1. Targeted on the job and mentoring training on correct use and filling of forms.**
- 2. An independent review with the objective of optimising the design and processing of the forms.**
- 3. In parallel investigate greater use of computer for generating forms.**
- 4. Reduce the forms required for local contribution, end requirement for receipts and make the listing of individual contributors optional not mandatory.**
- 5. Remove responsibility for supplementary environmental, highland people and land rights safeguard forms from commune and TSO to designated environmental/safeguards officers.**

For point 1 it is apparent that however simple the forms may be many people involved in project implementation do not find them so, they make mistakes and process the forms incorrectly. Given that PIM Forms are a necessity then the best means of improving the situation is targeting the implementers most responsible for the PIM Forms, which is provincial and district officials, TSO, and the commune clerks.

For point 2, a comment at the Workshop gives the clue "easy to say but difficult to do". Historically, in the wider world, forms have been designed very poorly and often left to a junior to prepare. In recent decades this has begun to be recognised and many government departments and business have paid far greater attention to forms, helped by the improvements possible using computers. Form design has become a specialization in itself. The review should be done by someone detached from the original forms, it does not have to be a specialist but that could be considered, and the assignment could be conducted from outside Cambodia. It should be linked to point 3. It should also take account of how many signatures are needed and whether there is further possibility to reduce the approvals and clearance required with the objective of minimising paper movement and time at 'in trays'.

Point 3 must come, apart from signatures hand written information on forms is inefficient. There are some PIM Forms in the commune which have to be filled by hand but most forms are better filled on a computer. The TSO and/or commune clerks can do this by using computers at the province, or lower levels when available. The project generator will introduce this approach for technical forms for some 2010 C/S Fund projects.

For point 4 the suggestion to end the requirement for receipts is based on the view that it is unnecessary, the individual contributions are very small and it is not important to know the name of every contributor. The form to list names can be retained so that it can be used in communes that want it, but it should not be mandatory.

Point 5 is elaborated at section 5.5, the process audit found that the TSO and communes cannot reliably fill these forms, it is better to give responsibility to officers trained and competent for the procedures and thereby providing the intended safeguards.

### **5.3 Operation and Maintenance Plans: Recommendation 3.9.7**

**Develop clearer guidelines, specific examples and targeted training for operation and maintenance plans.**

The 2009 PIM provides a sufficient framework for operation and maintenance plans but credible plans are not being documented and consequently operation and maintenance tasks not done correctly or at all. The training should be targeted at TSO to instil an understanding of the need, to have the TSO communicate the requirements to the commune, and to have a realistic and achievable plan. Paramount is conveying to the commune the budgetary requirements to implement the plan. It is suggested that model plans are prepared to cover most common situations.

### **5.4 Training: Recommendation 3.9.8**

**Improve the penetration of training by more on the job training and mentoring, all training material should be accessible with practical examples and exercises. Training for officials should include project management methods and use of Gantt charts.**

It is seen that traditional NCDD training material follows a pattern of presenting the contents of the PIM, etc in the form of a presentation or notes. It is designed to be delivered as a one-off block of training. There appears little opportunity to practice what has been learnt. The process audit heard that many stakeholders either did not understand everything or that they had forgotten a lot of what they learned.

There are two areas where the effectiveness of training might improve, both require considered investment:

- On the job training and mentoring are absorbed better at all levels. The most difficult interface is with the commune where this type of training comes mostly from the TSO, so it is essential that the TSO is good at this task and available when the commune needs the help. Scheduling mentoring sessions is one measure to consider.
- Training material must be accessible to the target group, meaning not wordy and well illustrated. Class-room style delivery in large blocks is poorly assimilated by most people. Make use of classroom tasks to consolidate the learning and stimulate discussion.

The recommendation at section 5.1 implies use of project management techniques including Gantt charts. Therefore a training module should be developed for provincial officials for project programming (scheduling) including the use of NCDD preferred project management software.

### **5.5 Safeguards: Recommendations 3.9.10, 3.9.11 and 3.9.12**

**The recommendation is that safeguards are processed by safeguard offices not by the TSO and communes.**

The system for environmental safeguards is not working, it is clear that the issues are poorly understood by the majority of officials at province, district and commune level. It is actually not realistic to expect the current generation of officials to get a good grasp of environmental issues, for most it is too esoteric a topic for their life experience. Consequently, the suite of Environmental PIM forms is not being correctly filled or processed and different officials often give conflicting answers about the environmental process. The conclusions 2009 process audit are basically the same as found by Holloway in 2005 that safeguards are not well implemented. The procedures and the forms in the PIM are not complex or difficult to follow but it does require competent people to use them.

The process audit could not really test the safeguard procedures for highland people but it appears certain that the same problems would arise as with environmental safeguards.

Land right safeguards are less of an issue. Most matters can be settled at commune level without implementing safeguard procedures, the C/S Fund is after all concerned with small infrastructure without significant land take as might occur for a national road or major irrigation project. Nevertheless, when safeguards procedures do need to be implemented it will be more efficient if this is done by a safeguards officer and not left to the TSO and commune who will probably not be familiar with the procedures.

This recommendation does come with a caution, the very simple environmental check lists introduced in Cambodia in recent years are too basic and narrow to provide good screening for potential negative environmental impacts, and significant impacts are too easily overlooked by this approach. Effective environmental assessment needs a holistic and enquiring approach. Therefore, it is essential that the environmental officers are tutored and continuously mentored to work in this way.

### **5.6 Contractors: Recommendation 3.9.14**

**Limit the number of NCDD projects awarded to a single contractor at any one time according to the contractors capability and resources**

The limit for each contractor can be set at prequalification where the maximum value of work a contractor can handle at any one time is established and equipment and resources are known, e.g. if a contractor has three qualified supervisors and two rollers he clearly would have to fund or subcontract to do six road contracts simultaneously.

### **5.7 Outsourcing: Recommendation 3.9.17**

**Trial outsourcing of the technical roles of TSO.**

This is not a new idea, amongst others it was proposed in reports on the Seila Program in 2005. The suggested model is to appoint the private sector under 'framework contracts' for selected districts/provinces to provide the technical assistance for study, design and construction supervision. The TSO would retain the liaison role but no longer have the technical duties which are the duties where TSO are weakest. The private sector service provider would be issued 'work orders' for each project. The service provider would use the NCDD PIM procedures and Technical Guideless but would be expected to implement the best technical solution, e.g. a departure from a design template if required. Appointments should be for a minimum three years with a guaranteed minimum order book so that the service provider can recruit and keep employed an effective team.

There is a caution in that the private sector in Cambodia is weak, and often employs the same technically weak individuals from the public sector. Therefore it is recommended that in the first instance no more than three service providers are appointed, each to one or more

province. The performance should be compared for compliance with process, successful implementation and sustainability of projects; for the latter a project should be evaluated after two wet seasons.

## 6 Future Monitoring of Process

Object 4 of the terms of reference required to field test criteria that could be used for future monitoring of C/S Fund projects, possibly linked to incentives and sanctions. However, the terms of reference restricted the scope of field testing by prescriptive KPI and a structured two phase survey process which stipulated methods. Nevertheless, within this framework it was possible to develop the prescriptive methods and introduce some detailed refinements to see what worked best, specifically to identify features which can be incorporated into future evaluation and monitoring.

### 6.1 Phase 1

**Large scale questionnaire survey are not recommended for routine monitoring and evaluation and yield poor data for longer term monitoring.**

Overall the questionnaire process for a sample of 100 projects yielded disappointing results. Compared to the Holloway Report the terms of reference increased the sample to 100 projects not restricted by province and to fifteen key stakeholders in four stakeholder groups. The objective of the large number of stakeholders interviewed was deemed to be to provide a more representative sample. In the event the results did not yield better representation, rather there were conflicting answers across the projects, e.g. a 2% response did not apply to two projects, it could come from twelve projects. Therefore, this methodology is unable to reveal that two projects had no sign board; it merely shows that 2% of stakeholder did not know that there were signboards at all 100 projects. Statistics derived in this way can show non-compliance when there is none.

The conclusion drawn is that questionnaire interviews of stakeholders is not the way to go for routine monitoring and evaluation, and is not that reliable for comparisons over a period. This is supported by the more probing questions in 2009, which found some issues to be worse than judged by Holloway in 2005 (section 3.8), not because there has been a change but because the 2005 results were misleading. Too much reliance on pure statistics can lead to wrong conclusions.

### 6.2 KPI

**KPI can be retained.**

In terms of the questionnaire there was an imbalance of KPI against the topics, e.g. KPI 1 covered conformity to all PIM guidelines which generated 35 questions whereas KPI 3 is restricted to adequacy of budget which generated three questions. Nevertheless, the topics are appropriate and there is no strong reason to change KPI, although they could be sub-divide for convenience.

### 6.3 Document Scrutiny

**Document scrutiny is recommended as the primary tool for routine monitoring and evaluation.**

The document scrutiny of 20 projects during Phase 2 provided the best and most reliable quantitative measure of compliance with process. The 2009 PIM requires that most documentation is kept at the commune offices for five years, if the documents are not there, or if they are incorrectly filled, then it is a clear non-compliance.

The document scrutiny checklist developed for the Phase 2 survey was effective in measuring compliance to process. The checklist is an annex to the Factual Report. The document scrutiny is conducted at the commune office. It checks whether a required form is on file at the commune, whether key information on the form is entered and correct, whether the form is correctly approved and the dates for the timeline. For each listed form there is a comment box where additional observations can be recorded.

For Phase 2 the document scrutiny checklist was done by an engineer briefed on the 2009 PIM. An engineer was chosen to be familiar with the construction cycle but any competent person familiar with the PIM could do the task. The process takes a couple of hours and results can be entered directly to a laptop computer if one is available.

Example results are at Annex 3: A3.1. These examples only show non-compliance or notable findings such as dates. The checklist forms are complete also for compliant items.

The document scrutiny addresses KPI 1 to 11 and 13, only KPI 12 for satisfaction with process is not recorded. The document scrutiny was not scored for the Phase 2 study because it was only for a sub-sample and percentage scores against KPI were measured during Phase 1. It will however be a simple task to develop a weighted scoring system if this recommendation is implemented. This will allow a quantitative measure for comparison and incentives (section 6.6).

## 6.4 Focus Groups

**It is recommended that focus groups are be used as a baseline cross-check for document scrutiny or for investigation of poorly performing projects.**

The Phase 2 survey found the focus group useful for investigating specific non-compliance, problems and overall satisfaction against KPI 12. The method used and recommended is to prepare an outline agenda which addresses the topics for investigation; this is to keep the group focus on the issues of interest. Summary minutes are then prepared. Examples are at Annex 3: A3.1. There should be separate focus groups for commune officials and beneficiaries to minimise intimidation of the latter group.

## 6.5 Telephone Interviews

**Use telephone interviews for quick feedback on issues and concerns arising for the process.**

Telephone interviews were not required by the terms of reference but were introduced and tested by the audit team during Phase 2. The trial was based on a 22 questions to provincial officials focused on why 2009 C/S Fund projects were taking so long to implement, a problem not foreseen by the terms of reference but which turned out to be a limitation on the process audit. The telephone interviews yielded some insightful information which has been more useful to formulating recommendations than the Phase 1 questionnaire to this group. It also allowed feedback from provinces not otherwise visited. In this case since there were 22 questions, and NCDD/PST added questions which required reference data to answer, the questionnaire was exchanged by emailed with the provinces and followed-up by the telephone interview.

This method is not restricted to the questions used for the process audit, or to the provincial officials. It can be used to ask any question to any individual, according to need at any time. All commune chiefs and commune clerks have phones. It is not necessary to use email for a simple or small list of questions.

## 6.6 Incentives and Sanctions

**Sanctions are not recommended.** A C/S Fund infrastructure project is a small investment reward for the C/S where the majority of stakeholders are poor. It is the consultant's opinion that it is ingenuous to consider sanctions for non-compliance with PIM procedures, particularly when the commune relies on the support of paid TSO, district and provincial officials to follow the rules of the PIM. It is unfair to punish the commune for poor performance of officials.

**Incentives are recommended.** The incentive for the C/S should be future C/S Fund projects. A pure monetary or percentage increase in the fund for the next project would be

hard to administer because funding requirements vary between projects. An alternative could be a 'league system' where good performing communes are given priority for funding at the DIW, possibly linked to a scale of funding ceiling.

Province and district officials could also have a bonus system based on how well their projects comply with the process. However, any system of monetary reward could be contrary to RGC policy on bonuses and supplements.

## **6.7 In-house or External M&E**

**Routine monitoring and evaluation should be done in house, external service providers can be called for audit and special review if deemed necessary.**

Routine monitoring and evaluation needs to be done in-house for efficiency and economy. The only issue is of independence, and this can be addressed by using staff outside the province, either from Phnom Penh or other provinces. The existing NCDD structure should be sufficient to supervise and audit this process but external service providers can be used if there is a reason or as a requirement of a donor.

## **6.8 Timing**

Monitoring based upon document scrutiny, focus groups or telephone interview can be done at any stage of the project cycle or time of year, but most usefully when the project is complete.

**It is suggested NCDD use document scrutiny for a sample of the high proportion of 2009 C/S Fund project to further investigate why these projects were not completed in time for consideration by this process audit, using the dates of key stages as listed for the 20 projects at Annex 2: A2.1 as the comparative measure.**

## **Annex 1: Details of Phase 1 Survey**

### **A1.1 Candidate Projects**

In project year 2009 it was planned to construct 1,814 infrastructure projects in 24 provinces but at the start of the Phase 1 survey early September 2009 only 240 projects in 16 provinces were known to be completed. The process audit was specifically intended to examine projects prepared using the 2009 PIM and the latest safeguard measures. This meant that the candidate project pool for selection of the 100 projects for survey was only just over 13% of the total of projects slated for completion in 2009. This has significant implication for some aspects of the process audit; this is discussed at section 0.

The Terms of Reference envisaged the sample of 100 projects to be proportioned between different classes of infrastructure and to include a minimum number of safeguard projects:

- 45 rural road projects;
- 15 small scale irrigation projects;
- 15 rural water supply projects;
- 15 other projects;
- 10 projects in environmental and highland people watch-list communes.

The 2009 projects are more than 80% rural road projects and with the small pool of only 240 candidate projects there were less than 15 'rural water supply projects' and less than 15 'other projects' completed in time for the survey. There were also few projects in highland people watch-list communes. The small sample means that multi-stage random sampling could not be used and priority had to be given to selecting projects in an attempt to meet the above proportions.

Consideration was given to including 2008 projects to improve the sector and geographical spread and add more highland people watch-list communes. However, after consideration it was decided and agreed with NCDD/PST that adding 2008 projects would mix the sample population and dilute the audit focus on the impact of the 2009 PIM and in particular the newly introduced safeguard procedures. Indeed the sector of the project does not change the process and the questionnaire is such that it will not discern any differences between sectors. The 2009 projects are dominated by rural roads; the projects to be sampled in each sector required by the Terms of Reference does not reflect this skew and adherence to these requirements will produce a bias towards other sectors. It is more important that the sample includes safeguard projects, but the safeguard processes rather obviously requires more time to implement.

Another factor is that the PID was not kept fully up to date because it relies on timely entry at provincial level. The provinces had only been trained in the PID mid 2009 so by September they were still learning and data entry was both patchy and variable. At the commencement of the process audit the PID registered only 153 completed projects. It was however apparent that the PID recorded a significant number of projects that were either 50% complete and/or noted to be completed by mid September according to the last update which for most provinces was in July. It therefore appeared that the candidate project pool could be increased to improve the sector and geographical spread and the number of watch-list communes. The candidate pool was indeed increased to 240 in this way by enquiring directly to each province the status of projects that might be complete. In fact, some of the 240 completed projects were not recorded as finished on the PID and some provinces provided the information using their own separate lists and spreadsheets.

### **A1.2 Sampled Projects**

A target sample list was agreed in discussion with NCDD/PST and relevant advisors prior to the Phase 1 survey. During the course of the work a few changes were necessary variously

because a couple of projects shown as complete on the PID were found to be still under construction and several others were inaccessible due to flooding and impassable road conditions. Additional highland people watch-list communes were also identified and substituted other projects to increase representation in the safeguard sample.

It is worth noting that the survey work proceeded during what is always in terms of access the most difficult phase of the wet season (late September/early October). Also that the planned visits to parts of Sambour and Sandan districts in Kampong Thom to reach highland people and environmental watch-list communes had to be delayed because of the impact of storms arising from typhoon Ketsana at the end of September.

The final sample achieved the target of 100 projects and is summarised in the table below. The total for each infrastructure category and watch-list communes is at the foot of the table. The target of 15 'irrigation projects' was achieved. Only eleven 'water supply' projects were sampled and these were all ponds. Similarly only six 'other' projects could be sampled, comprising five pipe drains and one school. The balance comprised road projects, which included culverts and two bridges plus a variety of road surface.

The sample exceeded the target for watch-list communes with twelve projects on the environmental watch-list and six on the highland people watch-list, and five of the sampled projects being on both watch-lists. Unfortunately, no projects were finished in provinces noted for the highland people populations such as Mondulhiri.

#### Phase 1 sample projects

Sample			Infrastructure category				Watch-list	
Com-mune code.	Province/area name	Description	Road	Irrigation	Water supply	Other	Environment	Highland people
10211	<b>Banteay Meanchey</b> Soea	Gravel road and culvert	✓					
10602	Sangkat Kampong Svay	Earth road and culvert	✓					
10607	Sangkat Preah Ponlea	Laterite road and culvert	✓					
10702	Kouk Romiet	Laterite road	✓				✓	
10802	Sarong	Laterite road	✓					
10807	Treas	Laterite road	✓				✓	
30203	<b>Kampong Cham</b> Cheyyou	Earth road	✓					
30203	Cheyyou	Culvert	✓					
30203	Cheyyou	Laterite road	✓					
30301	Khnor Dambang	Laterite road, culvert, posts	✓					
30302	Kouk Rovieng	Dam		✓				
30303	Pdau Chum	Laterite road	✓					
30306	Sampong Chey	Laterite road, culvert, posts	✓					
30308	Soutib	Laterite road and culvert	✓					
30609	Krala	Earth road and culvert	✓					
30615	Vihear Thum	Earth road	✓					
30701	Angkor Ban	Earth road	✓					
30703	Khchau	Crushed stone road	✓					
30708	Roka Ar	Canal		✓				

Sample			Infrastructure category				Watch-list	
Com-mune code.	Province/area name	Description	Road	Irrigation	Water supply	Other	Environment	Highland people
30711	Sour Kong	Earth road	✓					
31101	Ampil Ta Pok	Laterite road	✓					
31101	Ampil Ta Pok	Laterite road	✓					
31103	Damril	Laterite road and posts	✓					
31104	Kong Chey	Laterite road, culvert, posts	✓					
31309	Prey Chhor	Canal		✓				
<b>Kampong Chhnang</b>								
40103	Chak	Earth road and culvert	✓					
40301	Sangkat Phsar Chhnang	Laterite road and culvert	✓					
40302	Sangkat Kampong Chhnang	Laterite road and culvert	✓					
40303	Sangkat B'er	Laterite road and culvert	✓					
40603	Cheung Kreav	Laterite road	✓					
40604	Chrey Bak	Laterite road	✓					
40609	Prey Mul	Laterite road and culvert	✓					
<b>Kampong Speu</b>								
50201	Sangkat Chbar Mon	Pond			✓			
50203	Sangkat Rokar Thum	Laterite road	✓					
50204	Sangkat Sopoar Tep	Laterite road and culvert	✓					
50304	Pechr Muni	Pond			✓			
50311	Sraeng	Pond			✓			
50312	Teuk Laak	Pond			✓			
50403	Tropeang Chour	Road			✓		✓	✓
50404	Sangkae Satoub	Pond			✓		✓	✓
50505	Krang Cheyk	Pond			✓			
50510	Veal Pong	Laterite road & culvert	✓					
50515	Phnum Touch	Laterite road and culvert	✓					
50608	Prey Rumdol	Pond			✓			
50611	Tang Sya	Pond			✓		✓	
50711	Trang Krouch	Pond			✓			
50714	Tumpoar Meas	Pond			✓			
<b>Kampong Thom</b>								
60501	Chhuk	Laterite road	✓					✓
60502	Koul	Laterite road	✓					
60502	Koul	Dam		✓				
60503	Sambour	Laterite road	✓				✓	✓
60504	Sraeung	Laterite road	✓					
60601	Chheu Teal	Laterite road	✓					
60603	Klaeng	Laterite road	✓					
60604	Mean Rith	Laterite road	✓				✓	
60605	Mean Chey	Earth road	✓				✓	✓
60606	Ngan	Laterite road	✓				✓	✓

Sample			Infrastructure category				Watch-list	
Com-mune code.	Province/area name	Description	Road	Irrigation	Water supply	Other	Environment	Highland people
60702	Chroab	Laterite road and culvert	✓					
60703	Kampong Thma	Laterite road	✓					
60704	Kakaoh	Laterite road and culvert	✓					
	<b>Kandal</b>							
80405	Kaoh Thum Kha	Canal		✓				
80703	Preaek Anhchanh	Stone road	✓					
80707	Roka Kong Ti Muoy	Pipe drain				✓		
80711	Svay Ampear	Earth road	✓					
80711	Svay Ampear	Canal and culverts		✓				
80806	Kantaok	Pipe drain				✓		
80811	Peuk	Concrete bridge	✓					
80908	Ponhea Pon	Laterite road and culvert	✓					
80909	Preaek Phnov	Pipe drain				✓		
80910	Preaek Ta Teaen	Laterite road	✓				✓	
81102	Sangkat Preaek Ruessei	Reinforced concrete road	✓					
81104	Sangkat Ta Khmau	Pipe drain				✓		
	<b>Prey Veng</b>							
140304	Chrey	Sand road	✓					
140309	Prasat	Sand road	✓					
141108	Ta Kao	Canal		✓				
	<b>Siem Reap</b>							
170101	Char Chhuk	Laterite road	✓					
170101	Char Chhuk	Laterite road	✓					
170202	Leang Dai	Earth road and wood bridge	✓					
170604	Krouch Kor	Gravel road	✓					
170607	Saen Sokh	Gravel road	✓					
170709	Pou Treay	Canal		✓				
170716	Yeang	Box culvert with gate		✓				
171006	Chreav	Culvert	✓					
171008	Sambuor	Culvert with gate		✓				
171105	Kien Sangkae	Laterite road	✓					
171106	Khchas	Laterite road	✓					
	<b>Stung Treng</b>							
190205	Ou Ruessei Kandal	Box culvert	✓					
190207	Srae Krasang	Culverts	✓					
	<b>Svay Rieng</b>							
200201	Banteay Krang	Earth road and culvert	✓				✓	
200203	Khsaetr	Canal		✓				
200205	Prey Thum	Canal and culverts		✓				
200208	Samyaong	Canal		✓				
200401	Ampil	School				✓		
200510	Kraol Kou	Canal		✓				

Sample			Infrastructure category				Watch-list	
Com-mune code.	Province/area name	Description	Road	Irrigation	Water supply	Other	Environment	Highland people
200513	Svay Angk	Sand road and culvert	✓					
200516	Svay Yea	Sand road	✓					
200601	Sangkat Svay Rieng	Pipe drainage				✓		
200708	Romeang Thkaol	Canal and culverts		✓				
200709	Sambuor	Culverts	✓					
220105	<b>Oddar Meanchey</b> Thlat	Laterite road and box culvert	✓				✓	
<b>100</b>	Total	Totals	<b>68</b>	<b>15</b>	<b>11</b>	<b>6</b>	<b>12</b>	<b>6</b>

### A1.3 Field Survey

#### A1.3.1 Training and field testing

Before starting the Phase 1 survey ten field researchers received a briefing for the C/S Fund process and 2009 PIM. Khmer language training material provided by NCDD was used for this purpose.

Field testing was carried out on two of the sample projects in Kandal Province. The Senior Evaluation Expert was in attendance. The testing went smoothly. The only significant point requiring clarification was that all questions had to be answered according to the questionnaire protocol and that 'N/A' (not applicable) entries were invalid for database entry.

#### A1.3.2 Main survey

Following the field-testing work proceeded immediately to the main survey. The field researchers were divided into two teams of five for this phase. NCDD/PST provided introductions and assistance and thereafter a timetable was drawn up and followed for the remainder of the survey.

Wherever possible the project site was visited and photographed. This was not for the purpose of technical evaluation, which is outside the remit of the process audit, but it was to help inform interpretation of the questionnaire, particularly adverse comments.

Data was entered daily but this procedure tended to be outpaced by the fieldwork because of extra time needed to translate interviewee explanation and comments, which were allowed and sought for some questions. The backlog in data entry was cleared immediately on completion of the fieldwork.

Overall, the survey proceeded smoothly and to schedule with the exception of one project, which was dropped from the list, but where the commune was not properly informed and the villagers were unfortunately inconvenienced. Reserve projects were visited to replace the planned sample for the few unfinished or inaccessible projects.

### A1.4 Data Cleaning and Entry

Survey returns were entered in a simple SPSS database. Data cleaning proceeded concurrently with survey work and data entry in order to expedite initial analysis and preparation for Phase 2. The integrity of data has as far as possible been checked.

## A1.5 Stakeholder Categories

Phase 1 survey comprised individual interview of 15 stakeholders for each sample project. There were four discrete groups of stakeholder category with different types and numbers of stakeholder as follows:

1. Commune officials
  - Commune chief
  - Commune councillors (2 interviewed per project)
  - Male PBC member from village with project (1 interviewed per project)
  - Female PBC member from village with project (1 interviewed per project)
  - Member of the PMC who is not one of the above (1 interviewed per project)
2. Province and district officials
  - Member of provincial facilitation team
  - Member of district facilitation team
  - Technical support official for project
3. Beneficiaries
  - Male villager from a village benefiting from project (2 interviewed per project)
  - Female villager from a village benefiting from project (2 interviewed per project)
4. Non-beneficiaries
  - Female and male villager from a village not benefiting from project (2 interviewed per project)

## A1.6 Stakeholder Profiles

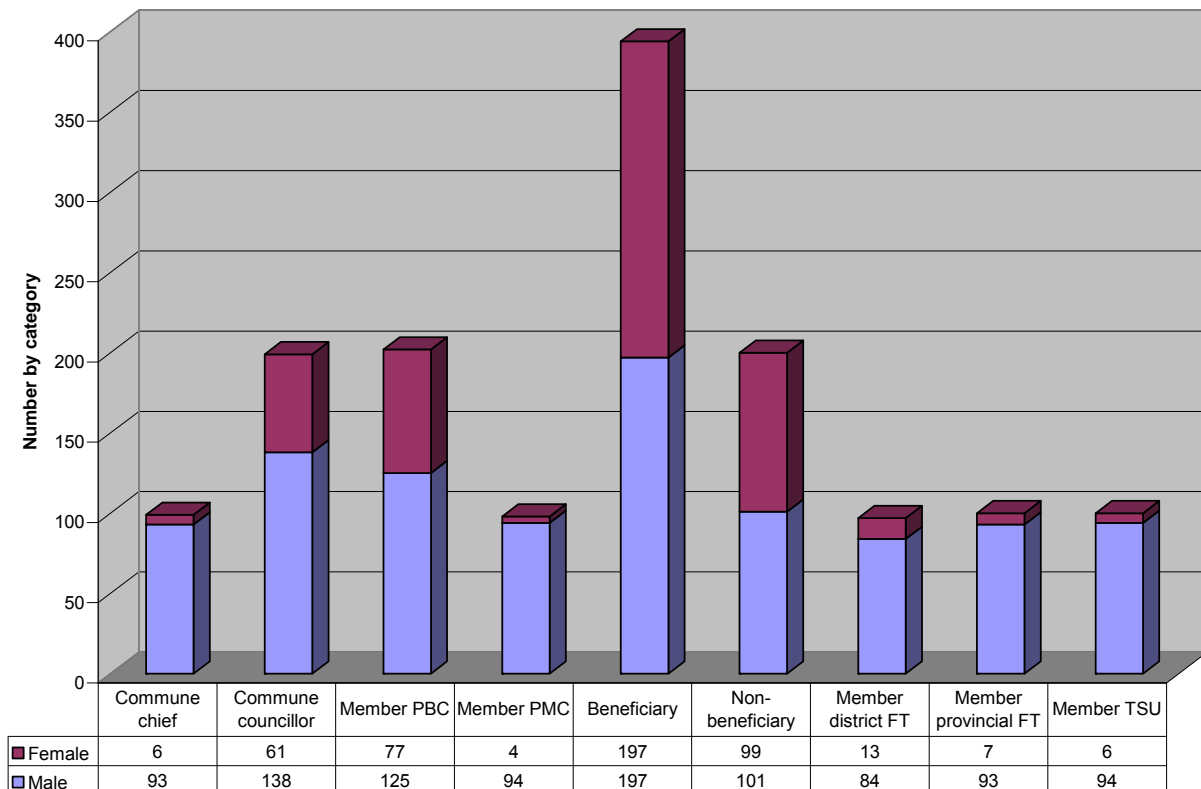
### A1.6.1 Age

The table below summarises the age of stakeholders. As might be expected the youngest group were the employed province and district officials. Even so the maximum age of 68 years for this group is relatively elderly to still be in employment. Commune officials had the highest average age just under 53 years and the oldest in this group was 79 years, which might also be expected since such posts usually go to the more senior in the community. The beneficiaries and non-beneficiaries had a maximum age of 75.

	Commune officials	Province and district officials	Beneficiaries	Non-beneficiaries	All stakeholders
Number	583	313	389	204	1,489
Mean age	52.7	43.8	45.6	46.0	48.1
Minimum age	20	25	17	20	17
Maximum age	79	68	75	75	79

### A1.6.2 Gender

Males were in the majority for the sample. The equality between the gender of beneficiaries and non-beneficiaries is because this was a criterion for the sample.



### A1.7 Questionnaire

Questionnaire for Phase 1 were designed to probe compliance with the 2009 PIM and safeguards and the stakeholders knowledge and satisfaction with the process. The questions were loosely grouped around the KPI at section 2.2.

Although the terms of reference envisaged a comparison being made with the outcomes of the 2005 audit it was apparent that the 2009 questionnaire required a different focus to reflect the changes and advances that have been made in the process since 2005. For example, the 2005 questions dwelt on the age, gender and general knowledge of the process but somewhat less with how good the process actually was. For 2009 it can be taken that officials have a general knowledge of the process but it is their depth of knowledge and compliance with the process that needed to be probed, particularly use of the recently introduced 2009 PIM. To this end, although a simple *Yes/No/Do not know* answer was used for most questions a significant number of questions also required a brief explanation of the answer as well. Other questions had multiple-choice answers or required durations or dates to be given.

These more detailed questions were included to assist interpretation of the results and guide selection of the sub-sample of 20 projects for phase 2.

A single master set of questions was used for Phase 1 and answers entered into a single SPSS database. The interviews were conducted in Khmer language but the data is processed into English language. There are 154 questions in total but not every question applies to all four stakeholder categories. Therefore, different versions of the questionnaire were used for each category thereby avoiding asking unnecessary questions to a particular group. Copies of the four sets of questionnaire were included with the Inception Report and are not repeated here. However, each question appears as a heading in section 0 below together with a summary and brief commentary on the answers received.

## Annex 2: Details of Phase 2 Survey

### A2.1 Phase 2 Survey

Phase 2 focused on identifying, reviewing and ranking in order of importance, the key reasons for unsatisfactory results on a sub-sample of the 20 projects chosen based on the findings of the Phase 1 survey. Phase 2 employed further survey comprising:

- document scrutiny against 2009 PIM for each project;
- focus groups with prepared agendas for Commune Council, PBC, PMC, a group of beneficiaries but no face to face repeat interviews;
- interview contractors using a questionnaire; and
- telephone/face to face questionnaire with provinces.

The document scrutiny used a pro-forma checklist to record compliance with the PIM, specifically that the required documents are on file and that they are correctly completed, approved and signed-off. Dates were noted to construct a timeline for the process. The project file at the Commune office was scrutinized. A sample pro-forma checklist was presented in Annex 1 of the Factual Report.

Focus groups were used to bring together larger groups of stakeholders at commune level than were interviewed during Phase 1. The purpose was to confirm and examine the veracity of key issues identified by Phase 1. The focus groups were structured by working to an agenda. Minutes were prepared and included in the brief case-study reports at section 0. There was no questionnaire but the agenda included some questions answered by a 'show of hands'. Such questions were used to capture information not collected at Phase 1 such as education levels of stakeholders. The agenda were included at Annex 2 of the Factual Report. There were no repeat individual interviews, it was agreed with NCDD/PST that this was unnecessary given the depth of questioning during Phase 1. It was however expected that the individual Phase 1 stakeholders interviewed would be present in the appropriate focus group discussions. The members of the Procurement Committee were included in the Commune Council focus group. The TSO were invited to join all the focus group discussions.

The interviews with the contractors used an expanded version of the Q8 questionnaire used for other stakeholders in Phase 1. The interviews were with the owner or senior manager of the contractor who was responsible for the project. The contractor was asked to invite the Works Manager when this was possible. There was a focus on reasons for delay. The contractor questionnaire was included at Annex 3 of the Factual Report.

The questionnaire to the provinces was in response to the 87% of 2009 projects not ready in time for the process audit as discussed at section 3.1.5. It was possible to accommodate this additional task in substitution for the repeat interviews of individual stakeholders originally planned for Phase 2. The questionnaire was presented at Annex 4 of the Factual Report. It focused on the time required to comply with the 2009 PIM and safeguard procedures. The questionnaire was addressed to **all 24** provinces not just the provinces late with 2009 projects. This is because the issues will mostly be the same for every province, all provinces have late projects, and differences between provinces helped inform the interpretation of the results.

### A2.2 Rationale for Selection of Phase 2 Sub-sample

The basis of selection was purposive and was decided in discussion with NCDD/PST. The sub-sample of 20 projects is based on explicit and relevant criteria, scoring projects against KPI mentioned at section 2.2. The objective was to select projects where the overall level of

stakeholder satisfaction with the outcome is low and/or where one or more important aspects of implementation or safeguard procedures has been poor.

The complexity and inter-relationship of the issues has meant that a simple structured rationale was needed to make the selection of 20 projects. Simply looking at overall satisfaction was not for example going to identify projects where land safeguards or complaint procedures were poor, but other aspects may have been good. The solution was to develop a system of scoring the 154 Phase 1 questions in order to use the database for rapid scrutiny of poor performance on particular KPI topics or even individual issues within a KPI topic. The scoring system was presented as a table at Annex 5 of the Factual Report. There are several points to note:

- A positive/good outcome is given a positive score; usually '1' but occasionally higher numbers to give weight to particularly important issues.
- A negative/bad outcome is given a negative score, usually '-1' but occasionally lower numbers to give weight to particularly important issues.
- A *Do not know* response is given a neutral score '0'.
- Questions that do not relate to performance, but which are asked to gather qualitative information are given a neutral '0' score for *Yes/No/Do not know* or any other permitted answer.
- Questions where the scores are numbers or dates are given scores according to *greater than/equal/less than* bands.

Every project was scored according to the above protocol. The scores were scrutinized for maximum, minimum, average and lowest five-percentile for:

- overall score;
- each of the fourteen KPI category; and
- each stakeholder group within each KPI category.

The following procedure was then used to choose the 20 projects:

- Project in the lowest five percentile for two or more categories were chosen first, up to five lowest five percentile scores occur.
- This initial selection also captured the lowest five percentile overall scores.
- The selection was checked for representation of the 14 KPI topics, and additions made to ensure every topic was represented by up to five projects in some cases.
- Two projects were added from the highland people watch-list, these also were in environmental watch-list communes.
- Projects were added to ensure representation of the four infrastructure types.
- The sample was checked for capture of poorly performing projects by stakeholder group, in particular with respect to environmental and land right safeguards.
- A final review was made against the conclusions of the Phase 1 survey (see section 0).

The selected projects break down as follows:

- twelve road projects, some which include structures;
  - three irrigation projects;
  - two water supply projects; and
  - three other infrastructure projects.
- This totalled 20 projects that include three environmental and two highland people watch-list communes.

### A2.3 Sub-sample of 20 Projects for Phase 2

The projects selected for the Phase 2 survey are listed below. The type of infrastructure and watch-list if this applies are included together with a brief reason for choosing the project.

<b>Commune code</b>	<b>Province/area name</b>	<b>Description</b>	<b>Reason for selection</b> (see section 2.2 for key to KPI)
030303/ 090101	Kampong Cham Pdau Chum	Laterite road	Low KPI overall plus 9, 5 and 13.
031309/ 090101	Kampong Cham Prey Chhor	Canal	Lowest KPI 14, irrigation
050203/ 090101	Kampong Speu Sangkat Rokar Thum	Laterite road	Low KPI overall plus 1, 2, 8, 12 and 13
050204/ /090101	Kampong Speu Sangkat Sopoar Tep	Laterite road and culvert	Low KPI overall plus 2, 8, 9, 12 and 13
050304/ 090201	Kampong Speu Pechr Muni	Pond	Low KPI 1, 9 and water supply
050403/ 090101	Kampong Speu Tropeang Chour	Road	Lowest KPI 10 (for beneficiaries), Environmental & Highland people watch-list
050611/ 090101	Kampong Speu Tang Sya	Pond	Low KPI 6, water supply, environmental watch-list
060502/ 090101	Kampong Thom Koul	Dam	Low KPI 4, irrigation
060503/ 090101	Kampong Thom Sambour	Laterite road	Low KPI 5, Environmental & Highland people watch-list
080703/ 090101	Kandal Preaek Anhchanh	Stone road	Low KPI 4 and 12
080707/ 090101	Kandal Roka Kong Ti Muoy	Pipe drain	Low KPI 1 and 7
080711/ 090101	Kandal Svay Ampear	Earth road	Low KPI 4 and 12
080806/ 090101	Kandal Kantaok	Pipe drain	Low KPI overall plus 3, 5 and 6, 2 <sup>nd</sup> lowest beneficiary KPI 10, commune lowest KPI 9
080909/ 090101	Kandal Preaek Phnov	Pipe drain	Low KPI overall plus 6 and 8, other
081102/ 090101	Kandal Sangkat Preaek Ruessei	Reinforced concrete road	Low KPI 6 and 7, 2 <sup>nd</sup> lowest non-beneficiary score KPI 10
140309/ 090101	Prey Veng Prasat	Sand road	Low KPI 5
141108/ 090101	Prey Veng Ta Kao	Canal	Low KPI 3
170101/ 090101	Siem Reap Char Chhuk	Laterite road	Low KPI 10 and 12
170709/ 090101	Siem Reap Pou Treay	Canal	Low KPI 5, irrigation
171006/ 090101	Siem Reap Chreav	Culvert	Low KPI 10

## Annex 3: Phase 2 Survey Results

### A3.1 Case Studies

#### A3.1.1 A Laterite Road in Kampong Cham

Code: 030303/ 090101

Commune: Pdau Chum

Reason for selection: Low KPI overall  
 Low KPI 5, knowledge and access to information  
 Low KPI 9, Environmental safeguards  
 Low KPI 13, complaints procedures.



Description	Proposed	Actual
Cost	45,709,200 R	49,616,200
Local contributions		400,000 R
Width	4.5 m	4.5 m
Length	2,100 m	2,282 m
Date of safeguard screening		01 January 2009
Date of Project Information		10 April 2009
Date of Bidding		28 May 2009
Date Contract Signed		08 June 2009
Contractor		Yean Kimsour
Date Start	20 June 2009	20 June 2009
Date Finished	20 July 2009	21 July 2009

#### Documents scrutiny

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
Form 2	Work plan for project studies	Not on file.
Form 4	Local contribution receipts	Not on file. Contributions have not yet been collected.
Form 5	List of local contributors	Not on file. C/S has provided the receipt book to the village chiefs but villages have not yet return them with the contributions. Commune Chief is from Sam Rainsy Party, some commune and village officials do not cooperate.
Form 6	List of local contributors	Not on file. Contributions have not yet been collected.
Form 7	List of local contributions	Not on file. Contributions have not yet been collected.
Form 8	Material price survey list	Not on file.
Form 9	Standard materials price list	Not on file.
Form 10	Project Information	It took 3 months for TSO and LAU to approve form.
Form 17	O&M Plan	Content is not specific.
Procurement and project management: C/S Council meetings		Documents prepared but lost.

Form 41	Record of bid opening	Not all columns were correctly filled. No minute of bidding meeting. All bids were close to the estimate of 45,709,200 R, ranging from 44,329,200 R to 45,399,900 R, two were exactly the same 45,000,000 R.
Form 44	Contract outputs	One month between approval by C/S and TSO.
Form 55	Progress reports.	Progress reports were prepared but not kept at commune.
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 21/01/2010.
Meeting minutes during construction		None on file, minutes of start of work were lost.
Site works notebook		Not on file. Site works notebook was prepared and checked by TSO and committee with the contractor but is not at commune.
Construction checklists		Not on file.

### Focus groups

Date and time	26 November 2009, 1:30 to 5:00 pm
Venue:	Pdau Chum Commune Centre, Cheung Prey District, Kampong Cham Province
Beneficiaries:	Two villages, 1,116 Households

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	4	3	2	2
Female	-	-	-	9
Total	4	3	2	11
Age:				
25 or younger	-	-	-	3
26 to 35	1	-	1	2
36 to 45	1	1	-	2
46 to 55	2	2	1	3
56 to 65	-	-	-	1
over 65	-	-	-	-
Education:				
No formal	-	-	-	-
Grades 1 to 6	3	2	2	11
High school	1	1	-	-
After high school	-	-	-	-
2009 PIM training	2	1	1	-

### KPI

Low KPI 5: Mixed knowledge and scores of commune officials confirms Phase 1 results.

Low KPI 9: Mixed knowledge and scores of commune officials confirms Phase 1 results.

Low KPI 13: Officials complained about people complaining, not satisfied with what has been done for them, some benefit more, others less from project. Those people whose houses are not reached by the road repaired complain, they asked to extend the repair to their place but road repair could not reach to all houses.

### Open discussion

1. *If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*

- C/S Fund is limited, it is not possible to achieve much with so little money.
- Land issues takes time to deal with people affected, land compensation could have helped to make people agree to offer their lands but the problem is that the commune has no budget for land compensation, if taken from the development fund budget, it is

already limited even for the construction project (a big head ache for project implementation).

2. *At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - To reduce delay caused by settling land issue, C/S Fund to give budget for land compensation and setting the acceptable amount for it.
3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
  - ADB project is better in that projects are bigger and stronger because they have bigger budget and they spend on preparatory study (Hydrological study and geotechnical study etc). C/S Fund has limitations on funding, technical designs are standard, only adjusted by TSO and not all TSO are technically competent, so project output is not as good as those of ADB.
  - C/S fund projects is better in that it involves the commune and village officials in all stages of project implementation, very helpful in improving the capacity of local official in governance.
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
  - Many natural disasters beyond human control, yearly there is flooding in the area and even the strong structures are destroyed by flood, need awareness raising on the effect of global warming, everyone to plant grasses and trees on the side of the road to help prevent soil erosion.
  - Make commune/village ordinance not to allow livestock to graze on the road side.
  - Regular maintenance: repair small potholes immediately, everyone to own and take care of the road, because if destroyed everyone suffer.
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
  - Commune Chief.
6. *Comments on 2009 C/S fund project implementation process:*
  - The 2009 PIM is OK, only need for everyone involved in the project implementation, to know it and follow the steps.
7. *Other issues:*
  - Political party affiliations affected the project implementation; Commune Chief is from Sam Rainsy Party and many Commune councillors from Cambodian Peoples Party, there is no full participation and cooperation between and among the local officials. Meetings are not well attended.
  - The focus group meeting with the project beneficiaries, showed their non-involvement with the development project, most of their responses to questions are *Do not know*.

**A3.1.2 An Irrigation Canal in Kampong Cham**

Code: 031309/ 090101

Commune: Prey Chhor

Reason for selection: Lowest KPI 14, Other comments

Irrigation project



Description	Proposed	Actual
Cost	27,158,000 R	30,093,300 R
Local contributions		1,500,000 R
Width	4 m	5 m
Length	950 m	2,560 m
Date of safeguard screening		25 April 2009
Date of Project Information		21 May 2009
Date of Bidding		01 July 2009
Date Contract Signed		07 July 2009
Contractor		Chea Makara
Date Start	10 July 2009	13 July 2009
Date Finished	05 Aug 2009	13 Aug 2009

**Documents scrutiny**

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
Form 2	Work plan for project studies	Form does not give details of activities. Not signed by Technical Assistant.
Project Map		Sketch map of the canal location.
Form 4	Local contribution receipts	OK except used the old form from 2005 PIM.
Form 8	Material price survey list	Not on file.
Form 9	Standard materials price list	Not on file.
Form 10	Project information	It took 18 days for TSO and LAU to approve Form 10.
Form 16	Output location	TSO did not prepare this form.
Form 17	O&M Plan	Plan is too general with no specific detail.
Procurement and project management: C/S Council meetings		No minutes or file note confirming contractor list.
Bidding documents		No specifications on file.
Form 50	Conditions of Contract	Signed but not dated.
Form 55	Progress reports.	Two reports for 50% and 100% stages.
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 23/02/2010.
Meeting minutes during construction		No minutes of PMC meetings although the C/S said they were convened.
Site works notebook		Not on file. It was kept by the Contractor.
Construction checklists		Not on file.

**Focus groups**

Date and time	26 November 2009, 8:00 to 12:00 am
Venue:	Prey Chhor Commune Centre, Prey Chhor District, Kompong Cham Province
Beneficiaries:	Two villages, 271 households

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	6	5	1	5
Female	3	2	1	4
Total	9	7	2	9
Age:				
25 or younger	-	-	-	1
26 to 35	-	-	-	2
36 to 45	3	1	-	1
46 to 55	2	1	2	4
56 to 65	4	3	-	1
over 65	-	2	-	
Education:				
No formal	-	-	-	1
Grades 1 to 6	2	6	1	6
High school	7	1	1	2
After high school		-	-	
2009 PIM training	4	1	1	0

**KPI**

Lowest KPI 14: Because of many comments that projects can be done better next time:

- Regular checking of construction by PMC and contractor to follow design.
- Need more technical training for commune to be able to check and monitor construction.
- Greater participation of villagers, get their ideas and instil ownership of project.

Speed projects by:

- Meetings for discussion.
- Regular follow-up.
- Should construct during dry season.
- MEF to inform commune about budget allocation early.
- Bidding should be start by March or April.

Other comments:

- The project is good but there are still many areas for improvements, consultation among all stakeholders is limited, there are problems with the flow of communications, many things are still not clear.

**Open discussion**

1. *If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*
  - Bidding process, contractors can win a lot contracts and not able to finish construction on time.
2. *At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - Construction during the dry season.
  - MEF to inform communes early of budget allocation, so that project preparation could be done early including consultations with the communities.

3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
  - No projects implemented with other donors.
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
  - Projects to be built correctly, for the canal grassing should be done on the banks to prevent soil erosion.
  - To set up committee to oversee the operation and maintenance of the project (Village Chief to lead).
  - Plant more trees along or near the canal.
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
  - Commune Chief and village chiefs.
6. *Comments on 2009 C/S fund project implementation process:*
  - Commune budget appropriation to be informed early by MEF to allow preparation of bid documents around April or June 2009.
  - Commune need to know budget from the provincial treasury and construction should start immediately after signing contract.
  - Bidding was in May through June.
  - Contractors are allowed to get many contracts, and cannot cope to do the projects at the same time, some projects are delayed.
  - The contractor started work during the wet season..
  - On land issue the guideline says there should be land compensation, this not easy to implement because the commune does not have the budget, also the C/S budget allocation is low and could not be stretch to include land compensation.
7. *Complaints:*
  - Excavated soil covered private land, three households were affected, and the affected households raised complaints.
  - No compensation paid, commune had no budget for this.

### A3.1.3 A Laterite Road in Kampong Speu

Code: 050203/ 090101  
 Commune: Sangkat Rokar Thum  
 Reason for selection: Low KPI overall  
 Low KPI 1, Conformity to process  
 Low KPI 2, Timeliness  
 Low KPI 8, Contractor  
 Low KPI 12, Satisfaction with outcome  
 Low KPI 13, Complaints



Description	Proposed	Actual
Cost	65,317,500 R	36,626,000 R
Width	6 m	4 m
Length	3.216 km	3.216 km
Date of safeguard screening		08 October 2008
Date of Project Information		10 March 2009
Date of Bidding		28 April 2009
Date Contract Signed		07 May 2009
Contractor		Kheang Chhay
Date Start	25 May 2009	27 May 2009
Date Finished	27 July 2009	25 August 2009

#### Documents scrutiny

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
		The road is was said to be on a new alignment and therefore required an environmental impact analysis, however Form 1 indicated that no environmental impact analysis was required.
Form 1	Safeguard screening:	Environmental impact analysis checked as not needed.
Form 2	Work plan for project studies	Not correctly completed, work plan not clear.
Form 4	Local contribution receipts	Used 2005 PIM form, listed only the name of the village chief. No receipts for individual contributors.
Form 5	List of local contributors	Receipts listed have missing numbers, not arranged on file and unclear.
Form 6	List of local contributors	Not on file.
Form 7	List of local contributions	Not on file.
Form 8	Material price survey list	Not on file.
Form 9	Standard materials price list	Not on file.
Form 11	Cost estimate	Not on file.
Form 17	O&M Plan	Types of maintenance incorrectly entered. Total annual cost of maintenance not entered. Document not arranged in order. Signatures and designations unclear.
Form 18.1	Environmental analysis report	No forms 18.x on file, apparently not required.
	Procurement and project management: C/S Council meetings	No minutes or file note confirming contractor list.
	Bidding documents	No specifications on file.
Form 41	Record of bid opening	Not on file.

PIM Form	Subject of Form	Observations
Form 42	Bidding report	Used 2005 PIM form.
Form 46	Contract work plan	Form not completely filled.
Form 54	Contract amendments	Contract period extended from 2 months to 3 months because heavy rain and flooding prevented access to borrow pit.
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 24/02/2010.
Meeting minutes during construction		No minutes of PMC meetings.
Site works notebook		Not on file.
Construction checklists		Not on file, kept by contractor.

### Focus groups

Date and time	21 & 24 November 2009, 8:30 - 12:00 am and 3:00 to 5:00 pm
Venue:	Commune Centre, Rokar Thum, Chhbar Morn, Kompong Speu Province
Beneficiaries:	210 Households

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	8	6	5	26
Female	1	-	1	4
Total	9	6	6	30
Age:				
25 or younger	-			-
26 to 35	-			1
36 to 45	-			9
46 to 55	3	1	1	9
56 to 65	1	2	3	8
over 65	5	3	2	3
Education:				
No formal	-	-	-	5
Grades 1 to 6	9	6	6	23
High school	-	-	-	2
After high school	-	-	-	-
2009 PIM training	5	1	2	-

### KPI

Low KPI 1: Numerous issues, often from beneficiaries. Beneficiaries were consulted about the choice of project but not about the design and construction and do not know about the PIM. The existing road was 6 m width and the new road was to be the same width, but funds were only enough to surface 4 m with too thin a layer of Laterite. Seven people said there was evidence of corruption, but hard to say what, hinted there was leak of project cost to bidders. Beneficiaries did not know about the O&M plan although this says there will be a user group. Indeed, some villages have organized a user group for the road others have not.

Low KPI 2: Contractor finished construction one-month late.

Low KPI 8: Delay was caused by heavy rain, the contractor could not get fill from the borrow pit and bring it to site, the area was flooded and the contractor also lacked equipment. Overall the contractor was rated OK but a majority commune council and procurement committee rated him bad. They said the contractor was slow to work and quality of output not good, Laterite is thin, and that it was difficult to deal with the contractor. Work manager present during construction most of the time. Two representatives of the Project owners monitored the construction, and they used construction checklists. Few had seen the Site Notebook. Beneficiaries gave feed back and made complaints to contractor when work was near their house. Contractor started two days late and finished one-month late. At first the contractor did not build correctly to the design and specification until the commune council demanded he followed the requirements.

Low KPI 12: The contractor put too thin layer of Laterite, the Commune Chief complained but contractor did not listen; the road is OK for the present but it will not last.

Low KPI 13: Complaints were:

- Laterite is too thin;
- road not well compacted well, contractor didn't have enough equipment, the grader & compactor used were small.

### Open discussion

1. *If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*
  - Selection of contractor, contractor bid very low to win but could not deliver good quality output, contractor also gets many contracts and could not cope to do the works as fast because their manpower and equipment are too spread out (commune council).
  - Design study is limited, design is dictated by the available fund, during the project study by commune and TSO, three culverts were identified but NCDD approved only one (PMC).
2. *At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - Faster turn-around by implementing and line agencies for approval of documents submitted by the communes for the project.
  - Bidding should be done 1st quarter of the year, start construction before rainy season, rain delays construction activities and affects quality of construction.
3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
  - None
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
  - Build concrete road instead of Laterite (commune council).
  - Design road higher than the flood level (commune council).
  - Use of the correct and good quality materials, borrow pits certified by concerned agencies, or tested from laboratory if possible (commune council).
  - Construction equipment should be as per specified capacity, in the case of this project, compactor used was too small (commune council).
  - Commune/villages and user groups to repair immediately when there is small damage on the road, not wait until damage is big because it is then more costly to repair (commune council).
  - Commune to allocate repair and maintenance budget from the C/S development fund (commune council).
  - NCDD roads not able to withstand heavy loads, 2008 NCDD Road destroyed by trucks carrying earth for 2009 road.
  - Road foundation is weak, only the surface is good but even the surface is easily destroyed by run off and passing trucks.

5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*

- Commune Chief

6. *Comments on C/S fund project implementation process:*

- Community participation is good.
- Commune has no control over the selection of the contractor because automatically the lowest bidder wins, but during implementation the commune had to struggle with the contractor to deliver an acceptable road.

7. *Complaints:*

- Complaints regarding the contractor were raised by the villagers to the Commune Council/Chief. The Commune Chief discussed with the TSO and TSO made a formal letter of complaint to the contractor. Contractor was defensive and complained that the budget for the project was very low. Contractor was very slow to rectify the mistakes in construction but he was pressured by the people.

### A3.1.4 A Laterite Road and Culvert in Kampong Speu

Code: 050204 /090101  
 Commune: Sangkat Sopoar Tep  
 Reason for selection: Low KPI overall  
 Low KPI 2, Timeliness  
 Low KPI 8, Contractor  
 Low KPI 9, Environmental safeguards  
 Low KPI 12, Satisfaction with outcome  
 Low KPI 13, Complaints



Description	Proposed	Actual
Cost	36,412,000 R	27,297,000 R
Width	6 m	4 m (6 m total width)
Length	3.216 km	1.285 km
Date of safeguard screening		Form not dated
Date of Project Information		10 March 2009
Date of Bidding		28 April 2009
Date Contract Signed		07 May 2009
Contractor		Tan Simon
Date Start	10 May 2009	25 May 2009
Date Finished	15 July 2009	14 Sep 2009

#### Documents scrutiny

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
		The road is was said to be on a new alignment and therefore required an environmental impact analysis, however Form 1 was checked that an environmental impact analysis was not needed and later this is confirm in that there was no land required..
Form 1	Safeguard screening:	Environmental impact analysis checked as not needed.
Form 2	Work plan for project studies	Only one activity planned.
	Project Map	Only a hand sketched map of the commune showing the project location.
Form 3	Notice of technical clearance	Not on file and not prepared in Commune.
Form 4	Local contribution receipts	Not on file. Ten receipts were issued by the commune to villages with amounts ranging from 50,000 R to 100,000 R. Total contribution was 800,000 R.
Form 5	List of local contributors	Used 2005 PIM form. Not clear how many receipts were issued to villages but 10 returned. No record of individual contributions.
Form 6	List of local contributors	Not on file.
Form 7	List of local contributions	Not on file.
Form 8	Material price survey list	Not on file.
Form 9	Standard materials price list	Not on file.
Form 16	Output location	Not on file. Form was not prepared.
Form 17	O&M Plan	Date that plan was prepared is not entered.

<b>PIM Form</b>	<b>Subject of Form</b>	<b>Observations</b>
Procurement and project management: C/S Council meetings		No minutes or file note confirming contractor list. Clerk said minutes were prepared of confirmation of the contractor list but this has been lost.
Bidding documents		No specifications on file. C/S did not keep all bid forms and statement on ethical conduct, fraud and corruption after bid opening.
Form 41	Record of bid opening	Not on file.
Form 54	Contract amendments	The completion date was extended because of heavy rain, it was left open because no one was sure when completion would be possible. It was not updated even when construction was completed.
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 07/02/2009.
Meeting minutes during construction		Two on file, waiting minutes of final meeting. No records of PMC meetings.
Site works notebook		Not on file, said to be kept by PMC at the commune centre.
Construction checklists		Not on file.

### Focus groups

Date and time	21 November 2009, 1:30 to 5:00 pm
Venue:	Commune Centre, Sompoar Tep, Chhbar Morn, Kompong Speu Province
Beneficiaries:	Three villages

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	8	7	4	13
Female	-	-	1	1
Total	8	7	5	14
Age:				
25 or younger	-	-	-	1
26 to 35	-	-	1	-
36 to 45	-	2	-	3
46 to 55	3	-	1	4
56 to 65	1	5	3	5
over 65	4	-	-	1
Education:				
No formal	-	-	-	-
Grades 1 to 6	8	3	4	10
High school	-	4	-	4
After high school	-	-	1	-
2009 PIM training	5	3	2	-

### KPI

Low KPI 2: Delay was caused by working during the wet season and flooding. The road was muddy when construction started, then the contractor could not reach the borrow area because he could not cross the river to the source.

Low KPI 8: Overall the contractor was rated OK. There was a two-month delay in completion and compaction equipment used was too light. The Works Manager was on site more than half the time (although beneficiaries said less). Only one owner's representative was assigned to check and monitor the construction, this was the PMC focal person and only they knew the design details. Beneficiaries were involved taking out roots and undesirable materials from the fill, feedback to the Village Chief, and watching the construction work. Delays caused by working during the wet season, consequent lack of construction materials including Laterite, and this meant the works lasted more than three-months.

Low KPI 9: Only filled up the form for safeguard checklist and submitted to the province. There was no environmental damage but it is more dusty and noisy because vehicles are driven faster.

Low KPI 12: The focus groups were satisfied with the outcome contrary to indications from the Phase 1 questionnaire.

Low KPI 13: Complaints are all verbal, hearsay or grumbling but no formal complaints were ever made or filed at the commune; the complaints box was always empty.

### **Open discussion**

1. *If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*
  - Processing of payment is slow and this is the bottleneck in the project implementation process.
  - Understanding of procedures by all project implementers.
  - Bidding is too “transparent” that bidders know the project cost, collusion is still happening.
  - One contractor was allowed to get many contracts, need to re-assess the capacity if he can handle many contracts, by reviewing his manpower, equipment and capital.
2. *At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - Bid to be invited early in January-March.
  - Construction to start immediately after bidding and before rain comes.
  - Contractors to be penalized for delays (except when delay is caused by natural phenomena that is beyond human control).
3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
  - None
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
  - Regular repair and maintenance by the commune/village/user group and not to wait until potholes are big.
  - Set-up fund for repair and maintenance.
  - Set-up committee to oversee the repair and maintenance.
  - Transporters passing the road to be asked to pay road “tax”, but no ordinance on this yet.
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
  - Commune Chief
6. *Comments on 2009 C/S fund project implementation process:*
  - Delay of release of budget from National level to the provinces.
  - Processing at commune level was fast but release of payments was slow.

7. *Other issues:*

- Contractor complained about the project that he was losing, it was not easy to deal with the contractor, and he is rich and does not listen to commune officials.

### A3.1.5 A Water Supply Pond in Kampong Speu

Code: 050304/ 090201  
 Commune: Pechr Muni  
 Reason for selection: Low KPI 1, Conformity to process  
 Low KPI 9, Environmental safeguards  
 Example of water supply project



Description	Proposed	Actual
Cost	21,000,000 R	15,000.000 R
Local contributions		1000 R/household
Dimension of pond		60 m x 45 m x 3.5 m
Date of safeguard screening		25 September 2008
Date of Project Information		09 February 2009
Date of Bidding		24 April 2009
Date Contract Signed		25 May 2009
Contractor		Sam Ol Sam Art
Date Start	19 June 2009	19 June 2009
Date Finished	27 July 2009	29 July 2009

#### Documents scrutiny

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
Form 1	Safeguard screening:	Environmental impact analysis checked as not needed.
Form 2	Work plan for project studies	Only one activity planned (OK because only an excavated pond).
Form 4	Local contribution receipts	Only 3 receipts issued to 3 villages, some receipt numbers are missing.
Form 5	List of local contributors	Each village did not list the contributors and just entered the total amount of contribution.
Form 6	List of local contributors	Not on file. It was said the list of local contributions are kept at the village, no copy at the commune office.
Form 7	List of local contributions	Not on file. It was said the list of local contributions are kept at the village, no copy at the commune office.
Form 8	Material price survey list	Not on file.
Form 9	Standard materials price list	Not on file.
Form 17	O&M Plan	Plan not clear and not specific, all the three signatory agencies signed and approved the plan on the same day as the date of planning.
Procurement and project management: C/S Council meetings		No minutes or file note confirming contractor list.
Bidding documents		No specifications on file. C/S did not keep all bid forms and statement on ethical conduct, fraud and corruption after bid opening.
Form 46	Contract work plan	Not all the columns have been correctly filled.
Form 55	Progress reports	Only one on file for 100% completion.

PIM Form	Subject of Form	Observations
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 24/01/2010.
Meeting minutes during construction		Two on file, waiting minutes of final meeting. No records of PMC meetings.
Site works notebook		Not on file, given to contractor.
Construction checklists		Not on file.

### Focus groups

Date and time	23 November 2009, 1:30 to 5:00 pm
Venue:	Commune Centre, Pechr Muni, Kong Pisei, Kompong Speu Province
Beneficiaries:	Two villages

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	5	3	2	7
Female	-	-	-	15
Total	5	3	3	22
Age:				
25 or younger				11
26 to 35	-	-	-	5
36 to 45	2	1		1
46 to 55	3	2	2	3
56 to 65	1	-	1	2
over 65	-	-	-	
Education:				
No formal	-	-	-	16
Grades 1 to 6	4	1	-	6
High school	1	2	3	-
After high school	-	-	-	-
2009 PIM training	5	-	1	-

### KPI

Low KPI 1 The low KPI scores are because of low beneficiary involvement in the process. The size of the pond was reduced from 80 m x 45 m to 60 m x 45 m at the suggestion of the TSO and agreed by the Commune. An operation and maintenance plan had not been prepared. The pond is of direct benefit to a relatively small number of beneficiaries.

Low KPI 9: Overall below average scores.

### Open discussion

1. *If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*

- Community Consultation is difficult, not all the people are willing to participate and cooperate.
- Payments not easy to get from the provincial treasury, they were always late in payment.

2. *At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*

- Construction should be during the dry season so that it would be easy for contractor to bring in equipment and materials, the construction works would not be hampered by rain.

- Government treasury should honour their obligations to pay on time, to act faster on payments and not hold payments, because it always delays construction.
3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
- Other projects have larger budgets such as TRIP project which paid for grassing, C/S Fund provides no budget to pay grassing works, the Commune Chief explained to beneficiaries they are the project owners, some cooperate, others not.
  - In the C/S Fund the PMC check and monitor the works, no PMC for TRIP.
  - Beneficiaries take ownership and responsible in maintaining the project.
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
- Flooding and drought destroy projects and this is beyond control, during drought ponds are built but there is no rain, and unable to plant grass on the side of pond also no water in the pond
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
- Commune Chief, village chiefs and user group.
6. *Comments on 2009 C/S fund project implementation process:*
- Committees are formed but are not effective.
7. *Other issues:*
- Some people complained because collection of local contributions started in December 2008 but construction started six months later, in June 2009. People complained to commune officials for the delay of the project.
  - There are 13 villages in the commune only 2 villages benefit from 2009 C/S Fund project, only 40% of households were able to contribute money for the project.

### A3.1,6 A Road in an Environmental and Highland People Watch-list Commune in Kampong Speu

Code: 050403/ 090101

Commune: Tropeang Chour

Reason for selection: Low KPI 9, Environmental safeguards  
Lowest KPI 10 (for beneficiaries), land rights safeguards  
Project in environmental and highland people watch-list commune



Description	Proposed	Actual
Cost	42;312,000 R	42,127,000 R
Width	4 m	4 m
Length	3.3 km	3.3 km
Date of safeguard screening		29 October 2008
Date of Project Information		05 March 2009
Date of Bidding		21 April 2009
Date Contract Signed		07 May 2009
Contractor		Svay Narin
Date Start	25 May 2009	24 July 2009
Date Finished	05 Aug 2009	11 Sep 2009

#### Documents scrutiny

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
The project in a commune that is on both the environmental and highland people watch-lists.		
Form 1	Safeguard screening:	Both environmental and highland people correctly checked.
Form 2	Work plan for project studies	Incorrectly completed. Work plan described the project not the activities.
Form 3	Notice of technical clearance	Clearance documents not complete on file, no highland people clearance documents.
Form 5	List of local contributors	Receipts were for payments from the villages, not the individual contributors.
Form 6	List of local contributors	Not clear. Form was completed correctly but only listed the Village chiefs and not the name of the household contributors.
Form 8	Material price survey list	Not on file, TSO said kept at TSU office.
Form 9	Standard materials price list	Not on file.
Form 17	O&M Plan	Plan is not clear and not specific, it just describes general activities and is vague.
Form 18.1	Environmental analysis report	On file with accompanying Forms 18.x
Form 18.3	Environmental management plan	Not clear on arrangements for management.
Form 18.3	Environmental monitoring plan	Not clear exactly what is required from environmental monitoring plan.
Form 18.3	List of participants in environmental analysis	Minutes of meetings for environmental analysis are not on file.

PIM Form	Subject of Form	Observations
Procurement and project management: C/S Council meetings		No minutes or file note confirming contractor list.
Form 21.1	Highland people safeguard measures	The commune is on the highland people watch-list but no clearance was prepared for the project.
Form 21.2	Risks mitigation for highland people	Not on file.
Form 21.3	Monitoring plan for highland people	Not on file.
Procurement and project management		No minutes on file for confirmation of contractor list.
Bidding documents		No specifications on file.
Form 42	Bidding report	Cost estimate was 42,127,000 R, lowest bid was 29,500,00 R (70% of estimate)..
Form 55	Progress reports.	Actual completion date was 11/09/09, 5 weeks later than planned completion date which was 05/08/09.
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 05/02/2010.
Meeting minutes during construction		Two on file, waiting minutes of final meeting to be held in 2010.
Site works notebook		Not on file but during the construction C/S held and ensured book filled correctly, but did not arrange where it would be kept.
Construction checklists		Not on file. One sheet of checklist was prepared by the TSO for Laterite thickness.

### Focus groups

Date and time	24 November 2009/ 8:30 am -2:00 pm
Venue:	Commune Centre, Tropeang Chour, Oral, Kampong Speu Province
Beneficiaries:	Three Villages

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	8	4	4	7
Female	-	-	-	8
Total	8	4	4	15
Age:				
25 or younger	-	-	-	-
26 to 35	-	-	-	5
36 to 45	1	1	1	4
46 to 55	2	2	-	4
56 to 65	5	1	3	2
over 65	-	-	-	-
Education:				
No formal	-	-	-	11
Grades 1 to 6	8	4	4	4
High school	-	-	-	-
After high school	-	-	-	-
2009 PIM training	6	-	2	-

### KPI

Low KPI 9: Officials commented that the road makes it easier for people to exploit the forest (new or expanded logging); they commented that it was not the road that did the harm but people; and only rich people benefit. More trucks pass each day transporting trees cut from the forest and wild animals have become scarce. The project was screened by the Department of Environment and MAFF-Forestry. There was direct damage by tree cutting when clearing for construction.

Low KPI 10: Five households lost plants, trees and fences along the side of the road because of clearing, this land was within the road reserve but villagers use it. The Village Chief informed the villagers and negotiated with affected households; no one was pushed but the Village Chief negotiated and people obeyed. Villagers never saw a map because the commune were unable to prepare one but they were informed that from the centre of road to 5 m sideward is road reserve.

KPI 11: The Soy tribe constitute 30% of the commune and many villagers are half Soy, half Khmer. Three members of the commune council and some village chiefs are from the Soy tribe. Soy and Khmer are treated with equal respect; both groups of people were consulted for the project, Soy ceremonies are supported and attended by the whole community.

### **Open discussion**

1. *If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*
  - Safeguards, the project is under environmental and highland people watch-lists. Clearance for the project was OK, but nothing has been done to minimize tree cutting and logging, instead the volume of trees cut has increased now there is a good road. Every day many truck loads of logs are passing along the road. Environmental safeguards are not being implemented, people feel helpless because the loggers are rich and powerful business men. The forest guard does nothing to stop the logging.
2. *At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - Bidding to be done early and construction to be done during the dry season.
  - Consultations with the villagers is important to get their participation and cooperation, negotiations for land issues takes time but if people see their ownership of the project and the benefits they can get, they would be easy to negotiate with.
  - Contractors to comply with the schedule set in the contract, delays should be penalized so that contractors will work on time.
3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
  - No experience with ADB or other funding yet.
3. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
  - People to take care of the project, and repair small damages.
  - Charge the trucks using the road to support a repair and maintenance fund.
4. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
  - PMC headed by the Commune Chief.
5. *Comments on 2009 C/S fund project implementation process:*
  - Difficult to implement environmental safeguards because even if the commune is under the environmental watch-list, the cutting of trees is still going on, the forest guards are few and they do not guard the forest but they allow the loggers to cut the trees, safeguard laws are only on paper but not enforced.
  - No problem over highland people safeguards because people respect each other and live together in the community.

- According to beneficiaries, the commune officials receive money from loggers to allow the trucks pass the road.

6. *Other issues:*

- No one is protecting the environment, plants and animals in the forest are cut, killed and sold, no one cares, and officials in the province know but take no action.

### A3.1.7 A Water Supply Pond in an Environmental Watch-list Commune in Kampong Speu

Code: 050611/ 090101  
 Commune: Tang Sya  
 Reason for selection: Low KPI 6, Participation of stakeholders in implementation  
 Example of water supply project  
 In environmental watch-list commune



Description	Proposed	Actual
Cost	26,644,700 R	28,036,000 R
Dimensions	50m x 70 m x 3.5 m	50m x 70 m x 3.5 m
Date of safeguard screening		03 March 2009
Date of Project Information		05 March 2009
Date of Bidding		30 April 2009
Date Contract Signed		20 May 2009
Contractor		Nani Sarun
Date Start	24 June 2009	28 June 2009
Date Finished	15 Aug 2009	16 Aug 2009

#### Document scrutiny

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
Project in environmental watch-list commune.		
Form 1	Safeguard screening:	Incorrect, 'environmental assessment needed' not check although project is in an environmental watch-list commune.
Form 3	Notice of technical clearance	Only environmental clearance was prepared.
Form 4	Local contribution receipts	No record of how many receipts, still using 2005 form only two receipts on file.
Form 9	Standard materials price list	Not on file.
Form 11	Cost estimate	Form not signed by C/S Chief, only by TSO.
Form 12	Earthwork cost estimate	Not on file (not needed).
Form 16	Output location	Not on file. Not prepared.
Form 17	O&M Plan	Filled-up for compliance but O&M plan activities are not clear.
Form 18.1	Environmental analysis report	On file with other required 18.x forms.
Procurement and project management: C/S Council meetings		C/S established the procurement committee but no record on file.
Bidding documents		No specifications on file. No drawings on file.
Form 41	Record of bid opening	Not all columns were correctly filled.
Form 42	Bidding report	Four bids submitted but one was disqualified because of non-compliance with instructions.
Form 44	Outputs and cost	All four bidders were close on price within \$200 band, and all were close to cost estimate.
Form 48	Contract decision	Not on file.

PIM Form	Subject of Form	Observations
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 24/01/2010.
	Meeting minutes during construction	Two on file, no minutes of PMC meetings.
	Site works notebook	On file but entries are not complete.
	Construction checklists	Not on file.

### Focus groups

Date and time	23 November 2009, 8:30 to 12:00 am
Venue:	Commune Centre, Tang Sya, Phnom Srouch, Kompong Speu Province
Beneficiaries:	2 villages, 182 Households.

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	7	4	4	5
Female	1	1	-	3
Total	8	5	4	8
Age:				
25 or younger	-	-	-	-
26 to 35	-	-	-	1
36 to 45	4	2	-	-
46 to 55	3	3	2	7
56 to 65	1	-	2	-
over 65	-	-	-	-
Education:				
No formal	-	-	-	2
Grades 1 to 6	3	2	3	5
High school	4	3	1	1
After high school	1	-	-	-
2009 PIM training	5	1	2	-

### KPI

Low KPI 6: Low Phase 1 score.

### Open discussion

- If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*
  - Small budget for development projects but disproportionately long implementation process.
  - Not all villages in the commune under environmental watch list have environmental issues but all projects have to comply all the technical clearance process even if the project is located in the villages not having environmental issues.
- At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - Construction to be done in dry season
  - Technical clearance for environment should be dealt on the village basis not on the commune basis, suggest to have village environmental watch-list rather than commune environmental watch-list, so that other villages with no environmental issues will not undergo the long process of getting technical clearance.
- If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*

- NGOs have projects in the commune such as wells and toilets, they just coordinate with the commune officials but they are the one implementing the project with the user groups, the C/S Fund is better because the commune council are the one managing the implementation of the projects, the capacity of commune officials is developed.
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
- User group will be responsible to take care, maintain and repair the pond.
  - Plant grass on the side of the pond to prevent erosion
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
- Commune Chief.
6. *Comments on 2009 C/S fund project implementation process:*
- No comment.
7. *Observations:*
- Bidding results from four bidders are very close to each other and also very close to the cost estimates.

### A3.1.8 An Irrigation Dam in Kampong Thom

Code: 060502/ 090101

Commune: Koul

Reason for selection: Low KPI 4, Adequacy of financial procedures  
Example of irrigation project



Description	Proposed	Actual
Cost	38,142,600 R	33,416,200 R
Local contributions		400,000 R
Date of safeguard screening		No form on file.
Date of Project Information		20 March 2009
Date of Bidding		03 June 2009
Date Contract Signed		11 June 2009
Contractor		Chhouy Pheang
Date Start	07 May 2009	25 May 2009
Date Finished	29 June 2009	25 June 2009

#### Documents scrutiny

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
Form 1	Safeguard screening:	Not on file.
Form 2	Work plan for project studies	Not on file.
Form 3	Notice of technical clearance	No environmental and highland people clearances prepared.
Form 4	Local contribution receipts	Not on file. C/S has not arranged or collected receipts but has pledged the specified sum to the provincial treasury and will collect contributions before the final payment.
Form 5	List of local contributors	Not on file.
Form 6	List of local contributors	Not on file.
Form 7	List of local contributions	Not on file.
Form 8	Material price survey list	Not on file.
Form 9	Standard materials price list	Not on file.
Form 10	Project information	Took one month for TSO and LAU to approve.
Form 16	Output location	Two location coordinates needed at both ends of road.
Form 17	O&M Plan	Plan is unclear without specific requirements.
Procurement and project management: C/S Council meetings		No records on file.
Bidding documents		Not on file. Clerk said it was prepared.
Form 42	Bidding report	Not all columns correctly filled.
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 29/11/2009.
Meeting minutes during construction		Two on file, waiting minutes of final meeting. No minutes for PMC meetings.
Site works notebook		Not on file. Claimed it was prepared.
Construction checklists		Not on file. Not done

**Focus groups**

Date and time	28 November 2009, 8:30 to 12:00 am
Venue:	Koul Commune Centre, Prasat Sambour District, Kompong Thom Province
Beneficiaries:	Seven villages

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	5	5	4	9
Female	2	1	1	15
Total	7	6	5	24
Age:				
25 or younger	-	-	-	3
26 to 35	-	-	-	2
36 to 45	-	1	-	5
46 to 55	1	1	2	8
56 to 65	4	3	2	4
over 65	1	1	1	2
Education:				
No formal	-	-	-	10
Grades 1 to 6	7	6	5	12
High school	-	-	-	2
After high school	-	-	-	-
2009 PIM training	6	-	1	-

**KPI**

Low KPI 4: The low KPI score was because records were not kept of contributions and receipts not issued. This was confirmed by the focus group discussions.

**Open discussion**

1. *If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*
  - Increase budget for C/S Fund projects.
  - Bidding, considered only the lowest bid amount but did not re-assess the capacity of the contractor to have enough equipment.
  - Review again the qualifications of contractors before awarding the contract.
  - Limit the number of C/S Fund contracts that can be awarded to a single contractor.
2. *At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - Speed up Construction, start early before the wet season, contractor to start on time and needs to have enough resources and suitable equipment for construction.
3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
  - None
3. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
  - Construction should be done correctly, follow the specification and use good material and correct equipment.

- Technical design should be based on the actual situation not just use a standard design.
  - Beneficiaries to take ownership and maintain the project.
3. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
- TSO/DFT/PFT/Commune Chief.
4. *Comments on 2009 C/S fund project implementation process:*
- In 2009 the commune had to use new forms but the new forms were only available late, so some 2005 PIM forms were used to avoid delay.
  - 2009 PIM is only 5 chapters but still has many requirements, it is not easy for the commune to use, and they needed the TSO/DFT to help prepare the forms.
  - Contractor chosen for the project did not work very well.

### A3.1.9 A Laterite Road in an Environmental and Highland People Watch-list Commune in Kampong Thom

Code: 060503/ 090101  
 Commune: Sambour  
 Reason for selection: Low KPI 5, Knowledge and access to information  
 Environmental watch-list  
 Highland people watch-list



Description	Proposed	Actual
Cost	49,042,644 R	44,790,000 R
Savings from 2008		56,368,100 R
Length	700 m	808 m
Date of safeguard screening		14 January 2009
Date of Project Information		19 March 2009
Date of Bidding		03 June 2009
Date Contract Signed		11 June 2009
Contractor		Chhouy Pheang
Date Start	01 July 2009	27 July 2009
Date Finished	14 Aug 2009	20 August 2009

#### Documents scrutiny

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
		The C/S was not aware it is on environmental and highland people watch-lists; no forms or clearances are on file.
Form 1	Safeguard screening:	Environmental and highland people boxes not checked.
Form 2	Work plan for project studies	Work plan described the project not the activities.
Form 3	Notice of technical clearance	No environmental and highland people clearances prepared.
Form 4	Local contribution receipts	Not on file. C/S has not arranged or collected receipts but has pledged the specified sum to the provincial treasury and will collect contributions before the final payment.
Form 5	List of local contributors	Not on file. No contributions collected yet.
Form 6	List of local contributors	Not on file. No contributions collected yet.
Form 7	List of local contributions	Not on file. No contributions collected yet.
Form 8	Material price survey list	Not on file, TSO said kept at TSU office.
Form 9	Standard materials price list	Not on file.
Form 10	Project information	Took one month for TSO and LAU to approve.
Form 16	Output location	Two location coordinates needed at both ends of road.
Form 17	O&M Plan	Plan is unclear without specific requirements.
Form 18.x	Environmental safeguards	None of the required forms are on file.
Form 21.x	Highland people safeguards	None of the required forms are on file.

PIM Form	Subject of Form	Observations
Procurement and project management: C/S Council meetings		No records on file. Clerk said minutes were prepared but that they have been lost.
Bidding documents		No specifications on file. C/S did not keep all bid forms and statement on ethical conduct, fraud and corruption after bid opening.
Form 46	Contract work plan	Not all columns correctly filled.
Form 54	Contract amendments	Extension by 3 weeks because of flooding. Change of TSO.
Form 55	Progress reports.	One report only for 50% stage.
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 21/01/2010.
Meeting minutes during construction		Two on file, waiting minutes of final meeting. No minutes for PMC meetings.
Site works notebook		Not on file. Claimed it was prepared.
Construction checklists		Not on file. Not done

### Focus groups

Date and time	28 November 2009, 1:30 to 5:00 pm
Venue:	Sambour Commune Centre, Prasat Sambour District, Kompong Thom Province
Beneficiaries:	Three villages 1,760 households

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	9	6	2	8
Female	1	1	-	32
Total	10	7	2	40
Age:				
25 or younger				6
26 to 35	-	-	-	13
36 to 45	1	1	-	10
46 to 55	1	1	-	8
56 to 65	7	5	2	2
over 65	1	-	-	1
Education:				
No formal	-	-	-	18
Grades 1 to 6	10	4	1	17
High school	-	3	1	5
After high school	-	-	-	
2009 PIM training	8	2	1	3

### KPI


Low KPI 5: Lack of training and unfamiliarity with PIM amongst commune officials.

### Open discussion

- If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*
  - Bidding process, not very competitive, information leaked to bidders.
  - Training on PIM not very effective, participants easily forget.
  - PIM manual is thick and not easy to read, most people lazy to read.
- At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - Start bidding in the dry season

- Release information on budget early in January so that project preparation and bidding documents can be prepared by communes early.
3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
- TRIP projects are also implemented in Sambour, they coordinate with commune officials but have limited involvement from the communes, project implementation is done by the district/province. TRIP projects are bigger and costs higher, C/S Fund projects are owned and implemented by the communes.
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
- Good and correct technical design for the project.
  - Better to have concrete roads to have long service life.
  - Prevent livestock grazing the grass on the roadside.
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
- TSO, Commune Chief and the village chiefs.
6. *Comments on 2009 C/S fund project implementation process:*
- Bidding is not competitive because all contractors are from Kampong Thom, they collude and information is easily leaked to contractors.
7. *Other issues:*
- Sambour commune is listed under environment and highland people watch-lists but no technical clearance were prepared for either safeguard.
  - The commune council is suspicious of the TSO and DFT colluding with the contractor. “Commune council wonder why this year costs were higher but the road constructed is short, before when the money was smaller the road was longer”. Suggested not to allow contractors from Kampong Thom to bid but to invite contractors from other provinces so that bidding will be more competitive.
8. *Observations:*
- Coordination of focus group meetings at Sambour commune for Phase 2, were the most difficult and messy; the TSO made a schedule and the TSU changed it several times. On the day of the meeting the TSO went to Phnom Penh and arranged the meeting for both communes Sambour and Koul at the same time in the morning. The meetings were arranged at 8:30 am for Koul and 1:30 pm for Sambour but they let the people come at 7:00 am for both communes, so the people waited and got angry.

**A3.1.10 A Stone Road in Kandal**

Code:	080703/090101	
Commune:	Preaek Anhchanh	
Village	Leur	
Reason for selection:	Low KPI 4, Adequacy of financial procedures Low KPI 12, Satisfaction with outcome	
<b>Description</b>	<b>Proposed</b>	<b>Actual</b>
Cost	36,050,000 R	35,000,000 R
Width	5 m	5 m
Length	500 m	500 m
Date of safeguard screening		Form not on file
Date of Project Information		23 March 2009
Date of Bidding		25 May 2009
Date Contract Signed		03 June 2009
Contractor		Lao Yumeng
Date Start	09 June 2009	09 June 2009
Date Finished	27 July 2009	27 July 2009

**Documents scrutiny**

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
		The road was said to be widened by more than 25% and therefore required an environmental impact analysis, however contrary information says it was the same width 5 m and therefore an environmental impact analysis was not required.
Form 1	Safeguard screening:	Not on file. Clerk said the form was prepared.
Form 2	Work plan for project studies	Not on file. Clerk said the form was prepared.
Form 3	Notice of technical clearance	Not on file and not prepared in Commune.
Form 4	Local contribution receipts	All receipts were dated on the same day so it looks like the villagers all submitted their contributions on the same day. Receipt used was still from 2005 PIM.
Form 5	List of local contributors	Not on file.
Form 6	List of local contributors	Used the 2005 PIM form.
Form 7	List of local contributions	Not on file
Form 8	Material price survey list	Not on file.
Form 9	Standard materials price list	Not on file.
Form 10	Project information	P/MLAU took 2 months to approve.
Form 11	Cost estimate	Used the 2005 PIM form.
Form 12	Earthwork cost estimate	Not on file. The project was a stone road and therefore did not need this form.
Form 14	Outputs and cost estimate	Incorrectly completed. Used the 2005 PIM form.
Form 16	Output location	Two location coordinates needed at both ends of road.

PIM Form	Subject of Form	Observations
Form 18.1	Environmental analysis report	Form on file.
Form 20.5	List of voluntary contributions	The land used for the road is actually owned by the commune but some residents used it so when the road was constructed the residents gave back the land voluntarily.
Form 20.9	Voluntary land contribution report	See comment for Form 20.5
Procurement and project management: C/S Council meetings		No minutes or file note confirming contractor list.
Bidding documents		No specifications on file. No statements on ethical conduct, clerk said these were sent to provincial treasury.
Form 39	Statement on ethical conduct	Not on file, clerk said these were sent to provincial treasury.
Form 46	Contract work plan	Not all columns were correctly filled.
Form 48	Contract decision	Not on file.
Form 56	Completion report	Maintenance period not yet expired.
Site works notebook		Not on file, kept by contractor.
Construction checklists		Not on file.

### Focus groups

Date and time	20 November 2009, 8:00-12:00 am
Venue:	Commune Center, Preak Anhchan, Muk Kumpol District , Kandal Province
Beneficiaries:	313 Households

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	6	3	2	17
Female	2	2	2	-
Total	8	5	4	17
Age:				
25 or younger	-	-	-	-
26 to 35	-	-	-	2
36 to 45	2	1	1	7
46 to 55	4	3	1	6
56 to 65	2	1	2	2
over 65	-	-	-	-
Education:				
No formal	-	-	-	-
Grades 1 to 6	3	4	1	11
High school	5	1	3	6
After high school	-	-	-	-
2009 PIM training	6	2	2	-

### KPI

Low KPI 4: Because financial records not complete, receipts not issued to contributors, a need for more transparency, and no expense report was made available or presented to the people.

Low KPI 12: Consensus on need for improvement next time.

### Open discussion

1. *If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*

- Timing for bidding and construction should be during the dry season.

- Form filling takes too much effort; especially list of local contribution and issuance of receipts.
2. *At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
- Construction always takes place during the rainy season; suggest that it should be done during the dry season before May.
3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
- None
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
- Should have soil tests before, during and after construction.
  - Would be good to have hydrological study especially for projects near the river.
  - Set up a committee to take responsibility in maintaining the road.
  - Train the committee on basic repair and maintenance.
  - Monitoring Committee and PMC needs orientation training on basic technical skills, not only once but several times, better to have on the job training with an expert, not only with TSO.
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
- Commune Chief and villagers from benefiting village
6. Complaints:
- Quality of materials (stones) used is sub-standard.
  - Land issue affected four households, commune council negotiated with the affected households agreed and cooperated for the project, no compensation was paid as the commune have no budget for land compensation.
  - Payments to contractor were never discussed with the people only the PMC and Commune Chief/clerk knows of it, no report made to the community.
7. Comments on C/S fund project implementation process:
- Lack of checking and monitoring by PMC and beneficiaries, stone used for road not good quality, easy to break when applied with load, road not well compacted, during rainy season the soil was swelling always wet and difficult to compact.
  - If commune has another project, they will set up a quality control committee, though PMC focal point should have done this.
  - PMC and commune council, lack of knowledge and technical skills (not able to check correctly).
  - Construction started during the rainy season, contractor made the excuse that it was difficult to find and buy good quality materials
  - With this experience, suggest that a skilled technical person be available to train, coach PMC on quality assessment and quality control, TSO assigned to the project is still lacking these qualities.

8. Other issues raised:

- Total local contribution not clear, no list of contributions was announced nor posted at village/commune centre.
- Not all local contributors were issued with receipts.

9. Observations of the Survey Team

- Out of eight participants from the C/S council members and Procurement committee only four knew well the PIM procedure.
- The road was an embankment before, one side has water during rainy season
- Clerk was busy with other work and could not concentrate on questions posed to him.

**A3.1.11 A Pipe Drain in Kandal**

Code: 080707/ 090101  
 Commune: Roka Kong Ti Muoy  
 Reason for selection: Low KPI 1, Conformity to process  
 Low KPI 7, Quality of technical support



Description	Proposed	Actual
Cost	37,079,998 R	35,999,999 R
Size of concrete pipe	0.6 m Ø x 1 m long	0.6 m Ø x 1 m long
Length	350 m	350 m
Date of safeguard screening		No date on form
Date of Project Information		23 March 2009
Date of Bidding		25 May 2009
Date Contract Signed		03 June 2009
Contractor		Meak Thong
Date Start	27 June 2009	27 June 2009
Date Finished	30 July 2009	30 July 2009

**Documents scrutiny**

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
Form 1	Safeguard screening:	Form not signed.
Form 2	Work plan for project studies	Column 'for requirement for the study' is completed but the activities proposed are not clear.
Form 3	Notice of technical clearance	Not on file and not prepared in Commune.
Form 4	Local contribution receipts	Still using 2005 form. Receipts were not pre-numbered.
Form 5	List of local contributors	Not on file.
Form 6	List of local contributors	Not on file, commune clerk confused about the form.
Form 8	Material price survey list	Not on file, TSO said kept at TSU office.
Form 9	Standard materials price list	Not on file.
Form 11	Cost estimate	Form not signed by C/S Chief, only by TSO.
Form 14	Outputs and costs	Still using 2005 form.
Form 16	Output location	Two location coordinates needed at both ends of drain.
Form 17	O&M Plan	Types of maintenance not clear, total costs not clear.
Form 20.5	List of voluntary contributions	Form on file but not completely filled and not clear that it was needed.
Form 20.9	Voluntary land contribution report	Value of voluntary land contribution not entered.
Bidding documents		No specifications on file.
Form 41	Record of bid opening	Not all columns were correctly filled. Form not signed by committee chair.
Form 42	Bidding report	Commune kept only the two lowest bids.

PIM Form	Subject of Form	Observations
Form 46	Contract work plan	Not all columns correctly filled.
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 30/01/2010.
	Site works notebook	Not on file.
	Construction checklists	Not on file.

### Focus groups

Date and time	19 November 2009, 8:00 to 11:30 am
Venue:	Commune Centre, Rokar Kong Ti Muoy, Muk Kumpol District , Kandal Province
Beneficiaries:	130 Households

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	3	1	1	10
Female	2		1	15
Total	5	1	3	25
Age:				
25 or younger	-	-	-	-
26 to 35	-	-	-	1
36 to 45	-	-	-	7
46 to 55	3	1	1	7
56 to 65	2	-	1	5
over 65	-	-	-	4
Education:				
No formal	-	-	-	15
Grades 1 to 6	5	-	2	7
High school	-	-	-	3
After high school	-	-	-	-
2009 PIM training	4	-	2	-

### KPI

Low KPI 1: Reasons given for possible corruption:

- Overprice on materials
- Delivery of sub-standard materials
- No financial report

Low KPI 7: In the focus groups the beneficiaries were unanimous that they did not receive good technical support, 20% of official said it was not good.

### Open discussion

1. *If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*
  - Just follow the PIM procedures.
  - Transparency on financial matters by the commune clerk.
2. *At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - Project was not delayed so no comment
3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
  - No other projects managed by commune funded by others except C/S fund.

4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*

- Set up operation and maintenance committee, which will be in charge of coordinating, checking, follow-up, and information dissemination.
- User Group, commune council follow-up and advise.

5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*

- Commune Chief

6. Complaints:

- Finances not clear with the commune council
- Commune Chief and Clerk not open about financial matters with the commune council, no financial report was presented to commune council.

7. Comments on C/S fund project implementation:

- In 2009, it was easier for the contractor to get payment because these were made through the ACLEDA bank.
- Suggest constructing projects by March to April before the wet season, to minimize waste on time and effort and for good quality output.

8. Other issues raised:

*C/S Council, PBC, PMC & procurement committee:*

- Transparency on project implementation

*Beneficiaries:*

- Total local contribution not clear, no list of contributions was announced nor posted at village/commune centre.
- No receipt for contribution, but village chief listed when payments were made, but not posted the over all contributions.

**A3.1.12 An Earth Road in Kandal**  
 Code: 080711/ 090101  
 Commune: Svay Ampear  
 Reason for selection: Low KPI 4, Adequacy of financial procedures  
 Low KPI 12, Satisfaction with outcome



Description	Proposed	Actual
Cost	16,842,000 R	16,400,000 R
Width	5 m	6 m
Length	8.4 km	10 k m
Date of safeguard screening		18 March 2009
Date of Project Information		09 March 2009
Date of Bidding		25 May 2009
Date Contract Signed		03 June 2009
Contractor		Sun Rathana Phy
Date Start	18 June 2009	01 June 2009
Date Finished	23 July 2009	29 June 2009

**Documents scrutiny**

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
		The road was said to be on a new alignment and therefore required an environmental impact analysis, however, Form 1 was checked that and environmental assessment was not needed.
Form 1	Safeguard screening:	Environmental assessment checked as not needed.
Form 2	Work plan for project studies	Only one activity listed.
Form 3	Notice of technical clearance	Not on file. The clerk said that Technical Clearance was prepared but no copy was kept at C/S but TSO kept a copy.
Form 4	Local contribution receipts	Still using 2005 form.
Form 5	List of local contributors	Not on file. Clerk said they submitted to provincial treasury and not able to keep copy at commune centre.
Form 6	List of local contributors	Not on file. Clerk said they have prepared but could not find it on file.
Form 7	List of local contributions	Not on file. Clerk said they have prepared but could not find it on file.
Form 8	Material price survey list	Not on file, Copy is kept at TSU.
Form 9	Standard materials price list	Not on file. Commune and TSO did not prepare this form.
Form 11	Cost estimate	Not on file. C/S Did not prepare this form because the project was only earth work.
Form 12	Earthwork cost estimate	Not on file (earth road at grade, maybe not appropriate).
Form 14	Outputs and cost estimate	Did not use 2009 PIM form
Form 16	Output location	Output not clear.

<b>PIM Form</b>	<b>Subject of Form</b>	<b>Observations</b>
Form 17	O&M Plan	Form not correctly filled. Insufficient detail and no clear maintenance plan.
Form 18.1	Environmental analysis report	Form on file but no supporting map, Environmental Management Plan, and Environmental Monitoring Plan.
Form 18.2	List of EI Analysis	Listed problems not checked off, no good impacts listed, form simply filled for compliance but no problems or impacts were listed.
Form 20.5	List of voluntary contributions	Old form from 2005 PIM used.
Form 20.9	Voluntary land contribution report	Schedule of land acquisition not attached.
Procurement and project management: C/S Council meetings		No minutes or file note confirming contractor list.
Bidding documents		No specifications on file. Statement of Ethical conduct was (said to be) prepared but not on file at C/S.
Form 39	Statement of ethical code	Was said to have been received but not on file.
Form 41	Record of bid opening	Not all columns were correctly filled. Form not signed by committee chair.
Form 42	Bidding report	Commune kept only the two lowest bids.
Form 46	Contract work plan	Not all the columns correctly filled.
Form 55	Progress reports.	One report only for 50% stage.
Form 56	Completion report	Maintenance period not yet expired, report to be prepared.
Meeting minutes during construction		Two on file, several other meetings not minuted.
Site works notebook		Not on file (although C/S said they have it).
Construction checklists		Not on file. No checklist made or kept by commune.

### Focus groups

Date and time	19 November 2009, 1:30 to 5:00 pm
Venue:	Commune Center, Svay Ampear, Muk Kumpol District, Kandal Province
Beneficiaries:	3 Villages

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	7	1	6	4
Female	1	-	1	6
Total	8	1	7	10
Age:				
25 or younger	-	-	-	1
26 to 35	-	-	-	1
36 to 45	1	-	1	2
46 to 55	4	1	3	3
56 to 65	3	-	3	2
over 65	-	-	-	1
Education:				
No formal	-	-	-	3
Grades 1 to 6	7	1	6	6
High school	1	-	1	1
After high school	-	-	-	-
2009 PIM training	3	-	2	-

### KPI

KPI 4: Mistakes in financial procedures:

- wrong data entered in the forms;
- no text in amount of payments;

- used old forms, so document submitted were returned back;
- financial documents are not complete in the commune files;
- list of contributions are missing;
- no receipts; and
- beneficiaries do not know total contribution.

Although some said it was not possible for there to be abuses because of the clear procedures; the abuse commonly cited was that there was no financial report presented to council and community.

KPI 12: There was dissatisfaction with the output because the road is poorly constructed, it is not strong and is easily damaged, and some parts of the road are lower and cannot be used yet because it is flooded.

### **Open discussion**

1. *If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*
  - Improve on documentation especially list of local contributions to be made clear and post to the village/commune centre.
  - Timing of construction should not fall in the rainy season, should start early around March to May.
  - Selection of project, not to push for a bigger project when available fund is small, it will not result to good quality output, propose to do project in phases, shorter or smaller but stronger and sustainable.
  - The earth road project should have been higher so that it will not be under water during rainy season.
  - Design was not well studied.
2. *At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - 2009 project implementation is faster, TSO & DFT coached and assisted in the all the process of project implementation.
3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
  - CIDSE implemented commune projects such as well and pumps, but they were the ones who chose the project, C/S fund project is executed better because Community chose the project and Commune manage the implementation.
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
  - Suggest increasing the elevation of the road and adding Laterite so that the grasses will not grow on the surface of the road.
  - User group to take good care of the road.
  - Set up a committee led by the village chiefs (benefiting the road) to take responsibility in maintaining the road.
  - Set up limit of loads passing on the road.
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*

- Commune Chief and three village chiefs from benefiting villages.

6. *Complaints:*

- The Commune Chief and Clerk are not open about financial matters to the commune council, no financial report presented to commune council.

7. *Comments on C/S fund project implementation process:*

- The need for the project is big but budget is limited, can work only according to available fund.
- Fund good only for repair, cannot provide for a sufficient size and best quality standard project.

8. *Other issues raised:*

- The road project is destroyed by flooding, now cannot see the road because grasses are growing on the road, the soil is also soft especially when raining.
- Total local contribution not clear, no list of contributions was announced nor posted at village/commune centre
- Not all local contributors were issued with receipts.

9. *Observation:*

- This project appears to have been a failure, the road flooded as soon as it was built and was unusable on the day of the Phase 2 focus groups. This needs to be taken together with the concerns from the community that the Commune Chief and Clerk are secretive about the finances of the project.

**A3.1.13 A Second Pipe Drain in Kandal**

Code: 080806/ 090101  
 Commune: Kantaok, Angk Snoul district  
 Reason for selection: Low KPI overall  
 Low KPI 3, Sufficiency of budget  
 Low KPI 5, Knowledge and information on process  
 Low KPI 6, Participation of stakeholders  
 Commune lowest KPI 9, Environmental safeguards  
 2<sup>nd</sup> lowest beneficiary KPI 10, Land rights safeguards  
 Commune lowest KPI 14, Other matters



Description	Proposed	Actual
Cost	54,000,000 R	46,077,540 R
Size of concrete pipe	0.6 m Ø x 1 m long	0.6 m Ø x 1 m long
Length	500 m	380 m
Date of safeguard screening		19 January 2009
Date of Project Information		23 March 2009
Date of Bidding		25 May 2009
Date Contract Signed		03 June 2009
Contractor		Ty Meng
Date Start	20 June 09	20 June 09
Date Finished	09 July 2009	09 July 2009

**Documents scrutiny**

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
Form 2	Work plan for project studies	Not on file.
Form 3	Notice of technical clearance	Not on file and not prepared in Commune, kept at TSU.
Form 6	List of local contributors	Contributions ranged between 10,000 and 20,000 Riels..
Form 7	List of local contributions	Not on file
Form 8	Material price survey list	Not on file, Clerk said he did not know.
Form 9	Standard materials price list	Not on file.
Form 12	Earthwork cost estimate	Not on file (not needed).
Procurement and project management: C/S Council meetings		No minutes or file note confirming contractor list.
Bidding documents		No specifications on file.
Form 42	Bidding report	Although every other form referring to the number of bids said there were three, this form records four.
Form 48	Contract decision	Not all columns on the form are filled.
Form 55	Progress reports.	One report only for 50% stage, 100% stage prepared but not yet on file.

PIM Form	Subject of Form	Observations
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 12/03/2010.
	Meeting minutes during construction	Two on file, waiting minutes of final meeting.
	Site works notebook	Not on file.
	Construction checklists	Not on file.

### Focus groups

Date and time	18 November 2009, 1:30 to 5:00 pm
Venue:	Commune Center, Kantaok Commune, Ta Khmau District , Kandal Province
Beneficiaries:	90 Households

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	8	3	1	8
Female	1	-	-	2
Total	9	3	1	10
Age:				
25 or younger	-	-	-	-
26 to 35	-	-	-	-
36 to 45	3	-	-	5
46 to 55		2	-	3
56 to 65		-	-	2
over 65	6	1	1	-
Education:				
No formal	-		-	2
Grades 1 to 6	3	3	-	7
High school	6	-	1	1
After high school	-	-	-	-
2009 PIM training	6	-	1	-

### KPI

Low KPI 3: Because only 76% of the proposed project could be built due to a combination of higher unit cost per metre than estimate and insufficient C/S Funds.

Low KPI 5: Overall score was neutral rather than positive with the comment that the PIM is not read and only used for reference.

KPI 6: Reasons given include new membership of commune council, and still learning so listen first to gain ideas.

KPI 9: Environmental study was done by Commune Council members & TSO but when submitted to province there was no feedback made. Negative impacts were cutting some trees. Positive impacts were no stagnant water, no mosquito, minimized bad smell due to sewage. The environment will be cleaner with no more smelly and stagnant water.

KPI 10: Compensation was not discussed with the people because the commune had no money to pay. Those whose land, fence, plants and trees were affected by the project were negotiated with by the Commune Council who explained to them the benefit of having good drainage, and that drainage is buried underground so they can still use their land if they want.

### Open discussion

1. If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?

- Commune Council and all key project implementers have to read and understand the 2009 PIM so that project preparation, construction and monitoring will be clear, smoothly implementation and faster.
2. *At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
- The commune project for 2009 was finished as scheduled because the contractor followed the schedule in the contract.
3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project), can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
- No other projects managed by commune funded by others except C/S fund.
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
- Beneficiaries to take good care of the project, repair immediately if there is damage, beneficiaries to own the project.
  - Ensure correct design of projects, in the case of drain projects, make sure that there is a drain outlet which is bigger and lower in elevation, should go to the main sewerage to prevent clogs and sewage water will not return back to village.
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
- PMC & Village Chief
6. *Complaints:*
- The general complaint was the unfinished drainpipe (short by 120 m) due to insufficient C/S fund. The commune council negotiated with the contractor to complete the 500 m drain pipe and the remaining balance not covered by the C/S Fund and will be paid by household contributions and fund raising through ceremonies.
7. *Comments on C/S fund project implementation:*
- C/S Council, PBC, PMC & procurement committee:*
- C/S Fund contribution for project is small and process is long, it would be good to increase the size and value of the project as the commune gains experience in project management and implementation in order to fast track the development of the commune and villages.
  - Some communes get bigger and more projects than the others, sometimes felt unfairness on budget allocations.
  - Give incentives to communes who are having good performance, good quality output, beneficiary satisfaction, no trace of corruption in the project and whose local contribution is high and transparent (clear list of contributions).
  - The process of consultation with the people in the community is tedious and takes a long time.
  - Preparation of Project feasibility study also takes a long time, needs assistance of the experts to help out the commune council.
  - In 2009 payment to contractor is made through ACLEDA, it is better and easier than payment made by the provincial treasury, commune not bothered by the contractors.

*Beneficiaries:*

- Construction to be done in dry season.
- List of contributions to be announced or posted at Commune/Village centre.
- To finish the 500 m drain pipe, only 380 m was constructed.
- People willing to cooperate if project is beneficial to community.
- The C/S Fund support is good but cannot provide enough budget to finish the project, the drain is still short by 120 m, cannot fully serve the community and can cause complaints and dissatisfaction.

**A3.1.14 A Third Pipe Drain in Kandal**

Code: 080909/ 090101

Commune: Preaek Phnov

Reason for selection: Low KPI overall  
Low KPI 6, Participation of stakeholders

Low KPI 8, Contractors

Low KPI 14, Other matters



Description	Proposed	Actual
Cost	53,260,000 R but was reduced to 43,260,000 R	43,125,000 R
Concrete pipe Ø	0.6 m	0.6 m
Length	428 m	428 m
Date of safeguard screening		19 March 2009
Date of Project Information		24 March 2009
Date of Bidding		25 May 2009
Date Contract Signed		02 June 2009
Contractor		Long Cham Rern
Date Start	10 June 2009	24 July 2009
Date Finished	24 July 2009	30 August 2009

**Documents scrutiny**

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
Form 1	Safeguard screening:	EA checked as not needed. Form not signed.
Form 2	Work plan for project studies	Not on file.
Form 3	Notice of technical clearance	Not on file and not prepared in Commune.
Form 4	Local contribution receipts	Receipts not signed by contributor and receiver.
Form 5	List of local contributors	C/S Did not correctly fill form 5.
Form 7	List of local contributions	Not on file
Form 8	Material price survey list	Not on file.
Form 9	Standard materials price list	Not on file.
Form 17	O&M Plan	Not signed by line agency.
Form 18.1	Environmental analysis report	Form not correctly completed.
Procurement and project management: C/S Council meetings		No minutes or file note confirming contractor list.
Bidding documents		No specifications on file.
Form 41	Record of bid opening	Not on file.
Form 42	Bidding report	Used 2005 PIM form.
Form 54	Contract amendments	Start date of construction was moved back 6 weeks and construction period was shortened from 6 weeks to 5 weeks.
Form 55	Contract progress report	Used 2005 PIM form.

PIM Form	Subject of Form	Observations
Form 56	Completion report	Maintenance period not yet expired.
Meeting minutes during construction		No record of PMC meetings.
Site works notebook		Not on file.
Construction checklists		Not on file.

### Focus groups

Date and time	20 November 2009, 1:30 to 5:00 pm
Venue:	Commune Centre, Preaek Phnov, Ponhea Leu District , Kandal Province
Beneficiaries:	210 Households

	C/S Council & PC	*PBC	PMC	Beneficiaries
Attendance:				
Male	11	7	1	7
Female	3	3	5	5
Total	14	10	6	10
Age:				
25 or younger	-	-	-	1
26 to 35	-	-	-	1
36 to 45	2	2	1	-
46 to 55	7	3	3	4
56 to 65	4	3	1	5
over 65	1	2	1	1
Education:				
No formal	-	-	-	-
Grades 1 to 6	8	6	3	8
High school	6	4	3	3
After high school	-	-	-	1
2009 PIM training	9	5	5	-

\*All village chiefs are member of PBC

### KPI

Low KPI 6: Not all stakeholders were able to attend the meeting to discuss the project, only a few meetings were conducted and participation was low. Regarding the ability to make their views known some said they just went to listen and others that they gave their opinion on local contributions only.

Low KPI 8: Regarding the contractor stakeholders said the usability of drain was OK but the manhole appearance was not so good and concrete is not strong enough because some manholes are already broken. The work manager or foreman was the one supervising the construction on site. The Commune Chief kept the checklist and monitored the construction progress. Some drain manholes are on the road shoulder and are passed over by vehicles. Five commune council members understood the drawing but only some parts of the drawing and not all. There were no accidents and no one suffered but the road and house access was obstructed during construction. Beneficiaries checked daily because the project was in front of their houses, people assisted and gave feedback. There was one-month delay because the contractor manufactured the pipes, which took one-month for the concrete to cure. Followed the design drawing but the quality of the output is not very good and looks sub-standard. Manhole is on the roadside.

Low KPI 12: Satisfied because the water from houses will be drained and no more stagnant water for mosquitoes, no more bad smell, but quality of exposed structure is sub-standard.

### Open discussion

1. If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?

- Actually 2009 project implementation is easier than the previous years, the area for improvement is in the bidding process, contractors are pre-qualified and the lowest bidder win, sometimes the bid price is very, very low to win the contract but the quality of output is very poor. It would be good to assess if indeed the super lowest bid can deliver an acceptable standard of output. (commune council members).
  - Construction period should be during the dry season between January to May (beneficiaries).
  - Budget allocation to be increased (PBC).
  - To be more transparent in finances (PBC).
  - On the job training because participants easily forget the training (PBC).
2. *At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
- The project should be what the people need and want so that when there is a land issue, they are willing to cooperate and negotiations will be easier and faster. Usually resolving land issue delays the project implementation (commune council members)
  - Construction should start on time, delays happened because the contractor was not prepared to start on time (commune council members).
  - Preparation of documents and filling up of forms need to be correct so that it will not be returned back to commune, many delays were caused by repetition of filling up of forms (PBC).
3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
- None
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
- Create a functional committee for operation and maintenance, with clear and specific work plan to follow (commune council members).
  - Beneficiaries to own and take responsible for maintaining the continuous operation of the drain pipe, avoid throwing of plastics and bottles into the sewer, regular cleaning and unclogging of the pipe at the manhole (commune council members).
  - Commune council sitting as monitoring committee and village chief to regularly check and follow up (commune council members).
  - Beneficiaries said “let’s clean the drain in front of our houses” (beneficiaries).
  - Correct design (PBC).
  - Contractor to follow specifications (PBC).
  - Project owners to know how to check materials and monitor the construction (PBC).
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
- Commune Chief.
6. *Comments on C/S fund project implementation process:*
- Limited budget from the national government could respond only to few projects.

- The C/S Fund project implementation develops the capacity of commune officials in planning and managing the implementation of a community project. It makes the Commune officials functional.
- Communities and villagers are given the opportunity to participate in the project implementation, they have invested in the C/S Fund projects with their financial contributions for the project, participation though is not yet maximized and not all villagers or beneficiaries were able to participate in meetings and consultations but most of them contributed money.

7. *Complaints:*

- None

8. *Other issues raised:*

- Budget for project was less than the needed.
- There was one training on PIM 2009 conducted in three days by the PFT/DFT, but it was not enough to fully understand the whole process.
- Contractors do not like to get projects in Kandal province because it is hard to get payments from the provincial treasury and they have to make many 'kick back' payments.

9. *Observations:*

- There are 5 villages in Phnov commune and all these 5 villages was given quota to raise 300,000 R (total 1,500,000 R) but only 3 villages were issued with commune receipts.
- Manhole is poorly constructed and some parts are already broken, passed over by traffic.

**A3.1.15 A Reinforced Concrete Road in Kandal**

Code: 081102/ 090101  
 Commune: Reinforced concrete road  
 Village: Phum Preaek Ruessei  
 Reason for selection: Low KPI 6: Involvement with process  
 Low KPI 7: Technical support  
 2<sup>nd</sup> lowest non-beneficiary score KPI 10: Land safeguards



Description	Proposed	Actual
Cost	59,000,000	44,820,000
Width	5 m	4 m
Length	275 m	478m
Date of safeguard screening		Form not dated
Date of Project Information		23 March 2009
Date of Bidding		20 May 2009
Date Contract Signed		03 June 2009
Contractor		Lim Mao
Date Start	06 May 2009	06 May 2009
Date Finished	21 June 2009	21 June 2009

**Documents scrutiny**

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
The road was said to be on a new alignment and therefore required an environmental impact analysis, however the photograph shows it was an existing access between properties and not actually a new alignment.		
Form 1	Safeguard screening:	EA checked as not needed. Form not signed.
Form 2	Work plan for project studies	Work plan listed activity for one day, no mention of people involved.
Project Map		Stamped but not signed.
Form 3	Notice of technical clearance	Not on file and not prepared in Commune.
Form 4	Local contribution receipts	No record how many receipts, still using 2005 form only two receipts on file.
Form 5	List of local contributors	No record of receipts issued or returned, still using 2005 form.
Form 6	List of local contributors	There are no signatures or fingerprints against some names listed.
Form 7	List of local contributions	Not on file
Form 8	Material price survey list	Not on file, TSO said kept at TSU office.
Form 9	Standard materials price list	Not on file.
Form 11	Cost estimate	Form not signed by C/S Chief, only by TSO.
Form 12	Earthwork cost estimate	Not on file (not needed).
Form 16	Output location	Two location coordinates needed at both ends of road.
Form 18.1	Environmental analysis report	Form on file but no supporting attachments. Prepared by TSO but not signed by line department.

PIM Form	Subject of Form	Observations
Procurement and project management: C/S Council meetings		No minutes or file note confirming contractor list.
Bidding documents		No specifications on file. C/S did not keep all bid forms and statement on ethical conduct, fraud and corruption after bid opening.
Form 41	Record of bid opening	Not all columns were correctly filled. Form not signed by committee chair.
Form 42	Bidding report	Commune kept only the two lowest bids.
Form 48	Contract decision	Not on file.
Form 55	Progress reports.	One report only for 50% stage.
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 21/12/2009.
Meeting minutes during construction		Two on file, awaiting minutes of final meeting.
Site works notebook		Not on file.
Construction checklists		Not on file.

### Focus groups

Date and time	18 November 2009, 8:00 to 11:30 am
Venue:	Commune Centre, Sangkat Preaek Ruessei, Ta Khmau District, Kandal Province
Beneficiaries:	Number of households not noted.

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	7	3	9	9
Female	1	-	2	3
Total	8	3	11	12
Age:				
25 or younger	-	-	-	-
26 to 35	1	-	-	1
36 to 45	2	1	2	1
46 to 55	2	2	5	7
56 to 65	3	-	3	2
over 65	-	-	-	1
Education:				
No formal	-	-	1	4
Grades 1 to 6	-	2	5	7
High school	1	1	3	1
After high school	7	-	1	
2009 PIM training	5	-	2	-

### KPI

Low KPI 6: Reasons for not participating fully in meetings:

- Can share opinion and ideas but sometimes just good to listen from Commune Chief, TSO, DFT.
- Sometimes ideas to share were already shared by other members of PMC, so just agree and support.
- Meetings for information dissemination.
- No open forum.
- Shy/afraid to share opinion.
- Just come to listen.
- Just follow Commune Chief because project is good.
- Had no ideas to share.

Low KPI 7: Project beneficiaries as a group were less than satisfied with the technical support.

KPI 10: Beneficiaries were not satisfied with the handling of land safeguards.

### Open discussion

1. *If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*
  - Budget for C/S projects is limited and is based on allocation by National budget, the commune can raise the local counterpart, people are willing to contribute and therefore can make a bigger project but what happened was that the commune has to adjust to whatever available from the C/S Fund budget allocations.
2. *At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - Start the bidding process before rainy season around February-March, when construction starts during the rainy season, delays always occur due to breaks in construction activity, projects sites become inaccessible, materials and equipments difficult to transport and other villagers complain when traffic is diverted, also soft roads are destroyed by the passing trucks transporting construction materials and equipment.
3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
  - No other infrastructure projects supported by other funding donors, no basis of comparison.
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
  - Correct design (foundation), propose to have soil test before design and during and after the construction for road projects
  - Use the right type of soil for soil fill, and good materials to be used.
  - Better to have permanent pavements made of concrete even if this means the length of road built is less and has to be constructed over several years, than to construct an earth road which is easily destroyed and requires constant repair and maintenance, in the long run this is more expensive.
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
  - Commune Chief and TSO
6. Other issues:
  - The payments to the contractor were made through ACLEDA Bank; the problem was, it took one month from National Treasury to transfer the money to ACLEDA. It is easy to get payments from ACLEDA with lower charges and no “extra fees<sup>9</sup>”. But non-availability of funds makes the process long, there is the need to follow-up several offices at the government treasury, and the contractor needs to pay<sup>9</sup> to make the processing of documents faster.

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<sup>9</sup> Taken to mean bribes.

- Commune Chief said it is hard to talk about but there is corruption; from every level there is corruption. The National Treasury is slow to release money the document has to pass eleven offices before documents return to commune.
- The commune decided to make the road longer but narrower because many houses and fences are so close to the existing road so that there were no land issue to tackle.
- The project beneficiaries said they are happy and satisfied with the project because a concrete road will stay longer than a Laterite road.
- The commune chief contributed \$1,000 for local counterpart (he is a business man).

**A3.1.16 A Sand Road in Prey Veng**

Code: 140309/ 090101

Commune: Prasat

Reason for selection: Low KPI 5, knowledge and access to information



Description	Proposed	Actual
Cost	46,342,000 R	40,250,000 R
Width		6 m
Length		3,080 m
Date of safeguard screening		27 May 2009
Date of Project Information		11 May 2009
Date of Bidding		12 June 2009
Date Contract Signed		18 June 2009
Contractor		Long Nam
Date Start	18 June 2009	18 June 2009
Date Finished	26 Aug 2009	18 Aug 2009

**Documents scrutiny**

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
Form 2	Work plan for project studies	Three activities listed but only one activity has a time schedule.
Project Map		Hand sketched map, not very clear.
Form 3	Notice of technical clearance	On file.
Form 4	Local contribution receipts	Not on file. C/S did not prepare or follow PIM guidance. Clerk did not understand how to use the form to collect money from villagers.
Form 5	List of local contributors	Not on file.
Form 6	List of local contributors	Not on file.
Form 7	List of local contributions	Not on file.
Form 8	Material price survey list	Not on file.
Form 9	Standard materials price list	Not on file.
Form 14	Output and Cost estimate	Not on file.
Form 16	Output location	Not on file.
Form 17	O&M Plan	O&M Plan was just filled-up but details are not clear, no specific activities or dates of activities.
Procurement and project management: C/S Council meetings		C/S said that the documents were prepared but lost in the file.
Form 33	Bid announcement	The C/S already arranged the record establishing the procurement committee but it was not filed or kept anywhere.
Bidding documents		No specifications on file.

PIM Form	Subject of Form	Observations
Form 54	Contract amendments	Contractor started late and did not follow work plan. The schedule of payments was changed. There was an extension one-week. Signed but not dated.
Form 55	Progress reports.	Prepared three progress reports, 50%, 80% and 100% stages.
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 18/02/2010.
Meeting minutes during construction		Two on file, no records of PMC meetings on file.
Site works notebook		Not on file, kept but not put in the commune file, it has been lost.
Construction checklists		Not on file, not done.

### Focus groups

Date and time	25 November 2009, 8:30 to 12:00 am
Venue:	Prasat Commune Centre, Kompong Trabek District, Prey Veng Province
Beneficiaries:	Two villages

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	9	7	3S	8
Female	-	-	-	5
Total	9	7	3	13
Age:				
25 or younger				
26 to 35	-	-	-	4
36 to 45	-	-	-	4
46 to 55	-	1		2
56 to 65	8	5	3	3
over 65	1	1	-	
Education:				
No formal	-	-	-	5
Grades 1 to 6	4	3	1	8
High school	5	4	2	-
After high school		-	-	-
2009 PIM training	3	1	1	

### KPI

Low KPI 5: The low KPI score is basically due to insufficient training and knowledge amongst commune officials, a problem that they recognise and which they want to work to correct.

### Open discussion

- If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*
  - Commune have no problem with any aspect of PIM, they just follow it.
- At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - Construction of projects should be finished before the wet season.
  - Contractors should have enough suitable equipment so that even during the wet season, they can do earth works.
- If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
  - None.

4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
  - Each beneficiary to take ownership and responsibility for maintenance of the road, immediately repair small potholes, do not allow animals to pass along the road, make ordinance on keep animals off the road.
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
  - PMC/Commune chief /Village chiefs.
6. *Complaints?*
  - Contractor did not follow the contract.
  - There are complaints regarding the thickness of the sand layer, some areas are thick and some are thin.
7. *Comments on 2009 C/S fund project implementation process:*
  - Still needs a lot of improvement.
  - TSO/DFT do not always come to commune to follow-up project implementation.
  - Documents not complete in commune files.
  - Capacity of Commune still weak.

**A3.1.17 An Irrigation Canal in Prey Veng**

Code: 141108/ 090101

Commune: Ta Kao

Reason for selection: Low KPI 3, Adequacy of budget

Example of an irrigation project



Description	Proposed	Actual
Cost	20,610,000 R	21,160.300 R
Width (base)	1.5 m	1.5 m
Length	1,600 m	1,600 m
Date of safeguard screening		10 March 2009
Date of Project Information		10 May 2009
Date of Bidding		19 June 2009 27 June 2009
Date Contract Signed		
Contractor		Mao Kan
Date Start	03 Aug 2009	03 Aug 2009
Date Finished	23 Aug 2009	23 Aug 2009

**Documents scrutiny**

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
Form 2	Work plan for project studies	Form does not give details of activities.
Project Map		Sketch map of the canal location.
Form 4	Local contribution receipts	C/S used the old form from 2005 PIM. The receipts were not arranged in order and were not pre-numbered.
Form 5	List of local contributors	Not on file. The commune has no clerk and two councillors are assigned periodically to do the clerical work.
Form 6	List of local contributors	Not on file. It was explained that the Commune Chief is Sam Rainsy Party and the commune office is in his house, the commune has had no clerk for almost one year.
Form 7	List of local contributions	Not on file.
Form 8	Material price survey list	Not on file.
Form 9	Standard materials price list	Not on file.
Form 10	Project information	It took more than one-month for LAU to approve Form 10.
Form 16	Output location	TSO did not prepare this form.
Form 17	O&M Plan	Plan is too general with no specific detail.
Procurement and project management: C/S Council meetings		No minutes or file note confirming contractor list. Reason given is that the commune has no clerk, and only two commune councillors who work part time.
Bidding documents		No specifications on file.
Form 41	Record of bid opening	All five bids were close to the estimate of 21,160,320 R, ranging from 20,544,000 R to 20,576,000 R.
Form 42	Bidding report	Contract was awarded to lowest bidder.

PIM Form	Subject of Form	Observations
Form 55	Progress reports.	One report only for 100% stage.
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 23/02/2010.
Meeting minutes during construction		No minutes of PMC meetings.
Site works notebook		Not on file. It was kept by the Contractor.
Construction checklists		Not on file.

### Focus groups

Date and time	25 November 2009/1:30 - 5:00 pm
Venue:	Ta Kao Commune Centre, Kompong Leav District, Prey Veng Province
Beneficiaries:	Four Villages, 579 Households

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	6	3	5	5
Female	2	1	2	14
Total	8	4	12	19
Age:				
25 or younger	-	-	-	3
26 to 35	-	-	-	2
36 to 45	2	-	1	3
46 to 55	4	3	8	4
56 to 65	2	1	3	4
over 65	-	-	-	3
Education:				
No formal	-	-	-	14
Grades 1 to 6	2	2	6	5
High school	6	2	5	-
After high school	-	-	-	-
2009 PIM training	5	1	1	-

### KPI

Low KPI 3: Low KPI because the funding was not enough and 20% of project cost was paid from local contributions. There was insufficient money to pay for grass slope protection on the canal banks, therefore bank erosion has already occurred and is visible in the photograph and this is still in the maintenance period.

### Open discussion

- If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*
  - Budget allocation to be increase for C/S Fund projects.
- At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - Commune and those involved in the project need to understand and follow the project implementation guidelines.
  - Supporting departments to push and to act on documents immediately; avoid or at least minimize unnecessary delays.
  - Communities to be supportive of the projects, especially those with safeguards.
- If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*

- None
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
- Water user group to work together to plant grass on the side of the canal, Village Chiefs to lead.
  - User group should take care of the canal and repair broken or damaged sections near their area. Do not wait until the damage becomes extensive, repair it while it is small.
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
- Commune Chief and village chiefs.
6. *Comments on 2009 C/S fund project implementation process:*
- The process is OK, but the selection of contractor is beyond the control of the commune, sometimes contractors do not follow the commune officials' instructions.
7. *Complaints:*
- Equipment used by the contractor was too small and not efficient, cannot correctly grade the sides of the canal, and the top of the canal was also not graded.
8. *Other issues:*
1. Ta Kao Commune has had no clerk for many months until now 2009, only the commune council are doing the clerical work.
  2. Commune centre is at the house of the commune chief (a Sam Rainsy Party member)
  3. Only a few people attended the community meetings for the project.
  4. Each household contributed 1000 R, some have receipts others did not receive a receipt.
  5. Many project beneficiaries do not know the total amount of contributions but the commune officials said that the total amount was announced during a meeting.

**A3.1.18 A Laterite Road in Siem Reap**

Code: 170101/ 090101

Commune: Char Chhuk

Reason for selection: Low KPI 10, Land right safeguards

Low KPI 12, satisfaction with outcome



Description	Proposed	Actual
Cost	30,668,000 R	29,400,000 R
Width	3.5 m	3 m
Length	1,118 m	1,118 m
Date of safeguard screening		26 January 2009
Date of Project Information		Form not signed or dated
Date of Bidding		21 April 2009
Date Contract Signed		04 May 2009
Contractor		Ing Ly Sour
Date Start	05 May 2009	05 May 2009
Date Finished	25 May 2009	19 May 2009

**Documents scrutiny**

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
Form 5	List of local contributors	C/S Did not use this form to show the number of contributors.
Form 8	Material price survey list	Not on file.
Form 9	Standard materials price list	Not on file.
Procurement and project management: C/S Council meetings		No minutes or file note confirming contractor list.
Bidding documents		No specifications on file.
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 25/11/2009.
Meeting minutes during construction		Two on file, waiting minutes of final meeting. No minutes of PMC meetings.
Site works notebook		Not on file. Not prepared.
Construction checklists		Not on file. Not done.

**Focus groups**

Date and time	28 November 2009, 9:30 to 3:00 pm
Venue:	Char Chhuk Commune Center , Siem Reap District, Siem Reap Province
Beneficiaries:	Five villages

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	7	3	2	20
Female	1	1	1	26
Total	8	4	3	46
Age:				
25 or younger	-	-	-	6
26 to 35	-	-	-	4
36 to 45	2	1	-	14
46 to 55	3	2	1	11
56 to 65	2	1	1	7
over 65	1	-	1	4
Education:				
No formal	-	-	-	18
Grades 1 to 6	8	4	3	28
High school	-	-	-	-
After high school	-	-	-	-
2009 PIM training	5	-	1	-

### KPI

Low KPI 10: Although villagers are farming within the 14 m road reserve the new road is within the original width of 6 m and people can continue to use the land. Officials said people were informed about the road repair and that it might require to cut some trees along the road for construction, and that the people were informed that the road property is 7 m from the centre to the side of the road. However, the beneficiaries said unanimously during the focus group discussion that no one informed them about land acquisition, and this is the primary reason for the low KPI 10 score. The commune did not prepare a map because they considered that no land was required for the project, the project was road repair only without widening. It can be concluded that the KPI score from the Phase 1 questionnaire was incorrect and that land rights were not compromised at this project.

Low KPI 12: This was due to Phase 1 responses from provincial and district officials, not officials or beneficiaries at the commune.

### Open discussion

- If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*
  - Give allowance (contingency) for increase on project costs,
  - Implement projects that meet the best standard not just for the sake of having the project but to have a really good sustainable project.
  - Would be good to have technically competent TSO.
- At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - Commune chief and clerk and commune officials need to be proactive in preparing of the project, in dealing with the communities and with the higher officials in order to push the implementation of the C/S Fund projects faster.
  - Follow the guidelines closely so that documents and forms are correctly used and filled up, every detail should be checked to give no room for mistakes so that no questions arise.
  - Start construction before the rainy season.

3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
  - C/S Fund projects are cheaper than those implemented by other funding agencies; the community chooses the projects rather than the donor dictates the projects.
  - C/S fund projects develop the capacity of commune officials in local governance.
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
  - C/S Fund budget is limited. Projects are not designed in a holistic and sustainable way, in the case of this project culverts are needed but were not constructed due to lack of funds, lifespan of the road will also be affected especially because road is cutting across a wide area of (flood spreading) rice fields.
  - Immediate repair of potholes so that damage does not become big.
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
  - Commune officials.
6. *Comments on 2009 C/S fund project implementation process:*
  - 2009 Project implementation is better, faster than in previous years and bidding process is also good (commune council members).
  - No corruption (at least minimal if not completely eliminated), gap is the bidding process where project cost is leaked to bidders and collusion can happen (commune council members).
7. *Other issues:*
  - The road is narrow and difficult for bigger vehicles to pass; several accidents happened already where the trailer fell from the road to the rice field.
  - Contributions according to the villagers ranges from 2,000 R to 10,000 R but the receipts at the commune file have a uniform amount of 2000 R per contributor.
  - The people did not receive a receipt for contributions but they said that the village chief listed the contributions. Almost everyone said they did not know the actual contributions but they read from the sign board the amount of the local contribution, no details but only the total contributions.
  - The commune has 20 villages and only a maximum of three projects are allowed for each commune in a year. They need to choose a project that will benefit most villages so that the rotation of benefiting villages will not take long. Only road projects would be suited in this case.

**A3.1.19 An Irrigation Canal in Kandal**

Code: 170709/ 090101

Commune: Pou Trey

Reason for selection: Low KPI 5, Knowledge and access to information

Example of irrigation project



Description	Proposed	Actual
Bid amount	39,500,000 R	
Cost	49,60,500 R	50,028,000 R
Width	5 m	5 m
Base	2 m	2 m
Depth	8 m	8 m
Length	3,600 m	3,600 m
Date of safeguard screening		Form not on file.
Date of Project Information		05 March 2009
Date of Bidding		22 May 2009
Date Contract Signed		10 June 2009
Contractor		Ing Ly Sour
Date Start	15 June 2009	25 May 2009
Date Finished	07 July 2009	08 July 2009

**Documents scrutiny**

The following observations and non-conformances are noted.

PIM Form	Subject of Form:	Observations
		Few of the required forms are on file. The Commune Chief kept the documents in his house at the District Centre which is far from the commune, it was suggested the missing documents might be there. It is ambiguous whether this was a canal on a new alignment but there are no environmental files on file.
Form 1	Safeguard screening:	Not on file. Claimed submitted to province and not returned.
Form 2	Work plan for project studies	Not on file. Claimed it was kept by LAU.
	Project Map	A map was on file but did not show location of the canal.
Form 3	Notice of technical clearance	Not on file.
Form 4	Local contribution receipts	C/S had not collected money yet; they plan to collect it for final payment to contractor.
Form 5	List of local contributors	Not on file, still to be done.
Form 6	List of local contributors	Not on file, still to be done.
Form 7	List of local contributions	Not on file, still to be done.
Form 8	Material price survey list	Not on file.
Form 9	Standard materials price list	Not on file.
Form 10	Project Information	Not on file, claimed it was prepared but misplaced.
Form 12	Earthwork cost estimate	Not on file.

<b>PIM Form</b>	<b>Subject of Form:</b>	<b>Observations</b>
Form 14	Project outputs and cost estimate	Not on file.
Form 16	Output location	Not on file.
Form 17	O&M Plan	Not on file, claimed to be kept by LAU but the O&M needs to be done in the commune.
Forms 18.x	Environmental safeguards	Not on file, claimed to be kept by LAU.
Procurement and project management: C/S Council meetings		Not on file, claimed to be kept by LAU.
Bidding documents		An incomplete set of documents on file.
Form 36	Bidding form for works.	Not on file.
Form 41	Record of bid opening	Not all columns were correctly filled. No minute of bidding meeting. No bidding report.
Form 42	Bidding report	Not on file.
Form 54	Contract amendments	The contract period was reduced from 60 to 25 days. The contract amendment was made so that the contractor could get the 80% payment earlier.
Form 55	Progress reports.	One report for 100% stage.
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 21/01/2010.
Meeting minutes during construction		Nothing on file.
Site works notebook		Not on file, it was kept by the TSO but it is now lost.
Construction checklists		Not on file. Not done.

### Focus groups

Date and time	27 November 2009, 9:30 am to 3:00 pm
Venue:	Pou Treay Commune Centre, Pouk District, Siem Reap Province
Beneficiaries:	Two villages

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	6	6	5	14
Female	-	1	1	19
Total	6	7	6	33
Age:				
25 or younger	-	-	-	-
26 to 35	1	1	-	1
36 to 45	2	-	1	9
46 to 55	4	2	2	22
56 to 65	-	4	3	1
over 65	-	-	-	-
Education:				
No formal	-	-	-	12
Grades 1 to 6	4	6	5	18
High school	2	1	1	3
After high school				
2009 PIM training	3	-	1	-

### KPI

Low KPI 5: Phase 2 reinforced Phase 1 findings, a mixed response expressing the need for more training and not all officials knowing or having access to the PIM.

### Open discussion

1. *If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*

- Cannot think of anything to improve because project implementation using 2009 PIM is just OK.
2. *At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
    - Project implementation this year is easier and faster, even the construction period took only 14 days.
    - Project implementation can be speeded-up if the PIM guidelines are followed step by step.
  3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
    - ADB project responds to health and sanitation and protection of Tonle Sap, while C/S Fund responds to the basic infrastructure development of communes. C/S Fund project is managed and implemented by the communes, while ADB is implemented by line agencies; ADB fund is bigger while C/S Fund is smaller.
  4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
    - All user of the canal should help protect the project, plant vegetation on the side of the canal to prevent soil erosion caused by waves of the passing boats, organize community to do the planting.
  5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
    - Commune chief and the village chiefs.
  6. *Comments on 2009 C/S fund project implementation process:*
    - The 2009 C/S Fund project implementation is going well and as the commune keep implementing the projects, capacity will be improved on local governance.
    - The C/S Fund is supportive of the commune initiatives; the program gives the commune the autonomy to decide on the type and size of projects and allowed the commune to use savings in the previous years' projects for this year's project. The commune and villagers are very happy because the canal rehabilitation is very helpful for them during the rainy season for transport, travel time is reduced more than 2 hours using this canal.
  7. *Other issues:*
    - The commune proposed only 2,500 m of canal rehabilitation just enough for the budget allocated for the commune in 2009 about 39,000,000 R. The actual length of canal that needed to be rehabilitated was 3,600 m so they proposed to use their savings from 2008 to be added to the total budget and they were able to rehabilitate 3,600 m of the canal.

**A3.1.20 A culvert in Siem Reap**

Code: 171006/090101

Commune: Chreav

Reason for selection: Low KPI 10, Land rights safeguards



Description	Proposed	Actual
Cost	38,800,000R	39,613,800 R
Local Contributions	2,000,000 R	2,000,000 R
Date of safeguard screening		Form not signed or dated
Date of Project Information		17 October 2008
Date of Bidding		06 March 2009
Date Contract Signed		04 April 2009
Contractor		Pov Sokun
Date Start	20 April 2009	20 April 2009
Date Finished	10 June 2009	17 June 2009 (1 week delay)

**Documents scrutiny**

The following observations and non-conformances are noted.

PIM Form	Subject of Form	Observations
Form 2	Work plan for project studies	Not on file.
Form 3	Notice of technical clearance	Not on file.
Form 4	Local contribution receipts	Receipts were issued for the lump sum contributions from seven villages, total sum 2,000,000 R.
Form 5	List of local contributors	There is no record of how many receipts were issued to villages. Some receipts have not yet been returned from villages.
Form 6	List of local contributors	All 1,334 individual contributors are listed.
Form 7	List of local contributions	Not on file
Form 8	Material price survey list	Not on file.
Form 9	Standard materials price list	Not on file.
Form 14	Project outputs and cost estimate	Not signed by Commune chief and Technical Assistant.
Form 16	Output location	Used 2005 PIM form.
Form 17	O&M Plan	Undated. Plan is not clear, it describes activities but there are no dates and the people who were involved is not stated.
Procurement and project management: C/S Council meetings		No minutes or file note confirming contractor list.
Bidding documents		No specifications on file. No project sign board detail on file.
Form 41	Record of bid opening	All 18 bids were close to the estimate of 39,613,800 R ranging from 38,460,000 R to 39,778,000 R.
Form 42	Bidding report	Commune kept only the two lowest bids.

PIM Form	Subject of Form	Observations
Form 56	Completion report	Maintenance period not yet expired, report to be prepared 10/12/2009.
Meeting minutes during construction		Two on file, waiting minutes of final meeting. No minutes of PMC meetings.
Site works notebook		On file. Has many entries.
Construction checklists		Not done.

### Focus groups

Date and time	26 November 2009, 1:30 to 5:00 pm
Venue:	Chreav Commune Centre, Siem Reap District, Siem Reap Province
Beneficiaries:	Seven villages

	C/S Council & PC	PBC	PMC	Beneficiaries
Attendance:				
Male	9	1	8	12
Female	-	-	-	6
Total	9	1	8	18
Age:				
25 or younger	-	-	-	1
26 to 35	1	-	-	5
36 to 45	2	-	2	4
46 to 55	4	-	4	5
56 to 65	2	1	2	3
over 65	-	-	-	-
Education:				
No formal	-	-	-	-
Grades 1 to 6	6	1	6	16
High school	3	-	1	2
After high school	-	-	1	-
2009 PIM training	4	1	2	-

### KPI

Low KPI 10: There's no land taken from the people for the project because all the 13 culverts are constructed on the existing road, lands are affected only when water flows to the rice fields and the water flow washes away some rice plants but the impact is minimal.

Complaints were made on the location of the culverts but no one dropped any complaint letter at the complaint box, it is always empty.

The bidding process was long, the contract was bid three times because bid amount was higher than cost estimates, bidders are related to each other.

### Open discussion

- If you have to select one aspect of the implementation of C/S Funds that most needs improvement, what would you choose?*
  - Training orientation on PIM to commune council is not effective, everyone forgot what they had been taught except the commune clerk.
- At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?*
  - Works to be built in the dry season so that it is not so difficult for contractor especially when the project areas are near a river.
  - Start construction before rainy season, if possible finish construction early around May, or at the latest by June.

- Not allow sub-contracting by the winning bidder to other contractors, because it delays the construction and quality is affected because there is double profit taken out of the project.
3. *If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?*
- No other project implemented by commune from other agencies.
4. *It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?*
- Set up the maintenance committee composed of village chief to:
    - monitor & check the construction.
    - take care of repairs or lead the villagers in repair work.
5. *If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?*
- Commune Chief and Commune Clerk
6. *Comments on 2009 C/S fund project implementation process:*
- -Commune officials have gained knowledge and skills in project implementation.
  - Improved skills of commune officials on local governance.
  - Encouraged stakeholder participation.
7. *Other issues:*
- Commune not allocate budget for repair and maintenance of projects and used all the development fund from NCDD for new projects because, no one will bid for the repair because only a small amount and the same process to undergo in the bidding.
  - The commune has many development projects in the list only few are implemented
  - In commune development, the commune council saw many development projects needed but they could not pursue all because budget is limited, the commune cannot do more to respond to the need.
8. *Observations*
- Project documents are not complete at the commune file.
  - TSO did not join the process audit, he was asked to attend but he did not come.
  - Out of nine participants in the focus group for Commune Council, two dominated the discussion, the seven others were encouraged to talk but were careful what they said, giving the same answers as the commune chief.
  - During focus group discussions with the beneficiaries, the commune chief also attended, for every questions asked, the people looked at the commune chief first before giving answers and even then one lady spoke first and all others rest gave the same answers as her. The facilitator tried to asked individuals but most were hesitant to speak.
  - Many commune Councillors, even the PMC are not familiar with the implementation process.
  - For understanding the project implementation, the Commune Chief always refers to the commune clerk, the Chief and the council depended fully to the commune clerk.

### **A3.2 Contractor Questionnaire**

Contractor interviews were limited to those who built the 20 projects selected for the Phase 2 survey. Brief details for individual contractors are included with the case studies. This section presents an overview of contractor performance.

Modified versions of the KPI 8 questions from the Phase 1 survey were put to the contractors. This allowed comparison with the Phase 1 results. Additional questions were added to cover the contractors' involvement with the process.

Where comparisons are made with the Phase 1 survey, these are for the 20 Phase 2 projects. Also, the *Do not know* responses have been excluded so that quoted percentages are for the full number of respondents to each question. There is generally close correlation between the contractor and stakeholder responses, quite often in the contractors' favour.

Commentary on the questions follows below:

#### **C-A/Q8A. How do you rate your overall performance on the contract?**

In 35% of cases contractors rated their performance *Good*, the remaining 65% rated it *OK*. This compares with 39% of stakeholders who rated it *Good*, 60% *OK*, and 1% *Bad*.

#### **C-B/Q8B. Did you appoint the Works Manager?**

All the contractors said they appointed a Works Manager, 98% of stakeholders agreed.

#### **C-C/Q8C. Was the Works Manager present on site?**

Nineteen contractors said the Works Manager was on site all the time, the other said it was more than half the time. In comparison 77% of stakeholders said that the Works Manager was on site all the time, 19% said more than half the time, and 4% less than half the time. Overall, it appears contractors are providing adequate attendance to the works.

#### **C-D. How many Project Owners Representative were you dealing with?**

Contractors mostly dealt with two to five project owners, in one case seven, in another case eight.

#### **C-E/Q8E. Were the Project Owners Representatives able to supervise and use the construction checklists?**

All the contractors said they were but the stakeholders said only in 75% of cases.

#### **C-F/Q8F. Were the technical drawings and specifications correct, understood and used?**

All the contractors said the technical drawings and specifications were correct, as did 98% of stakeholders.

#### **C-G/Q8G. Did the Works Manager keep available a Site Note Book?**

There was one contractor who said *No* and three who answered *Do not know*. In comparison 96% of stakeholders coming from all 20 projects said a Site Note Book was prepared so it appears that contractors did fulfil this requirement. However, the fate of the Site Note Books is unclear because only one was seen in the document scrutiny; most communes say the contractor kept them.

#### **C-H/Q8H. Did anyone complain to you with problems because of the construction work and if so what were the problems?**

There were complaints to five contractors although 98% of stakeholders said that there were no complaints. The complaints were:

- One family complained because excavation destroyed their banana and mango trees.

- There was a problem with manholes in front of four house gates. Moving the manholes in agreement with the C/S council solved this.
- An owner complained when a tree was cut.
- A traffic jam occurred during concreting operations.
- Bamboo trees of eight families were lost but the commune council negotiated an acceptable resolution.

**C-J/C8J. Did beneficiaries get involved in monitoring construction?**

All the contractors said beneficiaries did get involved in monitoring construction, compared with 83% of stakeholders spread across all 20 projects who said beneficiaries get involved.

**C-K. Should beneficiaries be more involved in monitoring construction?**

There was a mixed answer to this question. Contractors do not seem to mind beneficiary involvement in monitoring but have problems in other respects such as damage by animals and iron tired ox-carts, villagers not doing their part and already neglecting to take care of the works.

**C-L/C8L. Did you start work on time, if not why were you delayed?**

Only one contractor started late and this was because of rain and flood; 90% of stakeholders spread across the 20 projects said contractors started late.

**C-M. How long were you meant to be working on site from start to finish?**

Contract periods were from 20 days to two months.

**C-N/Q8N. Did you work quickly?**

Only 55% of contractors said they worked quickly whereas 88% of stakeholders thought they did. The contractors all gave the same reason for working slowly; it was because they had to work during the wet season.

**C-O/Q8O. Did you finish on time?**

Fifteen contractors said they finished on time, 89% of stakeholders said this was the case.

**C-P. How long were you actually working at the site from start to finish?**

Contracts were working on site between 15 days and two months.

**C-Q. If there were delays what were the main reasons for delay?**

Rain and flooding variously preventing access to site, to borrow pits, or ability to compact fill. One contractor manufactured pipes, which required 28 days to cure before they could be used.

**C-R/Q8R. Did you build correctly to the design and specification?**

All the contractors said that they built correctly to the design and specification, borne out by 98% of stakeholders.

**C-S. Has the six-month maintenance period passed since completion of construction?**

Only two contractors were out of the six-month maintenance period.

**C-T/Q8T. Have you corrected defects or carried out maintenance during the six-month maintenance period?**

Eleven of the contractors said that they had carried out maintenance, 61% of stakeholders said that they had.

**C-U/Q8U. If the project changed from the design was this because you proposed a change to improve the design, which was agreed with the commune?**

Only two contractors said they proposed changes to improve the design, 44% of stakeholders thought they had.

**C-V/Q8V. If the project changed was it with the agreement and approval of the commune?**

Sixteen contractors said changes were made with the agreement and approval of the commune; this was borne out by 77% of stakeholders.

**C-W/Q8W. Were the final quantities different from the bid quantities?**

Three contractors said the final quantities were different to the bid quantities; 23% of stakeholders said that they were different.

**C-X. Was the final contract sum paid greater than the sum you bid for the work?**

Only two contractors were paid more than the sum they bid for the works.

**C-Y/Q4A. Was your first (40%) payment on time?**

For 19 contractors it was on time, agreed by 96% of stakeholders.

**C-Z/Q4A. Was your second (40%) payment on time?**

For 18 contractors it was on time, agreed by 96% of stakeholders.

**C-AA/Q4A. Was your third (20%) payment on time?**

For two contractors it was on time, agreed by 7% of stakeholders.

**C-BB. Do you operate as a provincial or national contractor?**

Four of the contractors operated nationally, sixteen were provincial.

**C-CC. How did you hear about the invitation to bid?**

Four contractors saw notices posted or press advertisements, the other sixteen heard from various officials.

**C-DD. Did you attend the bid opening?**

Only one contractor did not attend the bid opening, he was not informed of the date.

**C-EE. Was there any evidence of corruption in the bidding process or the construction work?**

None of the contractors said that there was evidence of corruption in the bidding process (but see C-QQ below).

**C-FF. Were you asked for money or favours by anyone involved with the project?**

None of the contractors said that they were asked for money or favours by anyone involved with the project (but see C-QQ below).

**C-GG. If so do you want to say what it was**

None of the contractors said that they were asked for money or favours by anyone involved with the project (but see C-QQ below).

**C-HH. Did you have to employ special measures to protect the environment?**

Eighteen contractors said that they employed special measures to protect the environment.

**C-JJ. Was the contract awarded after the expiry of the bid validity?**

Twelve of the contracts were awarded after the expiry of the bid validity.

**C-KK. How long did it take to get a patent from the time of application to MEF Provincial Taxation Departments?**

Answers ranged between one day to four weeks. One contractor who waited four weeks said this was because he paid the normal price of 255,000 R, if he paid \$150 he could have had the patent in one day. Two other contractors who obtained the patent in three days and two weeks paid 600,000 R. Seven other contractors also said they paid more than 250,000 R. Another had three years experience with C/S Fund projects and had never had problems with the tax patent, it took ten days this time and he was not one of those who said he paid more.

**C-LL. Was the validity period for the bid a problem in previous years or is it a new problem?**

Three contractors said that the validity period for the bid was a problem in previous years.

**C-MM. At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?**

Eleven contractors said that the work should be done in the dry season after harvest. One contractor working in Kandal province said he always has problems with utilities (because the work is in peri-urban locations).

**C-NN. If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?**

- If NCDD used commercial banks it would be better because then payments only take two days whereas there is delay with provincial treasuries, and illegal fees<sup>10</sup> are charged.
- Its hard to understand NCDD financial procedures.
- NCDD drawings are easy to understand.
- NCDD requires a lot of effort for a small project.
- NCDD TSO have low education.
- World Vision make a single 100% payment on completion.
- CARITAS pay 95% on completion with 5% held for maintenance.
- One contractor said NCDD is better than ADB because ADB charged \$50/bidder
- Another said NCDD control the work, payment easier than ADB though delayed.

**C-OO. It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?**

- Some communes they understand and maintain and some communes did not care because they think that the project is still in the maintenance period.
- Keep 20 to 30 tonne trucks off Laterite roads.
- Organize a maintain committee.
- Keep cattle out of canals (fence).
- Build enough culverts.
- Plant grass to stop erosion
- C/S Fund should be organise to have enough budget for maintenance.
- Commune Council must have a competent person to arrange maintenance.
- Beneficiaries have to take ownership of maintenance.
- When installing a pipe across the road tell the commune.
- Low education of people.
- C/S Fund to disseminate information on sustainability and how to carry out maintenance of drainage.
- Regular checking of manholes at least annually to remove blockage.

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<sup>10</sup> Taken t mean bribes.

- Teach villagers not to litter.
- Should build reinforce concrete roads instead of Laterite roads.
- Ban steel wheel hand tractors and ox-carts from roads.
- Check the backfill over a culvert when soil layer becomes thin.

**C-PP. If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?**

The contractors said the Commune Chief, Village Chief and Commune Councillors.

**C-QQ. Are there any other issues you want to raise or discuss?**

Among all the contractors interviewed no one raised any issue during the interview but in informal discussions, several mentioned that they have very little profit from C/S Fund projects, some TSO and officials in the province and at commune level asks for favours such as cell cards, lunch, fuel, etc. Also the communes demanded good output from the contractors.

### A3.3 Province Interviews

A suite of 21 questions was put to 24 provinces with the primary objective to find reasons why the implementation process so often takes so long. At the time this report was prepared four provinces had not responded: Kampong Chhnang, Kampot, Kratie and Kep; because the relevant officers could not be contacted or were away. Kep has small involvement and would probably not yield much useful information. In addition, there are some issues with the Svay Rieng response, which require clarification, but the relevant officers cannot be contacted.

The primary method was telephone interview. The provincial officials were sent the questions in advance, many returned their answers which were followed-up by the main telephone interview. When possible, particularly during the course of the Phase 2 survey, opportunity was taken for face-to-face interviews instead of telephone interview.

The questions were open and elicited a good response with much information, useful comments and suggestions for improvement. Therefore, the responses do not lend themselves to statistical reporting, rather to an edited listing, which is the presentation that follows.

#### **P1. How many years has the C/S Fund for small-scale infrastructure been available in province?**

With the exception of Ratanakiri, which has only been in the C/S Fund for small-scale infrastructure programme one year, other provinces had benefited for between seven and nine years.

#### **P2. How many projects was it planned to construct by September 2009?**

#### **P3. How many projects were actually constructed (100% complete) by September 2009?**

The province planned to complete about 1,086 projects by the end of September 2009. This excludes the four provinces yet to respond plus Svay Rieng where the response needs to be clarified. This represents about 59% of the 2009 C/S Fund projects cleared for implementation in 2008. It is significantly greater than the 240 (or 13%) completed projects reported on the PID and by telephone enquires to the provinces early 2009. Even allowing for a slow flow of information there is a clear problem that more than 40% of C/S Fund projects were not completed with only three months of the project year to run.

Explanations for the difference between information provided in September and November 2009 include:

- Some projects were not entered into the PID, provinces had problems with the program. Project information was not yet entered in the PID and some villages benefiting from the commune projects were not listed. Watch-list clearances submitted to national level did not receive immediate reply so therefore were not reported in the PID (KPT).
- PID was updated late, because online reporting was new, it was necessary to ensure that dates entered are correct (KDL).
- Not able to update PID until September 2009 (KKG).
- Phnom Penh reported 56 completed projects by September 2009, some projects were updated late because of the need to make sure dates are correct.
- Late in updating PID because of difficult access to Internet. Low level of knowledge and skill on online reporting (PVR).
- PID was not updated in September 2009, there was difficulty in using Internet, not all staff has computer training (PVG).
- Not able to update PID, still new system to follow (PUR).

- Had problems updating the PID due to flow of information and three offices do the updating, LAU had to fill up in the Project info, TSU input construction progress and Financial Advisor did the payment update. Online system is new and most staff are inexperienced with online updating, the focal points were trained only in July and August 2009 (SRP).
- Not updated the PID (SHV).
- PID was not updated (STG).
- PID was updated late, the training for persons involved in data entry was conducted only in August 2009 and in September they were still learning online data entry (MKR)
- Online reporting was new and staff were only trained in July so in September they were still slow in updating the PID, also three units have to update the PID, LAU for project info, TSU for work progress and Finance Adviser for Payments (OMC).
- Not able to update the PID in September 2009 (PLN)

#### **P4. How many projects were not started by end of September 2009?**

The province report about 289 projects had not been started by the end of September 2009. This excludes the four provinces yet to respond plus Svay Rieng where the response needs to be clarified.

Reasons given for delay include:

- Technical Clearance, flooding at project site, not accessible during rainy season, so had to wait until dry season (BMC).
- Flooding; too much water and many commune projects could not start because land was planted with rice and had to wait until after harvest. Contractor could not access to project site and source of Laterite due to water flow over the road, difficult to transport equipment and materials, many contractors also have many other projects and are slow to start C/S Fund contracts (BAT).
- Safeguard clearance took time as it needs to pass through regional safeguard adviser which is based in Kratie, then to line departments which are slow to respond (KPC).
- Many projects had a construction schedule in May or June and in 2009 the rain came early which made it difficult to bring materials and equipment to project sites especially for those along Mekong River (KPC).
- Many successful bidders were from outside the province, some of them sub-contracted to local contractors and this caused a late start to construction work (KPC).
- The pond in Monorom Commune was surrounded by rice at award of contract so construction equipment could not pass and had to wait until after the harvest (KSP).
- Also the contractor had won many bids and could not cope to finish all the projects at the same time but to wait to finish one after another (KSP).
- Many communes already prepared and filled up Form 10 Project Information using the 2005 PIM form but had to redo using the 2009 PIM Form, some were confused when the documents were rejected by the province (KSP).
- Projects that were started in the wet season were delayed due to flooding, some project sites were cultivated with rice and had to wait until after harvest. Due to flood and difficult roads access, materials and equipment could not be transported to project sites (KPT).
- The reasons for delay include late technical clearance from line departments and not receiving NOL from the world bank for package 3 (MDK).
- No delay (PNP).
- Slow action at commune level, low motivation by TSO/DFT (PVR).
- Document preparation was very slow (PVG).

- Slow action from commune level to the TSO/DFT (PUR).
- All projects are under safeguard watch-list, took so long to get clearances, consultation with communities also a long process (RAT).
- Slow action from Commune level (SHV).
- Lack of bidders (STG).
- Some parts of 2009 PIM take longer (more details), safeguards/watch-list regional safeguard advisor, another 10 days has to issue and some are a bit shorter, bid meeting 20 communes in watch-list (TAK).
- Delay in project preparation especially on safeguards, confused on use of forms, inconsistency of dates written on the forms and documents submitted to the province were returned to back to the commune for correction (OMC).
- Late bidding just before flooding, project site inaccessible (PLN).

#### **P5. How many projects failed bidding?**

Only 18 projects or <1% were reported to have failed at the bidding stage.

Reasons given for failed bids were:

- Few bidders, project difficult to access, locations along Mekong always flooded (KPC).
- Only two bids were received (KSP).
- Project was type 1 and bidders were registered under type 2 and therefore were disqualified and bid was declared failed (KSP).
- Contractors were rejected by the provincial governor because of complaints received (KPT).
- Not enough contractors bid for the project because many they did not fill the bid documents beforehand and were late during the bid opening (KPT).
- Invalid bid (PVR).
- Only two bids received (PVG).
- Less than three qualifying bids (STG).
- Lack of a quorum for the procurement committee (OMC).

#### **P6. How many projects were abandoned and what were the reasons?**

Only three bids in Siem Reap province were reported abandoned.

#### **P7. If the province was in the C/S Fund process for small-scale infrastructure for project year 2008 or earlier, is implementation following the 2009 PIM taking longer than it took following the 2005 PIM?**

The 2009 PIM is judged to be faster in:

- Banteay Meanchey.

The 2009 PIM is judged to take longer in:

- Battambang;
- Kampong Cham (additional safeguards);
- Kampong Thom;
- Koh Kong;
- Mondalkiri (much longer);
- Phnom Phen;
- Preah Vehear (but is more specific);
- Prey Veng;

- Pursat;
- Ratanakiri;
- Siem Reap;
- Sihanoukville;
- Stung Treng (a little longer);
- Svay Rieng (because of project study and safeguards; and
- Oddar Meanchey (because of confusion between 2005 and 2009 procedures).

The 2009 PIM is judged to take about the same time as the 2005 PIM in:

- Kampong Speu (depends on project and people involved);
- Kandal (some quicker, some slower);
- Takeo (follow the guidance and it is fast, do not follow and it is delayed); and
- Pailin.

### **P8. What takes longer than before using the 2009 PM?**

- Safeguard measures for the project on a watch-list that need to go through the Regional Safeguard Advisor (BMC).
- Project feasibility study, safeguard measures: EIA and LAR, preparing prequalified contractor list (BAT).
- Safeguard clearance (KPC).
- Preparation of Safeguard report has to pass the regional safeguard advisor, b) 45 day bid validation is a long wait to look for another contractor to bid/rebid (KSP).
- Project feasibility study, safeguard measures: EIA and LAR, prepared prequalified contractor list (KPT).
- Project feasibility study, TSO unfamiliar with project generator program, b) Environment Assessment Report for communes on watch-list need to be submitted to Regional Safeguards Office for clearance (KDL).
- Project feasibility study, safeguards, land acquisition, bid preparation, and too many forms for bidding document and contract. 2005 PIM did not require submittal to regional safeguard advisor for approval, LAA responsible for this work (KKG).
- a) There are more forms to be completed and more meetings are needed for safeguard issues on Environment, Highland People and Land. In Mondulakiri province almost all 21 communes are under environmental and highland people watch list. b) 2009 PIM requires all safeguard study documents to be sent to the Regional Safeguards Advisors before sending to line department for technical clearance. c) Line departments that are required to certify technical clearance on C/S Fund projects do not understand the new PIM 2009. They especially they do not understand the forms and the procedure for safeguards. Thus, they keep the documents for very long time when we submit for technical clearance (MKR).
- Feasibility study preparation (PNP).
- The project preparation process takes longer because of time needed for additional safeguards for Environment, Land and High land people that also need to be approved by the Regional Safeguard Advisor (PVR).
- a) Projects located in the watch-list communes must be sent to national safeguard advisor in advance before sending to the technical line department for technical clearance. b) Requirement to have a patent before signing the contract (PIM 3.2.6). Actually some contractors were late in providing their patents after bidding (PVG).
- Project feasibility study preparation at commune level, conducting project safeguard, EIA and LAR, preparing prequalified contractor list (PUR).
- safeguard assessment, highland people reports, many forms are required (RAT)
- a) Safeguard and watch-list clearance took at least 1 month to process; b) preparing prequalified

contractor list took a long time also (TSO had to check and validate equipment listed by contractors versus contracting type) (SRP).

- Safeguards policy, prior review process (SHV).
- Safeguards compliance (STG).
- Under the 2005 PIM, the commune council spent less time for Land Acquisition and Environment Analysis but under the 2009 (PIM), they spend time for sending project documents to the regional safeguards advisor for technical clarification before conducting acquisition and environmental analysis (SVG).
- Safeguards, especially a project in a watch-list commune (TAK).
- Feasibility studies started late. Safeguards, especially the processes for land acquisition and environmental assessment, are a long process (OMC).
- Safeguard compliance, filling up of new form, was confused with the older forms. Made changes many times (PLN).

### **P9. What is it that takes less time than before using the 2009 PIM?**

- Bidding process (contractor fills in bid form, TSO does not need to explain more detail on project specification) (BMC).
- Preparation of Project feasibility study and preparation of bidding documents (BAT).
- Bidding process, very fast (KPC).
- Bidding in 2009 took less time as bid forms were already prepared before bid opening, not during bid opening as in 2005 PIM (KSP).
- Bidding process is shorter than before (KPT).
- Bidding process as the bid form is filled in by contract in advance (KDL).
- But bid opening is quicker than with 2005 PIM (KKG).
- Under 2009 PIM, we see that now the commune procurement committee has two choices when they receive less than three valid bids. a) They can make re-announcement; b) They can make a waiver request to the provincial governor in order to continue the bidding meeting (if they receive two bids), or to negotiate with the contractor directly (if they receive one bid). See page 172 in English PIM. In 2005 PIM, the second option could be followed only after announcements were made three times (MKR).
- Bidding process (PHP).
- Bidding process (PVR).
- a) Fail bidding: If procurement committee received only two bid forms, they can continue selecting the lowest bid prices after waiver from provincial governor (under the 2005 PIM procurement committee had to cancel the bid meeting and re-announce). b) Contractors are not allowed to fill bid form during bid meeting (PVG).
- Project feasibility study by TSO and Bidding preparation (PUR).
- Nothing (RAT).
- Bidding process, contractors complete bidding forms in advance, unlike before where contractors filled up the bid just before the bid opening, which took a lot of time and many of them compared their bids when filling the forms (SRP).
- Bidding process (SHV).
- Bidding process (STG).
- Before using the 2005 PIM for the bidding process, the PBC spent a lot of time for the bid orientation meeting, bid submission and opening, but using the 2009 PIM, they spend time for bid

submission and opening only (SVG).

- Bidding process (TAK).
- Bidding process (OMC).
- Bidding process (PLN).

**P10. At what stages of the process do delays occur and approximately how long do these stages take (list for each cause of delay)?**

- a) Contractors could not withdraw their payment if they completed their work before the payment schedule. b) Project selection for feasibility study happens after DIW, if DIW take place in November, feasibility study cannot be done on time after prior review completed (BMC).
- Project Technical Clearance, mainly from Environment and WRM Department. (More than two weeks to two month) (BAT).
- Preparation of technical clearances, line agencies not very familiar with the guidelines or not willing to cooperate, documents stay long at their office and need constant follow-up (KPC).
- a) Spend time on feasibility studies, low capacity of the communes. b) Some projects cannot be done in rainy season. c) CIP, land issue takes time to resolve, environment clearance took time to process at line agency involved (KSP).
- Application for technical clearance, line department like Environment and PDOWRAM did not act immediately, they kept the documents a long time, processing took more than 2 weeks to 1 month (KPT).
- a) Project feasibility study and project generation take one to two months by one TSO. b) Safeguard study that take about one month to prepare all documents. c) Buying patent that took about two weeks. d) Cash transfer depends on the schedule (KDL).
- Feasibility study, land acquisition, safe guards (in Koh Kong, the limited capacity of TSO and Commune Clerk meant there were many mistakes in the documents and due to the complicated geography it takes very long time sending documents for checking and re-submittal). Too much paper work and the capacity of Commune and TSO are still very low and barriers to working more quickly (KKG).
- Project feasibility study stage. Delays occur during activities below:
  1. When conducting Land Study: difficult to find landowners whose land will be affected by the project. Thus, we do not know if they volunteer to contribute their land to the project or not. Even if they agree to contribute the land, we need to get their signature on the forms but many of them do not live in Mondulkiri.
  2. When conducting an environmental study, sometimes the project locations are inside the concession areas that were granted to private companies. In this case, line departments will not certify technical clearance for the commune. It is unfortunate that we do not have access to clear information about concession areas within the province. Even the communes are not aware of the boundary of each concession. As a result, when we face this kind of problem the communes just change the project to a new one. A lot of time is wasted on the study again and again from one location to another.
  3. When sending safeguard documents to the Regional Safeguards Advisor: usually we get quick reply. But we receive a lot of comments on the documents. The comments are mostly on improper completion of the forms, wrong dates, meeting minutes are too short and not meaningful, and so on. Thus, the PFTs/DFTs have to go back to the communes to correct these documents.
  4. When sending all project documents to line departments for technical clearance: the departments (especially department of rural development) usually comments according to its view, which is not in line with the PIM. Sometimes the comments are not consistent. For example, this department has approved documents of one project, but then the same process and documents are not approved for another project. We find it very difficult to deal with this particular department. Overall, the delays add on average 2 to 3 weeks to each project (MKR).
- a) Takes time collecting field data survey and project preparation. b) Contractors have too many

- projects to implement at the same time. c) Construction during the rainy season (PNP).
- 1) Conduct feasibility study. 2) More specific safeguards process on environment, land and highland people.
    - a) conduct study – complicated process (adds four to five weeks).
    - b) Response from technical departments (adds three to four weeks)
    - c) Response from Regional Safeguard Advisor (adds five to seven weeks) (PVH).
  - Process of Prior Review by WB, issuance of NOL took about 55 days from Package 1 to 3 (PVG).
  - Project Technical Clearance, mainly from Environment department and PDOWRAM. (more than two weeks to one month) (PUR).
  - Processing safeguards technical clearance; the minimum is 15 days, preparation of reports on safeguard assessment needs approximately two months (RAT).
  - a) Project selection for feasibility study happens after DIW which is in November. b) Late approval of WB on Prior Reviews. c) Approval of Governor for bid result (more than seven days), in the 2009 PIM the Governor is not required to approve all projects but only those with issues that need the Governors intervention, but in Siem Reap the Governor still made approvals for all projects (SRP).
  - a) Filling Project Information forms is complex with the data on the project study coming from the TSO and commune council and the safeguards reports by the commune council and PFT. b) Environmental assessment and LAR does take a long time to produce perfect reports. c) Processing safeguards (LAU↔NCDD↔ DoE) (SHV).
  - a) Submission of C/S Fund project information to national NCDD. b) Process of getting technical clearance for safeguards for watch-list communes (STG).
  - Mostly delays are due to: a) Most of C/S Fund projects started in the wet season, so they must be delayed two to three months until the dry season comes. b) Some contractors get many projects in the year, so they cannot start all the projects on time (SVG).
  - a) Project formulation, which includes feasibility studies and cost estimation: a few projects varied from a one week to one month. b) Safeguards preparation: it was recorded that a few projects in the watch-list took around two months to get technical clearance from the Regional Safeguard Advisor (TAK).
  - Contract signing has to wait until the contractor gets the tax patent, sometime it took a long for the contractor to get the tax patent, delay about 10 to 15 days (OMC).
  - It was nearly 3 months for 2009 Package III to get NOL due to bidding cost/value of sample of the C/S Fund project and late document review at National Level (PLN).

**P11. What date did the province get prior approval by the World Bank?**

See table below (2009 NOL)

	<b>Banteay Meanchey</b>	<b>Battambang</b>	<b>Kampong Cham</b>
Package 1	04/02/09 to 19/02/09 (15 days)	30/12/08 to 02/02/09 (32 days)	31/12/08 to 10/03/09 (70 days)
Package 2	04/03/09 to 12/03/09 (7 days)	05/02/09 to 17/02/09 (12 days)	12/02/09 to 11/03/09 (29 days)
Package 3	21/04/09 to 03/05/09 (11 days)	18/03/09 to 20/03/09 (2 days)	20/04/09 to 02/05/09 (12 days)
Package 4	12/05/09 to 12/05/09 (1 day)	01/04/09 to 03/04/09 (1 day)	21/05/09 to 28/05/09 (7 days)
	<b>Kampong Chhnang</b>	<b>Kampong Speu</b>	<b>Kampong Thom</b>
Package 1	02/01/09 to 27/01/09 (25 days)	2/12/08 to 02/03/2009 (37days)	26/12/08 to 23/01/09 (27 days)
Package 2	12/02/09 to 18/02/09 (6 days)	16/01/09 to 17/02/09 (31 days)	22/01/09 to 04/02/09 (12 days)
Package 3	01/04/09 to 16/04/09 (15 days)	19/03/09 to 31/03/09 (12 days)	04/03/09 to 13/03/09 (9 days)
Package 4	02/07/2009	20/04/09 to 30/04/09 (10 days)	30/03/09 to 02/04/09 (3 days)

	<b>Kampot</b>	<b>Kandal</b>	<b>Koh Kong</b>
Package 1	27/01/09 to 17/02/09 (20 days)	02/01/09 to 04/03/09 (62 days)	30/12/08 to 05/02/09 (35 days)
Package 2	26/02/09 to 11/03/09 (15 days)	06/02/09 to 11/03/09 (35 days)	22/01/09 to 05/02/09 (13 days)
Package 3	23/04/09 to 11/05/09 (18 days)	01/04/09 to 16/04/09 (15 days)	26/05/09 to 17/06/09 (21 days)
Package 4	02/06/09 to 14/07/09 (31 days)	01/06/09 to 04/07/09 (33 days)	23/10/09 (not responded yet)
	<b>Kratie</b>	<b>Mondulkiri</b>	<b>Phnom Penh</b>
Package 1	03/02/09 to 04/03/09 (31 days)	12/01/09 to 02/02/09 (20 days)	N/A (not cover by WB).
Package 2	13/02/09 to 11/03/09 (28 days)	25/05/09 to 17/06/09 (22 days)	N/A
Package 3	20/04/09 to 02/05/09 (12 days)	29/07/2009 and no response yet	N/A
Package 4	23/05/09 to 28/05/09 (5 days)		N/A
	<b>Phreah Vihear</b>	<b>Prey Veng</b>	<b>Pursat</b>
Package 1	08/12/08 to 22/01/09 (44 days)	17/02/09 to 10/03/09 (23 days)	22/01/09 to 30/01/09 (8days)
Package 2	10/02/09 to 26/02/09 (16 days)	19/02/09 to 11/03/09 (22 days)	06/02/09 to 17/02/09 (11 days)
Package 3	26/05/09 to 17/06/09 (21 days)	07/04/09 to 16/04/09 (10 days)	17/03/09 to 20/03/09 (3 days)
Package 4	01/07/09 no response yet	29/04/09 to 1/06/09 (35 days)	01/06/09 to 14/07/09 (33 days)
	<b>Ratanakiri</b>	<b>Siem Reap</b>	<b>Shihanouk</b>
Package 1	12/01/09 to 29/01/09 (17 days)	25/12/08 to 02/02/09 (37 days)	29/01/09 to 03/03/09 (4 days)
Package 2	23/04/09 to 02/05/09 (9 days)	12/01/09 to 18/02/09 (36 days)	25/02/09 to 11/03/09 (16 days)
Package 3	26/05/09 to 16/06/09 (21 days)	18/03/09 to 01/04/09 (13 days)	25/05/09 to 17/06/09 (22 days)
Package 4	21/07/09 no response yet	21/04/09 to 14/07/09 (84 days)	30/06/09 no response yet
	<b>Stung Treng</b>	<b>Svay Rieng</b>	<b>Takeo</b>
Package 1	22/12/08 to 26/01/09 (34 days)	24/12/08 to 20/01/09 (26 days)	16/01/09 to 05/02/09 (19 days)
Package 2	11/02/09 to 18/02/09 (7 days)	30/18-2/08 to 03/02/09 (33 days)	11/02/09 to 18/02/09 (2 days)
Package 3	18/03/09 to 20/03/09 (2 days)	03/03/09 to 13/03/2009 (10 days)	18/02/09 to 31/03/09 (21 days)
Package 4	02/04/09 to 03/04/09 (1 day)	26/03/09 to 31/03/09 (5 days)	21/04/09 to 14/07/09 (no delay)
	<b>Oddar Meanchey</b>	<b>Kep</b>	<b>Pailin</b>
Package 1	26/12/08 to 23/01/09 (27 days)	24/02/09 to 27/02/09 (3 days)	24/12/09 to 18/01/09 (24 days)
Package 2	06/02/09 to 17/02/09 (11 days)	07/04/09 to 16/04/09 (9 days)	10/02/09 to 18/02/09 (8 days)
Package 3	23/04/09 to 08/05/09 (15 days)	02/06/09 to 17/06/09 (15 days)	17/03/09 to 19/05/09 (62 days)
Package 4	28/05/09 to 04/07/09 (38 days)	21/07/09 no response yet	02/07/09 no response yet

## P12. How can delays be avoided?

- WB should response to provinces on time (BMC).
- Provide Guideline from National level to all concerned Department Sector on Project Technical Clearance, mainly for Environment and WRM Department (BAT).
- Start early on Feasibility Study preparation, also safeguard clearance, National Office to ask support of line agencies at national level to make directive to their provincial offices to cooperate and support the C/S Fund project implementation (KCM).
- a) Complete Feasibility Study before November; b) start bidding in February, c) Prepare project information earlier; d) make C/S Fund available on time and e) WB to reply on Project review quickly (KSP).
- Provide Guideline from National level to all concerned Department Sector on Project Technical

Clearance, mainly for Environment and WRM Department (KPT).

- a) The delays can be avoided by speeding up feasibility study; b) Tax patent should be issued before contract signature (it means that the Tax Department should issue the patent without showing contract) (KDL).
- The capacity of DFT, TSO, and Commune clerk are very low and the geographical area very difficult. In some areas there is no road access and some places are accessed by the sea. When documents are not correct it takes a long time to correct and sending document between each parties. This causes delay to projects in Koh Kong (KKG).
- Delays can be avoided only when all stakeholders including line departments understand and apply the PIM together. Any instruction, guideline or procedure regarding C/S Fund project implementation for both infrastructure and non-infrastructure projects should be included in one PIM all together so that we can be referred to. Right now there is a particular issue about the tax calculation formula. According to 2009 PIM, the winning bid price is a basis for tax calculation. This means that the tax amount is the result of the winning price multiply 3% or 10% (according to the patent of the contractor). For example: winning price is 10,000,000 R; patent of the winning contractor is 3%; so the tax amount is 300,000 R, which comes from  $10,000,000 \times 0.03$ . The total contract value is 10,300,000 R. Please see page 179 in English PIM for more information. However, the provincial treasury does not use this formula to calculate the tax amount. They will use the total contract value as a basis for tax calculation. For the same example above the tax amount calculated by the treasury would be  $10,300,000 \times 0.03 = 309,000$  R. In this case the tax is taken two times (MKR).
- All project implementers need to know, understand, follow the PIM guidelines and be committed to implement the project on time, minimize mistakes in preparation of documents and forms, follow the schedules set (PVR).
- a) Commune Project Priority selected before October (related to CIP). b) Feasibility study starting from October and finished in December. c) WB approve package III at least in December. d) Projects will be bid in January. e) Projects start work after bidding or from beginning of February and so Projects will be not delayed and its will be completed before rainy season (PVG).
- Provide Guideline from National level to all line departments on project technical clearance, specifically for Environment Department and PDOWRAM (PUR).
- Need more capable human resources for speed up the activities (RAT).
- World Bank has to respond the 'Prior Reviews' within seven days after receipt of package submission (SRP).
- a) Avoid producing original document for safeguard reports. b) NCDD to explain project technical clearance to line department to understand the purposes (SHV).
- a) Follow PIM guidelines correctly step by step. b) all implementers need to fully understand the guidelines and procedure then follow and apply them when implementing projects (STG).
- Do not start C/S Fund project bid for construction in the wet season and all TSO to make sure that, the projects can start after bidding (SVG).
- a) Document review and feedback on time by national level b) Having Sufficient documents and following the 2009 PIM. c) Regularly following-up delivered documents d) Avoiding of collusion or corruption (TAK).
- a) Project feasibility study should be completed in November or December. b) DIW should be conducted and completed in October. c) Bidding should be conducted in January or February. d) Contracts should be signed before the patent license is approved (OMC).
- a) Document review and feedback on time by national level. b) Having sufficient documents and following the 2009 PIM. c) Regularly follow-up for delivered documents. d) Avoiding collusion or corruption (PLN).

**P13. How has the province dealt with the issue of the limited bid validity (45 days) versus the long interval between notification of contract award and actual contract award?**

- No case in Banteay Meanchey (BMC).
- Bid validity of 45 days is already long (BAT).
- No issue on this, 45 days is enough bid validity period in Kampong Cham (KPC).
- Communes were advised to enter into contract with the contractors within 15 days after the issuance of letter of acceptance of bid. Make early negotiations with contractors if needed (KSP).
- Seven day after bid opening sign contract, bid validity limit is good so that it will not take a long time to look for other contractors if it is necessary to re-bid (KPT).
- There has been no issue on bid validity (KDL).
- It would be good if can be reduced to 15 day or 20 days (KKG).
- This issue is not an issue in Mondulkiri because there have been no problems with it so far. Usually, after opening the bids, we know who the winner is. Then the commune will sign a contract with the winner during the period when the bid is valid (MKR).
- Made sure that contracts are made within 3 weeks after bid opening (PHP).
- The bid validity of 45 days is just enough, not too long nor too short (PVR).
- a) Conduct a meeting with all contractors within the province and inform them about process of project implementation, especially the requirement for the patent for signing contract. b) The province inform to project owner that the contracts should be made at least two weeks after bidding, so contractors must have a patent (PVG).
- Would be good to limit or lower the number of days of bid validity so that it will not take a long time if there is a need to re-bid (PUR).
- No bidding done yet for 2009 (RAT).
- No issue on 45 days bid validity in Siem Reap as all contracts are signed within 15 days after bid opening (SRP).
- 35 Days is too short for TSO to prepare contacts document, 45 days enough for TSU/TSO to prepare sample bid minute, prepare contracts, contractor work plan, contract documents for commune council clerk (SNV).
- The Stung Treng Governor has issued a directive No. 384 dated 19 August 2009 that contracts for winning bids for C/S Fund projects shall be made within and not to exceed the 45 day bid validity. This is to prevent the changes price and the abandonment of the contract which they was experienced in 2007-2008 due to the rapid increase in construction costs (STG).
- Conducted the contractor meeting and facilitated with Provincial Taxation Departments to accelerate the patent of contractors (SVG).
- No issue on bid validity in Takeo (TAK).
- After bidding results, contracts are prepared, negotiations made and contract signing are prepared within 15 days after bid opening, contract amendments were made for projects that need time adjustments for delays (OMC).
- No issue on this (PLN).

**P14. How long does it typically takes a contractor to get a patent from the time of application to Provincial Taxation Departments.**

- Normally 1 week (BMC).
- Ten Days (BAT).

- Should be at least one week but depends on the contractor and the Provincial treasury, some get short period others long (KPC).
- Two weeks (normally) (KSP).
- One day to one week depends on the volume of transaction by the tax department. There has been no issue related to contractor to get a patent in Kampong Thom (KTM).
- It's depend on the application proposal of the contractor, if the contractor submits the proposal right on time the Provincial Taxation Department prepare for patent (two weeks), it will be fast. And if the contractor submits the proposal not right on time the Provincial Taxation Department stop to prepare for patent (two weeks), it will be late. It takes about 10 to 15 days to get a patent from Provincial Taxation Department. The Tax Department also need the contract before issuing the patent (KDL).
- Is usual takes about one week to ten days but the Provincial Taxation Department needs the contractor to show them the contract signed with the commune (3% tax category), for 10% tax category it is needs approval from Phnom Penh and that takes about one month or more (KKG).
- Not more than a week (MKR).
- Two weeks (PHN).
- It depends on how quickly the contractor applies for the patent at the Provincial Treasury and how busy the people at the provincial treasury are; this has not been an issue yet in the province (PVR).
- One week (PVG).
- No issue related to contractor getting a tax patent in Pursat (PUR).
- One day (RAT).
- One week (SRP).
- It depends on the staff in the Provincial Taxation Department and a money incentive, usually from two to ten days (SHV).
- Two days (STG).
- At least two weeks (SVG).
- A minimum three working days (TAK).
- 10 to 15 Days (OMC).
- One week (PLN).

**P15. An indication on whether this (the patent) is a new issue, or has it just been noticed because of the changed requirements in the PIM.**

Only a few provinces gave a relevant response to this question.

- There is a different tax calculation between the Prakas MEF and the PIM (BMC).
- This is a new issue in relation with real regime and contract regime (KAN).
- This is not a new issue but there are some changes, contractors can join bids anywhere in the country and be more competitive, project calculation does not include tax in the bidding price (KKG).
- There has been no issue of delayed issue of tax patent as most contractors pay more than the normal charge i.e. \$100 (normal charge is 250,000 R) (SRP).
- This is not a new issue, but it becomes better and clearer for applying to ensure the transparency, efficiency in C/S Fund project implementation (STG).
- No, it is not a changed requirement of the PIM (PLN).

**P16. If you select one aspect of the implementation of C/S funds that most needs improvement, what would you choose?**

- Safeguards should be done at the same time with the project feasibility study (BMC).
- Push contractor to finish, check work plan, by PMC and TSO (BAT).
- Bidding process, contractors from other provinces sub-contracted the local contractors, which in most cases caused delay because of negotiations between them; also the quality of output is affected because they each have to gain profit from the project. Some contractors also won seven projects, they could not do the work as fast because they are too spread out and this delays projects. (KPC).
- a) PIM is thick to read, not clearly understood by many especially at commune level. b) There are points not mentioned in the 2009 PIM such as a form for survey. c) Details only the infrastructure project and not the service project. d) 2009 PIM gives only 10 minutes for contractors to prepare during bid opening but in actual cases it takes longer for contractors to register especially when there are many bids (KSP).
- 2009 PIM is already good and just has to be followed, and it is better than the 2005 PIM (KPT).
- All aspects are OK, maybe better cooperation by line agencies (KDL).
- Reduce number of forms because there is too much paper work and the capacity of communes, TSO and DFT are still very limited. Eliminate need to wait for Package 1, 2, 3 in case of remote areas (KKG).
- Improved cooperation from line departments in project feasibility studies and technical clearance; especially Department of Rural Development (MKR).
- Construction period should be in dry season (PHP).
- The process of prior review should be made quicker and simpler including safeguards study, moreover for 2010 we foresee that feasibility will take more time as TSO have to collect data and enter to the project generator (PVR).
- Feasibility study preparation, slow process on Safeguard clearance (PVG).
- Project feasibility study preparation and safeguard compliance (PUR).
- Project monitoring needs to be improved (RAT).
- Improve on the role of M&E focal point in monitoring and payment. (most M&E committees at commune level are not functional) (SRP).
- All aspects (SHV).
- Bidding process and Safeguard clearance (STG).
- Preparation of project feasibility study should be done early together with safeguards (OMC).
- Technical procedures and standard of C/S Fund projects (PLN).

**P17. At the moment implementation of these projects takes a long time. Do you have suggestions on where or how we could speed up?**

- Feasibility studies and safeguard procedures done at the same time (BMC).
- Start feasibility studies early, coordinate with commune council to go with TSO to show where project will be made, TSO has to know the project generator (BAT).
- Early start of bidding process, construction to take place before the wet season, even if the contractors are prequalified, there is still a need to evaluate their capacity, especially if they have already won more than three projects (KPC).
- a) Complete feasibility studies before November. b) Ministry of Environment to issue PRAKAS related to C/S project fund earlier so that communes can start early too.

- Start commune planning and prepare budget plan early. This requires the support of line agencies such as Provincial Planning Department, MEF, Department of Environment, PDOWRAM to act on clearances. Usually delays are caused by issuance of technical clearance by line departments (KPT).
- Start early, follow the guidelines step by step, use the correct forms, be consistent on data and information, all stakeholders to cooperate and act immediately (KDL).
- To much paper work: don't wait for package 1, 2, 3 and for bidding process should be flexible and not wait for 15 days for second round or third round in case of failure, give authority and flexible for this work (KKG).
- a) Suggest to national level to reduce forms for C/S Fund project implementation. Right now there are so many forms to complete. And if there is a mistake, we have to go to the field and start over again. This takes a lot of time and energy from the facilitators, commune councils and local people. b) Suggest to the national level to disseminate information on the PIM to relevant ministries. Because once the ministries' senior staff understands the PIM they can instruct their line departments at provincial levels more effectively. In this case, we can reduce delay when we submit documents for technical clearances from line departments. c) Suggest more effective intervention from the province when there is any delay regarding project implementation (MKR).
- a) Document processing must be speeded up at Commune/Sangkat level. b) Contractors should have a suitable number of projects for their own capacity (PHP).
- The process of prior review should be made quicker and simpler including safeguards study, moreover for 2010 we foresee that feasibility will take more time as TSO have to collect data and enter to the project generator (PVR).
- Improve capacity of project implementers, TSO and DFT to spend quality time in coaching the commune leaders (PVG).
- Improve capacity of TSO/PFT/DFT and communes in following 2009 PIM guidelines (PUR).
- Project Management Committee (PMC) should show high commitment and countrywide information flow (RAT).
- a) Speed up on the preparation of Feasibility study. b) World Bank to reply within seven days on Prior Reviews. c) Speed up on processing of technical clearances, line agencies to act more quickly in their assessments and issuance of clearance (SRP).
- All stakeholders need to understanding the C/S Fund process especially the 2009 PIM (SHV).
- Safeguard clearance (STG).
- Follow the PIM Guidelines and push the implementation, each stakeholder needs to understand and follow the guidelines from commune level to district to province, need the cooperation of line agencies in issuance of safeguard clearance (TAK).
- Review qualifications of pre-listed contractors (OMC).
- a) DIW should be run around September or October of each year. b) Having enough bidders for taking part in the bidding meeting. c) The bidders on the contractor list should sufficient capacity, especially the technical equipment and materials. d) C/S Fund project implementation should be undertaken during the dry season. e) C/S Fund project implementation should follow the work plan of C/S Fund project contract and avoid of amendments in the middle of the year or at the end of each year (PLN).

**P18. If you compare the execution of these projects with similar projects (such as the ADB CCDP project) can you mention one or more aspects where other projects are executed better? And one or more aspects where C/S Fund projects are executed better?**

- C/S Fund projects are community driven and are geared towards capacity building of Commune leaders, encouraging community participation and ownership of the project. Other funded projects usually require involvement from higher levels, with only information dissemination passed down to

the community, these projects are donor driven (KPC).

- a) TRIP projects have better technical study and require contractor to have soil tests during and after the construction of roads. b) The positive aspect of C/S Fund projects is that they encourage community participation, develop capacity of commune leaders in project implementation and competitive bidding; although collusion is still not prevented (KSP).
- TRIP is better with clear guidelines and involved the communes, decision by local government and people in the commune (KTM).
- No basis of comparison because only C/S Fund projects are being managed and implemented by the C/S. Other funded projects are managed by other agencies (KDL).
- The process for ADB CCDP projects are more simple and do not require much documentation, bidding process are simple, payment process are simple and the fund was kept at a private sector bank (with good service), the contractor was paid with ease (not as complicated as a fund in the treasury) (KKG).
- ADB CCDP is much better because of the following reasons: a) Less complicated procedures, forms, etc. b) No safeguard studies. c) Quick and easy payment from private bank. d) Technical follow-up and monitoring from national level (MKR).
- Improve capacity building of PMC. Increase income the people involved in project (PNP).
- Have no idea about the implementation of ADB or CCDP projects (PVR).
- None (PVG).
- No comment (PUR).
- If compared to the other ADB CCDP, it is different because they hired a consultant, and C/S Fund projects depend on PMC and TSO, as you know this is a capacity issue in this province where some of the PMC can't read and write (RAT).
- a) ADB funded projects have shortcut processes for payments; they use commercial banks not the government treasury. b) C/S Fund is better in capacity building of communes, it allows people to participate in many stages of project implementation, develop a sense of ownership amongst the communes and beneficiaries (SRP).
- None (SHV).
- No basis of comparison, no other projects implemented except C/S Fund (STG).
- C/S Fund projects are smaller, more transparent and have more competitive bidding. Commune officials have control over the project implementation (TAK).
- No projects with ADB or other donors. No basis for comparison (OMC).
- Procedures and guidelines for C/S Fund project implementation are better than ADB CCDP project because it is detailed with clear instruction from one stage to another stage (PLN).

**P19. It seems that maintenance of what is built under the C/S Fund often does not work well. Can you suggest ways to improve this?**

- Ensure that contractors follow the design and specifications (BMC).
- Correct technical design and contractor to follow the technical specifications. PMC with TSO to closely monitor the construction and ensure that contractor follows the specifications, construct during dry season to ensure good compaction of roads (BAT).
- C/S Fund usually have standard design, would be good if the designs were based on the actual situation of the project. Close monitoring of construction by PMC and TSO (KPC).
- a) After the 6 months guarantee period, turn over the project to the community to own. b) Establish and strengthen user groups/O&M committee to take responsibility in maintaining the project. c) Make use of the development fund for maintenance (KSP).

- Communes should make plan and budget for maintenance from development fund (KPT).
- Correct design of the projects, contractors to follow the specifications, project owners to take responsibility for checking and monitoring from construction to operation of the C/S Fund projects, repair any damage early before it becomes big. Commune to use the repair allocations, not only use the development fund for new projects (KAN).
- It is because it is not very clear about the payment process and difficult to look to some CBO or local people for help in routine maintenance. For large scale maintenance they can find a contractor but lack funds. The budget allocation is still very limited to develop their main needs, so the budget and planning committee use it for new projects (KKG).
- a) Provide capacity building to the maintenance committee so that they can perform this task. b) Close follow-up from national and provincial level. c) Provide operational budget to support this task (MKR).
- Maintenance budget should be increased (PHP).
- Communes need to think and include a plan about maintaining projects in their CDP/CIP so part of CF budget is set aside for repair, but most communes do not allocate budget for repair and maintenance, but use all the development fund for new projects. Also no contractor likes to bid for repairs because the profit margin is small and the bidding process is the same as new projects (PVR).
- Correct project construction, use quality materials and follow design dimensions, no cutting back of material quantities. PMC to closely check and monitor but most of all they need to know how to read plans, designs and specifications; this is when TSO should do on the job training with the PMC, but some TSO are not competent for this task (PVG).
- Communes have to use their Repair and maintenance budget from the development fund allocation (PUR).
- Build capacity of PMC and TSO to be technically competent (RAT).
- Increase budget for repair and maintenance. Commune officials to set aside this allocation for repairs and not focus only on the construction of new projects (most communes use all development fund for new projects and forget about repair and maintenance). Contractors are not interested in maintenance because the return is too small but uses the same bidding process. Strengthen the user groups/community/beneficiaries to do the repair and maintenance of their projects (SRP).
- Make projects stronger, earth roads are easily destroyed because they are not strong, if concrete is used it will stay longer (SHV).
- This is a common problem (STG).
- Project selection, document preparation at commune level, still need to develop the capacity of the PMC in project implementation, also the Project monitoring committed should be functional (TAK).
- Technical audit, recommendations (OMC).
- a) Provide some rewards to PMC such as fuel and small amount of DSA, when any PMC member conducts field monitoring of a C/S Fund project. b) Do not allow heavy vehicles onto small roads, especially during the wet season, or collect a small amount of money from the owner of trucks that use the road. c) Hold monthly or quarterly meetings of PMC members to update the road status. d) Having a budget package for road repair and maintenance of each commune account, and provide basic technical training (PLN).

**P20. If you look at all the people and organizations that are involved in the execution of C/S Fund projects, who or what has most control?**

- NRDP projects were similar but more expensive and with more specifications and limited participation by local officials (communes and villages) whereas C/S Fund projects are heavily participated by the commune and village officials, and lower cost (BMC).

- Each unit has control, TSU for technical aspects of the project, Provincial Treasury for the payments and Commune Chief as head of PMC as project owner and implementer (BAT).
- Project owners, headed by the commune chief (KPC).
- Commune Chief as head of the PMC (KSP).
- Commune Council, PMC, which is headed by the Commune Chief (KPT).
- Project owners, Commune chief (KDL).
- The PMC are more involved in this work, other committese generally they are only set up but have no function, the community still participates very little in the process (KKG).
- It is very hard to say who or what has most control over C/S Fund project implementation because each stakeholder plays an important role in each step. Take provincial treasury as an example, although it involves only in one activity (payment), but it has a very big role in the success of the project. If the payment process is complicated, it affects very much on the implementation as a whole (MKR).
- PIA and TSOs (PHP).
- Project Management Committee (PMC), which is headed by commune chief (PVR).
- PMC (PVG).
- Commune Chief, representing the project owners (PUR).
- a) Local Administration Unit (LAU), providing support, assistant as required. b) Technical Support Unit (TSU), provide technical support. c) Provincial Treasury, support documents. d) Commune councils, PMC, project owner representatives, planning, project selection, implementation and monitoring (RAT).
- PLAU (they are involved from planning to implementation and they are directly responsible in the strengthening of local governance (SRP).
- All key stakeholders (SHV).
- Commune Chief (STG).
- Commune Chief and PMC (TAK).
- Project owners represented by the commune chief (OMC).
- Commune chief as PMC head (PLN).

**P21. Are there any other comments on the C/S Find implementation process that you can add, particularly suggestions for minimising delays and making the process go more quickly?**

- Allow the commune to chose their priority before DIW usually November, what happens is that commune wait until DIW to select their priority project waiting and hoping that other NGOs will fund some of their priority projects but most often no NGOs do. It takes time for the commune and it delays the process. If they started the feasibility study earlier it would speed up the process (BMC).
- Due to limited capacity and workload of TSO, should assessed and review the works load handled by TSU with the number of TSO allocated. And the Safeguards should be done at the same time as the project feasibility study (BAT).
- Most of the delays are cause by flooding especially Kampong Cham had many projects along the Mekong river, start construction early, before the wet season. Safeguards should be done as early as possible; line agencies should cooperate and act faster (KPC).
- a) PIM stated that lowest bidder wins the contract, for 2009 most bids were very low about 4%0 to 60% lower than the cost estimates which resulted in a poor quality of output and in most cases created complaints by the commune to the contractors and contractors complaining of the

demands by the commune for quality. b) Some contractors won many bids, which caused other projects to wait, with delay all around (KSP).

- a) Improve the capacity of commune officials, especially on planning and management of projects. Many are still slow and dependent on the commune clerk and TSO, DFT, most PMC are not functioning. b) Due to limited capacity and workload of TSO, should be assessed and review the works load that handled by TSU with number TSO have been allocated (KPT).
- a) Assign a maximum number of communes to each TSO; not one TSO responsible for one district (some district have less communes and some district has more communes). If a TSO is responsible for too many communes, he has to spend more time to complete all the feasibility studies. b) Provide enough cash transfer to Provincial Treasury, because for the Contractor to implement the project he requires the money to be available (KAN).
- a) If possible for no requirement for Package 1, 2, 3, submit for every year it can speed up the work. The project committee can be flexible with their work base on the weather and situation. b) Reduce the time for advertising the project bidding (PIM states that if the first round of bidding fails, second round will be 15 days later. In this case if the bidding process fails a second time they will spend 45 days, which is too much time and it can be delay the project. c) In remote areas if the first bidding fails (lack of contractor) they should be allowed to negotiate because in those areas it is not easy to get any contractor. d) National level should consider improving the capacity of the TSO, DFT and commune so that they are able to do their work with quality, not use cascade training which is not effective in provinces that lack of human recourses (KKG).
- a) Suggest to national level to reduce forms for C/S Fund project implementation. Right now there are so many forms to complete. And if there is a mistake, we have to go to the field and start over again. This takes a lot of time and energy from the facilitators, commune councils and local people. b) Suggest to the national level to disseminate information on PIM to relevant ministries. Because once the ministries' senior staff understand the PIM they can instruct their line departments at provincial levels more effectively. In this case, we can reduce delay when we submit documents for technical clearances from line departments. c) Suggest more effective intervention from the province when there is any delay regarding project implementation (MKR).
- People involved in the process need to understand and follow the guidelines (PHP).
- The process of prior review should be quicker and simpler including safeguards study, moreover for 2010 we foresee that feasibility will take more time as TSO have to collect data and enter to the project generator (PVR).
- a) World Bank should identify information needed in the preparation package and inform to stakeholders (information needed in a report during preparation of package for the Bank). b) PIM also stated that whole project should be conduct feasibility, but PVG think that there is no project was conducted feasibility study for whole (project approved in CIP) in the first year and in the year after, it can be process the bidding after updating the materials prices and we are not sure how to make data entry (PID). c) Selecting Project Priority and conducting project feasibility study should be done in the first year but project bidding and project implementation should be processed in the year after. Doing like this we assure that projects will be not delayed because its will be implement during dry season (PVG).
- Due to limited capacity and workload of TSO, should assessed and review the works load handled by TSU with the number of TSO allocated (PUR).
- Suggest close monitoring from national level especially on the bidding and construction process. World Bank should do routine field monitoring and feedback on time to the implementers for better improvement (RAT).
- a) Safeguards and watch lists should be revised based on village level instead of commune (not all villages are under the watch-list, commune has watch-list issues but they have to undergo a long process of watch-list clearance. b) Commune projects within the APSARA area are difficult to implement as most of the time the Apsara Authority rejects the projects (SRP).
- a) Allow use of an eraser for some parts of forms that are of secondary importance, because TSO filling project infrastructure form by hand sometime make mistakes is writing. One time because of one small mistake a TSO used 30 to 150 km for correction to have a perfect safeguards report. b)

Encourage commune clerks to get more involved in project/contract document preparation instead of reliance on TSO (SHV)

- Actually we want the process to be easier, but without the process we could not guarantee the participation, transparency, accountability and quality of the projects. However, some points in revised 2009 PIM such as tax calculation should be clearly stated and consistent in accordance with existing regulations (STG).
- National level should cooperate with all Provincial Taxation Departments to follow only one guideline for patent preparation for contractors. (e.g. in SVR Provincial Taxation Departments prepare the patent to the contractor one project by one project, and other provinces prepare the patent only one but they can use a full year (SVG).
- a) DIW should be organized in late September or early October. b) Safeguard procedures have to follow the land law or to be shortened. c) Packages for prior-review have to be partly or totally eliminated. d) Make all concerned implementing units to be aware and responsible in their roles and responsibilities. e) In the new PIM there is no purchase order form for procurement of goods. f) Some points in the PIM are good but very difficult to implement such as local contributions, there is no transparency by the commune officials, such points need review (TAK).
- In order to minimize the delay LAU/TSU/ & C/S Councillors should conduct pre-meeting to identify each steps of process and finalize the role and responsibility of each related party involved. Each Key stakeholder should do their part efficiently and avoid any delay (OMC).
- a) DIW should be held around September or October of each year. b) Accelerate the preparation of packages by World Bank. c) Close working relationship between commune councils, TSO, and contractors, especially with National level. d) Schedule of C/S Fund project implementation should be followed regarding C/S Fund project contract, if possible amendments should be avoided (PLN).

## Annex 4: Phase 1 Survey Results

### A4.1 Presentation of Phase 1 Findings

The detailed findings of the Phase 1 survey are presented in this section under 14 separate headings for questions grouped by the 14 KPI from section 2.2. Each section opens with a list of conclusions for the questions asked for each KPI. This is followed by the summary results for each question. The primary method of presentation is a brief commentary on the significant information revealed by the question. The principal conclusions are underlined. Charts for the results for each stakeholder category to which the question was addressed accompany every question. For the majority of results percentage pie charts are used with data labels showing the percentages eliminating the need for tables of results. When it is more suitable, column charts have been used in conjunction with data tables or data labels so that actual percentages plotted can be seen.

It is important to understand that the results presented below are from approximately 1,500 stakeholders in 100 separate projects and therefore that there is a 'spread' of *Yes/No/Do not know* responses between the 15 stakeholders and within stakeholder groups for each project. For example, if 1% of beneficiaries gave a certain answer it does not necessarily mean that all the beneficiaries were from the same project; in fact for a 1% response they are usually spread between three or four different projects. In these circumstances it is necessary to look at the individual projects to investigate the significance of small percentage responses and this is addressed as required by the individual commentaries.

### A4.2 Phase 1 Findings

#### A4.2.1 Conformity to process

##### Summary of key findings

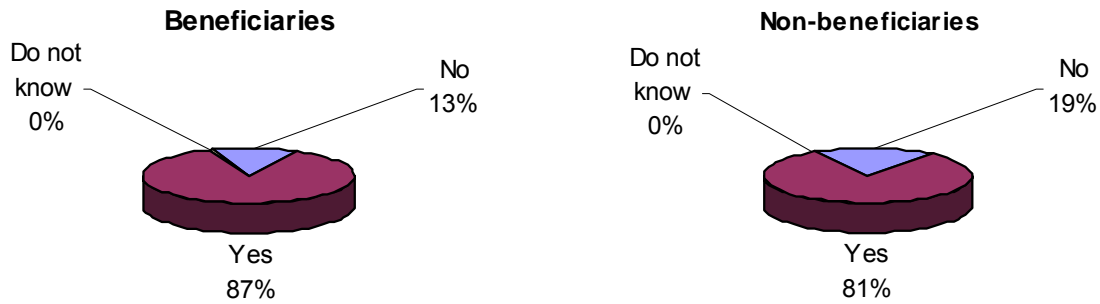
The summary conclusions for conformity to process are listed below; the full questions, commentary and charts follow.

- Q1A. Amongst the beneficiaries 87% knew about the process whilst amongst non-beneficiaries a similar but slightly lower proportion of 81% knew.
- Q1B. Amongst the beneficiaries 86% said they understood about the process whilst amongst non-beneficiaries 79% said they understood.
- Q1C. Amongst the beneficiaries 90% said they knew who chose the project whilst amongst non-beneficiaries 91% knew.
- Q1D. There was consultation about choosing all 100 projects.
- Q1E. There was consultation about design and building for all 100 projects.
- Q1F. Stakeholders had opportunity to participate in meetings.
- Q1G. About two-thirds of beneficiaries and non-beneficiaries were not aware of the existence of the PIM.
- Q1H. The 2005 PIM was still being used by 5% to 8% of officials.
- Q1J. Some 85% of commune officials and 96% of province and district officials said that they had received training in use of the 2009 PIM.
- Q1K. Some 79% of commune officials noticed the differences between the 2005 and 2009 PIM; 95% of province and district officials recognised differences.

- Q1M. The PIM is available in the communes.
- Q1N. PIM documents are at provincial offices.
- Q1O. There was consultation before signature of the Project Information Form.
- Q1P. There were always design studies.
- Q1Q. Changes were made to about half the projects as a result of the design studies.
- Q1R. It appears that sometimes project forms are not correctly checked by P/MLAU.
- Q1S. It appears that maybe between three and seven projects for the sample of 100 did not get line department clearance.
- Q1T. TSO are advising the procurement committee.
- Q1U. On all but one project in Kampong Speu province, the procurement committees did understand the procurement process.
- Q1V. Generally, the project details were posted.
- Q1W. By far the majority of projects used provincial lists of contractors.
- Q1X. The invitation to bid was advertised by a variety of means.
- Q1Y. Most projects received between three and six complying bids although up to 15 complying bids were received for some projects.
- Q1Z. Observers are being invited to the bidding process.
- Q1AA. A Bidding Report Form was prepared for every project.
- Q1BB. Answers invalid.
- Q1CC. Documents will be kept for five years for all 100 projects.
- Q1DD. Corruption, albeit at a low level, has not been eliminated from the process.
- Q1EE. About 21% of projects finished late.
- Q1FF. Signboards were provided for all 100 projects.
- Q1GG. The most popular arrangement for operation and maintenance is the C/S Council in combination with a user group for variously between 54% and 65% of projects.
- Q1HH. Operation and maintenance plans were prepared for all 100 sampled projects (although Phase 2 revealed these plans are seldom satisfactory).
- Q1JJ. User groups are being established although not everybody is aware of this.
- Q1KK. There were existing user groups for a minimum 60% of projects.

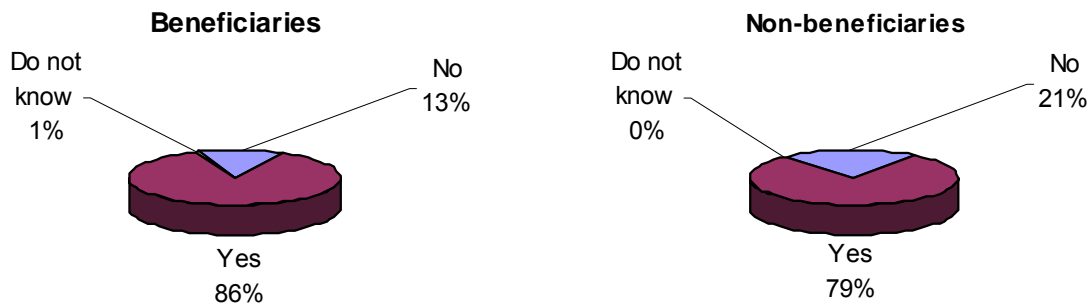
**Q1A. Do you know about the process of C/S Fund project implementation process in general?**

This question was put to beneficiaries and non-beneficiaries. Amongst the beneficiaries 87% knew about the process whilst amongst non-beneficiaries a similar but slightly lower proportion of 81% knew.



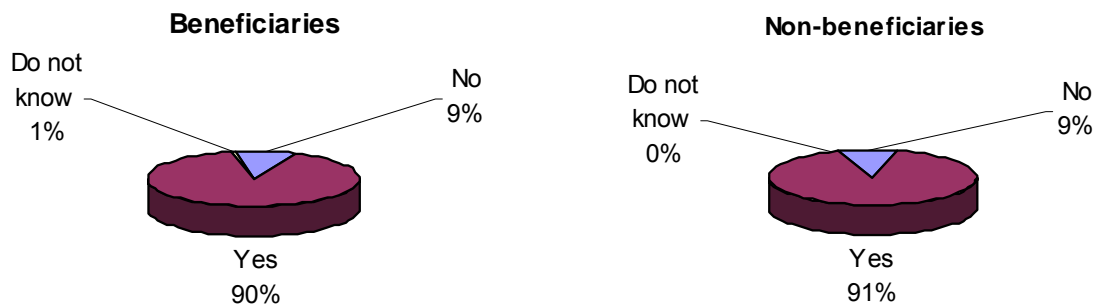
**Q1B. Do you understand about the process of C/S Fund project implementation?**

This question was put to beneficiaries and non-beneficiaries. Amongst the beneficiaries 86% said they understood about the process whilst amongst non-beneficiaries 79% said they understood.



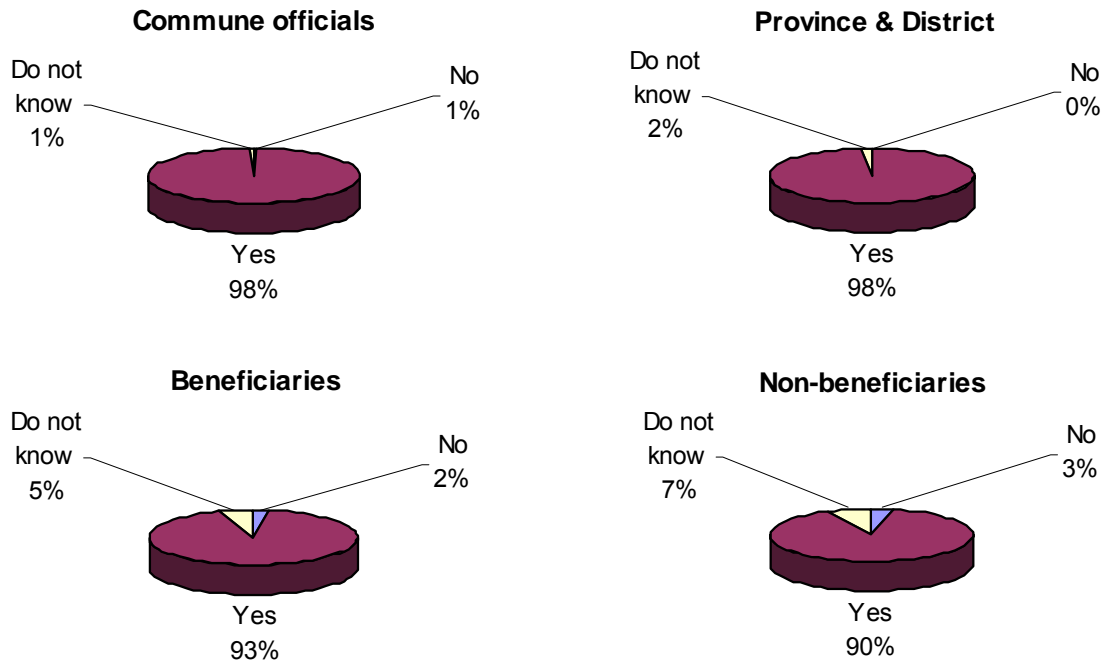
**Q1C. Do you know who chose the project?**

This question was put to beneficiaries and non-beneficiaries. Amongst the beneficiaries 90% said they knew who chose the project whilst amongst non-beneficiaries 91% knew.



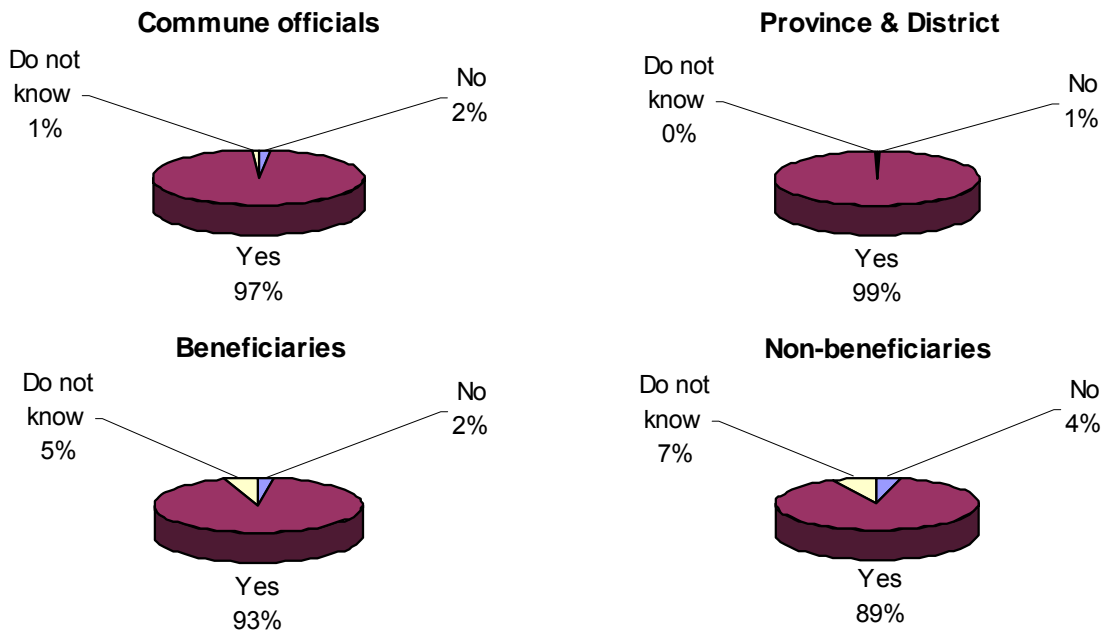
**Q1D. Was there consultation about choosing the project?**

The majority agreed that there was consultation about choosing the project. There were small percentages that said there was no consultation but on scrutiny, the *No* responses came from 19 individuals spread across 17 projects, and eleven of these were female villagers. It is concluded that there was consultation about choosing all 100 projects.



**Q1E. Was there consultation about design and building the project?**

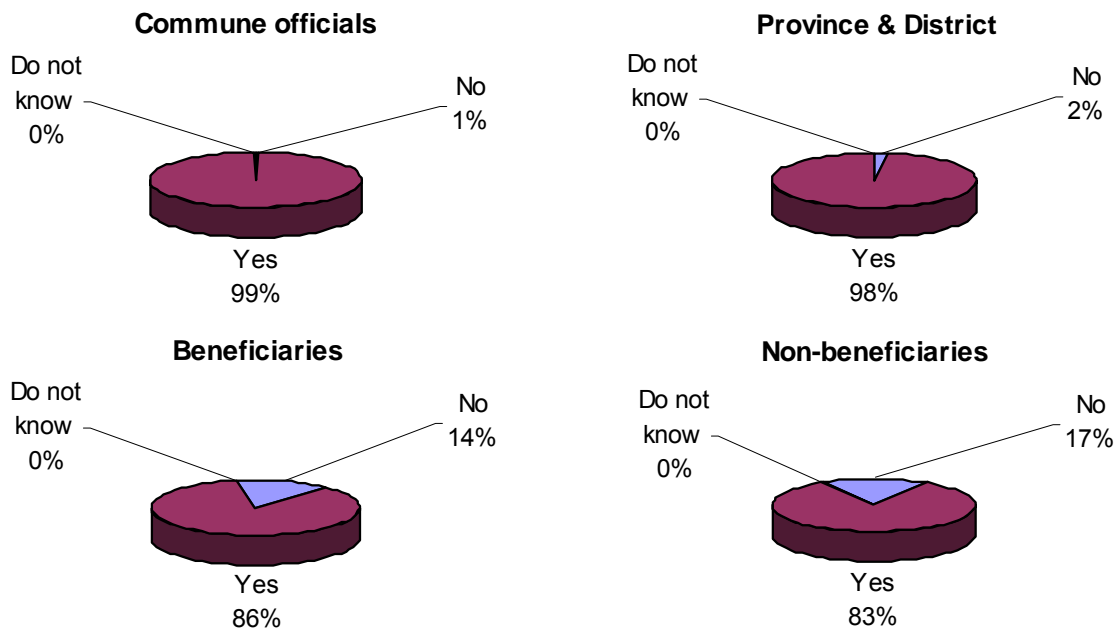
The majority also agreed that there was consultation about the design and building of the project. The *No* responses came from 27 individuals for 21 projects; this included 18 villages, 13 that were female. It can be concluded that there was consultation about design and building for all 100 projects.



**Q1F. Did you participate in community meetings for the project?**

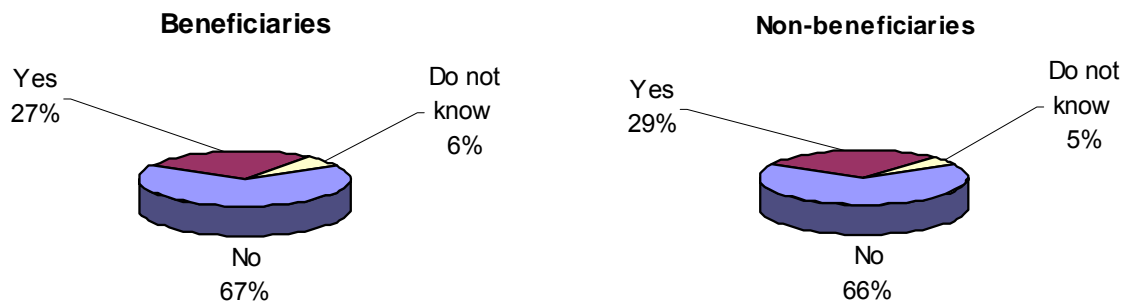
There was a very high level of participation by officials in meetings; there were just eleven projects where one of the nine interviewed officials was absent, which is acceptable. The results show 14% did not participate, and the high level of participation of non-beneficiaries is worthy of note. There was 100% participation for 48 projects, for the other 52; 85 of the

sampled villagers did not attend, up to four for a couple of projects, and 54 non-attendees were female. It can be concluded that stakeholders had opportunity to participate in meetings.



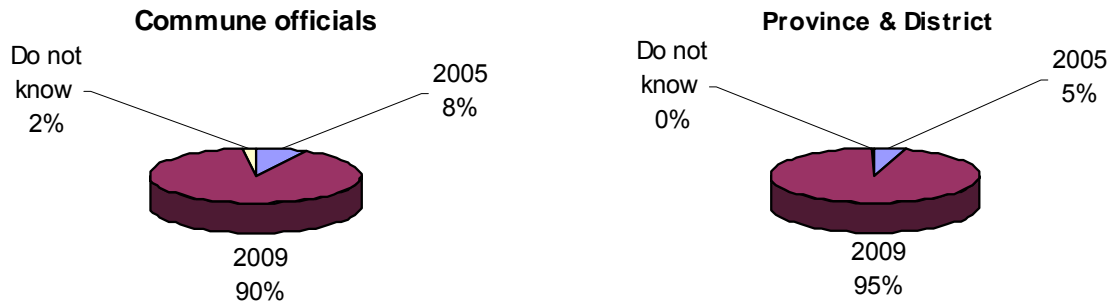
**Q1G. Do you know that there is a document called the Project Implementation Manual (PIM), which states the rules for implementing C/S Fund projects?**

This question was only put to beneficiaries and non-beneficiaries because commune, provincial and district officials would be expected to know. About two-thirds of both groups were not aware of the existence of the PIM.



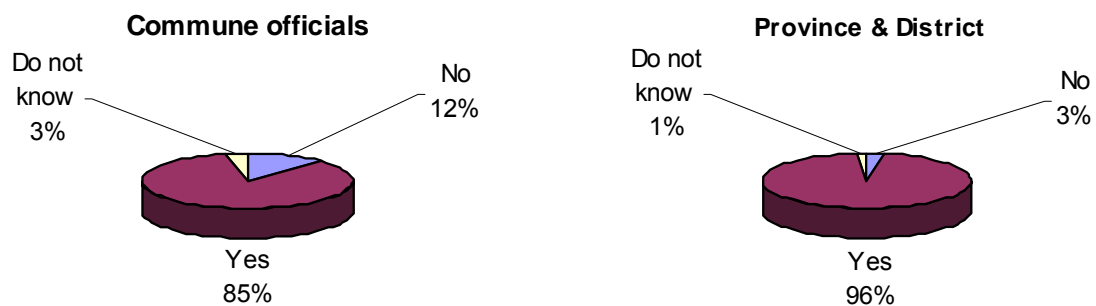
**Q1H. Which version of the PIM was used for the project?**

This question was only put to commune, provincial and district officials. The responses indicated that the 2005 PIM was still being used by 8% and 5% of officials respectively.



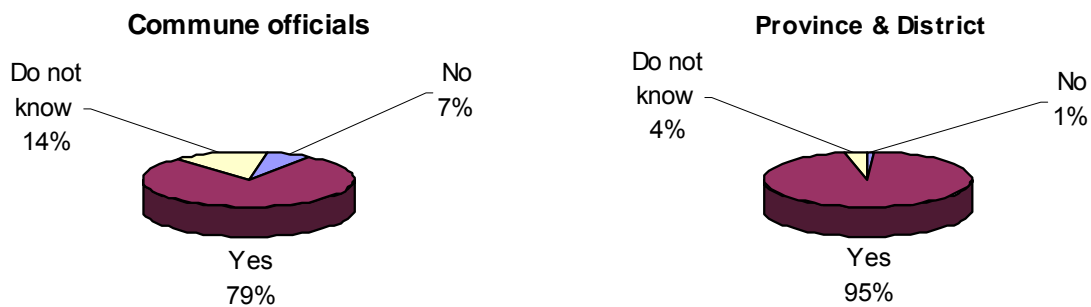
**Q1J. Did you receive training in use of the 2009 PIM?**

Some 85% of commune officials and 96% of province and district officials said that they had received training in use of the 2009 PIM.



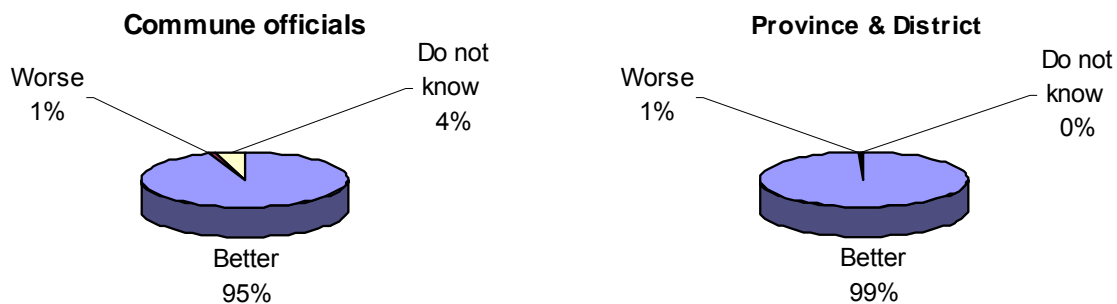
**Q1K. Did you see any difference between the 2009 PIM and the 2005 PIM used for previous projects?**

This question was only put to commune, provincial and district officials. Some 79% of commune officials noticed the differences between the 2005 and 2009 PIM; but 95% of province and district officials recognised differences.



**Q1L. Is the 2009 PIM better or worse than the 2005 PIM?**

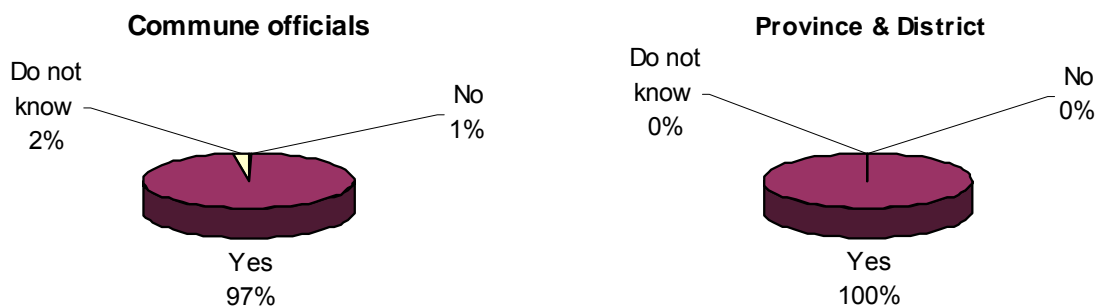
This question was only put to commune, provincial and district officials. The overwhelming opinion is that the 2009 PIM is better than the 2005 PIM, only 1% of officials thinking it worse.



Some 311 commune officials and 119 province and district officials said that the 2009 PIM was easier to understand. Overall, 61 officials liked the brevity and 46 liked the extra detail; 115 officials liked the way the 2009 PIM explains the procedures and steps in the process.

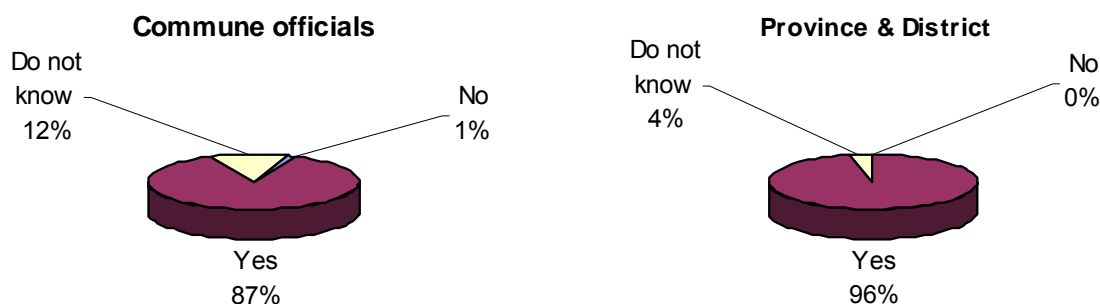
**Q1M. Are project documents available in the Commune?**

The answers indicate documents are available in the commune, the small proportion of commune officials who did not answer Yes might be explained by their lack of knowledge rather than non-compliance.



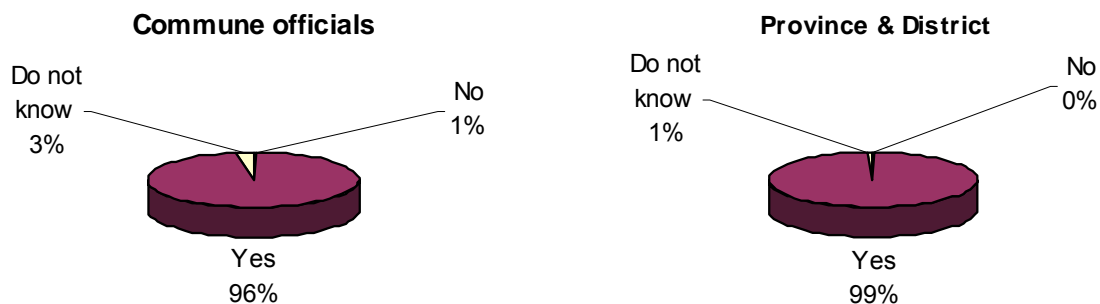
**Q1N. Are project documents available at Provincial offices?**

This question was only put to commune, province and district officials, and the positive response from the province and district officials indicates that the documents are at provincial offices.



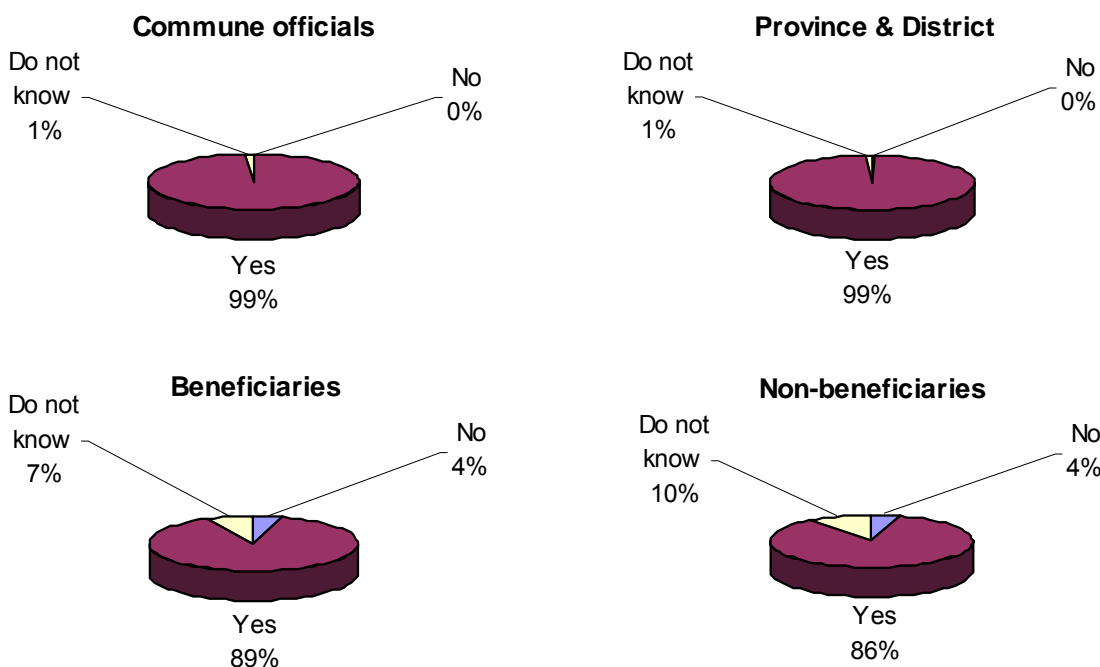
**Q1O. Was there consultation before signature of the Project Information Form?**

This question was only put to commune, provincial and district officials. The responses indicate that there was consultation before signature of the Project Information Form. For the 1% of commune officials who said there was not can be discounted, the result comes from three individuals at three projects, where the other five stakeholders said it was.



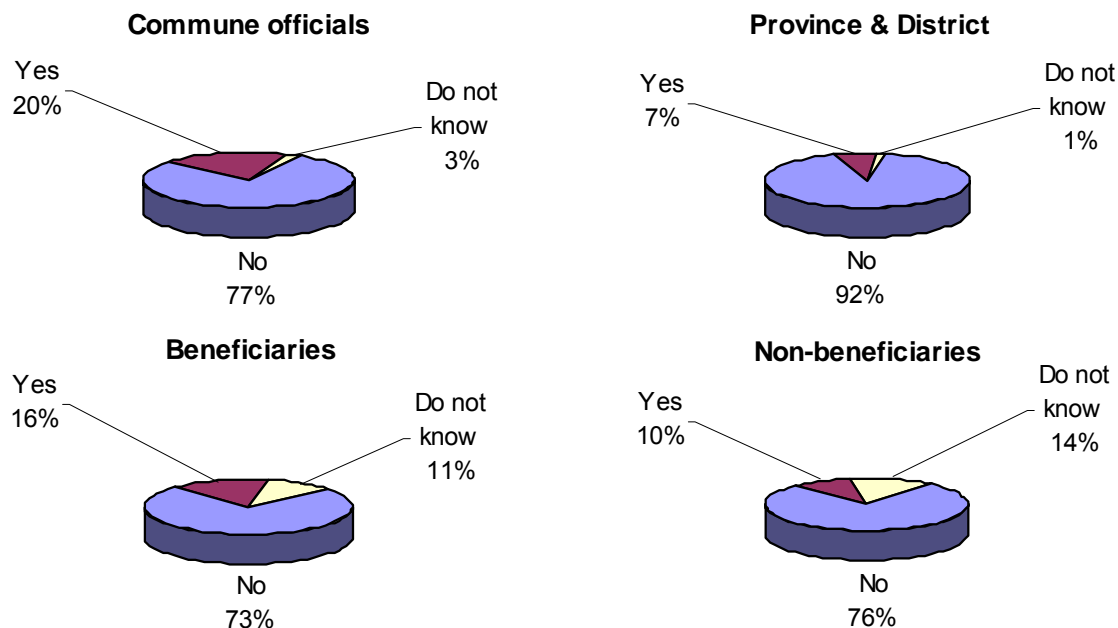
**Q1P. Were design studies completed for the project?**

Officials indicate that there were always design studies. The 4% or 23 beneficiaries and non-beneficiaries who said there were not were spread across 21 projects, and 13 were female; it can be assumed that they were just not aware because other stakeholders in the communes were certain there were studies.



**Q1Q. Was the project changed in any way because of these studies?**

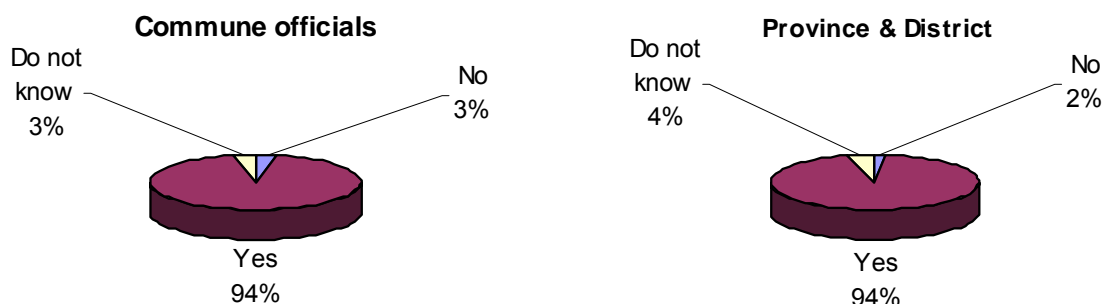
There were differences of opinion between groups on whether the project changed in any way because of the design studies; 20% of responses from commune officials said projects were changed, province and district officials thought 7% of projects were changed, whereas 16% of beneficiaries said projects were changed. Changes were said to be made on 69 projects although in 16 cases the change was only reported by villagers and not corroborated by any officials. There was probably some confusion whether the change was made at the planning or implementation stage. However, it can be concluded that changes were made to about half the projects.



In ten cases a road project was changed to a culvert, for five projects there were changes to the location, length of road or the work-plan. Two projects were changed because of affects on people or land. In one case a water pond was changed to a road.

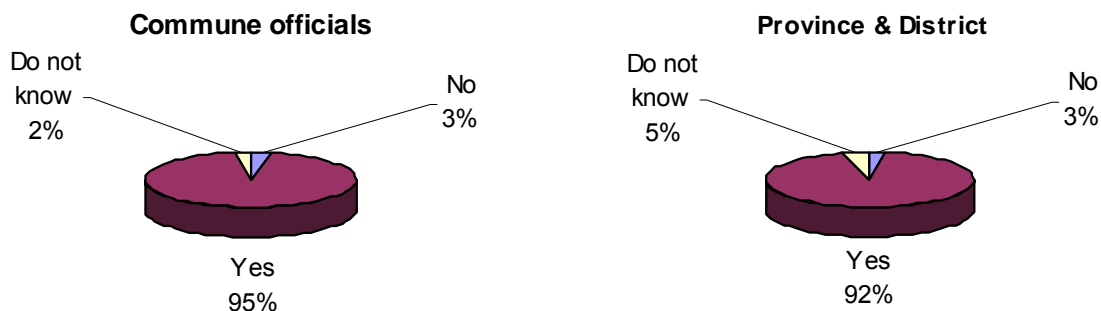
**Q1R. Was the Project Information Form correctly checked by P/MLAU?**

This question was only put to commune, provincial and district officials. A minority said that the Project Information Form was not correctly checked by P/MLAU, 3% at the commune and 2% at province and district. There is probably a problem with non-conformance for this question. Twenty-one respondents from thirteen projects said the form was not correctly check. In three cases it was only a single commune councillor who answered *No*. However, for the other ten projects there were three TSO, a DFT, a PFT, commune chiefs or multiple commune officials answering *No*. It indeed appears that sometimes project forms are not correctly checked by P/MLAU.



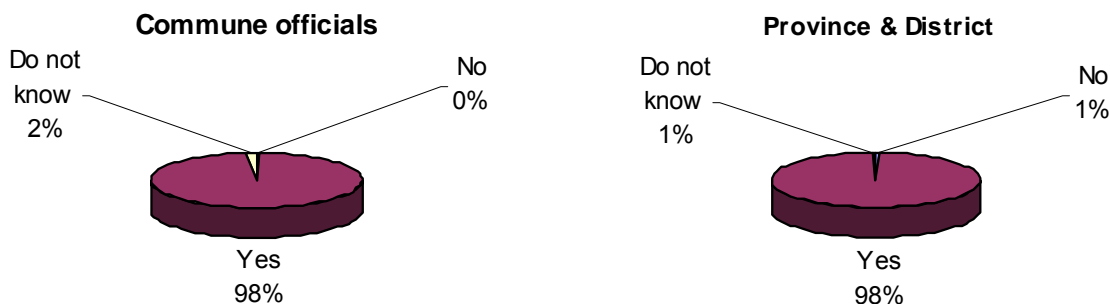
**Q1S. Was technical clearance give by the line department?**

This question was only put to commune, provincial and district officials. Some 3% of respondents said that the line department did not give technical clearance, comprising 24 officials over 17 projects. The spread blurs the issue, but with four of the projects it was the PFT who said there was no clearance, for another it was a TSO, and for two there were several commune officials saying there was no clearance. It therefore appears that maybe between three and seven projects did not get line department clearance.



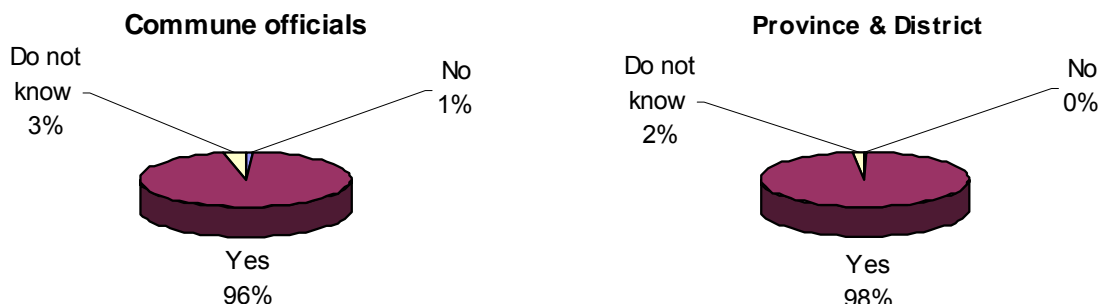
**Q1T. Did the TSO advise the Procurement Committee for competitive bidding?**

This question was only put to commune, provincial and district officials. The response from commune officials indicates that the TSO are advising the procurement committee although 1% of province and district officials indicate that in some cases they are not; this comprised one PFT and one DFT on two different projects and given the responses from the communes, the answers can be discounted.



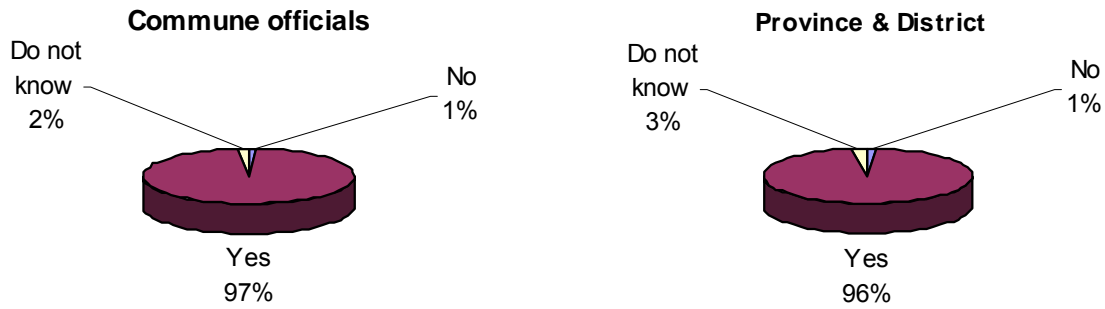
**Q1U. Did the Procurement Committee understand the procurement process (that is the processes used to get a contractor to build the project)?**

This question was only put to commune, provincial and district officials. The responses indicate that, on all but one project in Kampong Speu province, the procurement committees did understand the procurement process. On the one project both PBC and the PMU interviewed said they did not.



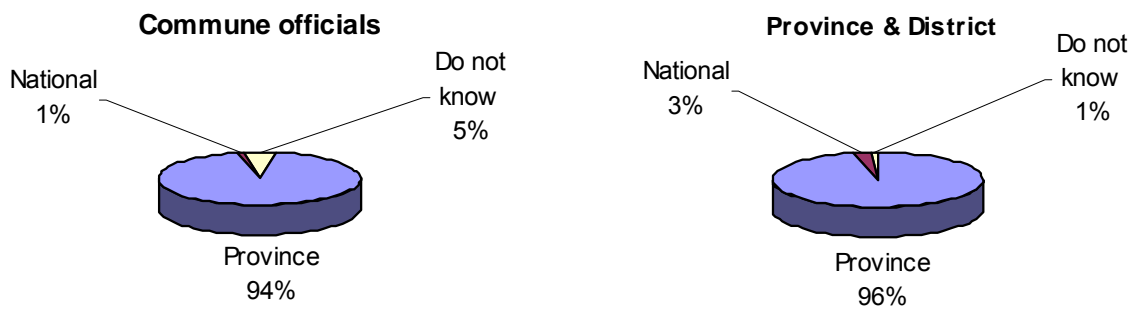
**Q1V. Were the project details posted on notice(s) in the Commune for at least two weeks?**

This question was only put to commune, provincial and district officials. Generally, the project details were posted; with the possible exception of one project in Kampong Speu province where several officials including the Commune Chief said they were not.



**Q1W. Were bids invited from a provincial or national list of prequalified contractors?**

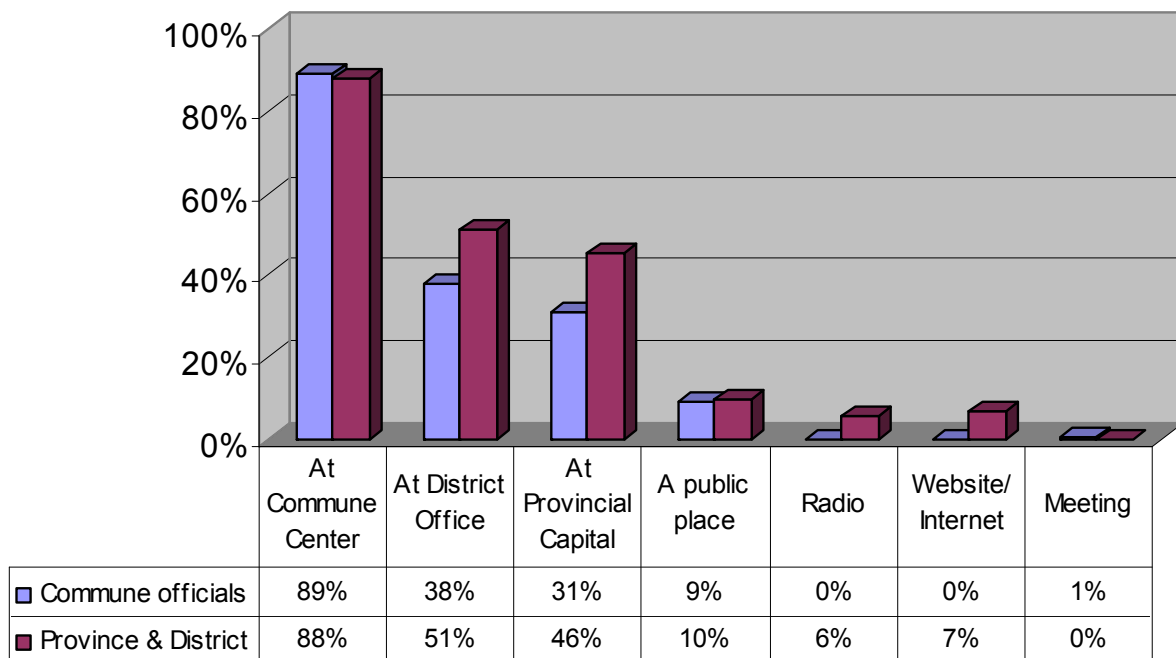
This question was only put to commune, provincial and district officials. By far the majority of projects used provincial lists of contractors.



**Q1X. How were bids advertised?**

This question was only put to commune, provincial and district officials.

**Methods used to advertise invitation to bid**

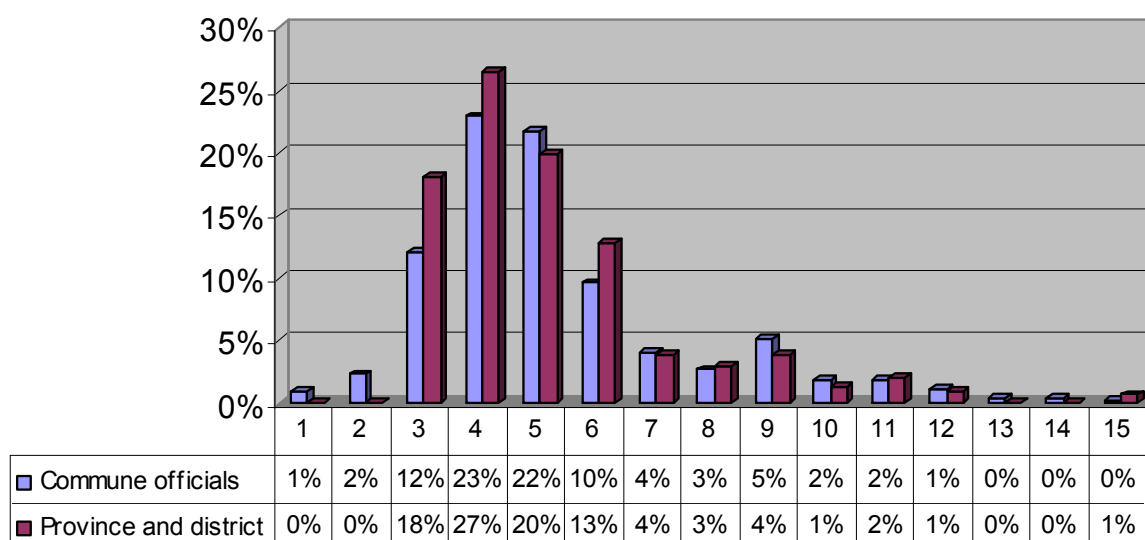


The invitation to bid was advertised by a variety of means; 88% to 89% of officials giving a reply said a notice was posted in the Commune. Province and District officials should be in a better position to know about other methods than the communes should and 51% said notices were posted at the district centres and 46% said they were also posted at the provincial capital or city. In about 10% of cases notices were posted in other public places, 6% were advertised on the radio and 7% using the Internet. There appears to have been at least one meeting.

**Q1Y. How many complying bids were received?**

Most projects received between three and six complying bids although up to 15 complying bids were received for some projects. The commune officials reported a small percentage of examples where only one or two complying bids were received, although this does not correspond with the province and district officials who report that a minimum of three complying bids was always received.

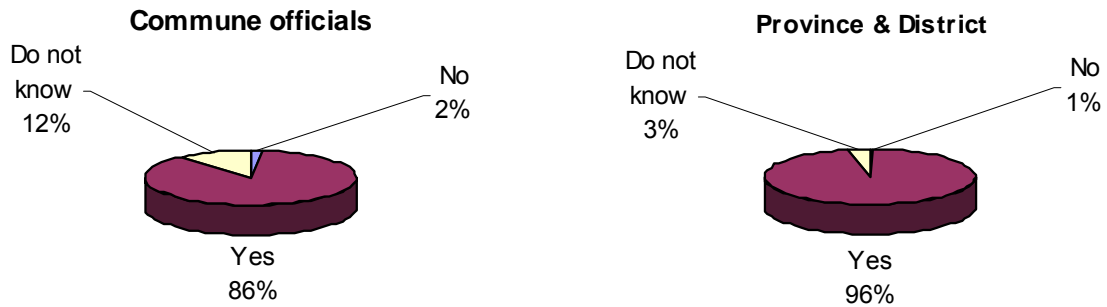
**Numbers of complying bids received**



Note: 'Do not know' responses are not shown

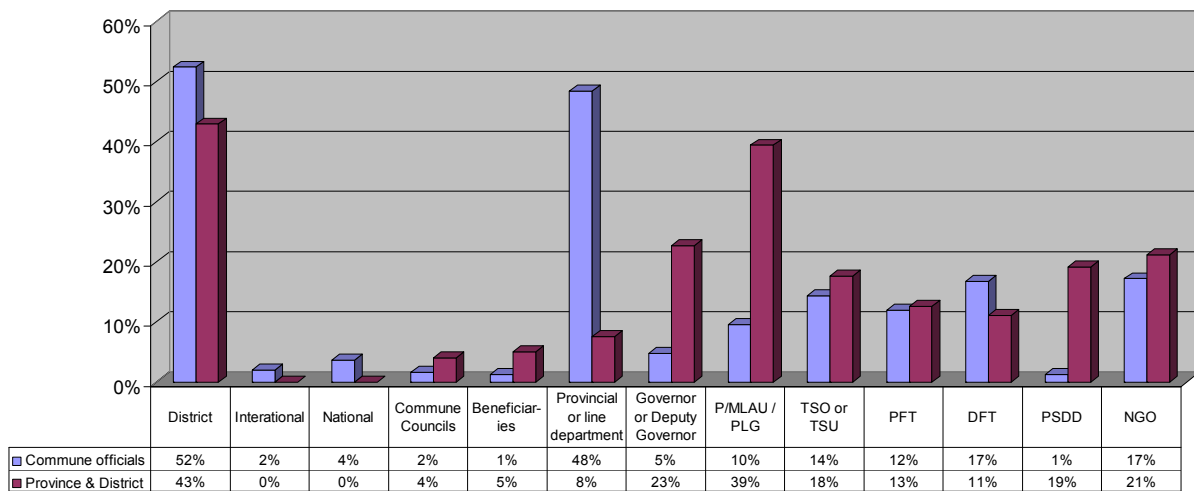
**Q1Z. Were observers invited to the bidding process?**

This question was only put to commune, provincial and district officials. The differences between groups is attributable to the *do not know* responses. The small proportion saying that observers were not invited comprises twelve respondents across ten projects; it might be due to misunderstanding about the status of observers rather than meaning that there were none. It can be concluded that observers are being invited to the bidding process.



The column chart gives an indication of observers invited. Although there are some discrepancies between the commune, province and district officials, this is probably due to confusion over the status of observers from provincial level.

### Observers invited to bid opening meetings



### Q1AA. Was a Bidding Report Form completed?

This question was only put to commune, provincial and district officials. The answers indicate that a Bidding Report Form was prepared for every project; there were no negative responses only a small number of do not know.



### Q1BB. What documentation was prepared for failed bids

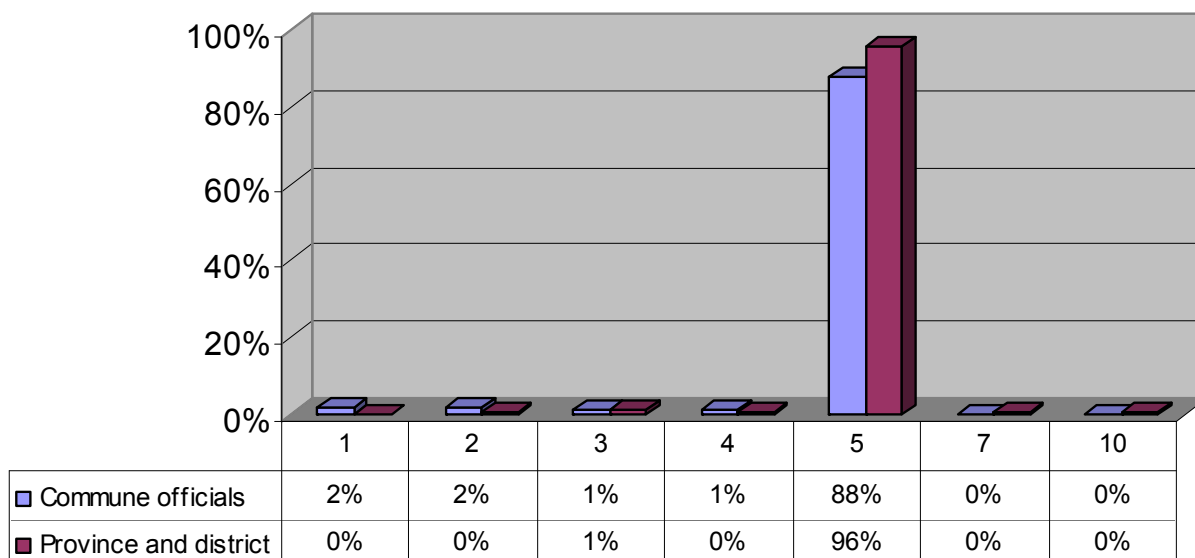
This question was only put to commune, provincial and district officials. Unfortunately, the question was widely misunderstood and only 32% of the sample gave an answer. Many of these interpreted the question to mean that the 'bidding process' failed which of course did not happen because all the projects were built. The question intended to confirm that the

documentation for failed bids is kept at the commune office with the project files, as required by the PIM. Because of the misunderstandings, the results for this question are discounted. This issue has instead been addressed by the document scrutiny carried out during Phase 2.

**Q1CC. How long is bid documentation kept?**

This question was only put to commune, provincial and district officials. Documents will be kept for five years for all 100 projects. The small percentage of responses showing that they will be kept for less time are from one to three respondents spread across ten projects, it reveals that these individuals do not have a correct understanding, not that there is a non-compliance.

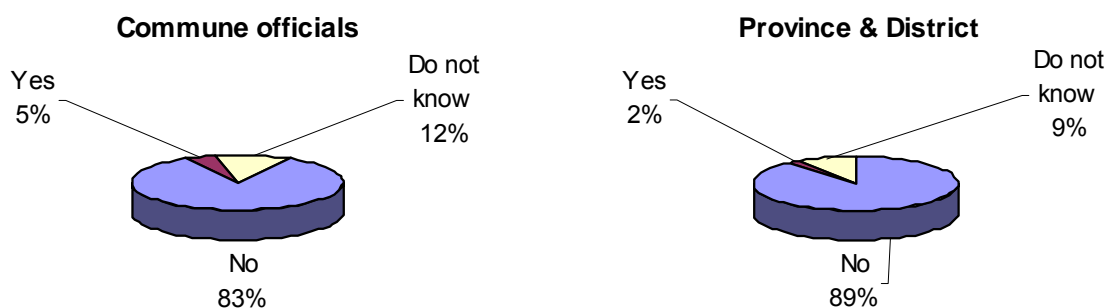
**How long bid documentation is kept at Commune Office**

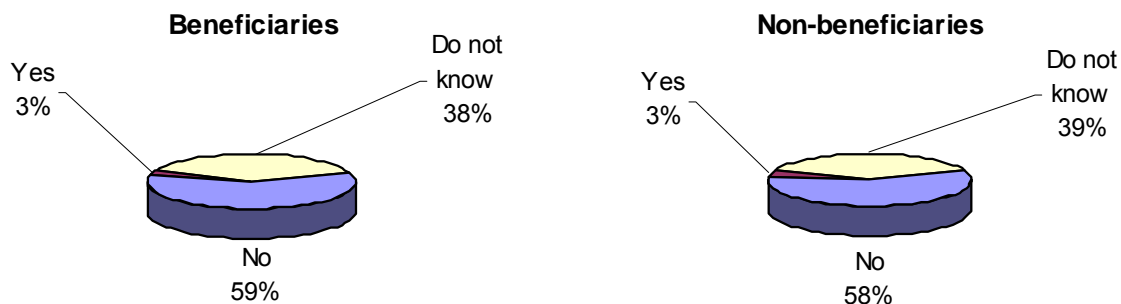


Note: 'Do not know' responses are not shown

**Q1DD. Was there any evidence of corruption in the bidding process or the construction work?**

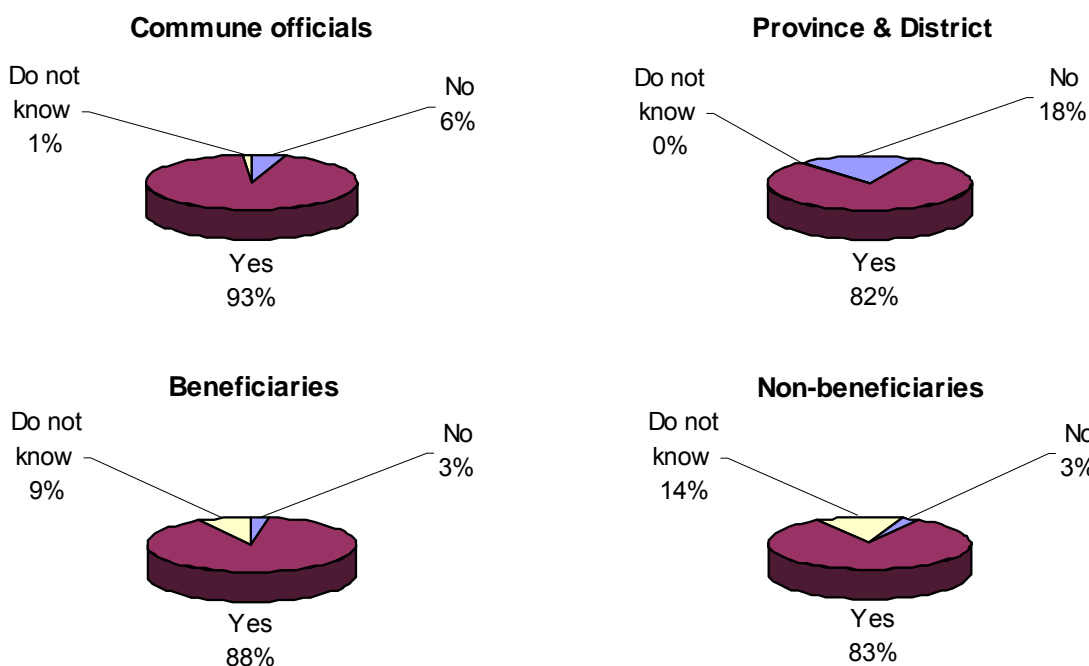
Spread across 40 projects there were 52 respondents from all classes of stakeholder who said that there was evidence of corruption. There were larger proportions that said they *do not know* which could include people not prepared to talk openly about corruption. However, only one person who was amongst the non-beneficiaries was prepared to comment on the alleged corruption and what it involved, in this case it was said to be “phone payment”. It can be concluded that corruption, probably at a low level, has not been eliminated from the process.





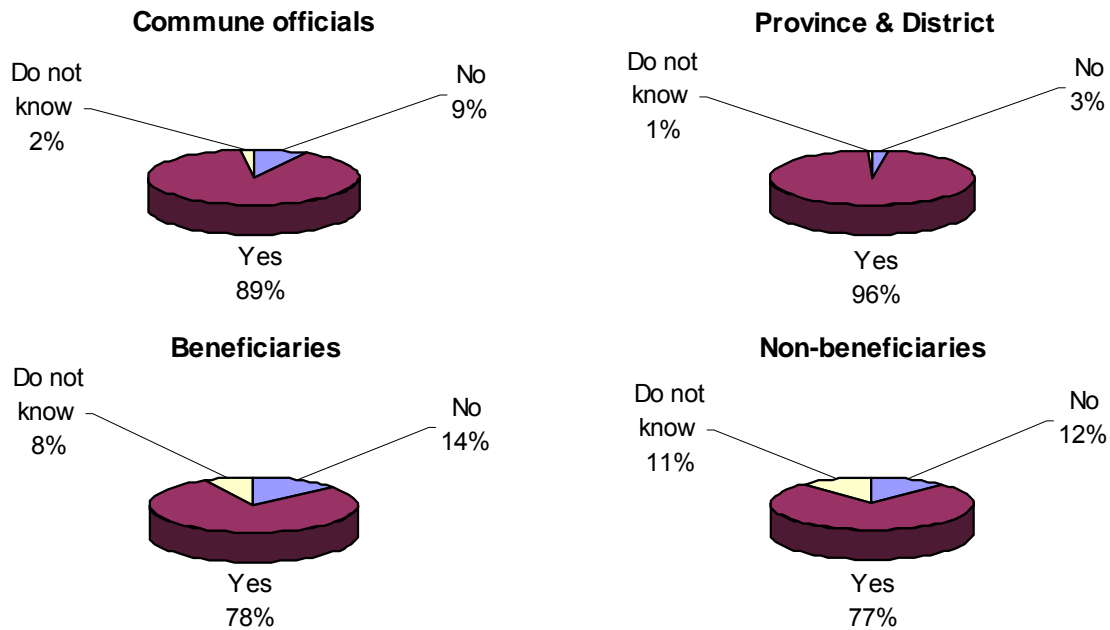
**Q1EE. Did the contractor complete construction within the time required by the contract?**

Although 100 respondents said the contractor did not finish on time for 47 projects closer scrutiny of agreement and correlation of officials on individual projects suggest it was only about 21 were actually late. For the sample contractors were finishing on time about 79% of the time. The province and district officials rated contractors late more often than other stakeholder groups; this is probably because this group puts a stricter interpretation on completing construction; the community looks at the construction work whereas an official also thinks about the paperwork. In conclusion about 21% of projects finished late.



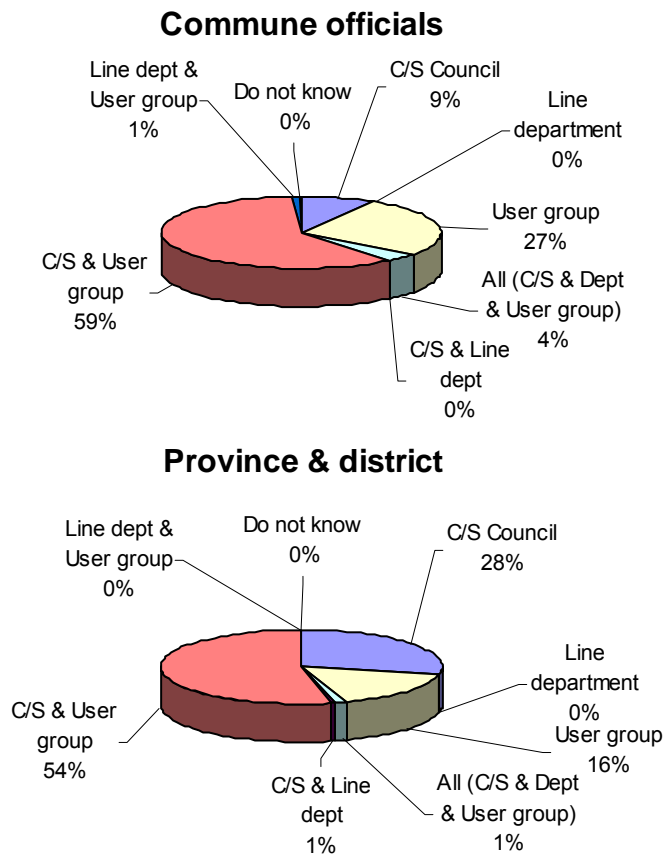
**Q1FF. Is there a project signboard?**

Although 132 stakeholder across 46 projects said there was no signboard, a majority of stakeholders from these projects said there was. It can only be assumed that those saying *No* had simply not seen the signboard. It can be concluded that signboards were provided for all 100 projects.

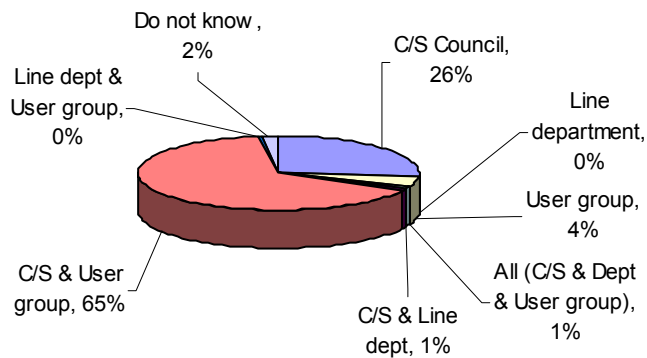


**Q1GG. Who is responsible for operation and maintenance?**

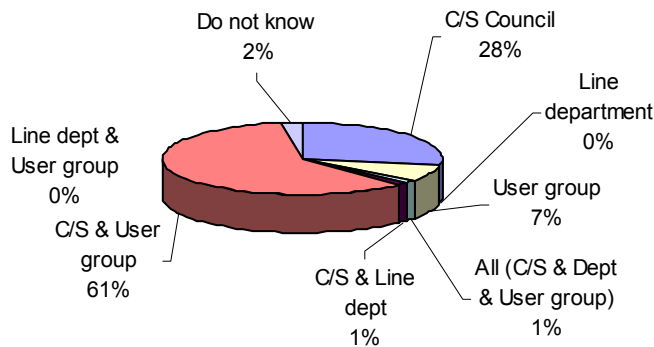
This proved a more difficult question to answer than was anticipated when the questionnaire was prepared. This was because there occurs various combinations of mixed responsibility with sometimes rather poor correspondence between the stakeholder groups. It is clear that the most popular arrangement is C/S Council in combination with a user group for variously between 54% and 65% of projects. The next most common arrangements give responsibility to either the C/S Council or a user group, although the proportion varies between stakeholder groups. It should be remembered that the sample is dominated by rural road projects.



### Beneficiaries



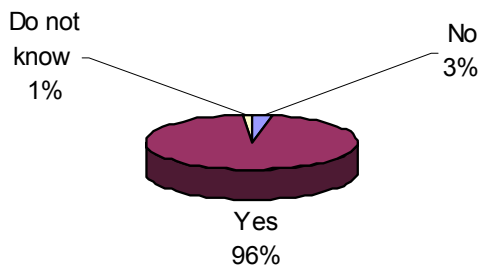
### Non-beneficiaries



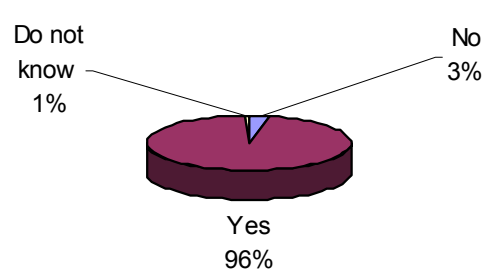
### Q1HH. Was an operation and maintenance plan prepared?

Fifty-three stakeholders across 35 projects believed no operation and maintenance plan was prepared, many of the beneficiaries and non-beneficiaries answered *Do not know*. However, this response was in a minority for every project so it can be concluded that operation and maintenance plans (albeit possibly inadequate) were prepared for all 100 sampled projects.

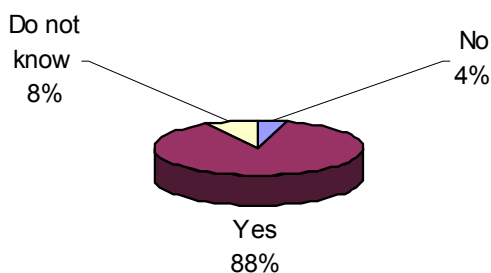
#### Commune officials



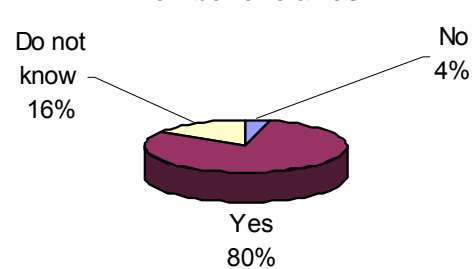
#### Province & District



#### Beneficiaries

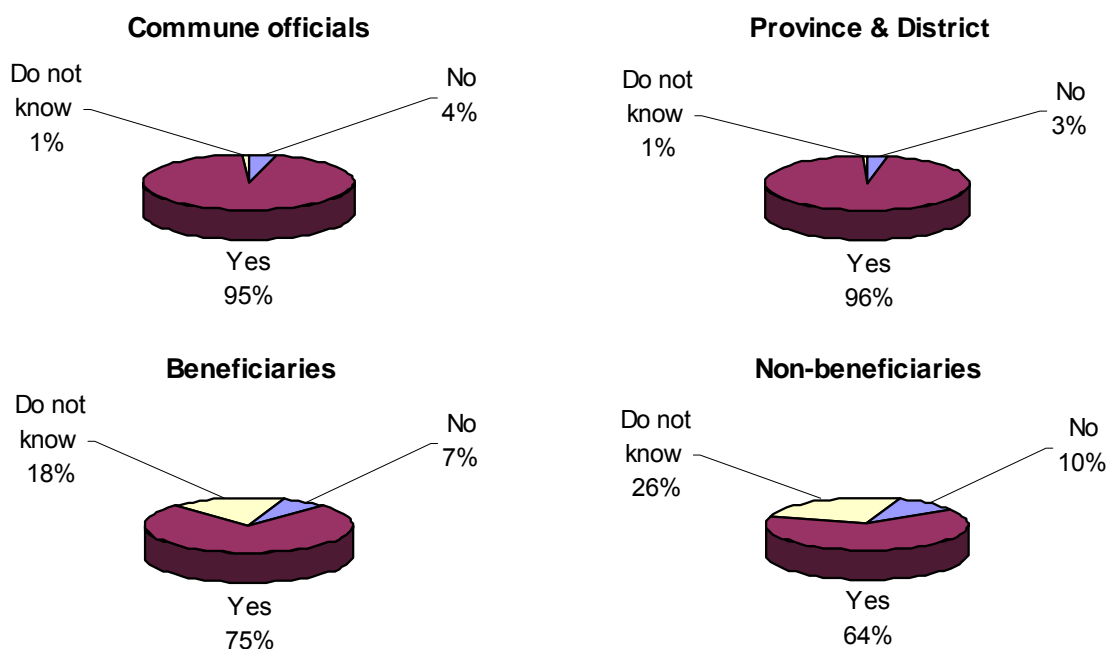


#### Non-beneficiaries



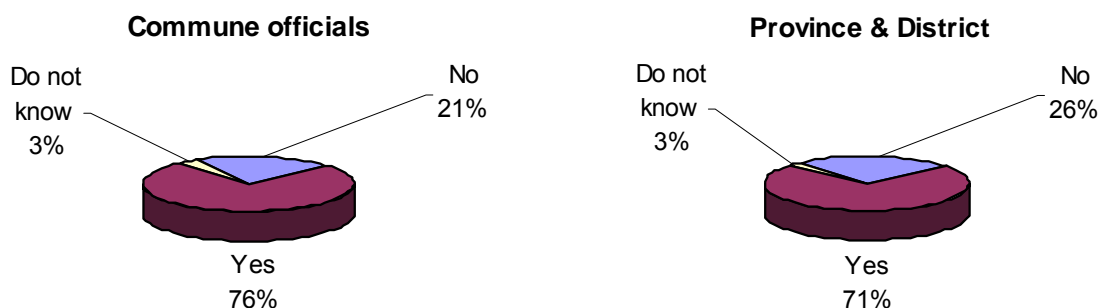
**Q1JJ. Is there a user group for the project?**

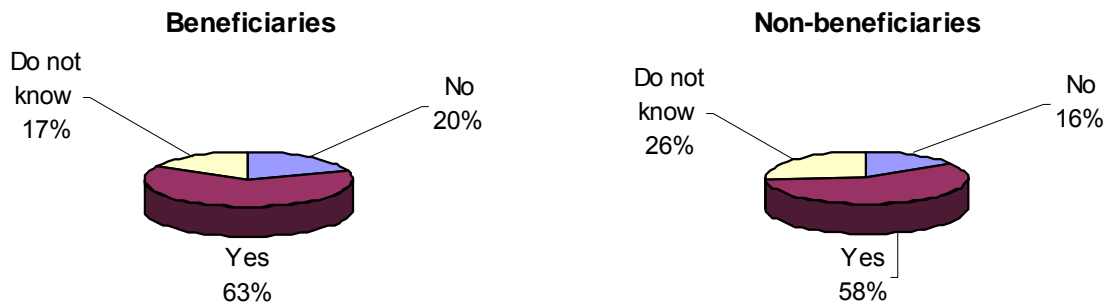
For 36 of the sampled projects 78 respondents said there was no user group. For 34 of those projects this was only a minority one to three people, so the majority said there was a user group. Two projects were different. In the first the beneficiaries and non-beneficiaries said there was a user group but the officials said there was not. In the second, the situation was reversed; the officials said there was a user group but the beneficiaries and non-beneficiaries interviewed said there was not. It should be remembered that all the projects were just constructed so new user groups might not yet have been active. It can be concluded that user groups are being established although not everybody is aware of this.



**Q1KK. Was this an existing user group?**

The responses were somewhat inconsistent between the groups. Only for eight of the sampled 100 projects were all stakeholders agreed that there was an existing user group. For the remainder there ranged from one person saying there was not to a 50:50 divide between Yes and No/Do not know. The figures show this well. It can be concluded that there were existing user groups for a minimum 60% of projects.





#### A4.2.2 Timeliness of procedures and decisions

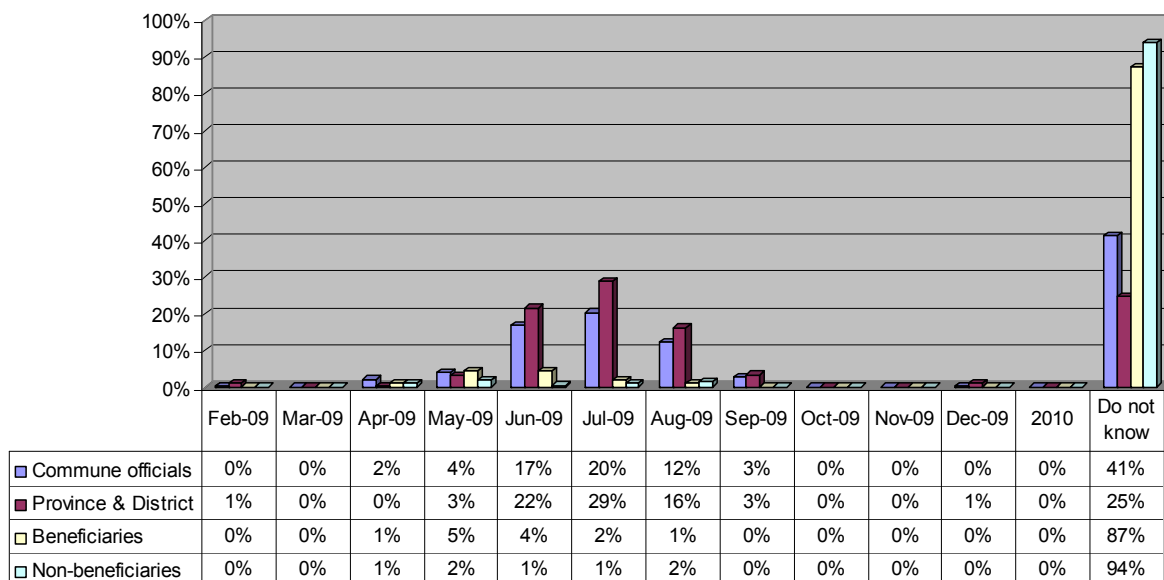
##### Summary of key findings

The summary conclusions for timeliness of procedures and decisions are listed below; the full questions, commentary and charts follow.

- Q2A. Expected completion dates for the 100 projects sample were concentrated between June and August 2009.
- Q2B. There was delay according to 33% of respondents from the provinces and districts, and in 26% of cases according to commune officials.
- Q2C. The officials reported that the projects actually finished during the period between June and August 2009.

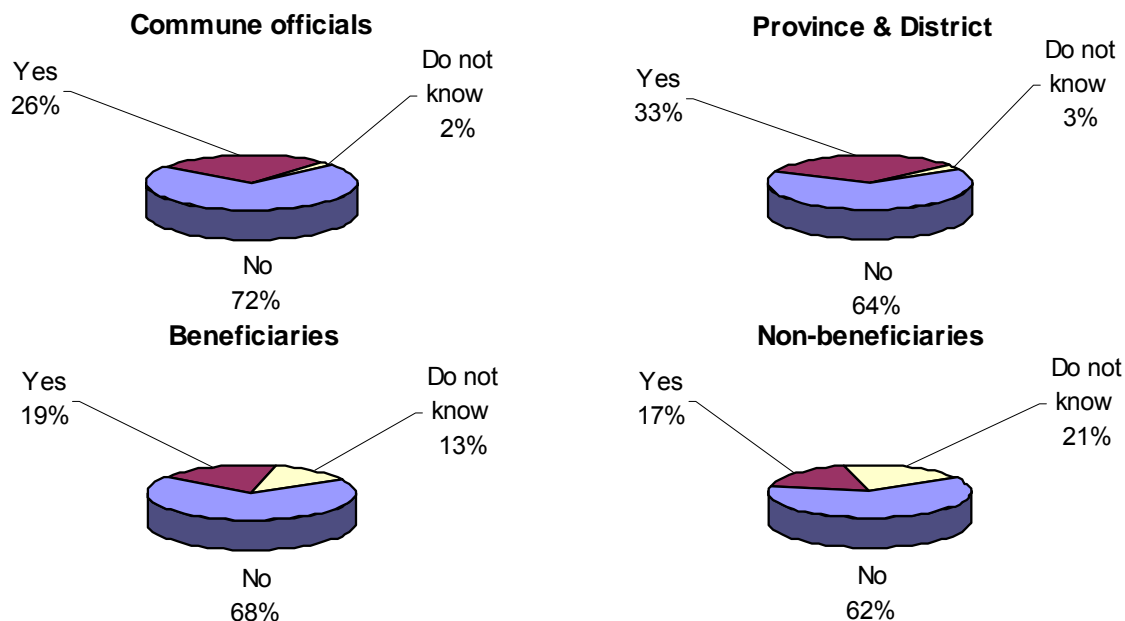
#### Q2A. What date did you expect the project to be completed once it was cleared for funding by district workshop?

The officials had the best knowledge of when the projects were completed and the expected dates were concentrated between June and August 2009. Even so 25% of province and district officials and 41% of commune officials could not give a date. Few of the beneficiaries and non-beneficiaries could give a date, 87% and 94% respectively. Note that the June to August 2009 window applies only to the 13% of 2009 projects actually completed in time for this process audit. The survey did not collect information on the remaining 87% of projects not completed by this date.



**Q2B. Was the project delayed?**

There were only 19 projects where no one said there was a delay in implementation. For many others only one person and not an official said there was delay, and in such cases, the delay was probably perceived but not real. Therefore, the percentages in the charts probably present a good representation of the situation. As might be expected the officials demonstrated a better knowledge whether projects were delayed. There was delay according to 33% of respondents from the provinces and districts, and in 26% of cases according to commune officials. It must be remember that only 13% of 2009 projects were completed in time for the process audit and that these are projects with the least or no delay.

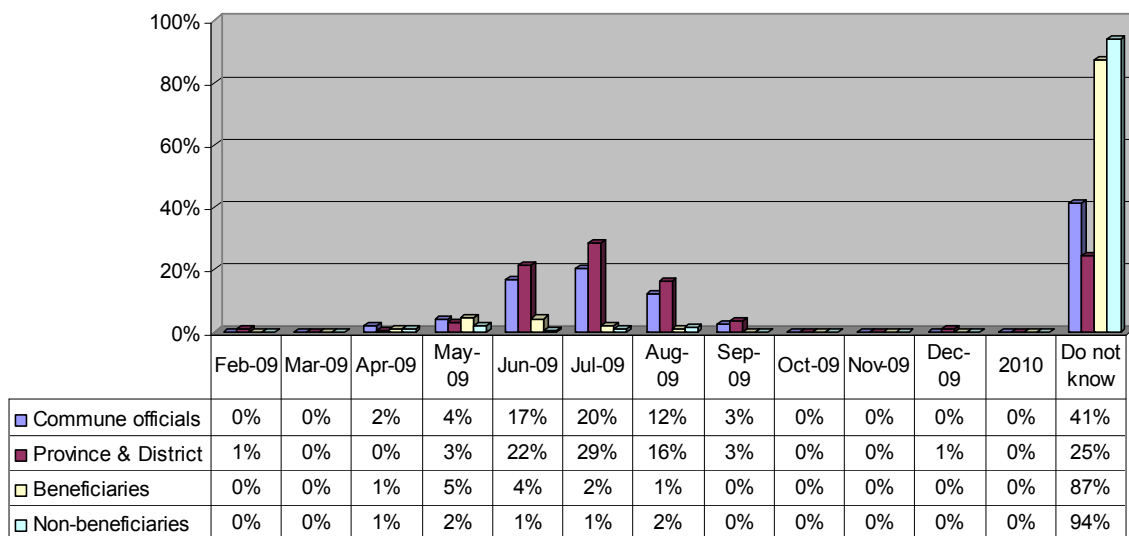


The most common cause of delay cited by 121 people was because of rain or flooding during the wet season. Seventeen people gave the contractor being busy on too many projects as a reason. Two non-beneficiaries said there was a delay due to land issues. Seven people said there was delay due to late initial payment.

**Q2C. When was the work actually completed?**

The officials reported that the project actually finished during the period between June and August 2009. However, 81% of beneficiaries did not know when the project was finished.

**Expected date for project completion**



### A4.2.3 Adequacy of budget

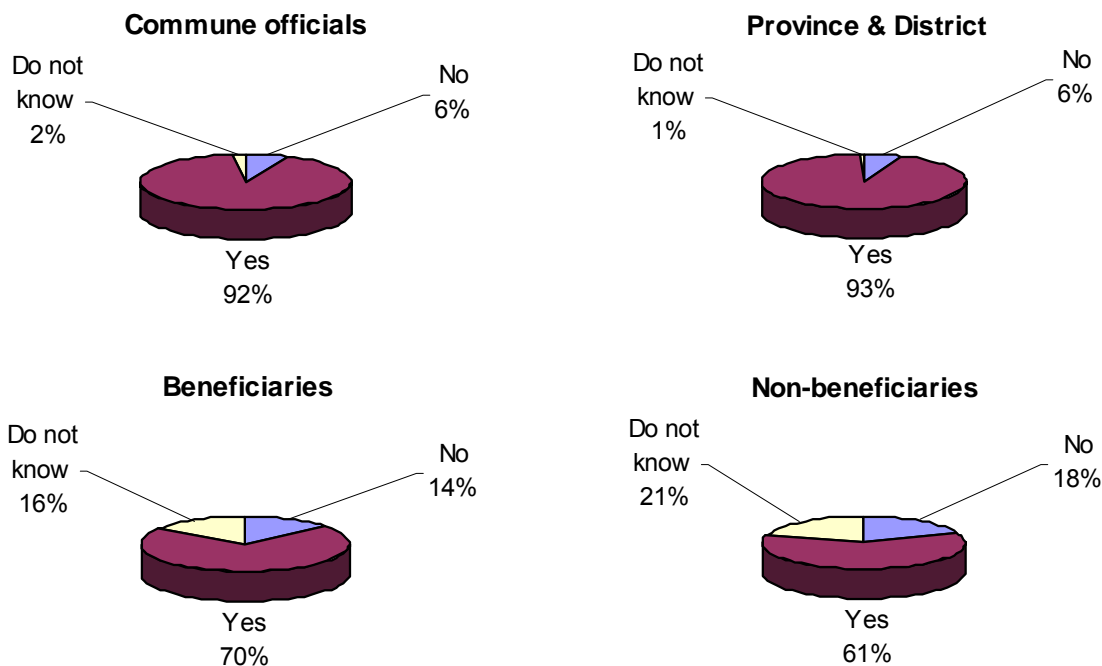
#### Summary of key findings

The summary conclusions for adequacy of budget are listed below; the full questions, commentary and charts follow.

- Q3A.** The officials reported that the project actually finished during the period between June and August 2009.
- Q3B.** Project costs seem to have been higher than the estimate about 4% to 5% of the time.
- Q3C** In the communes, 16% to 19% said that a smaller or incomplete project was built because the C/S Fund could not provide enough money for the project that was wanted.

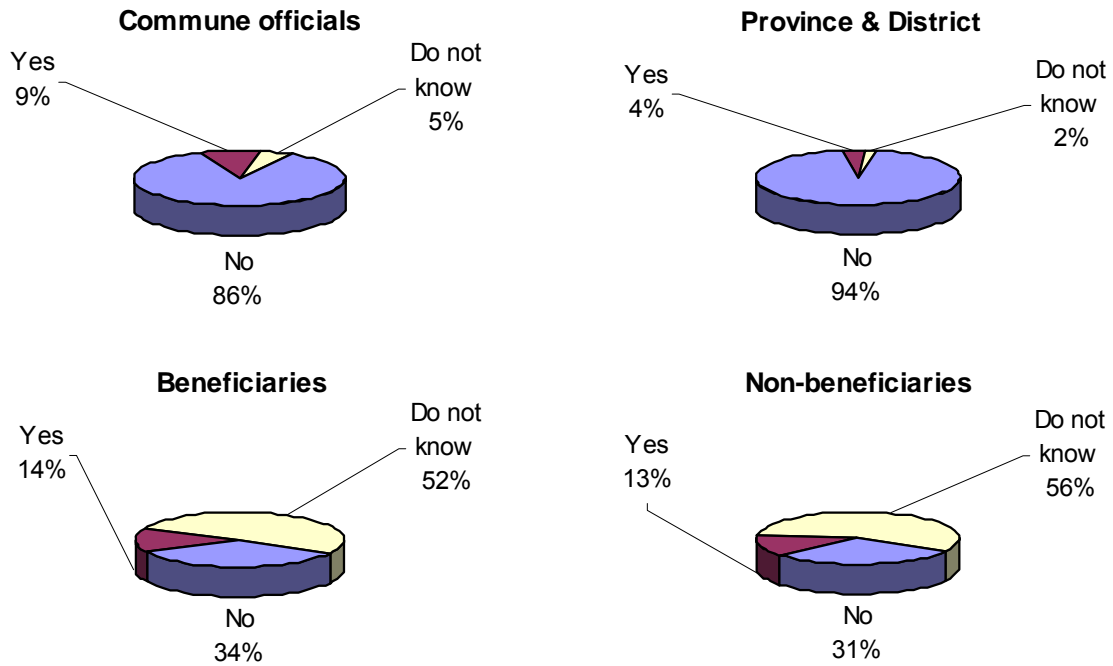
#### Q3A. Did the C/S Fund provide enough money to complete the project?

The *No* answers indicate that 6% of officials had projects where C/S funding was thought to be insufficient. The equivalent responses for beneficiaries and non-beneficiaries were 14% and 18% respectively but also many in these groups did not know.



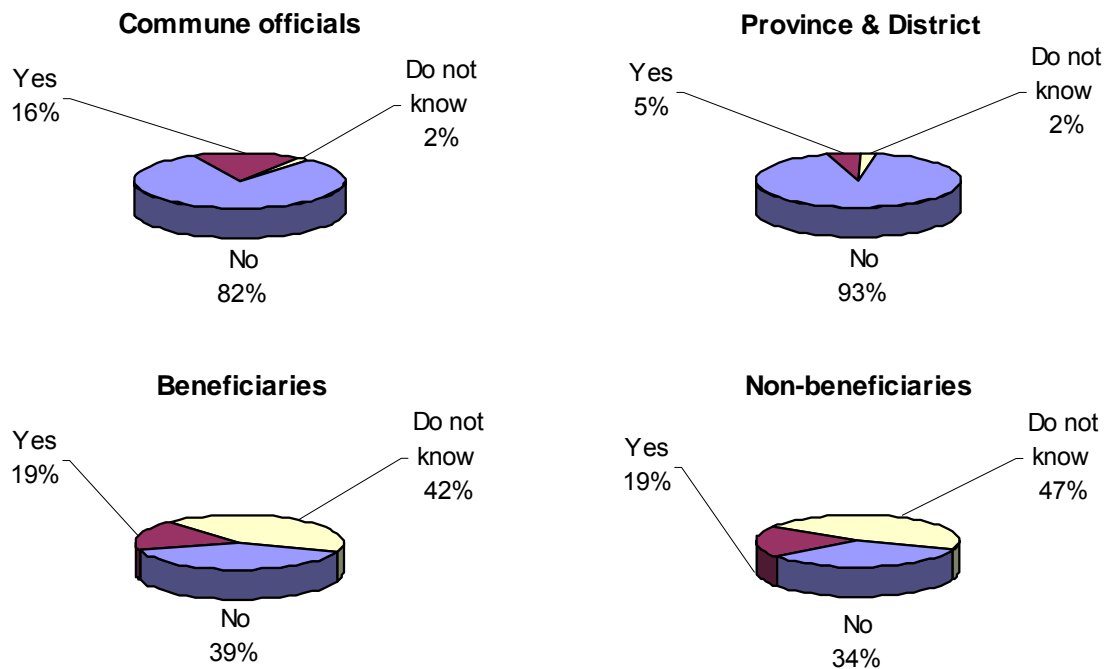
#### Q3B. Was the project cost higher than the estimated cost?

The officials are probably better informed on this issue and on that basis project costs seem to have been higher than the estimate about 4% to 5% of the time. Beneficiaries thought they were higher 13% of the time.



**Q3C. Was a smaller or incomplete project built because the C/S Fund could not provide enough money for the project that was wanted?**

There was reasonable consistency between stakeholder groups in the commune where between 16% and 19% said that a smaller or incomplete project was built because the C/S Fund could not provide enough money for the project that was wanted. The province and district officials said that this applied only 5% of the time but these officials might not fully understand the communes' aspirations.



### A4.2.4 Adequacy of financial procedures

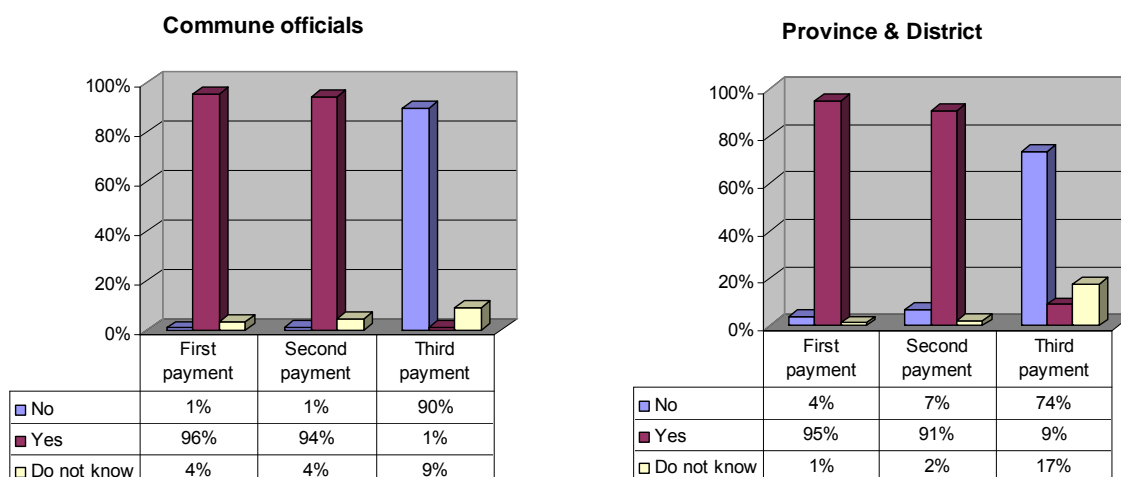
#### Summary of key findings

The summary conclusions for adequacy of financial procedures are listed below; the full questions, commentary and charts follow.

- Q4A. C/S Fund contributions were said to be available to pay contractors more than 90% of the time for the first and second payments; however, availability for the third payment is generally late, at least 90% of the time.
- Q4B. Communes reported that 69% of projects contributions were made with the first payment. Provinces and districts give a different picture with contributions reported 40%, 16% and 44% across the three payments.
- Q4C. Responses from the communes indicate that the full contribution was not collected at least 17% of the time, but the provinces and districts report this only 9% of the time.
- Q4D. The main form of contribution was cash for more than 90% of the time.
- Q4E. The contribution was collected from benefiting groups in 72% to 74% of cases.
- Q4F. Some 72% to 74% of stakeholders said contributions were collected after bidding.
- Q4G. Adequate records of contributions were kept for 98 of the sample of 100 projects.
- Q4H. The failure to issue receipts for contributions is a significant non-compliance.
- Q4J. Overall, late payment of contributions does not appear to cause significant delay.
- Q4K. There is little agreement between stakeholders that mistakes in financial procedures were made on a particular project, but the results point to mistakes occurring about 5% of the time.
- Q4L. It can be concluded that abuse of financial procedures occurred on not more than 2% of projects.

#### Q4A. Were C/S Fund contributions to pay the contractor and local contributions available on time.

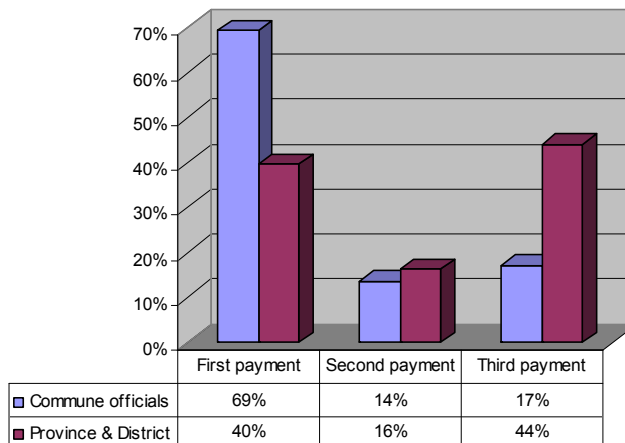
This question was put to commune, province and district officials. C/S Fund contributions were said to be available to pay contractors more than 90% of the time for the first and second payments; the communes indicating marginally better performance than the provinces and districts. However, availability for the third payment is generally late, at least 90% of the time according to commune officials and at least 74% of the time according to province and district officials.



**Q4B. With which of the payments was the local contribution paid?**

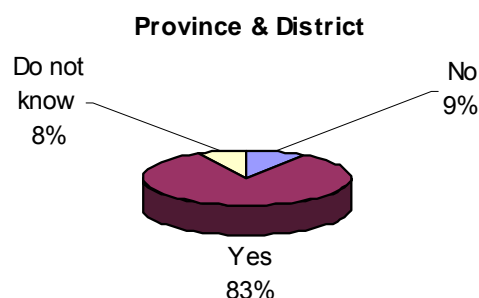
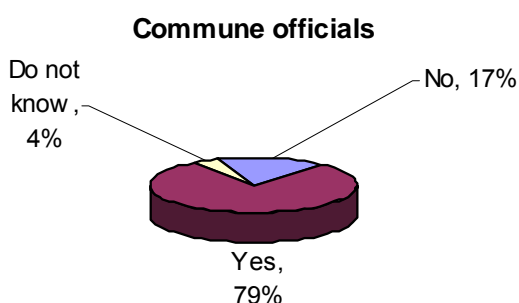
This question was put to Commune, province and district officials. Communes reported that 69% of projects contributions were made with the first payment. Provinces and districts give a different picture with contributions reported 40%, 16% and 44% across the three payments.

Payments with which local contribution was paid



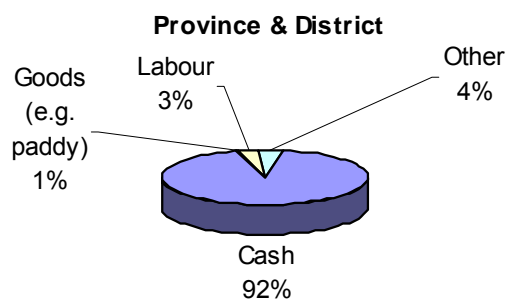
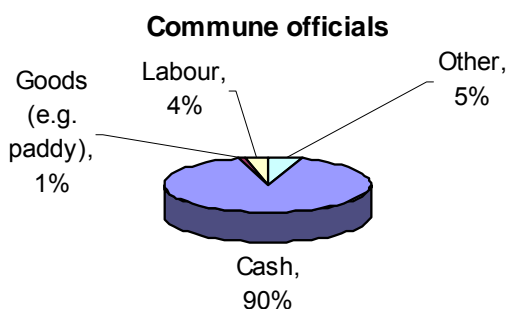
**Q4C. Was the full local contribution collected?**

This question was put to commune, province and district officials. Responses from the communes indicate that the full contribution was not collected at least 17% of the time, but the provinces and districts report this only 9% of the time.



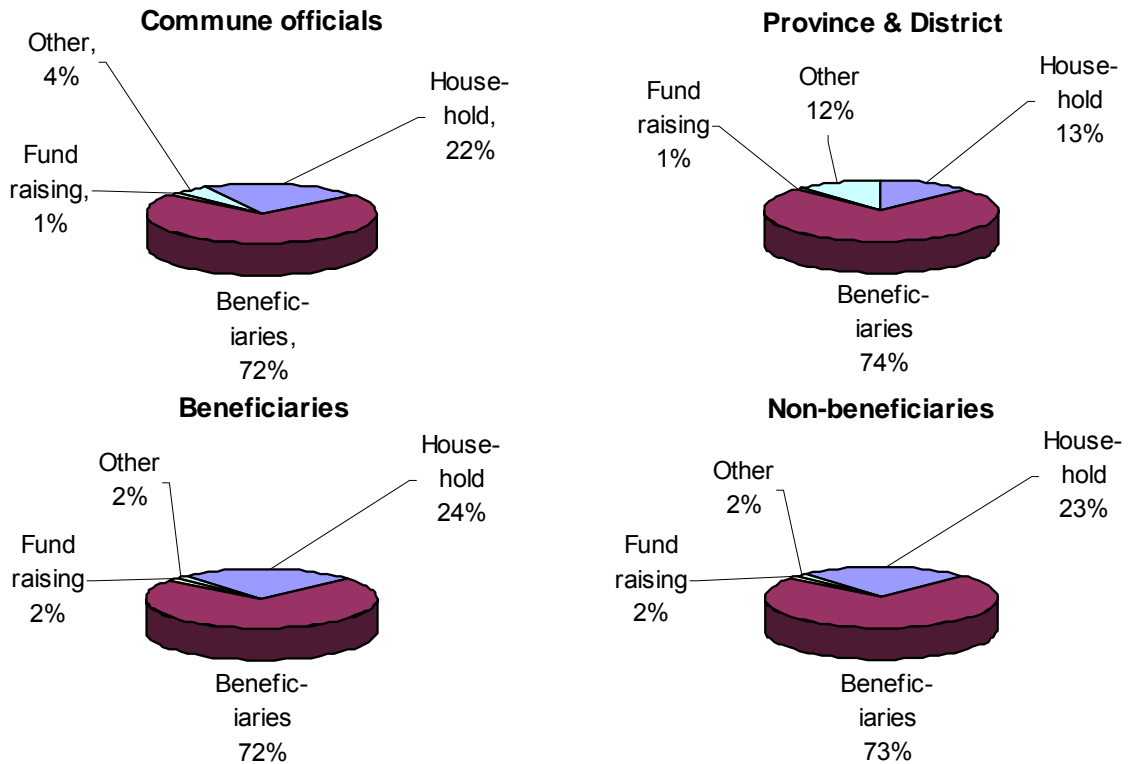
**Q4D. In what form was the local contribution collected?**

This question was put to commune, province and district officials. The main form of contribution was cash for more than 90% of the time. Contributions as goods were only made for 1% of projects. The labour was contributed for 3% to 4% of projects. Other means, including contribution of land, were used for 4% to 5% of projects.



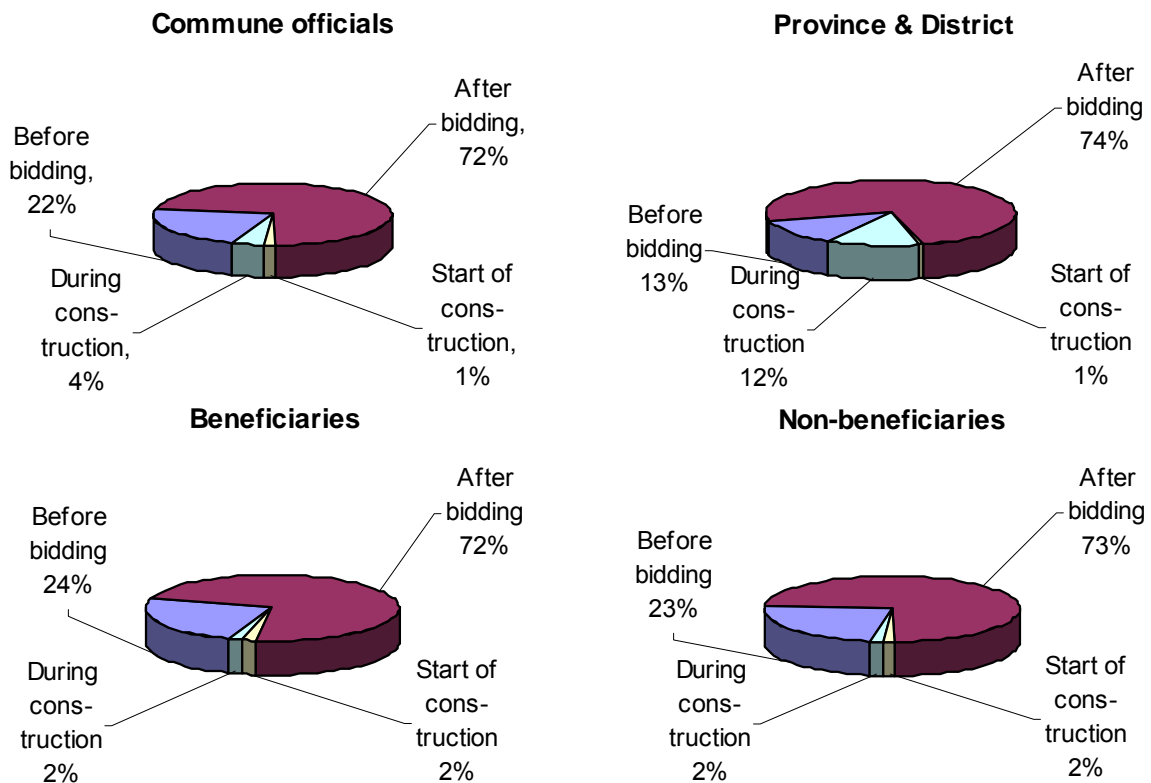
**Q4E. How was the local contribution collected (can chose more than one answer)?**

Stakeholders agreed that the contribution was collected from benefiting groups in 72% to 74% of cases. Most often contributions are collected from households.



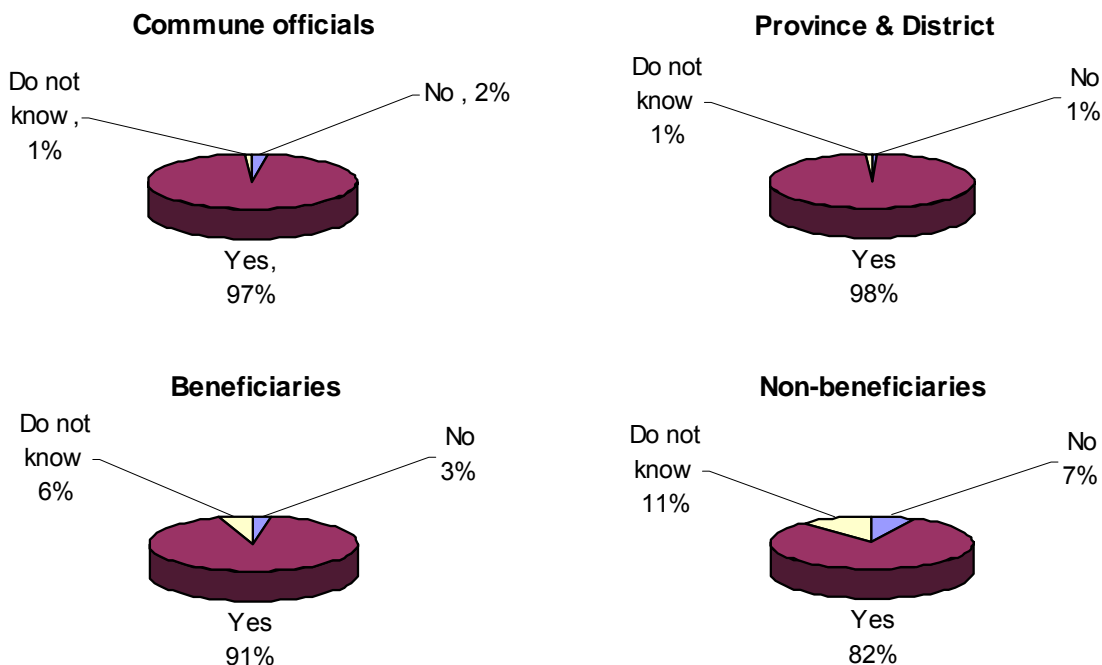
**Q4F. When is the contribution collected?**

Some 72% to 74% of stakeholders said that the contribution was collected after bidding, 22% to 24% said it was before bidding except only 13% of province and district officials said so.



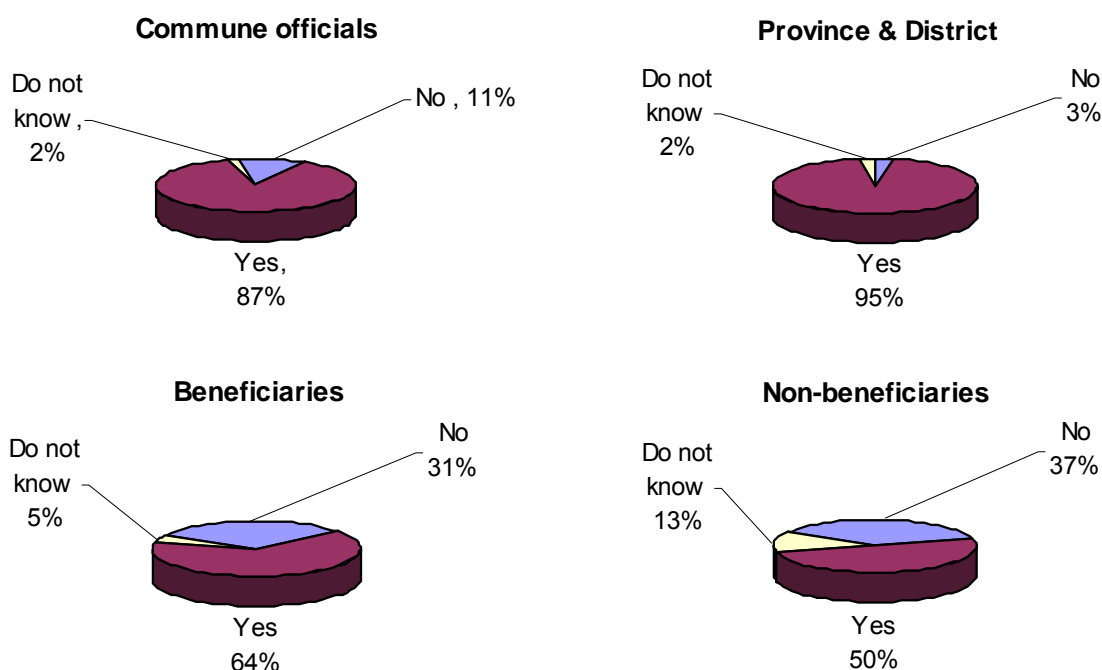
**Q4G. Have records been kept of contributions?**

Thirty-eight people across sixteen projects said records were not kept of contributions but it only appears to be a problem with two projects, for the others there were only one or two people and often they were non-beneficiaries so not directly involved. It can be concluded that adequate records were kept for 98 of the sample of 100 projects.



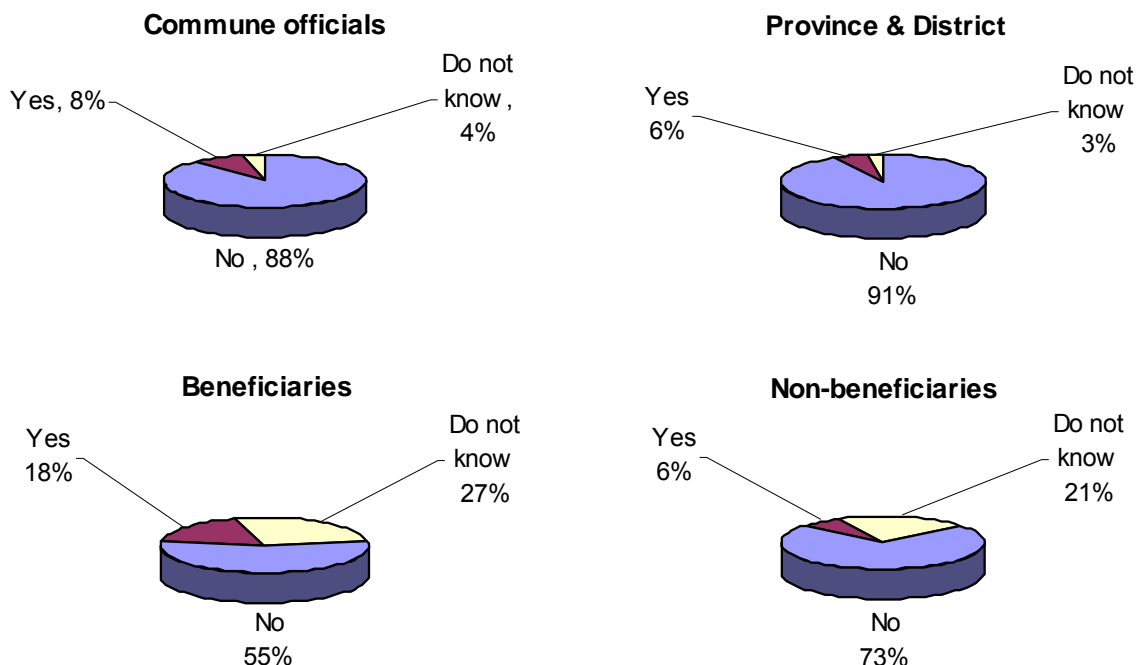
**Q4H. Were receipts issued for contributions?**

Some 261 people across 70 project said receipts were not issued for contributions. There was a significant difference between commune officials and beneficiaries over this. The failure to issue receipts for contributions is a significant non-compliance.



**Q4J. Were any delays caused by payments and if so which payment and what was the effect?**

Ninety-three people from all stakeholder groups across 49 projects said there were delays caused by payments. There was no pattern in the answers or agreement amongst groups of officials for individual projects.



In addition, having said that there were delays caused by payments only a few people gave any details to substantiate their statements and these were only from the two groups of officials. In one case, it appears there was a delay in the second payment because the Contractor did not ask for it. Eight officials said the delay was in local contributions, the reasons given were equally split between villagers not being at home or not being able to pay on time. Overall, late payment does not appear to be a significant cause of delay.

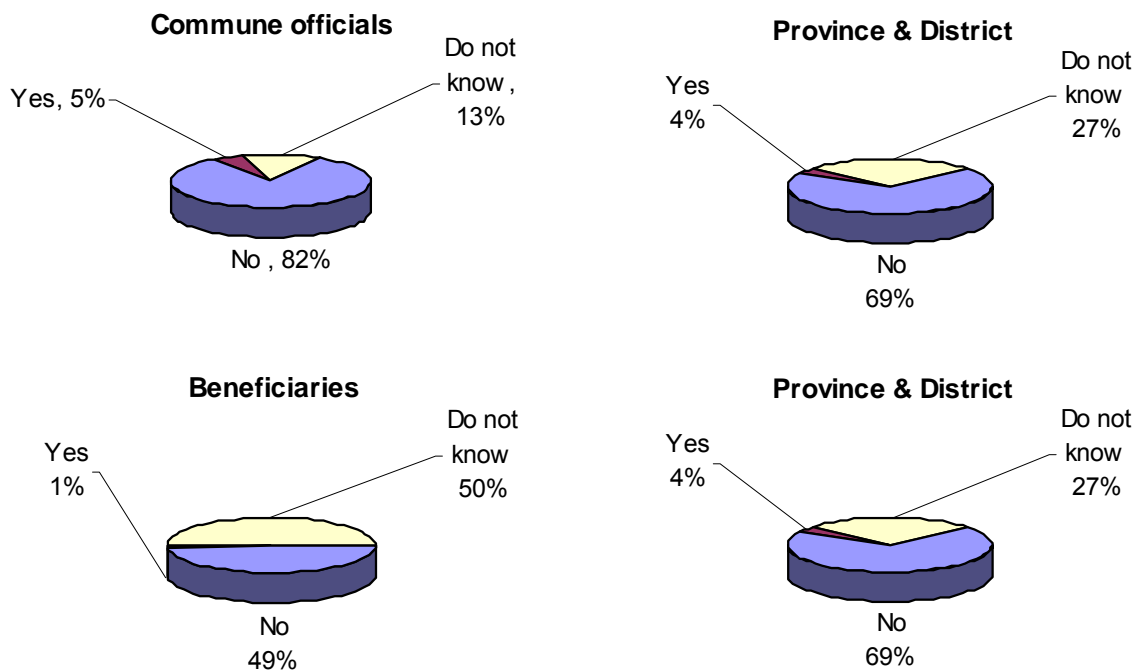
**Q4K. Were any mistakes made in the financial procedures, if so what were they?**

Thirty-six people across 28 projects reported mistakes were made in financial procedures. The commune officials reported mistakes for 5% of projects. Ten province and district officials reported mistakes on 4% of projects, for one project all three officials agreed but not the commune; there were four other projects where the TSO said there were mistakes. The beneficiaries were only aware of mistakes on 1% of projects. There was a high proportion of *do not know* responses from all stakeholder groups.

Only four commune officials, two province and district officials and two beneficiaries could explain what mistakes were made. These were:

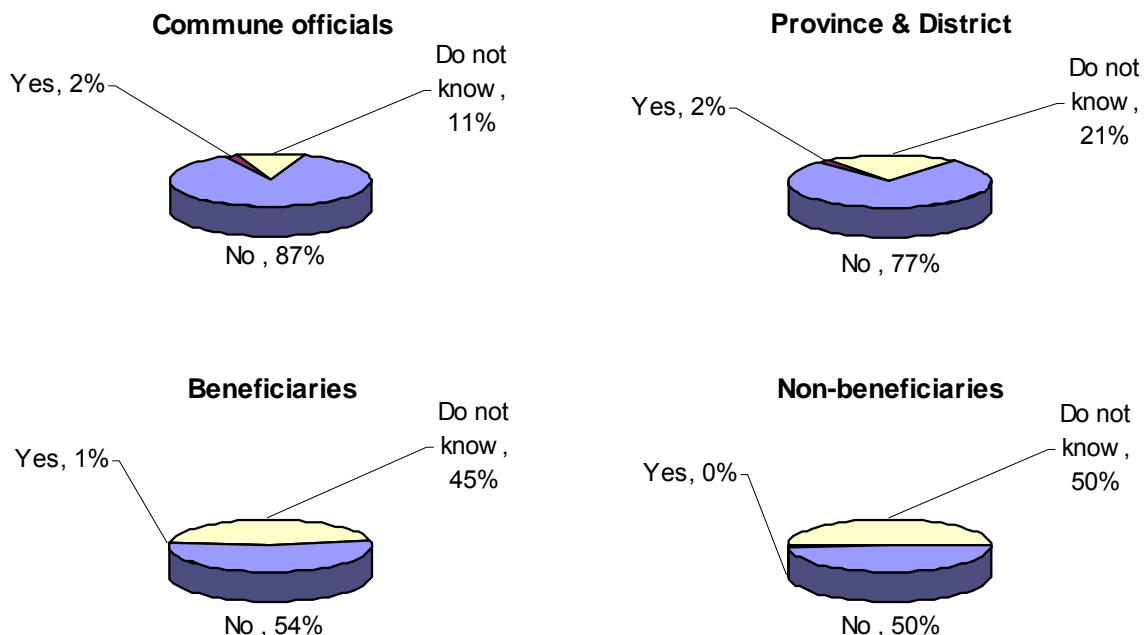
- one instance for the expenditure document;
- one instance when the clerk did not post updates on the board;
- one instance of errors in entering numbers;
- one instance of confused numbers;
- one instance when the clerk did not post or release information;
- two instances of wrongly writing-up of documents; and
- one instance of wrong presentation.

There is little agreement between stakeholders that mistakes were made on a particular project, but the results point to mistakes occurring about 5% of the time.



**Q4L. Were there any abuses of financial procedures, if so what were they?**

Only 18 people across 13 projects reported abuses of financial procedures, ten commune officials and five province and district officials reported abuses on 2% of projects, although a significant proportions of all groups said they did not know.



Only one province or district official from amongst those who said there was abuse could explain what it was. In that case, it was said that the contractor was asked to return a payment, further explanation was not given. It can be concluded that abuse of financial procedures occurred on not more than 2% of projects.

### A4.2.5 Knowledge and access to information

#### Summary of key findings

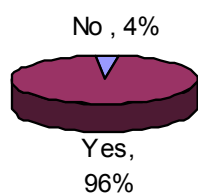
The summary conclusions for knowledge and access to information are listed below; the full questions, commentary and charts follow.

- Q5A. A minority of officials have not received training for any part of the project implementation process.
- Q5B. Significant numbers of officials and beneficiaries say the training they have received is not enough to understand what they need to know.
- Q5C. About 18% of commune officials say they do not have access to or use the PIM, remarkably for 2% of province and district officials it is the same.
- Q5D. Some 9% and 8% of commune and province and district officials respectively said that they had comments on the 2009 PIM.
- Q5E. A high proportion of commune, province and district officials find the 2005 Hip Pocket guide useful.
- Q5F. Province and district officials, 58% were keen to have an updated hip pocket guide for the 2009 PIM, but only 25% of commune officials wanted it.
- Q5G. Some 91% of commune officials knew the PIM should be at the commune office.
- Q5H. Some 80% of commune officials knew that the Hip Pocket guide was at the commune office.
- Q5J. Beneficiaries and non-beneficiaries rely on the commune officials and village chiefs in combination with meetings to get information on the process. Commune officials rely most on the PFT and DFT.
- Q5K. Beneficiaries and non-beneficiaries go to the commune officials or Village Chief to get information on project preparation and implementation. Commune officials go to the TSO, PFT, DFT or other commune officials.
- Q5L. Beneficiaries (47%) and non-beneficiaries (40%) said that meetings were the best way to receive information, 22% and 17% of the same groups said the Village Chief was their second favoured way. Commune officials (47%) and province and district officials (51%) said the PIM was best way whilst 30% of commune officials favoured meetings.

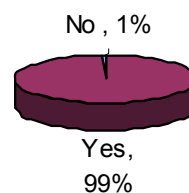
#### Q5A. Have you received training for any part of the project implementation process?

This question was put to all the groups except the non-beneficiaries. Some 96% and 99% of commune, provincial and district officials respectively said that they had received training but only 57% of beneficiaries had training. Therefore, a minority of officials have not received training for any part of the project implementation process.

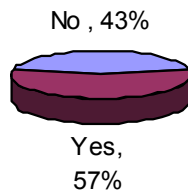
**Commune officials**



**Province & District**

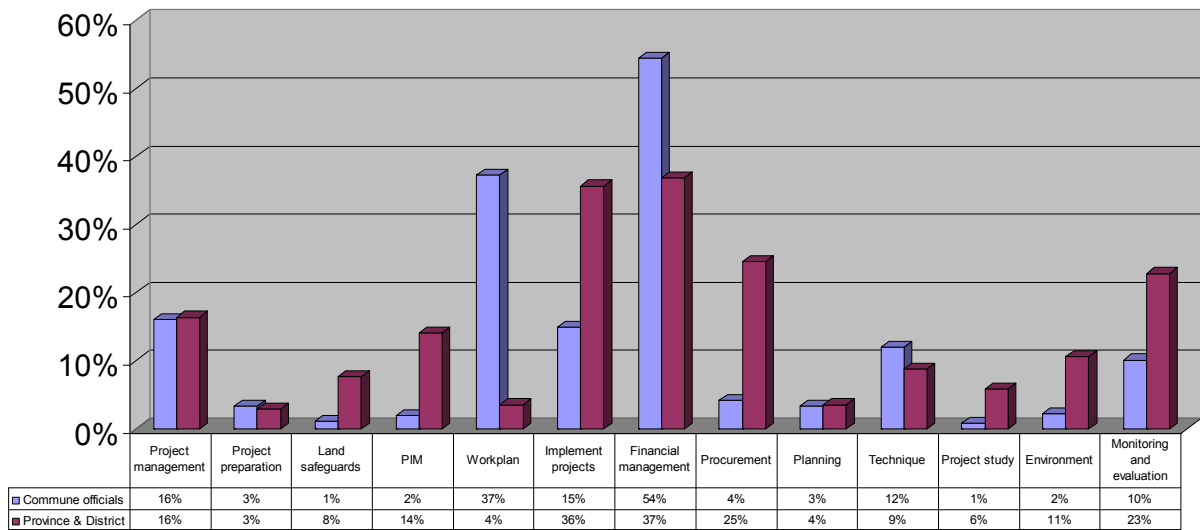


### Beneficiaries



Only the officials were asked what training they received. The topics which they cited are listed below. There is an overlap for many of the topics but overall the answers demonstrate that the training coverage was recognised and absorbed.

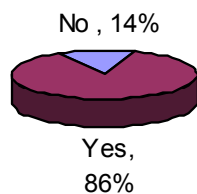
### Training topics according to recipients



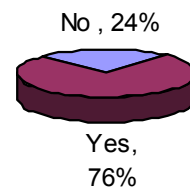
### Q5B. Was the training enough for you to understand what you need to know?

This question was put to all the groups except the non-beneficiaries. A total of 86% of commune officials, but fewer only 76% of province and district officials said that the training was enough for them to understand what they needed to know. Amongst beneficiaries, only 65% said it was enough. Significant numbers of officials and beneficiaries say the training they have received is not enough to understand what they need to know.

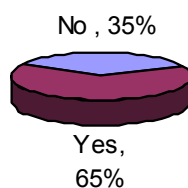
#### Commune officials



#### Province & District

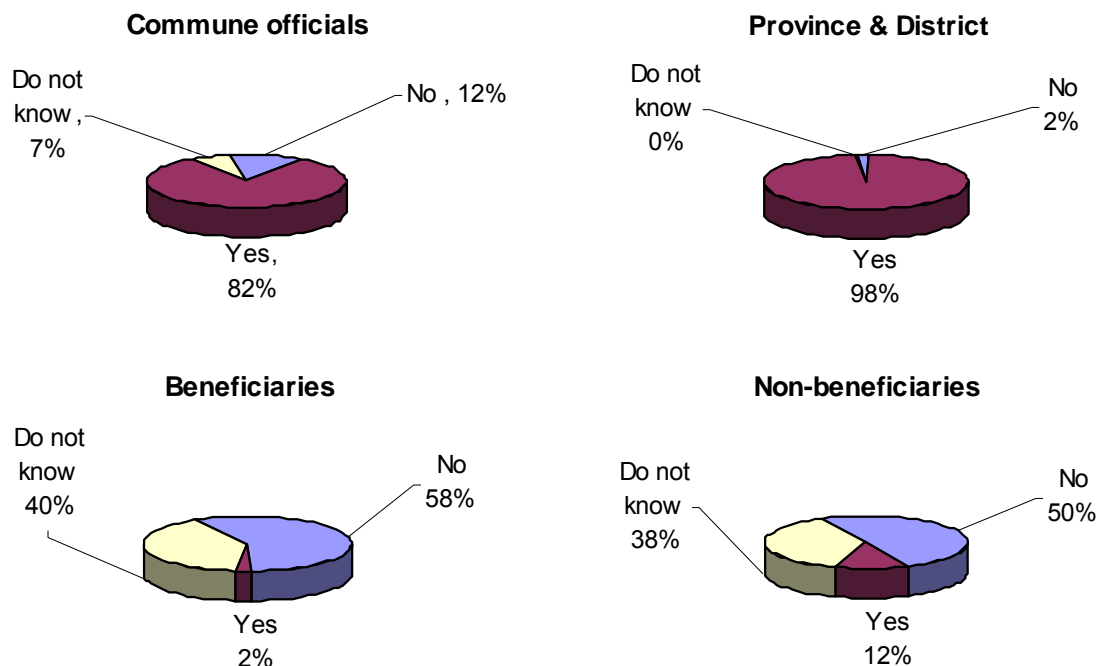


#### Beneficiaries



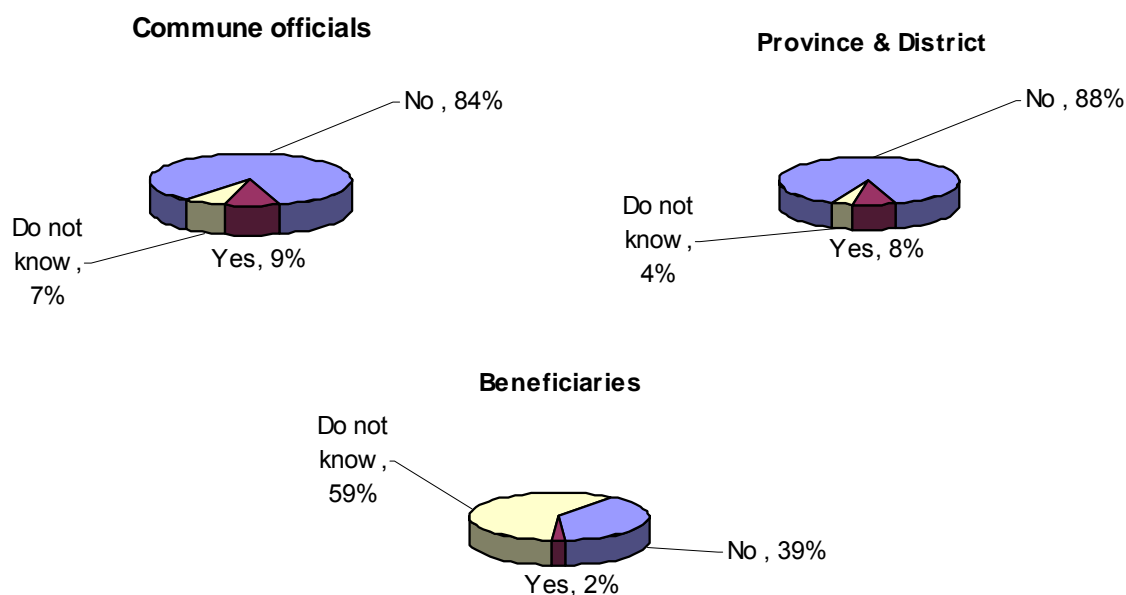
**Q5C. Do you have access to and use the 2009 PIM and 2005 Hip Pocket guide?**

Amongst commune officials 82% said they have access to and use the 2009 PIM and 2005 Hip Pocket guide, 12% said they did not and 7% did not know. At provincial and district level 98% said they did and 2% that they did not. Only 58% of beneficiaries said they did not have access, only 2% said they did and the remainder answered *do not know*. Overall, about 18% of commune officials say they do not have access to or use the PIM, remarkably for 2% of province and district officials it is the same.



**Q5D. Do you have any comments on the 2009 PIM?**

This question was put to all the groups except the non-beneficiaries. Some 9% and 8% of commune and province and district officials respectively said that they had comments on the 2009 PIM. Only 2% of beneficiaries had comments; the majority of the latter group responded *do not know*, few of this group would have reason to study the PIM in detail.

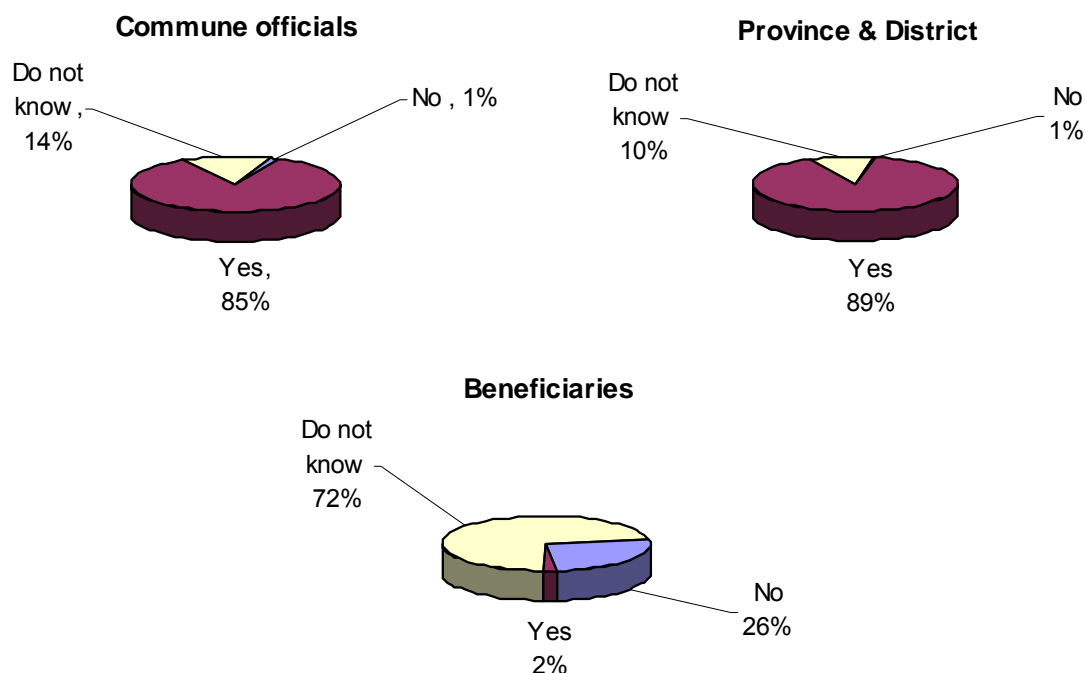


Although 8% to 9% of officials said they had comments, only a small number would go on to explain what these were. No beneficiary provided a comment. The comments that were recorded are:

- Six people said that the 2009 PIM is better than 2005 HIP Pocket Guide.
- One person said that the 2009 PIM is good, with clearer guidelines and steps to follow for financial procedure
- One commented on the need for guidance in the situation where if the project was not completed how to terminate the contract when there was no physical output.
- One suggested to reduce some forms used; but provide more on the project completion form; have open bidding procedures and that contractors should not be able to transfer their rights and obligations to other people during the bidding process.
- One suggested more contractors should participate in the bidding procedures, that the transfer of rights letter was not clear, and that some contractors used the bidding process for self-profit.
- One said there should be a balance of cost and quality.
- One asked for better procedures.
- One asked for changes to some procedures, which are too long and hard to understand.
- One wanted detail on the effectiveness and bid procurement.
- One asked for detailed (concise?) steps on procurement.
- One said they did not want corrections to the 2009 PIM.
- One wanted clarification on monitoring output on expiry the 6 months maintenance period.
- One person said the 2009 PIM is better and easier to understand than the 2005 PIM.
- Three people commented that the 2009 PIM is shorter.
- One person said that some requirements are not clear especially those dealing with maintenance.

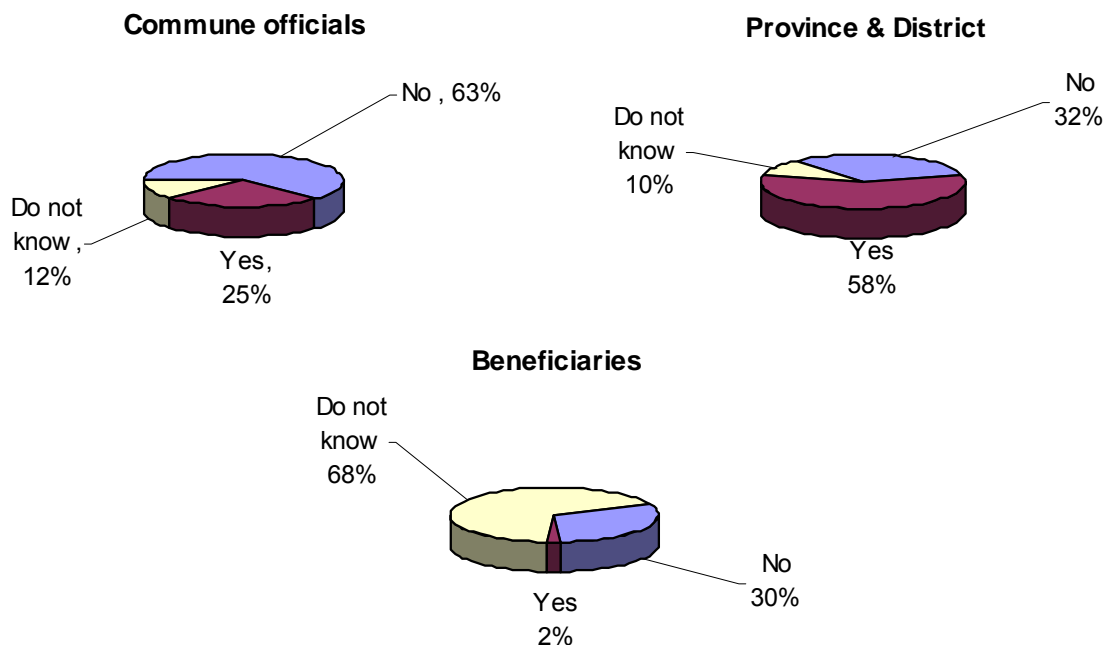
**Q5E. Is the 2005 Hip Pocket guide useful?**

This question was put to all the groups except the non-beneficiaries. There was a high proportion of commune, province and district officials who found the 2005 Hip Pocket guide useful, 85% and 89% respectively. Only 2% of beneficiaries said it was useful.



**Q5F. Is there a need for an updated Hip Pocket guide for the 2009 PIM?**

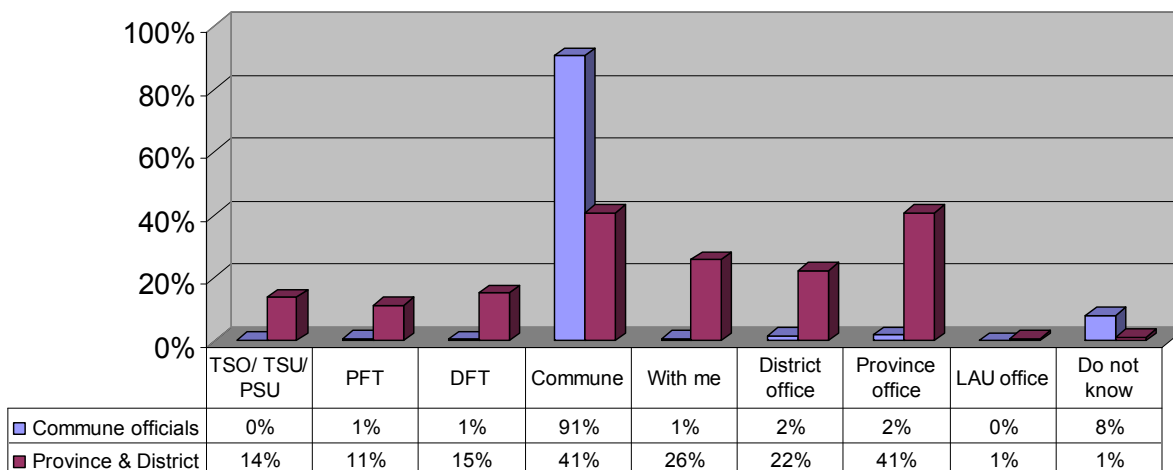
This question was put to all the groups except the non-beneficiaries. Amongst province and district officials, 58% were keen to have an updated hip pocket guide for the 2009 PIM, but only 25% of commune officials wanted it. The beneficiaries generally gave a *do not know* response although a significant minority of 30% answered *No*.



**Q5G. Where are copies of the PIM?**

Some 91% of commune officials knew the PIM should be at the commune office but 8% did not know where the PIM could be found. Provincial and district officials identified numerous locations for the PIM; only 1% did not know where a copy was.

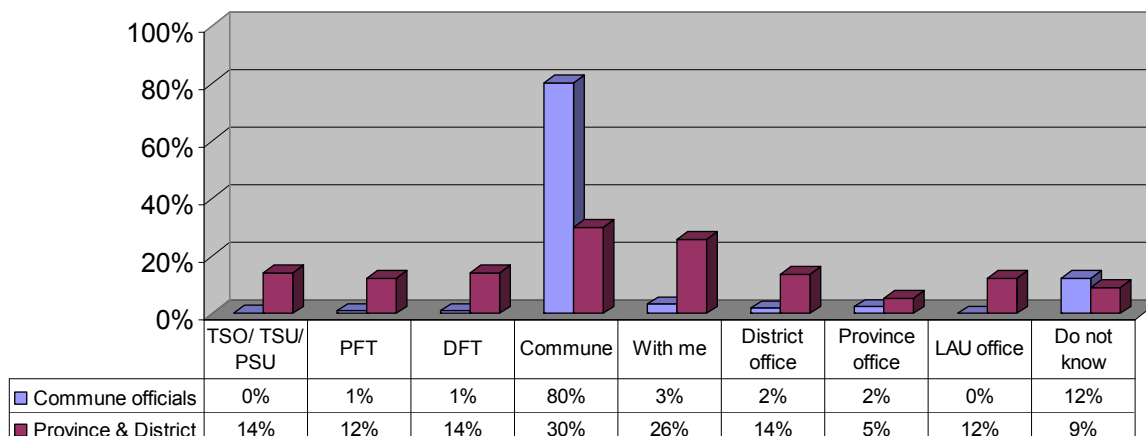
**Answers given on where the PIM document is available**



**Q5H. Where are copies of the Hip Pocket Guide?**

Some 80% of commune officials knew that the Hip Pocket guide was at the commune office but 8% did not know where the guide could be found. Provincial and district officials identified numerous locations for the Hip Pocket guide; only 1% did not know where to find it.

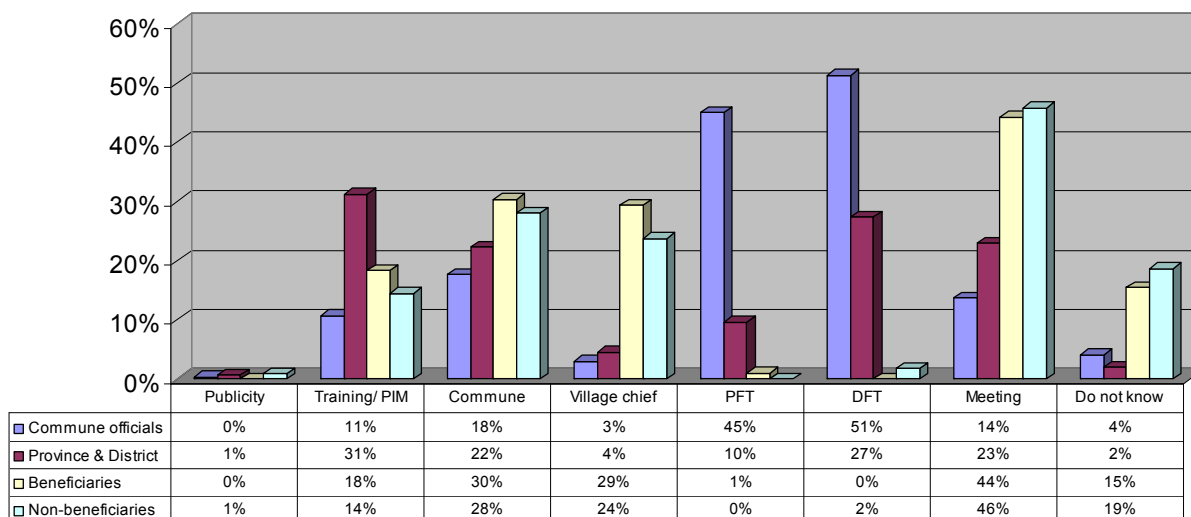
### Answers given on where the Hip Pocket guide is available



### Q5J. How do you find information on the C/S Fund process?

As would be expected there is a clear difference between how officials and villagers find information on the C/S Fund process. Beneficiaries and non-beneficiaries rely on the commune officials and village chiefs in combination with meetings. Commune officials rely most on the PFT and DFT. The answers from province and district officials do not give a clear picture, possibly because of the practice of central training for a proportion of these groups who then cascade the training amongst local colleagues; the spread of answers is not contrary to this interpretation.

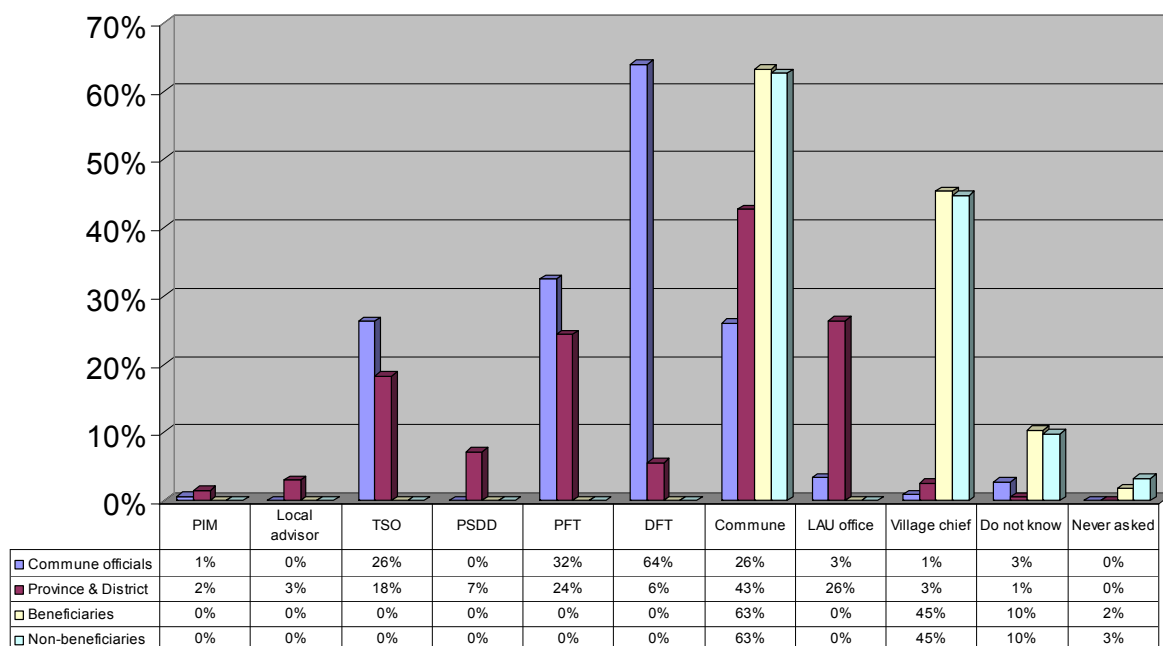
### Methods by which people find information on the C/S Fund process



### Q5K. Who do you ask for information on C/S Fund project preparation and implementation?

Beneficiaries and non-beneficiaries go to the commune officials or village chief to get information on project preparation and implementation. Commune officials go to the TSO, PFT, DFT or other commune officials. Province and district officials mostly contact the commune, TSO, PFT or LAU office.

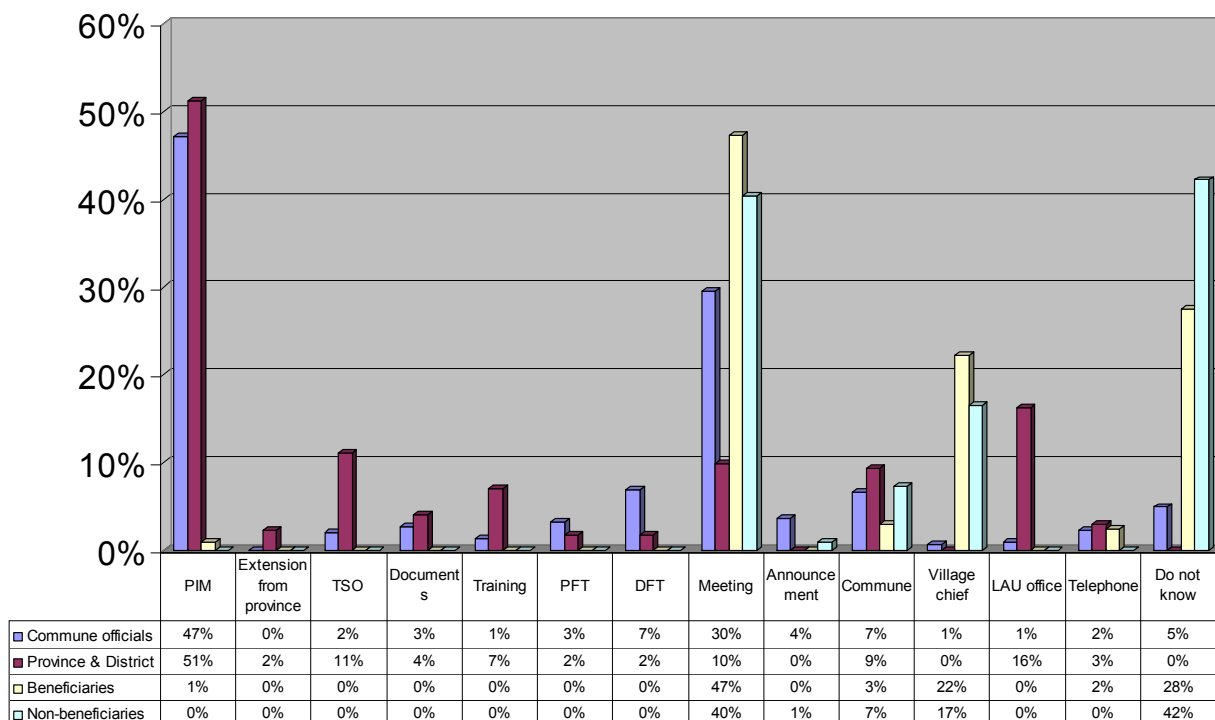
### Who do people ask for information on project preparation and implementation



### Q5L. What is the best way to receive information on the C/S Fund process?

Beneficiaries (47%) and non-beneficiaries (40%) said that meetings were the best way to receive information, 22% and 17% of the same groups said the village chief was their second favoured way, and 28% and 42% respectively did not know. Commune officials (47%) and province and district officials (51%) said the PIM was best way whilst 30% of commune officials favoured meetings.

### Stakeholder opinions on the best way to receive information on the C/S Fund process



### A4.2.6 Participation of key stakeholders

#### Summary of key findings

The summary conclusions for participation of key stakeholders are listed below; the full questions, commentary and charts follow.

- Q6A.** No single group was 100% involved with selection and planning before implementation but neither is that necessary and therefore lower responses do not mean the situation is unacceptable.
- Q6B.** Beneficiaries and non-beneficiaries expressed a high satisfaction with the meetings held to provide information about the project.
- Q6C.** A significant minority of beneficiaries and non-beneficiaries said they are unable to make their opinions on the project know at meetings.

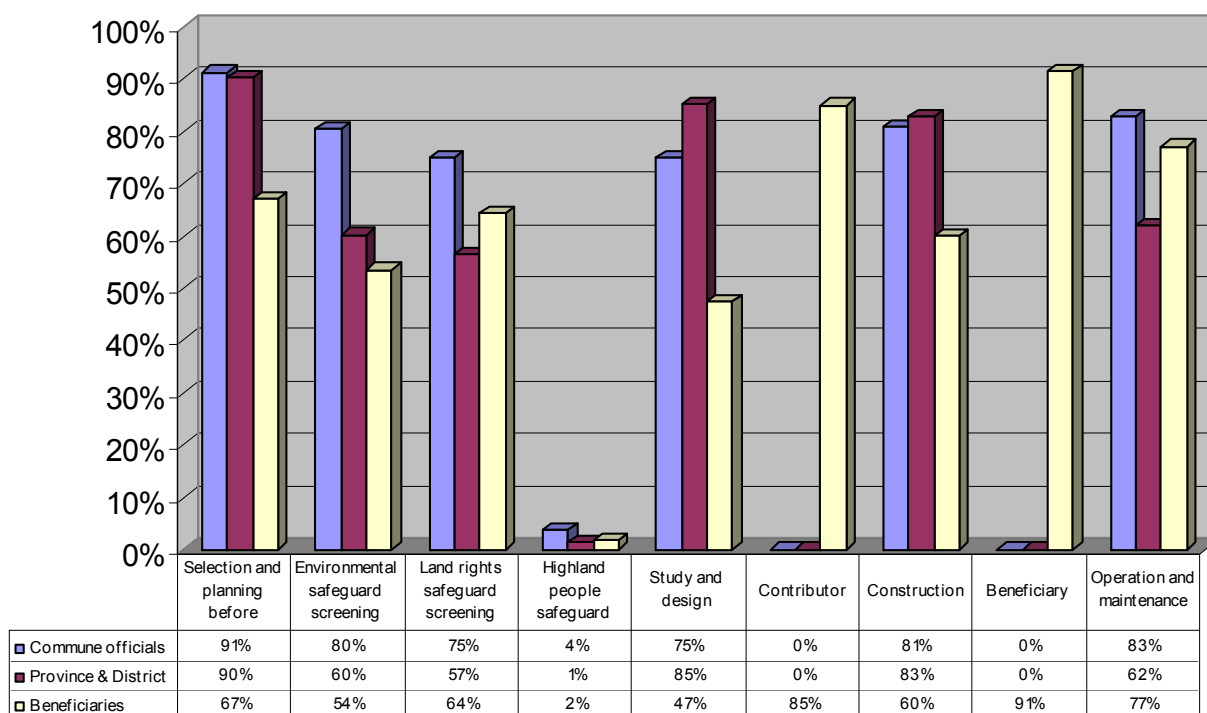
#### Q6A. Tick the stages of the process where you were involved and what was your involvement in each stage?

This question was put to all the groups except the non-beneficiaries.

No single group was 100% involved with selection and planning before implementation but neither is that necessary and therefore lower responses do not mean the situation is unacceptable.

All groups claimed good involvement with operation and maintenance.

### Involvement with process



Although only a proportion of the projects are in environmental watch-list communes, every project has a potential to impact the environment. The 80% involvement of commune officials on this topic indicates that procedures are being addressed. More details can be found in responses to Q9.

Land rights and highland people safeguards only affect some projects so the results here must be read in conjunction with responses to Q10 and Q11.

The commune, province and district officials were involved in study and design, but only 47% of beneficiaries.

Although officials were posed the questions on contributions and could indeed be contributors if they are beneficiaries of the project, the results are not reported because these groups of stakeholders are responding in their official capacity and not as contributors or beneficiaries.

All three groups had good involvement with construction including 60% of beneficiaries.

As with contributions answers from officials as beneficiaries are not reported because these groups of stakeholders are responding in their official capacity and not as contributors or beneficiaries.

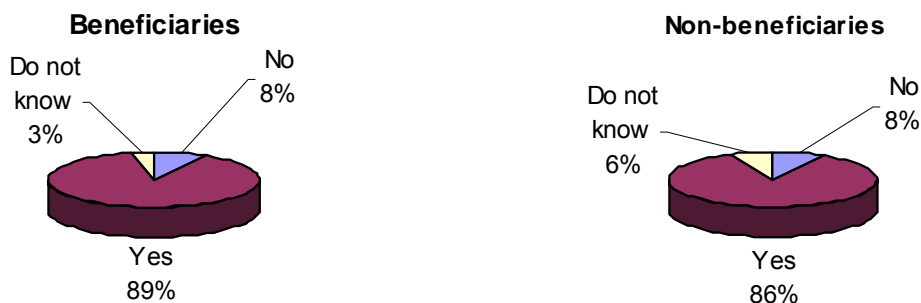
**Q6B. Are you satisfied with the meetings held to provide information about the project?**

This question was put to beneficiaries and non-beneficiaries and showed a high satisfaction of 99% from both groups with the meetings held to provide information about the project.



**Q6C. Are you able to make your opinions on the project know at meetings, if not why is it you cannot make your feelings known?**

This question was put to beneficiaries and non-beneficiaries. A significant minority 8% of both group said they are unable to make their opinions on the project know at meetings, although in answering Q5B they had expressed satisfaction with the meetings. Asking why people could not make their feelings known did yield any answers expect for one beneficiary who said they were shy, and one non-beneficiary who said there was no meeting.



**A4.2.7 Technical support and guidance from province and district**

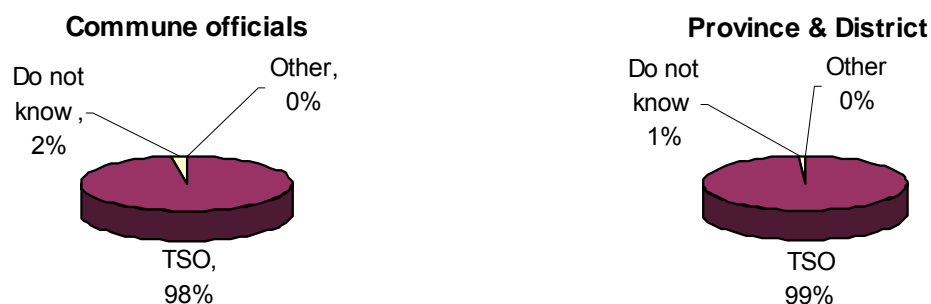
### Summary of key findings

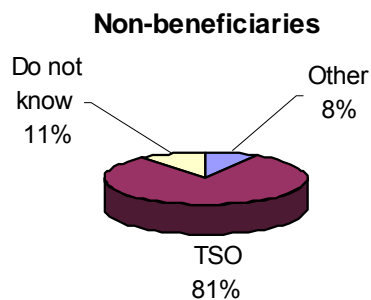
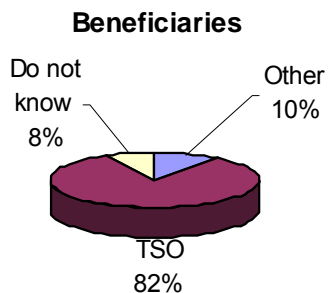
The summary conclusions for technical support and guidance from province and district are listed below; the full questions, commentary and charts follow.

- Q7A. The TSO provided technical support for study and design for all the sample projects.
- Q7B. The TSO provided technical support for procurement and construction for all the sample projects.
- Q7C. Some 95% of commune officials said they received good technical support for study and design, only 3% said they had not.
- Q7D. Some 94% of commune officials said they received good technical support for procurement and construction, only 3% said they had not.
- Q7E. Commune officials in 77% of cases said the technical support advised on the type and size of project, 8% said what was asked for was just accepted, whilst 14% said they received advice and the project that they wanted was accepted.
- Q7F. Commune officials for 5% of projects said they were advised or pressurised by other parties to change the project type and size.
- Q7G. Amongst officials most said that the TSO provided technical support for construction supervision.
- Q7H. Commune officials for 96% of projects said they received good technical support for construction supervision.
- Q7J. The technical support makes three or more visits during construction.

#### Q7A. Who provided technical support for study and design?

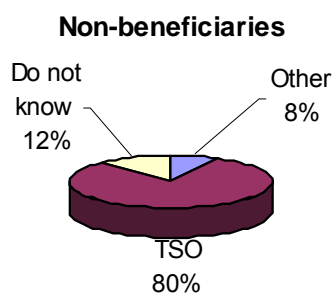
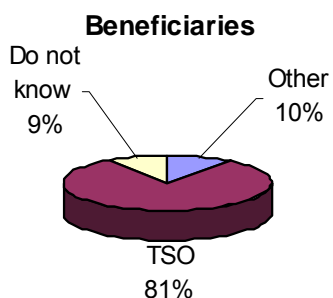
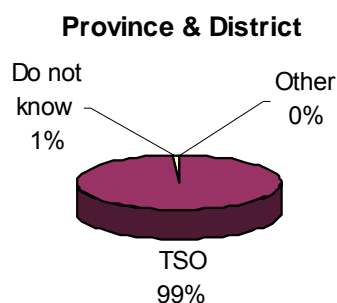
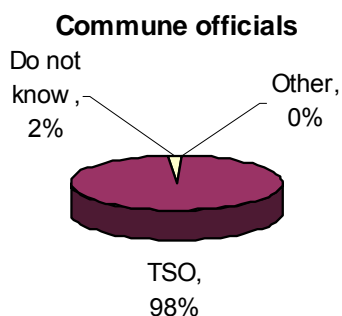
Amongst officials most said that the TSO provided technical support for study and design, although a small percentage did not know. Interestingly 10% of beneficiaries and 8% of non-beneficiaries said another provided the support, not the TSO. However, most of these then said that the technical support was provided by the commune or Village Chief, who for technical matters were in fact supported by the TSO. It can be concluded that the TSO provided technical support for study and design for all the sample projects.





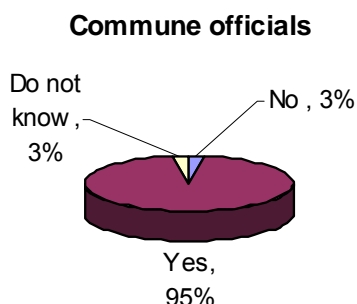
**Q7B. Who provided technical support for procurement and construction?**

Amongst officials most said that the TSO provided technical support for procurement and construction, although a small percentage did not know. Once again, 10% of beneficiaries said another provided the support, not the TSO, and also again most said that the technical support was provided by the commune or Village Chief, who for technical matters were in fact supported by the TSO. It can be concluded that the TSO provided technical support for procurement and construction for all the sample projects.



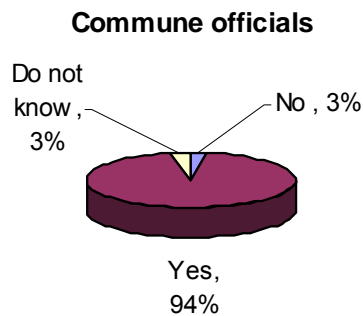
**Q7C. Did you receive good technical support for study and design?**

Some 95% of commune officials said they received good technical support for study and design, only 3% said they had not.



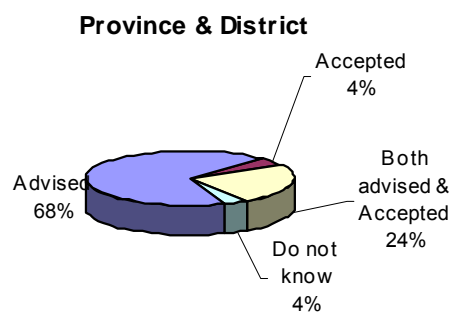
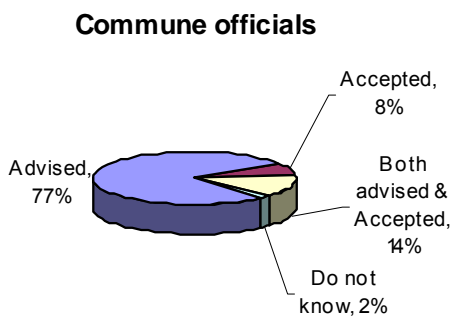
**Q7D. Did you receive good technical support for procurement and construction?**

Some 94% of commune officials said they received good technical support for procurement and construction, only 3% said they had not.



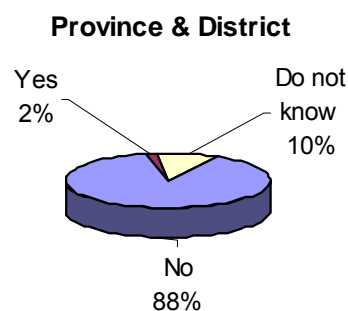
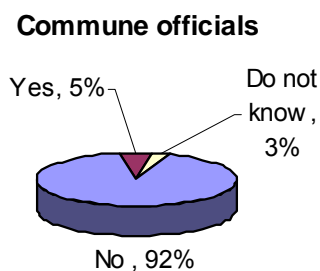
**Q7E. Did the technical support advise on the type and size of project or did it accept what you asked for without comment or change?**

Commune officials in 77% of cases said the technical support advised on the type and size of project, 8% said what was asked for was just accepted, whilst 14% said they received advice and the project that they wanted was accepted.



**Q7F. Were you advised or pressurised by other parties to change the project type and size?**

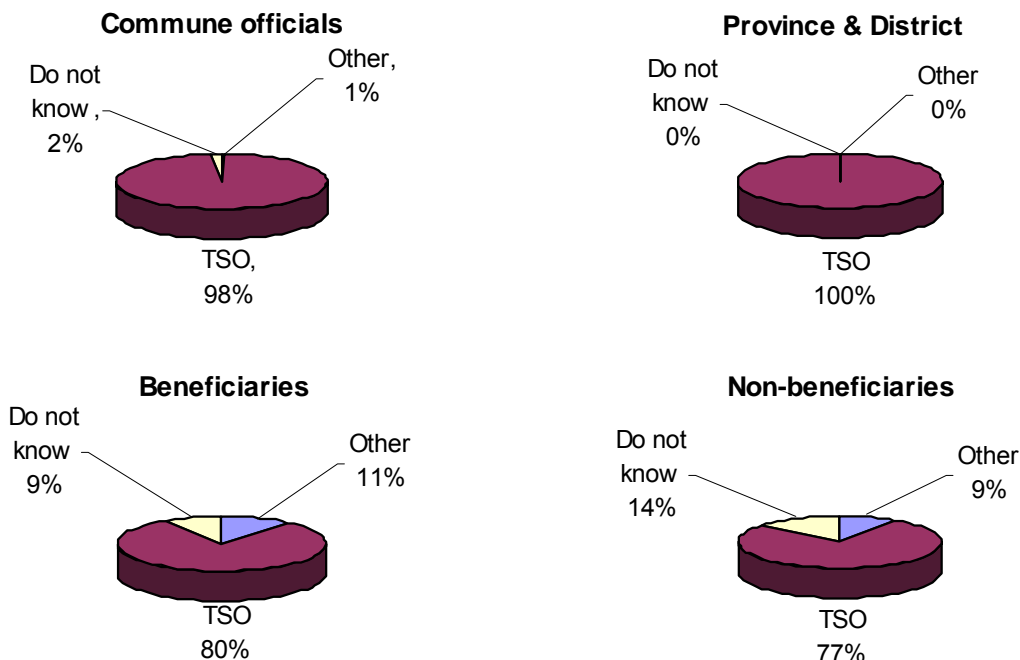
Commune officials for 5% of projects said they were advised or pressurised by other parties to change the project type and size.



Only four commune officials said who advised or pressurised to change the project type and size and these said it was the PFT/DFT/TSO. These are not 'other parties' but 'technical support' and indicates that the question was not sufficiently explained or understood because Q7E was asked to establish the advice from technical support. Given this, the Yes responses to this question must be disregarded because the individuals also very probably did not understand the question.

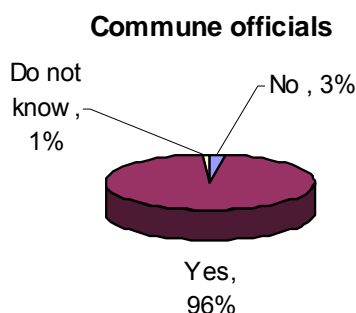
**Q7G. Who provided technical support for construction supervision?**

Amongst officials most said that the TSO provided technical support for construction supervision, although a small percentage did not know. However, 11% of beneficiaries and 9% of non-beneficiaries said another provided the support, not the TSO, this was again a case of thinking the commune or Village Chief provided this service when in fact the support still came from the TSO.



**Q7H. Did you receive good technical support for construction supervision, if not why was it not good?**

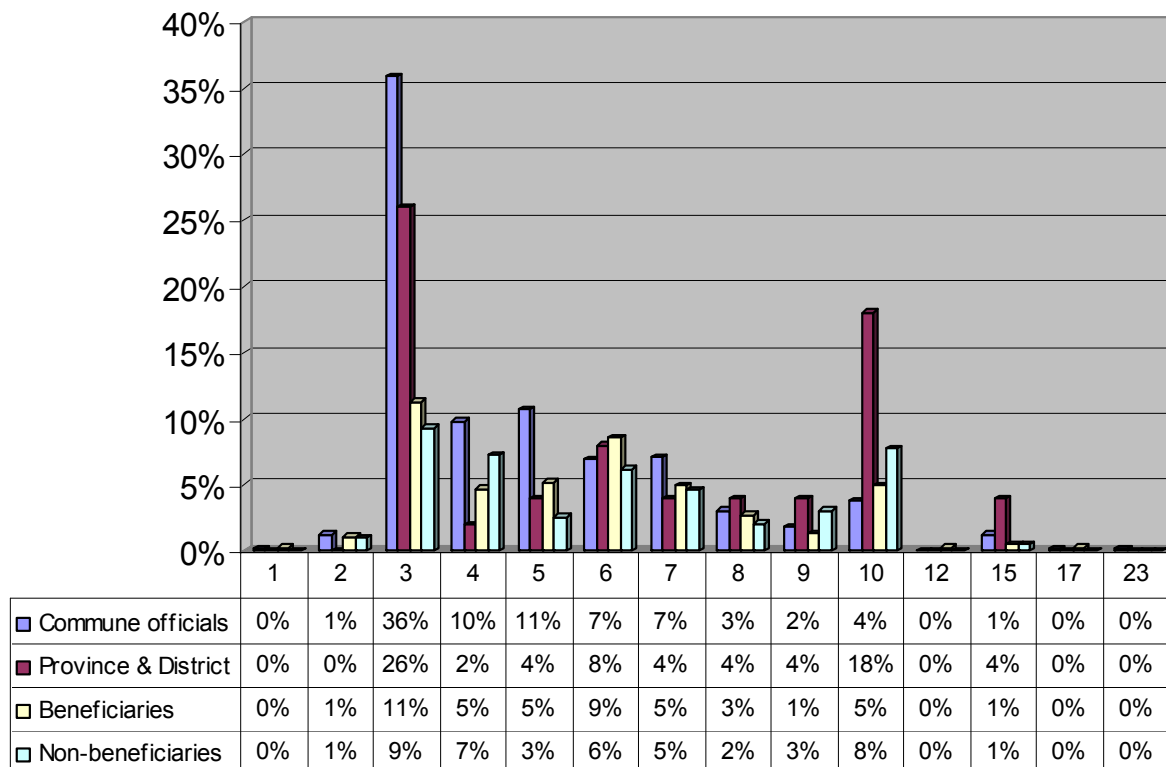
Commune officials for 96% of projects said they received good technical support for construction supervision. The 3% who did not said it was not good none would give a reason.



**Q7J. How many times did the technical support for construction supervision visit the site and when?**

There are significant differences between the perceptions of the number of visits made to site by the technical support.

### Number of construction supervision visits by technical support



Note: Do not know responses are not shown.

It can be expected that beneficiaries and non-beneficiaries might not be aware of all the visits but there ought to be closer agreement between the commune and province and district officials. According to commune officials 36% of projects received only three visits whereas the province and district said three visits apply for 26% of projects. The province and district officials say they make three or more visits to all sites, ten visits being made 18% of the time. It can be conclude that the technical support makes three or more visits during construction.

#### A4.2.8 Contractors

##### Summary of key findings

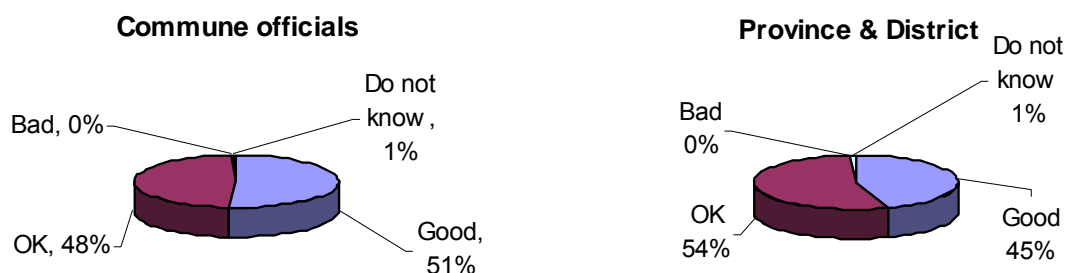
The summary conclusions for contractors are listed below; the full questions, commentary and charts follow.

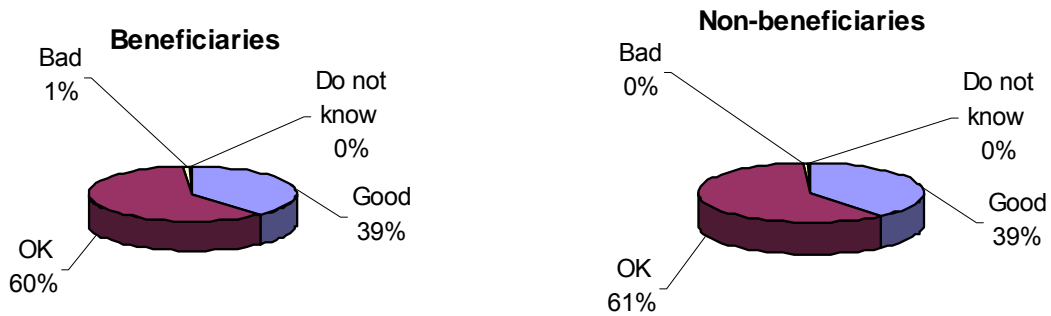
- Q8A. The commune, provinces and districts rated the contractors on all the projects OK to good with no bad contractors.
- Q8B. A Works Manager was appointed for 97% of the projects.
- Q8C. The Works Manager was on site more than half the time for almost all projects.
- Q8D. Between one and ten Project Owners Representatives are being appointed, and on occasion more.
- Q8C. At least one-sixth of Project Owners Representatives were unable to supervise using the construction checklists.
- Q8F. The commune, province and district officials responded positively that the technical drawings and specifications were correct, understood and used.

- Q8G. A Site Note Book was kept for all 100 sampled projects.
- Q8H. Few projects caused problems because of the construction work.
- Q8J. Beneficiaries were involved in monitoring construction on all 100 sampled projects.
- Q8K. Some 90% of commune officials and beneficiaries wanted to get involved with monitoring the construction.
- Q8L. The contractors started on time more than 88% of the time.
- Q8M. The majority of projects were to take up to eight weeks, some up to twelve weeks, and a few as long as 28 weeks.
- Q8N. Province and district officials tend to rate contractor progress slower than people in the communes do.
- Q8O. There was a worsening perception of whether the contractors finished late between beneficiaries where only 2% said the contractor finished late and province and district officials 23% of who report the contractors late.
- Q8P. The majority of projects took up to eight weeks, and most others were finished within twelve weeks.
- Q8Q. Rain and flooding was the main reason for delays to construction 85% to 94% of the time. Lack of materials or equipment caused delay 14% to 15% of the time.
- Q8R. There was broad agreement that the contractors built correctly to the design and specification.
- Q8S. The six-month maintenance period had expired for less than 20% of the sampled completed projects.
- Q8T. Some 27% of commune officials said that contractors had not corrected defects or carried out maintenance during the six-month maintenance period.
- Q8U. The responses indicated that contractors are proposing changes to improve the design which are agreed with the commune in a significant number of projects and that the officials might not always be aware of this.
- Q8V. Based on the responses from competent officials it appears the quantities were different for at least 21 of sampled 100 projects.

**Q8A. How do you rate the overall performance of the contractor?**

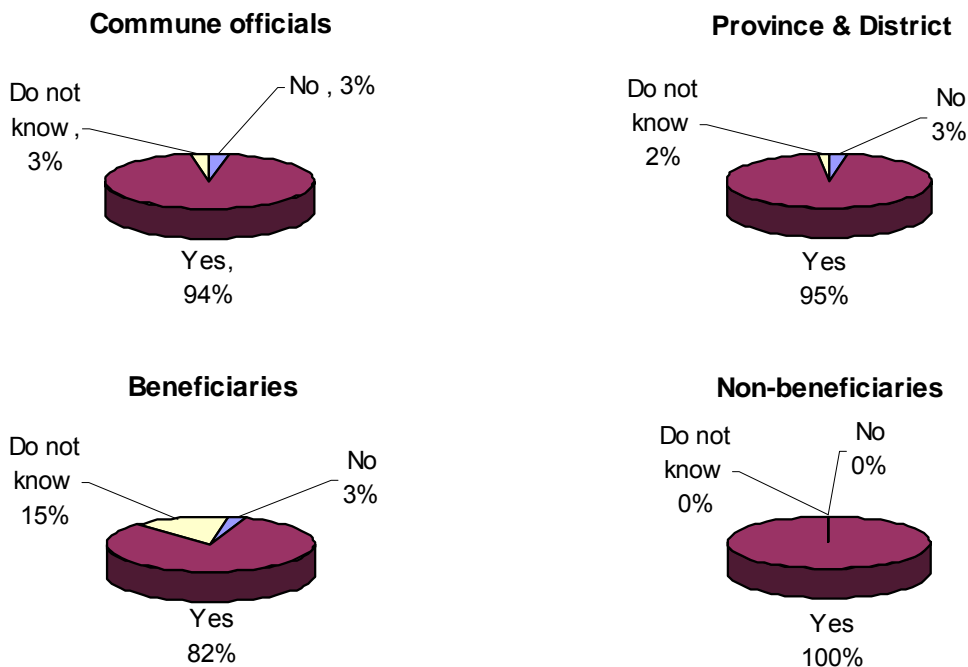
The commune, provinces and districts rated the contractors on all the projects OK to good with no bad contractors. The satisfaction of beneficiaries was almost the same except 1% rated the contractor bad.





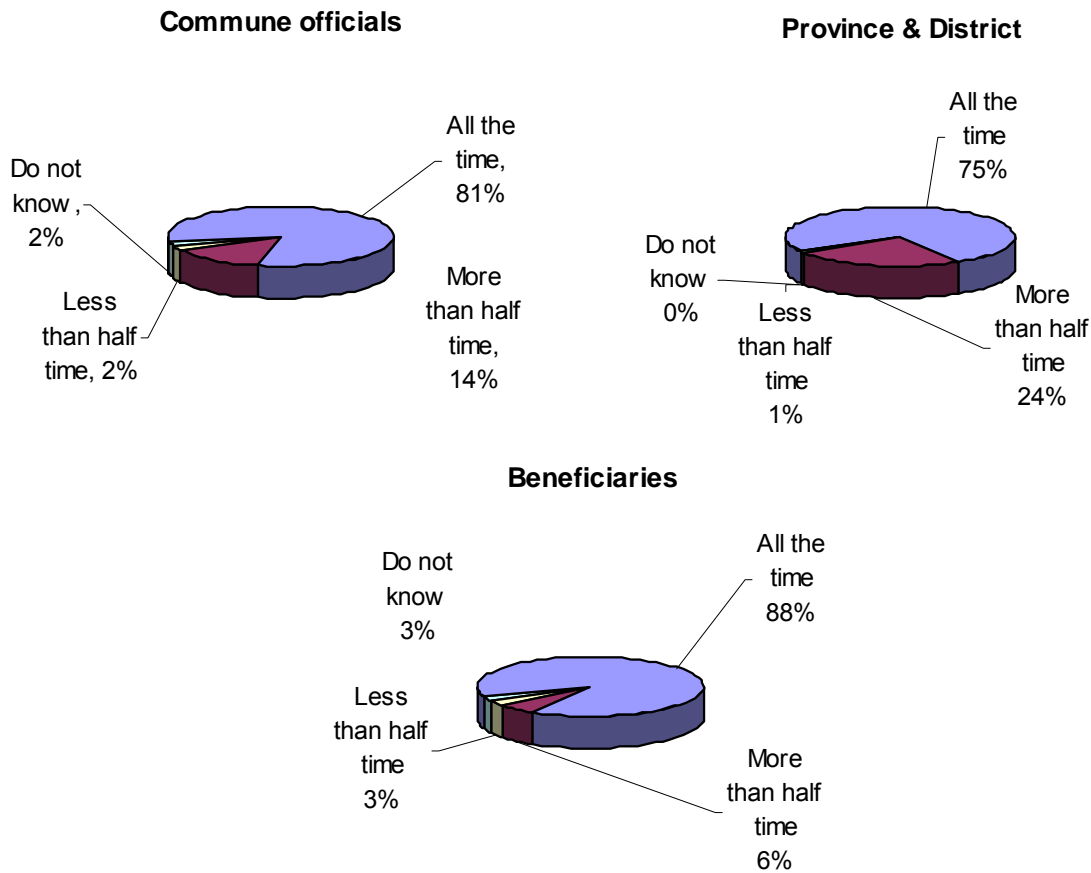
**Q8B. Did the contractor appoint a Works Manager?**

Thirty-eight people across 17 projects said that the contractor did not appoint a Works Manager, but on searching the data it appears that this was the case for only three of the sampled projects. It can be concluded that a Works Manager was appointed for 97% of the projects.



**Q8C. Was the Works Manager present on site?**

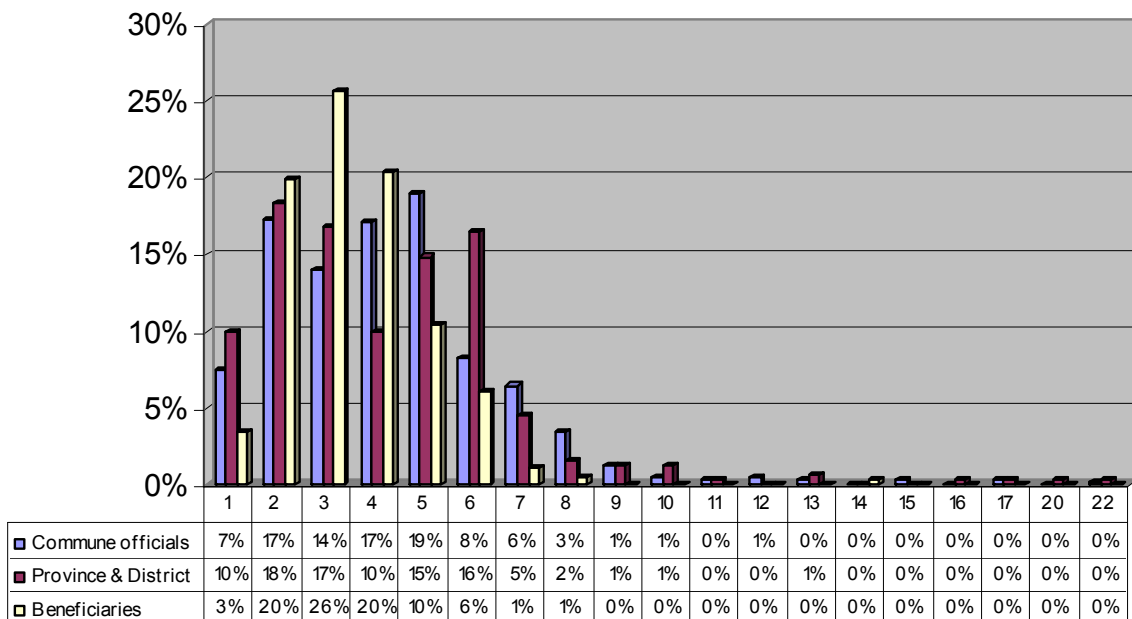
The Works Manager was on site more than half the time for almost all projects. Between 75% and 88% of respondents said that the Works Manager was on site all the time.



**Q8D. How many Project Owners Representative were appointed?**

There was no consistency between the groups of respondents but between one and ten Project Owners Representatives are being appointed, and on occasion more.

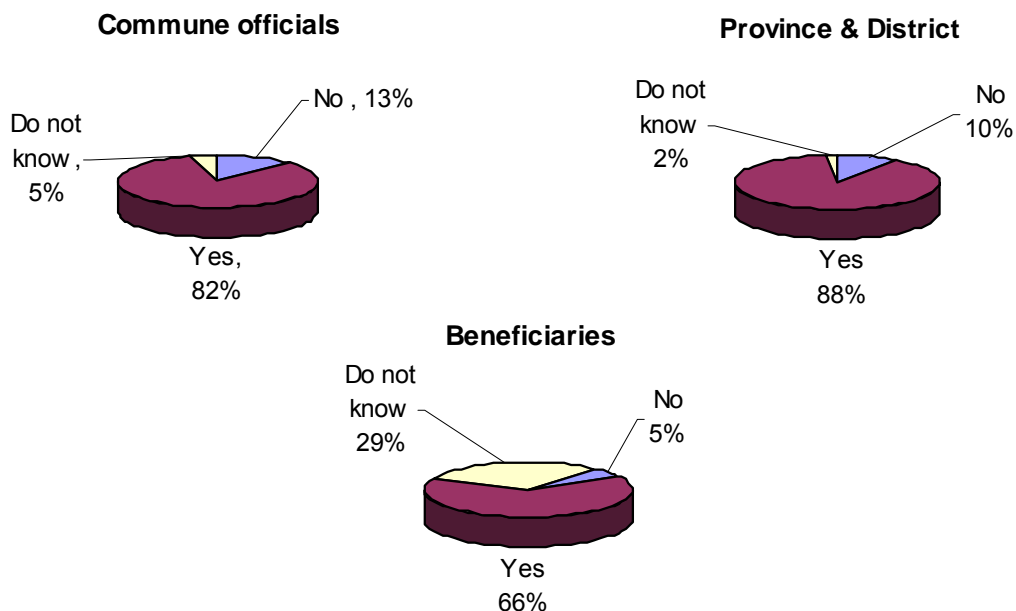
**Number of Project Owners appointed**



Note: 'Do not know' responses not show n

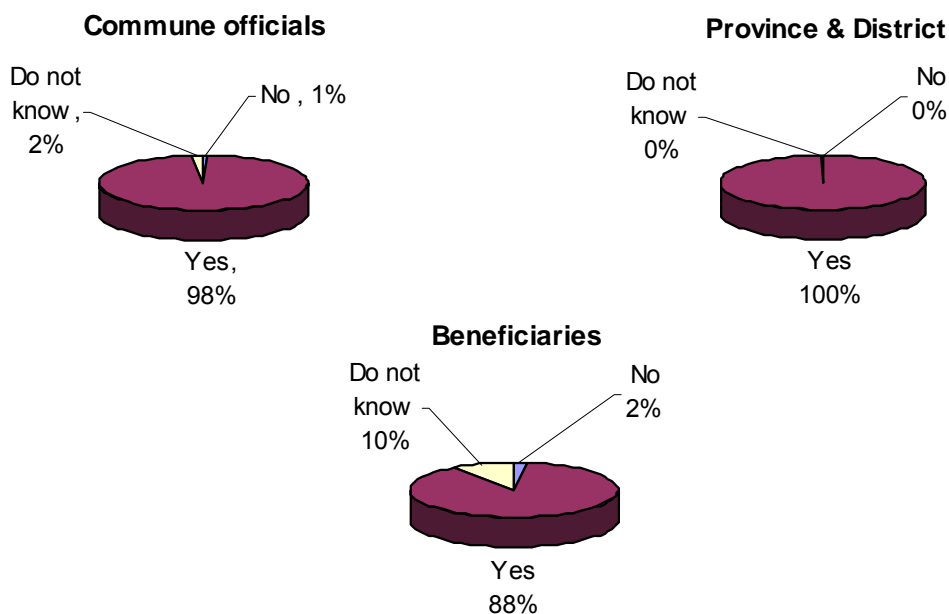
**Q8E. Were the Project Owners Representatives able to supervise and use the construction checklists?**

The commune, province and district officials responded that 82% and 88% respectively of Project Owners Representatives were able to supervise and use the construction checklists and that 13% and 10% respectively could not. The beneficiaries were less aware on this issue with 29% no knowing but 66% said yes and only 5% said no. Therefore, at least one-sixth of Project Owners Representatives were unable to supervise using the construction checklists.



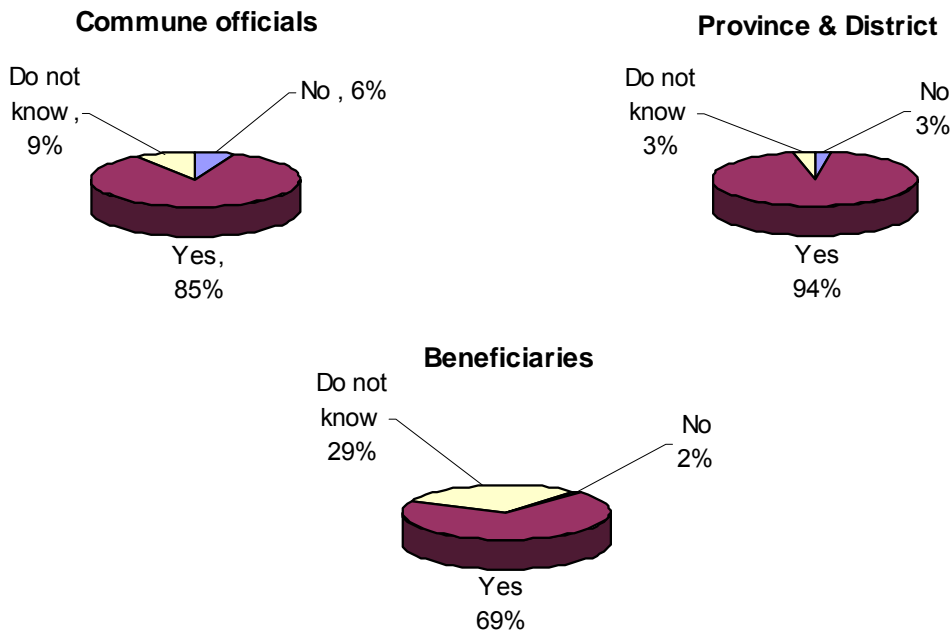
**Q8F. Were the technical drawings and specifications correct, understood and used?**

The commune, province and district officials responded positively that the technical drawings and specifications were correct, understood and used, except commune officials on 1% of projects said they were not. The response was similar from the beneficiaries except that 10% did not know.



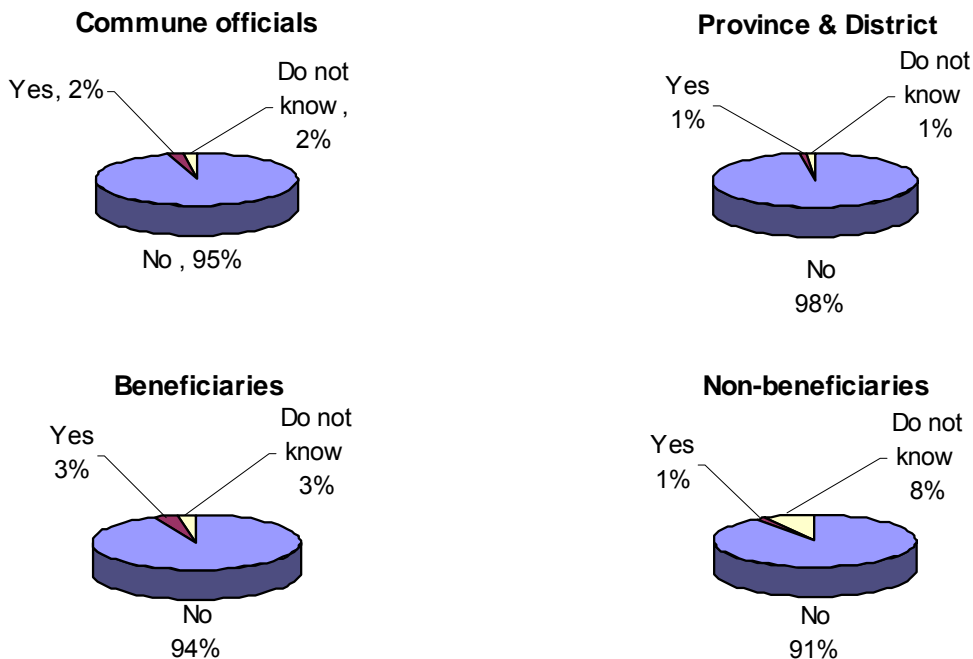
**Q8G. Did the Works Manager keep available a Site Note Book?**

Forty-eight stakeholders across projects said that the Works Manager did not keep available a Site Note Book. The commune officials on 6% of projects said that the Works Manager did not keep available a Site Note Book. However, the results for individual project indicate a majority, which always includes at least some officials, saying that a Site Note Book was kept for all 100 sampled projects.



**Q8H. Did anyone suffer problems because of the construction work and if so what were the problems?**

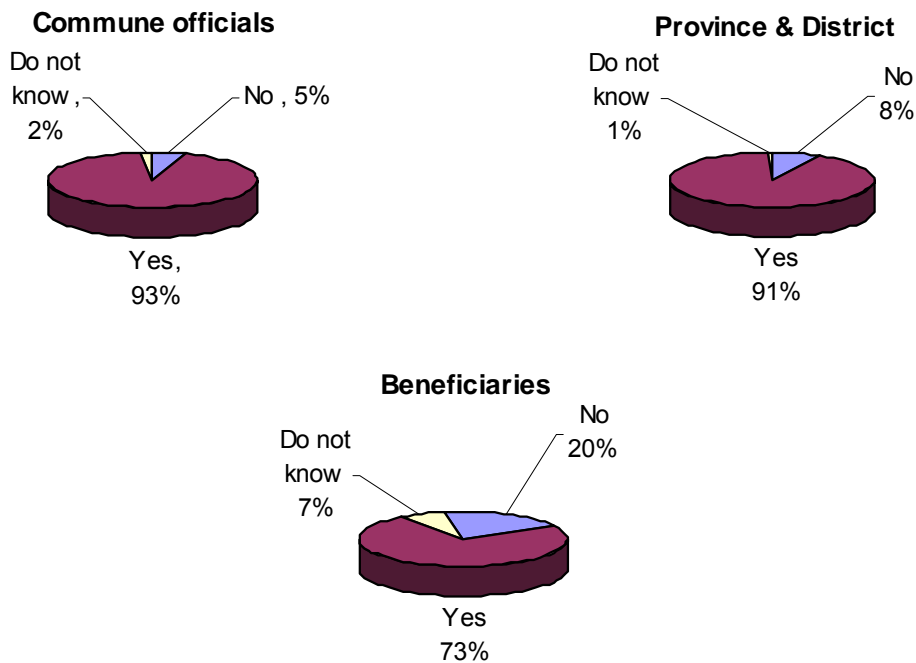
Few projects caused problems because of the construction work, only 2% of commune officials saying there were problems and 3% of beneficiaries.



Although 2% to 3% of the directly involved stakeholders at the commune said people suffered problems because of the construction work few explained what the problems were. Two people said there were accidents with people riding a motorbike into material stockpiles, two said motorbikes went into canals, and one commune official said there was a problem during heavy rain.

**Q8J. Did beneficiaries get involved in monitoring construction?**

The commune, province and district officials reported that beneficiaries were involved in monitoring construction more than 90% of the time. However, only 73% of beneficiaries said they were involved. Of course, even though some of the beneficiaries interviewed said they were not involved in monitoring construction, this does not mean other beneficiaries in the commune were not. There were 123 people across 52 projects, who said beneficiaries were not involved, but only two projects where all four beneficiaries interviewed said they were not, and another two where only one beneficiary was involved. The balance of evidence suggests that beneficiaries were involved in monitoring construction on all 100 sampled projects.

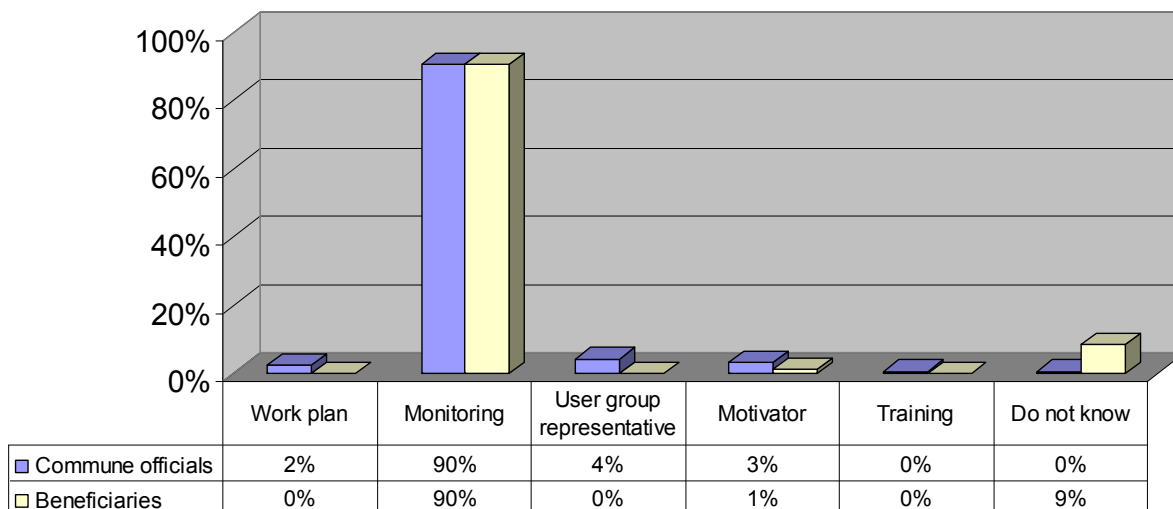


When beneficiaries became involved in 79% of cases it was for monitoring, follow-up, checking maintenance, reporting or a meeting. In 39% of cases, it was to contribute or share ideas, assist or give advice. Others helped cutting trees or with measurements, tests or gathering data.

**Q8K. How would you like to be involved in construction monitoring?**

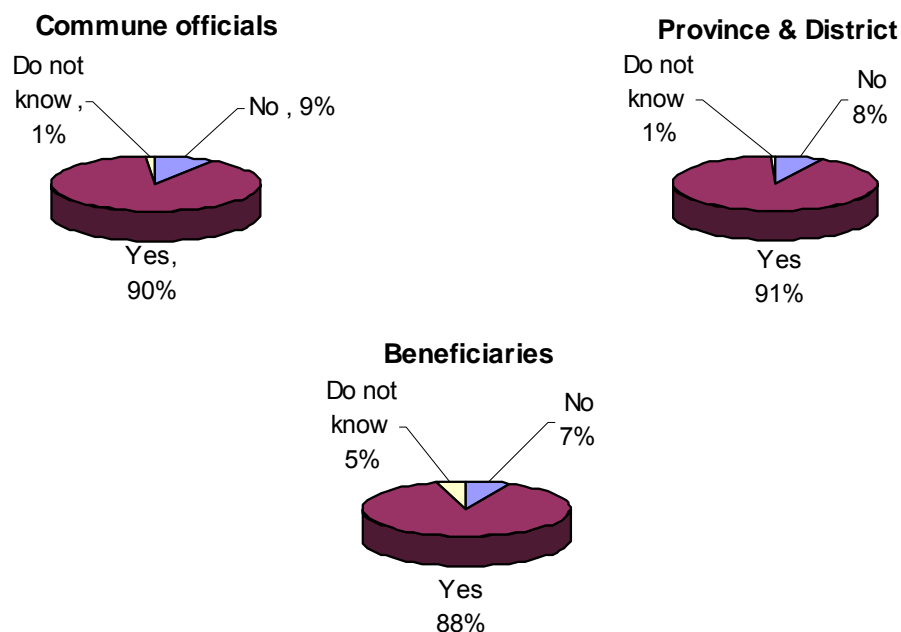
Some 90% of commune officials and beneficiaries wanted to get involved with monitoring the construction. For the commune officials 2% wanted to be involved with the work plan and 4% as user group representative.

### Ways in which stakeholders wish to be involved in monitoring construction



#### Q8L. Did the contractor start work on time, if not why did the contractor delay the start?

The contractors started on time more than 88% of the time. Take note that the sample includes only completed projects but not projects that were unfinished because the contract started late.

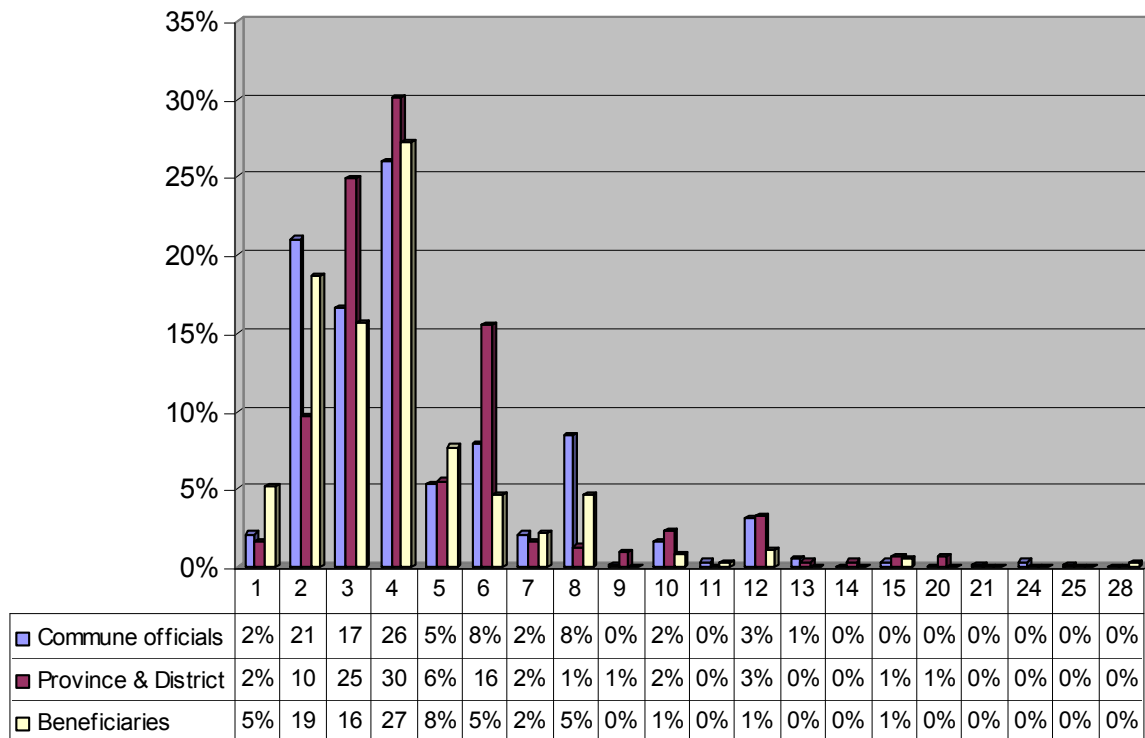


In 50% of cases the delay was caused by rain or flood, for 22% of cases it was lack of materials or equipment, and for 17% of cases the contractor was judged too busy on too many projects. Traffic and damaged equipment were also given as reasons for delay.

**Q8M. How long was the contractor meant to be working on site from start to finish?**

There was little agreement between the groups on how long the contract was meant to be working on site. It appears that the majority of projects were to take up to eight weeks, some up to twelve weeks, and a few as long as 28 weeks.

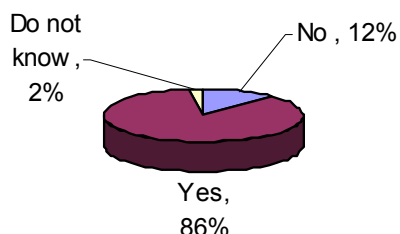
**Intended duration of construction**



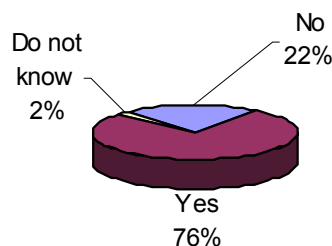
**Q8N. Did the contractor work quickly?**

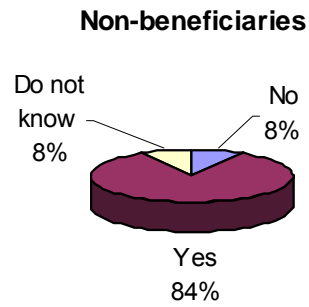
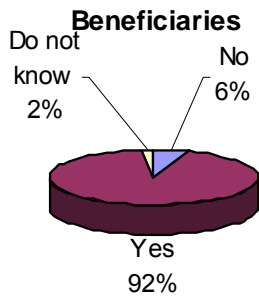
Some 92% of beneficiaries thought the contractor worked quickly whereas 12% of commune officials thought the contractor did not work quickly. The province and districts were less positive only 76% saying the contractors worked quickly and 22% that they did not. Overall, the province and district officials tend to rate contractor progress slower than people in the communes do.

**Commune officials**



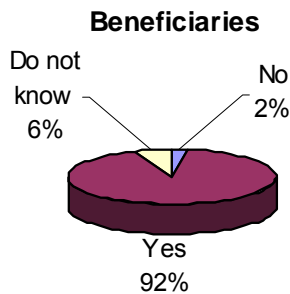
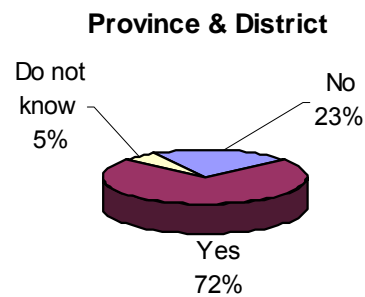
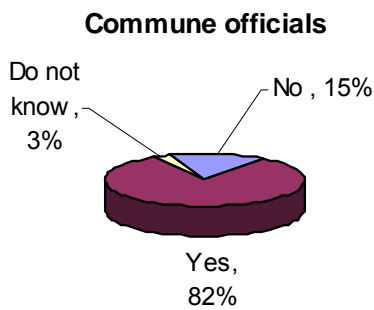
**Province & District**





**Q8O. Did the contractor finish on time?**

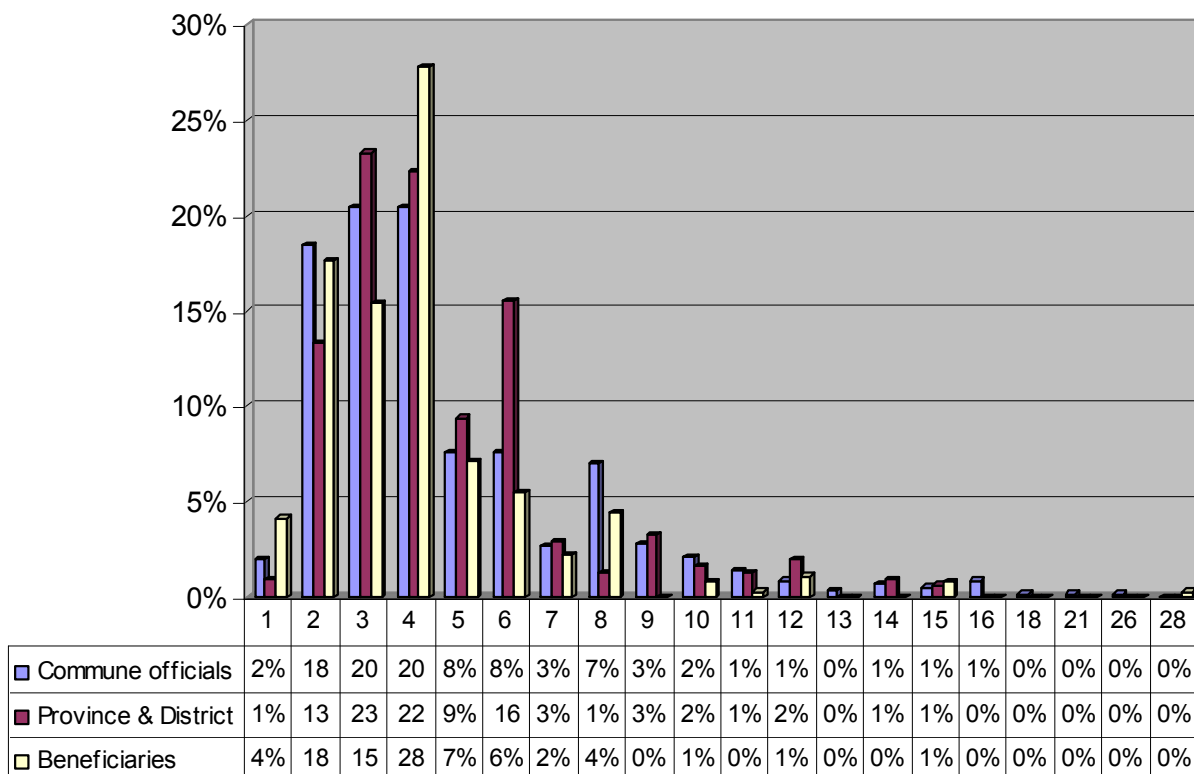
There was a worsening perception of whether the contractors finished late between beneficiaries where only 2% said the contractor finished late and province and district officials 23% of who report the contractors late.



**Q8P. How long was the contractor actually working at the site from start to finish?**

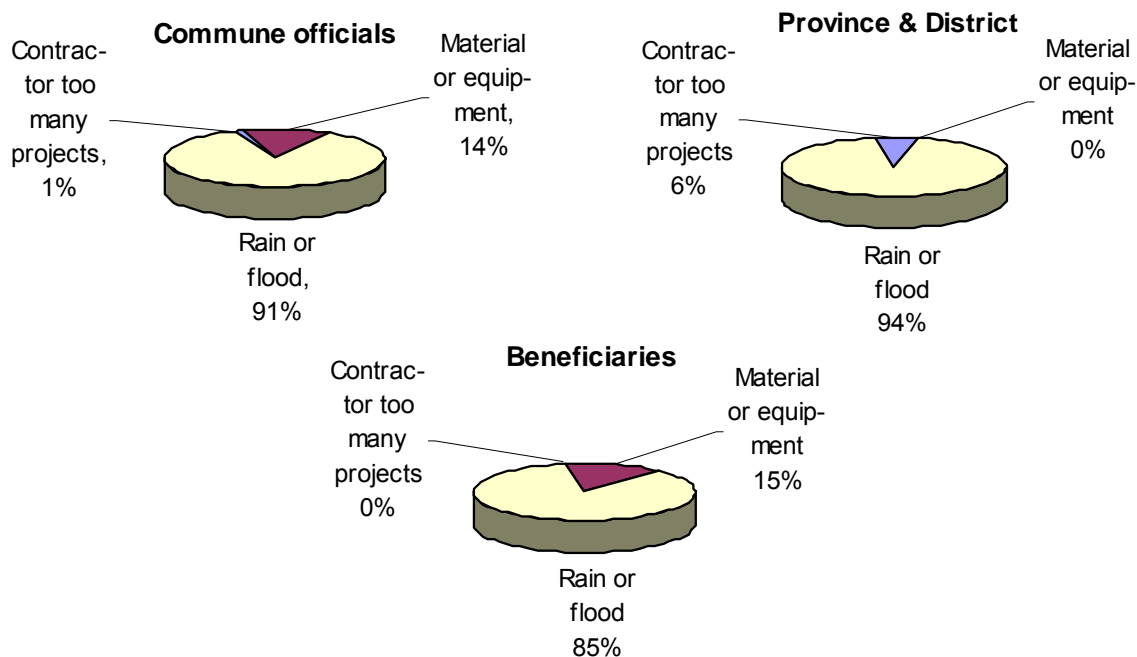
There was little agreement between the groups on how long the contract was actually working at the site from start to finish. It appears that the majority of projects took up to eight weeks, and most others were finished within twelve weeks.

### Actual duration of construction work



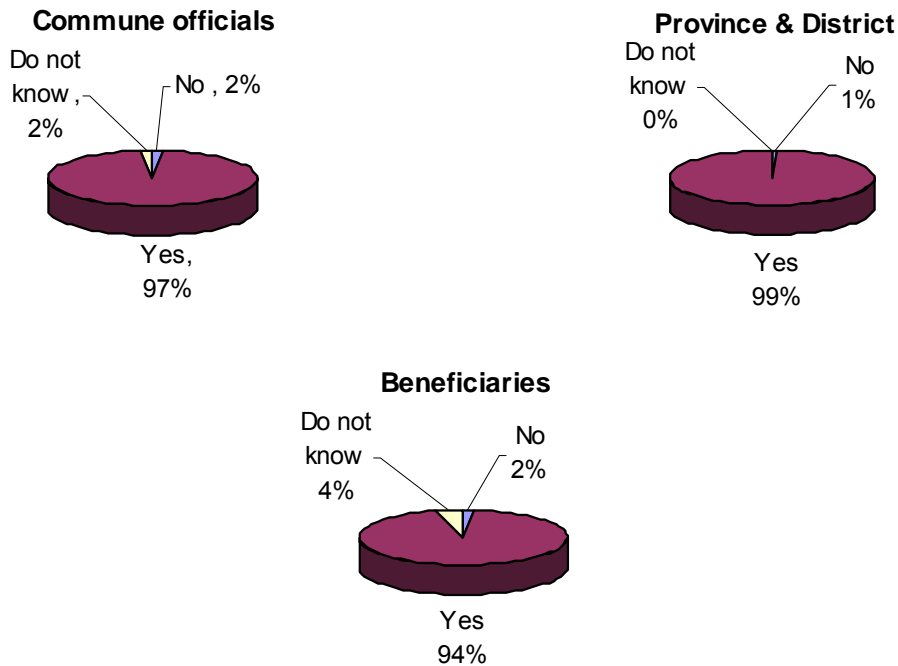
#### Q8Q. If there were delays what were the main reasons for delay?

Rain and flooding was the main reason for delays to construction 85% to 94% of the time. Lack of materials or equipment caused delay 14% to 15% of the time although the province and district officials did not give this as reason. Conversely, the province and district officials said delays were sometimes caused by contractors being busy with other projects, only a few people in the commune gave this as a reason.



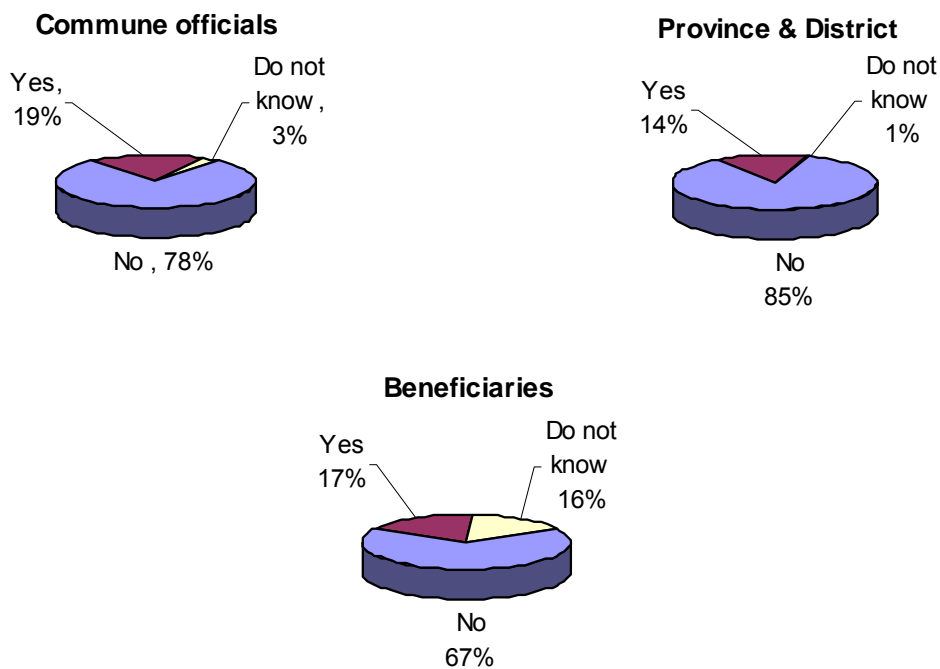
**Q8R. Did the contractor build correctly to the design and specification?**

There was broad agreement that the contractors built correctly to the design and specification, although between 1% and 3% of the stakeholder groups questioned said they did not.



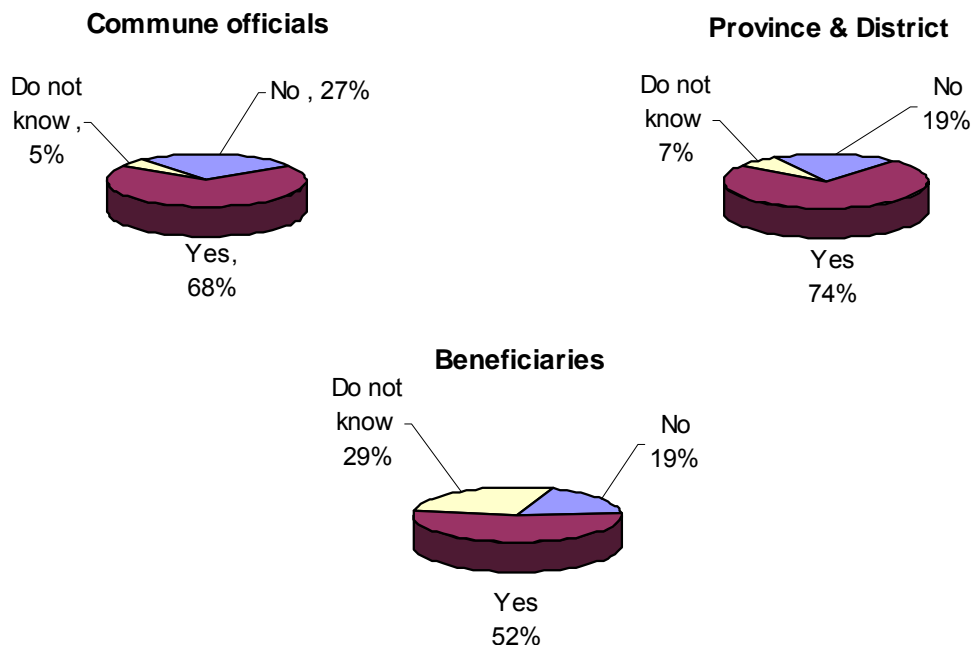
**Q8S. Has the six-month maintenance period passed since completion of construction?**

Since the process audit was conducted when only 13% of 2009 projects had been finished it is not surprising that the six-month maintenance period had expired for less than 20% of the sampled completed projects.



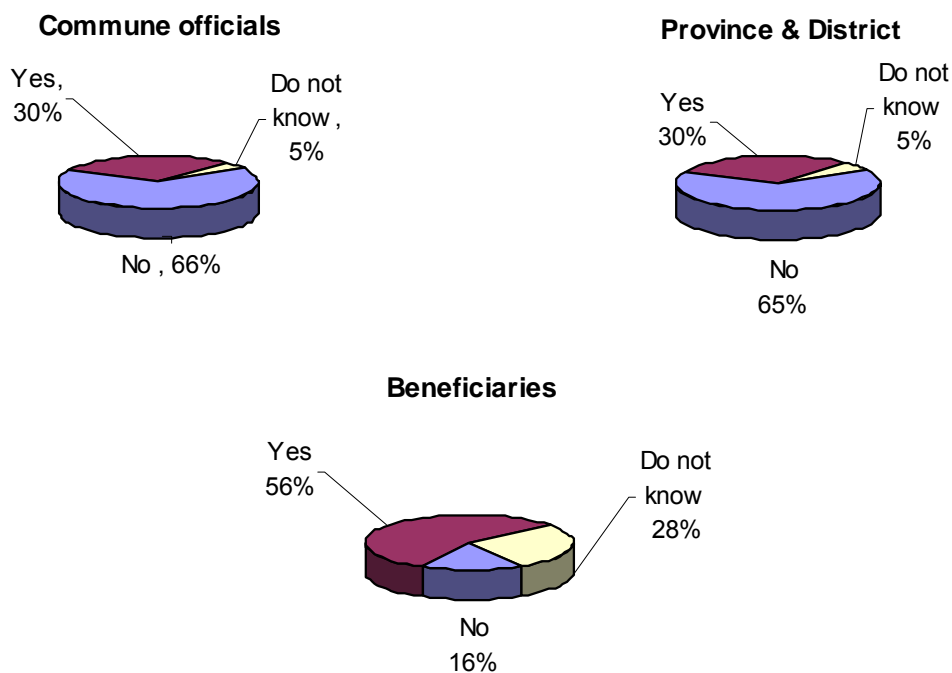
**Q8T. Has the contractor corrected defects or carried out maintenance during the six-month maintenance period?**

Some 27% of commune officials said that contractors had not corrected defects or carried out maintenance during the six-month maintenance period. However, 19% of province and district officials and beneficiaries said the contractors had not done this work.



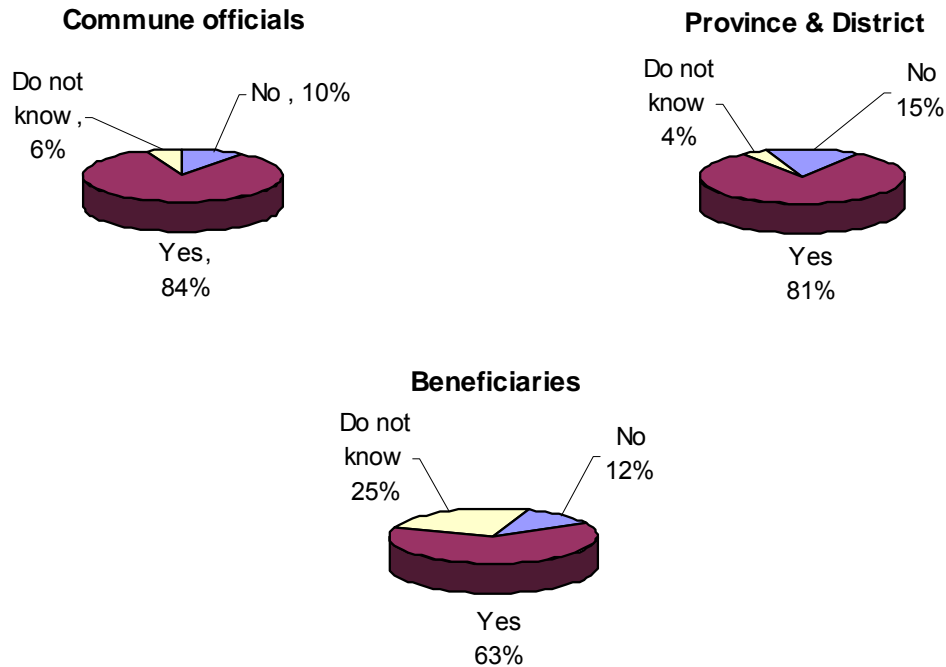
**Q8U. If the project changed from the design was this because the contractor proposed a change to improve the design that was agreed with the commune?**

The responses indicated that contractors are proposing changes to improve the design which are agreed with the commune in a significant number of projects and that the officials might not always be aware of this.



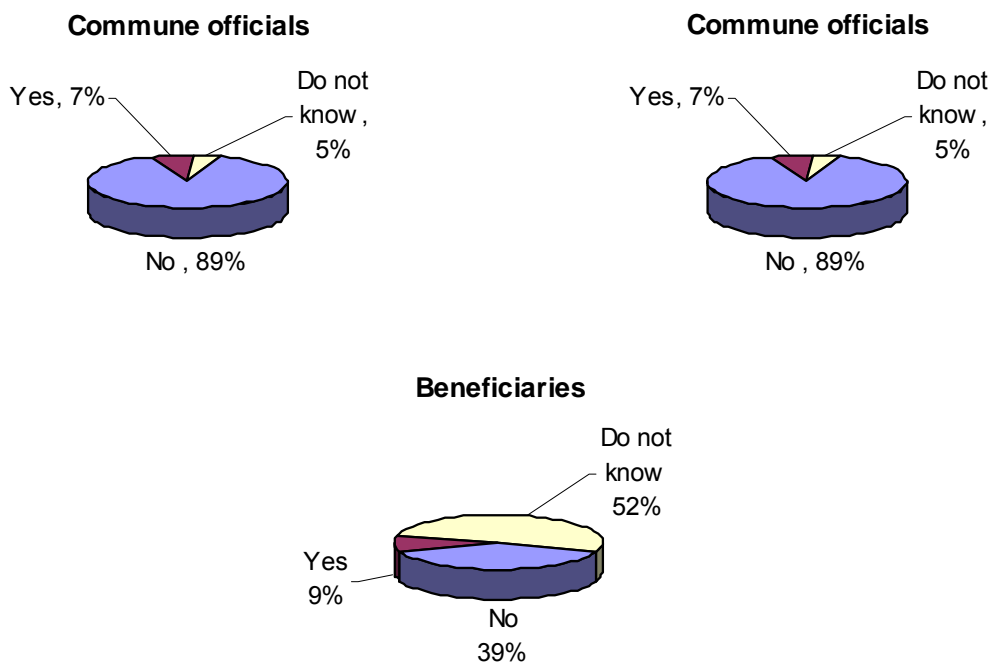
**Q8V. If the project changed, was it with the agreement and approval of the commune?**

The responses indicated that contractors are making changes without the agreement and approval of the commune. The evidence comes from 139 stakeholders across 56 projects, and key officials are in agreement on this for ten of the sampled projects. Probably at least 10% of projects were changed without the agreement and approval of the commune.



**Q8W. Were the final quantities different from the bid quantities?**

Some 104 stakeholders across 51 projects said the final quantities different from the bid quantities. Based on the responses from competent officials it appears the quantities were different for at least 21 of sampled 100 projects.



#### A4.2.9 Environmental safeguards

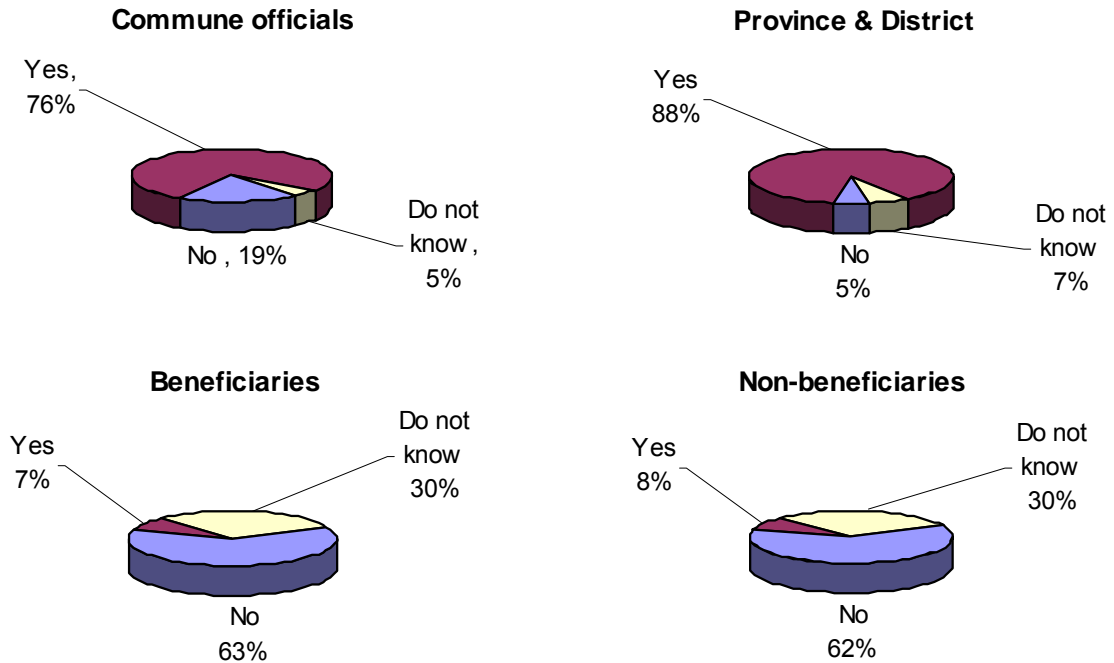
##### Summary of key findings

The summary conclusions for environmental safeguards are listed below; the full questions, commentary and charts follow.

- Q9A. Although 78% and 88% respectively of the commune, province and district officials said that they had seen the NCDD illustrated information pamphlet of environmental safeguards only 7% and 8% respectively of beneficiaries and non-beneficiaries had.
- Q9B. A significant minority of 3% to 4% of the three groups questioned said there could be harmful effects on the environment.
- Q9C. There appears to be confusion amongst officials, mostly at commune level, when an environmental impact assessment is needed.
- Q9D. Environmental impact assessments are being carried out but there is much confusion amongst the stakeholders about what actually is an environmental impact assessment.
- Q9E. There is poor knowledge whether communes are on the environmental watch-list, especially amongst officials responsible for watch-list communes.
- Q9F. It is not possible to decide from the results how many projects were actually screened for environmental risks or how effective the screening was, but it may be in the order 20%.
- Q9G. There is a discrepancy between commune officials 55% who said that an environmental analysis report was prepared whereas 32% of the province and district officials said this was done.
- Q9H. There is a discrepancy between commune officials 48% who said that the environmental analysis report was checked by the Regional Safeguards Advisor whereas only 20% of the province and district officials said they were.
- Q9J. There is a discrepancy between commune officials 46% who said that the environmental analysis reports were checked by staff of Department of Environment whereas only 27% of the province and district officials said they were.
- Q9K. There is a discrepancy between commune officials 46% who said that the environmental analysis report was sent to the Provincial Department of the Environment for Technical Clearance whereas only 21% of the province and district officials said it was.
- Q9L. There is a discrepancy between commune officials 72% who said that an environmental management plan prepared for the projects whereas only 37% of the province and district officials said one was.
- Q9M. Dealing with environmental concerns cause delay to about 3% of projects.
- Q9N. Commune officials, beneficiaries and non-beneficiaries expected the projects to cause environmental changes. The stakeholders were clear on what they felt the environmental changes would be and that the changes would be significant environmental benefits. It is worth noting that no one cited a negative environmental impact, including the province and district officials.
- Q9O. Although a majority in all groups were happy with the environmental changes caused by the project significant minorities were not.
- Q9P. In all stakeholder groups, a small minority considered that construction caused some environmental damage.

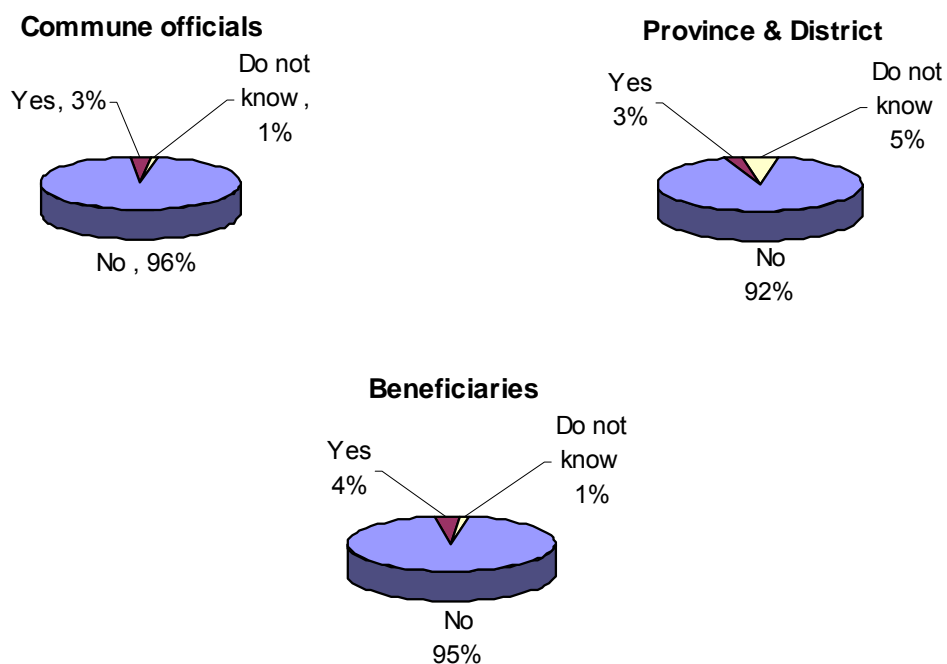
**Q9A. Have you seen the NCDD illustrated information pamphlet of environmental safeguards?**

Although 78% and 88% respectively of the commune, province and district officials said that they had seen the NCDD illustrated information pamphlet of environmental safeguards only 7% and 8% respectively of beneficiaries and non-beneficiaries had.



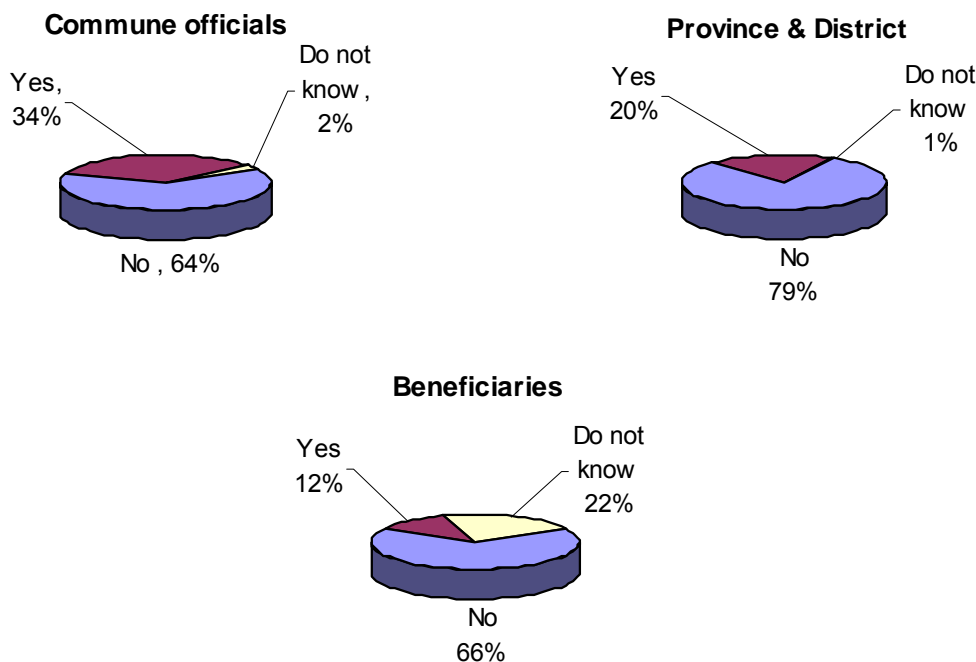
**Q9B. In your view could this project have any harmful effects on the environment?**

A significant minority of 3% to 4% of the three groups questioned said there could be harmful effects on the environment.



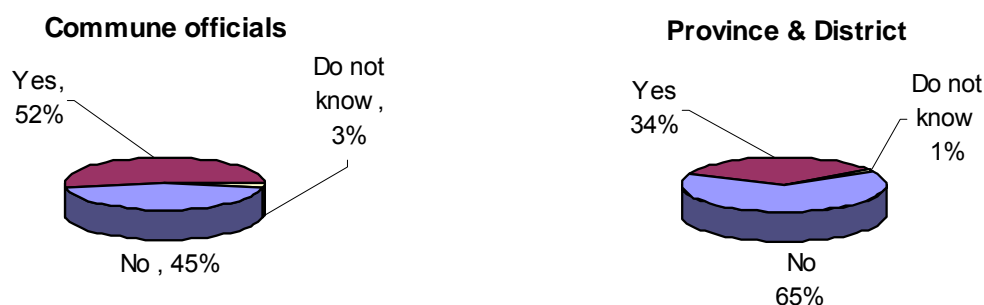
**Q9C. Did the project require an environmental impact assessment?**

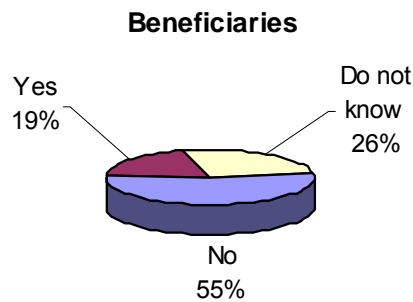
There were differences between groups on whether the projects required environmental impact assessments, at the province and district only 20% said they did but 34% of commune officials said they did. Closer examination suggests that province and district officials were only in agreement that about twelve projects needed an environmental impact assessment, on top of this the PFT alone often said it was needed. In contrast there were many more projects where commune officials in particular said an environmental impact assessment was needed. There were only twelve projects for which no one said it was needed. There is appears to be confusion amongst officials, mostly at commune level, when an environmental impact assessment is needed.



**Q9D. Was an environmental impact assessment done?**

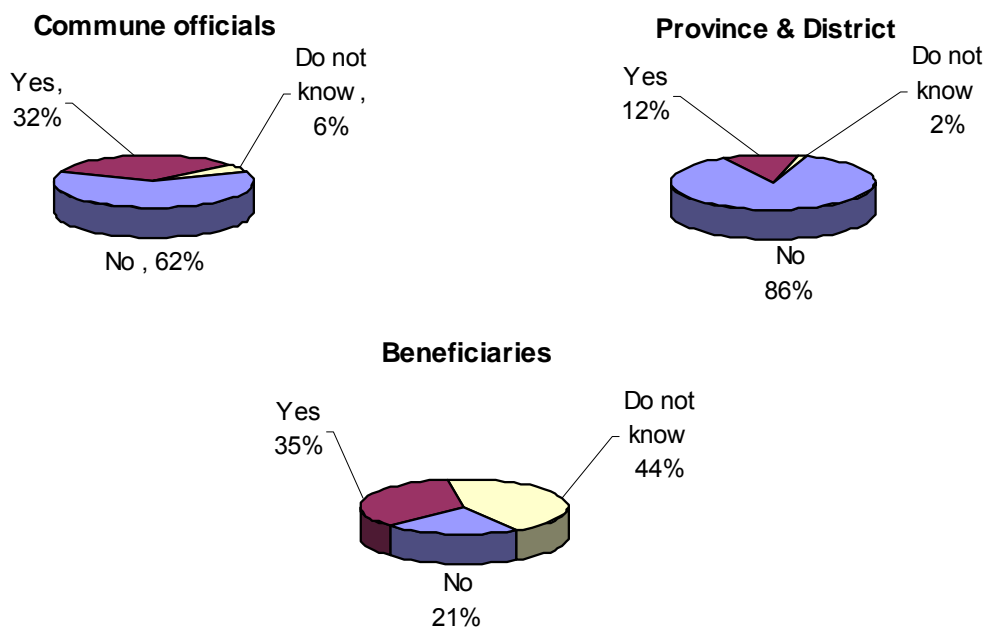
There is another big discrepancy here between commune officials 52% who said environmental impact assessments were done and province and district officials who said it was only for 34% of projects. Actually separated responses for the project indicate there were only about 15 projects where an environmental impact assessment was done; but there were only six projects for which all stakeholders agree there was no environmental impact assessment. It can be concluded that environmental impact assessments are being carried out but there is much confusion amongst the stakeholders about what actually is an environmental impact assessment.





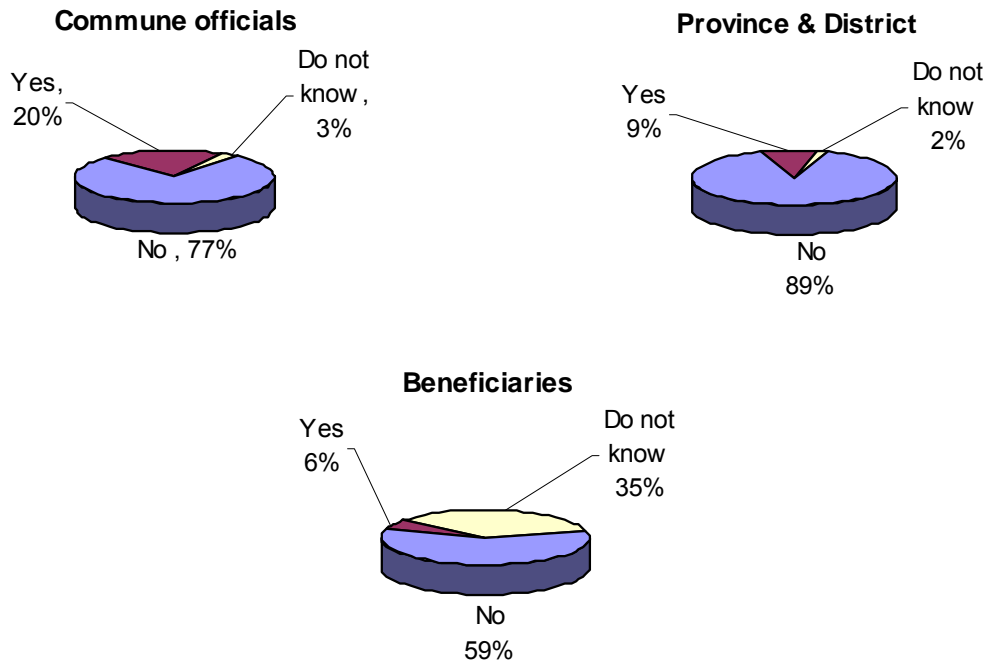
**Q9E. Is the project in an environmental watch-list commune?**

There is another big discrepancy here between commune officials who said 32% of projects were in an environmental watch-list commune whereas only 12% of the province and district said they were. As explained above, only twelve projects in the sample of 100 were on the environmental watch-list that was current at the time of the survey. There were 291 stakeholders spread across 70 communes not on the watch-list who believed they were. Actually there is a fair correlation between these people and those saying an environmental impact assessment was done, when it probably was not. Amongst the twelve watch-list communes, 53 stakeholders thought these communes were not on the watch-list. These included seven commune chiefs, six TSO, three PFT, two DFT and 32 other officials. It should be noted that the watch-list made available for the process audit was provisional and the status of communes had still to be confirmed. It can be concluded that there is poor knowledge whether communes are on the environmental watch-list, especially amongst officials responsible for watch-list communes.



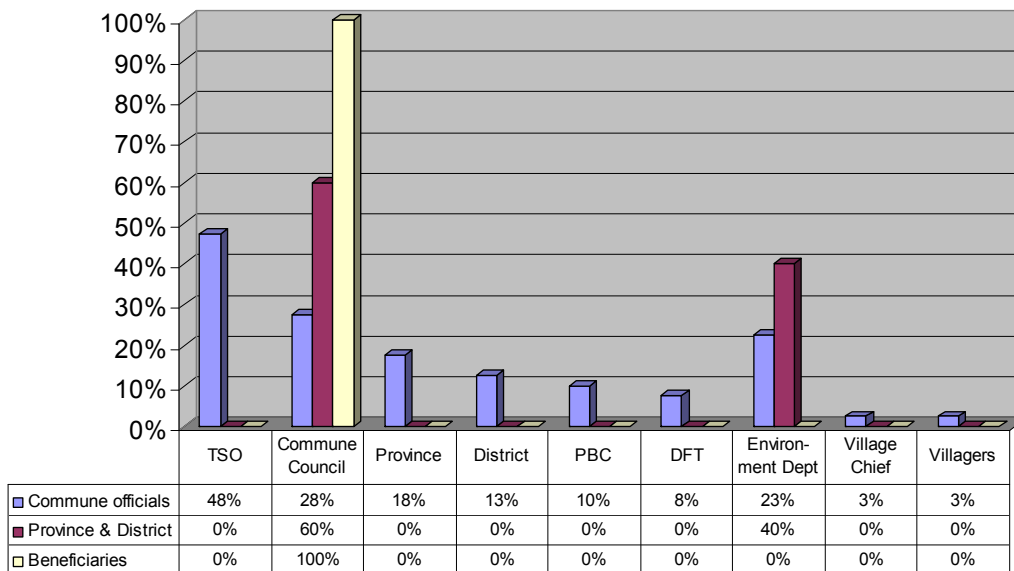
**Q9F. Was the project screened for environmental risks, and if so by whom?**

There is another discrepancy here between commune officials 20% who said projects were screened for environmental risks whereas only 9% of the province and district officials said they were. Thirty-one projects were not screened for environmental risks; at least one stakeholder said there was screening for each of the other 61 projects. It is not possible to decide from the results how many projects were actually screened for environmental risks or how effective the screening was, but it may be in the order 20%.



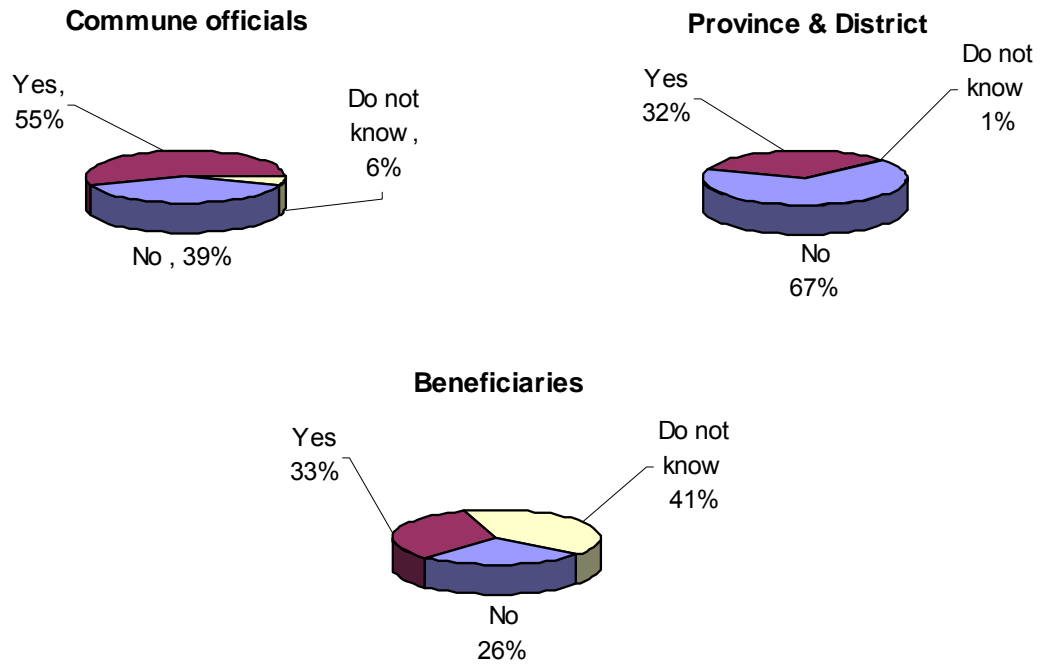
The chart indicates that there was no correlation between the stakeholder groups on who conducted the environmental screening. It should also be noted that only about one-third of those who said that there was screening gave an answer on who carried out the screening.

**Party who conducted environmental screening**



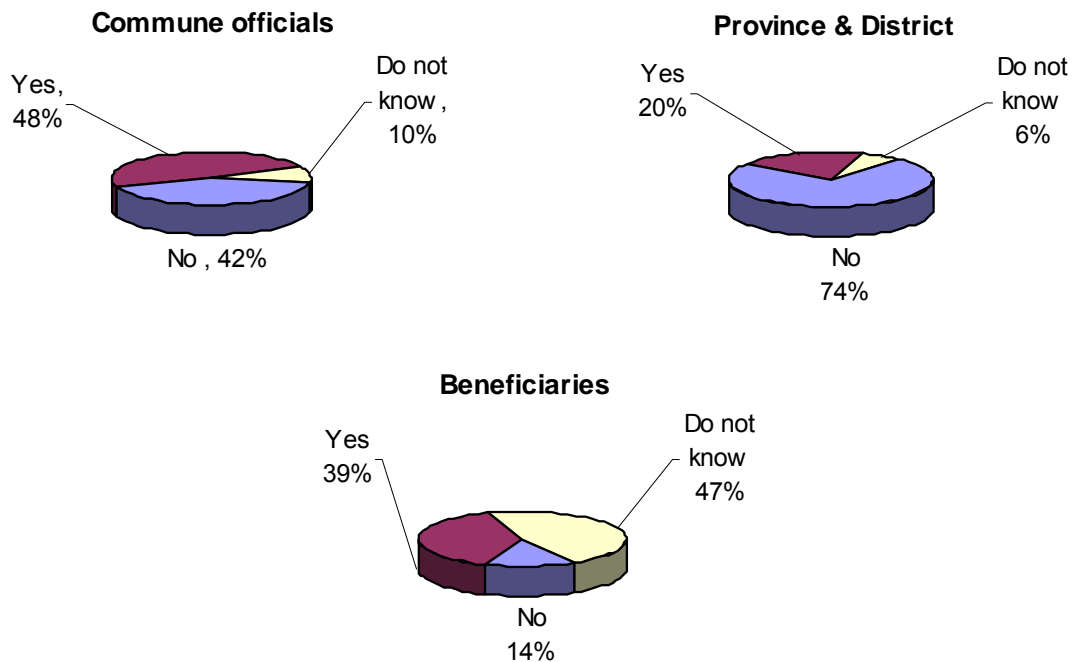
**Q9G. Was an environmental analysis report prepared?**

There is another discrepancy here between commune officials 55% who said that an environmental analysis report was prepared for whereas 32% of the province and district officials said this was done.



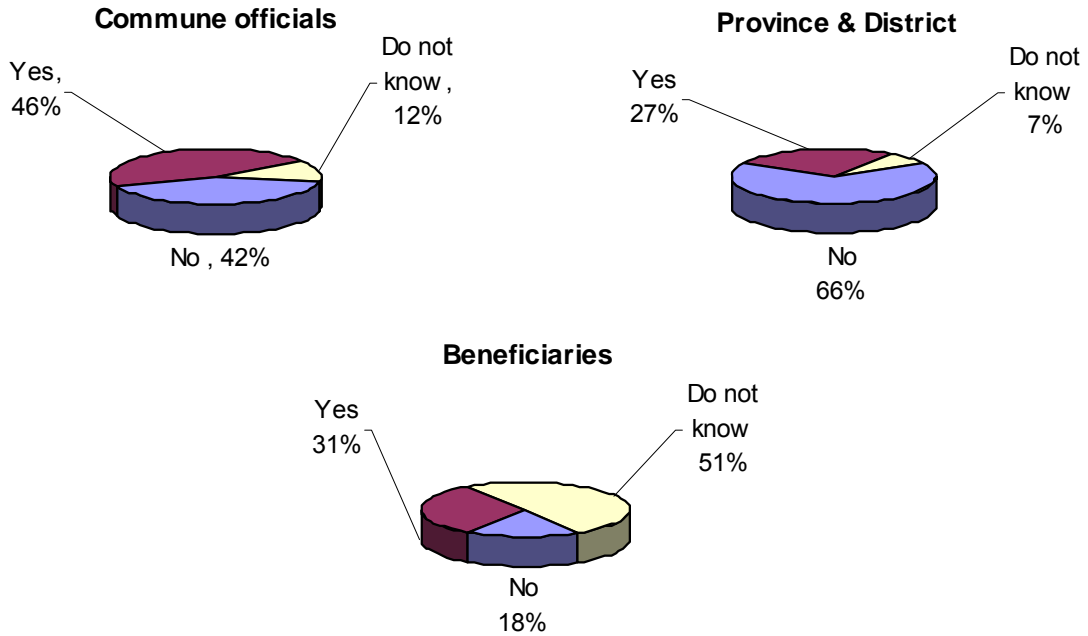
**Q9H. Was the environmental analysis report checked by the Regional Safeguards Advisor?**

There is another discrepancy here between commune officials 48% who said that the environmental analysis report was checked by the Regional Safeguards Advisor whereas only 20% of the province and district officials said they were.



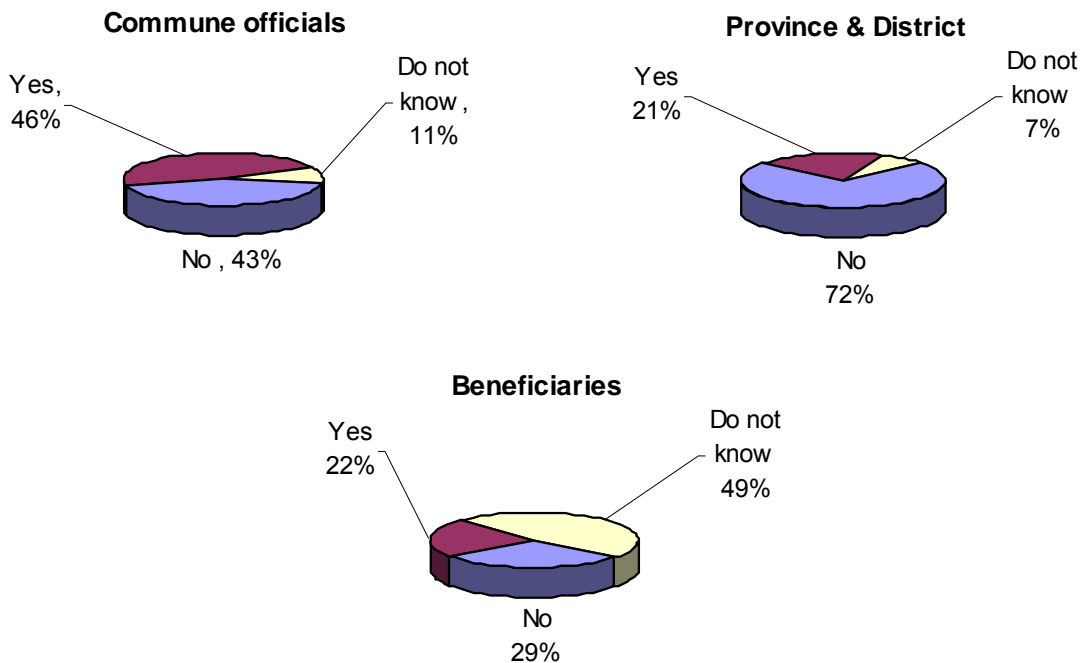
**Q9J. Was the environmental analysis report checked by staff of Department of Environment?**

There is another discrepancy here between commune officials 46% who said that the environmental analysis reports were checked by staff of Department of Environment whereas only 27% of the province and district officials said they were.



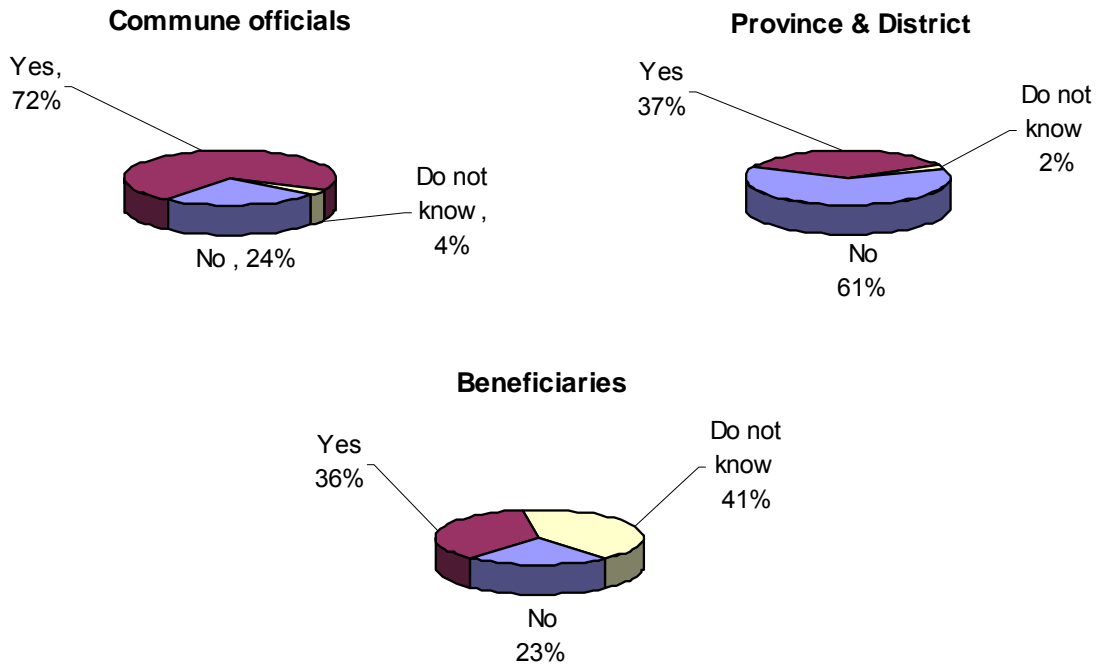
**Q9K. Was the environmental analysis report sent to the Provincial Department of the Environment for Technical Clearance?**

There is another discrepancy here between commune officials 46% who said that the environmental analysis report was sent to the Provincial Department of the Environment for Technical Clearance whereas only 21% of the province and district officials said is was.



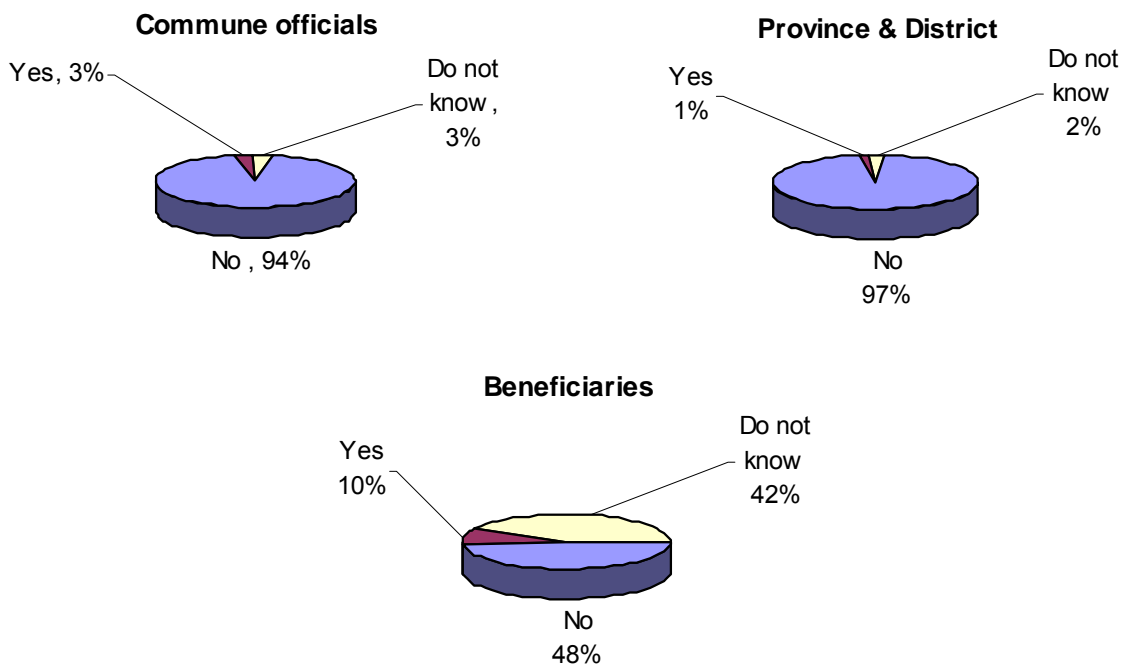
**Q9L. Was an environmental management plan prepared?**

There is another discrepancy here between commune officials 72% who said that an environmental management plan prepared for the projects whereas only 37% of the province and district officials said one was.



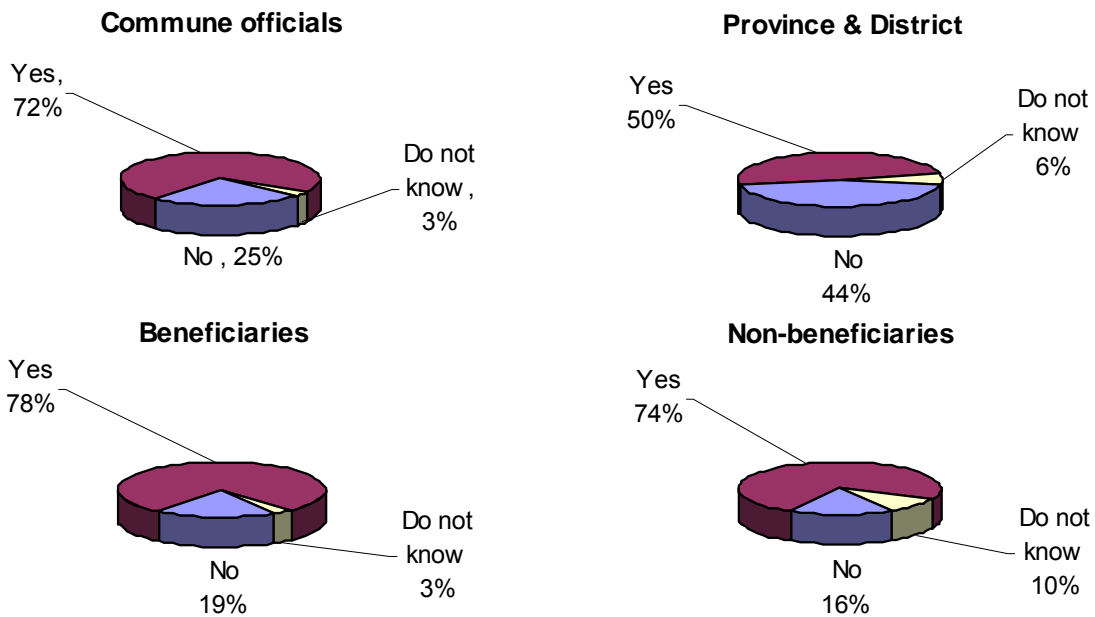
**Q9M. Did dealing with environmental concerns delay the project and if so how long?**

It appears from examination of the data that environmental concerns only caused delay perhaps three projects. Only four commune officials said how long this delay was, two of these said there was a delay of one week, the other two said there was a delay of six to seven weeks. It can be said that dealing with environmental concerns caused delay to about 3% of projects.



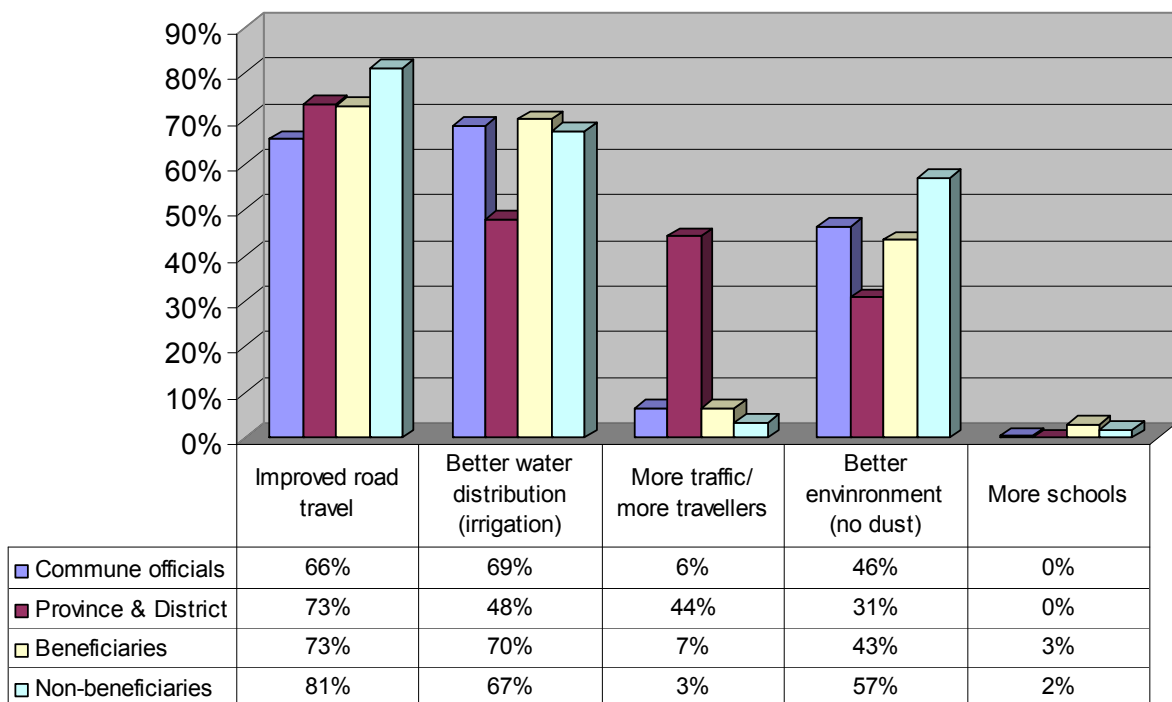
**Q9N. Will environmental changes be caused by the project and if so what are they?**

Commune officials, beneficiaries and non-beneficiaries expected the projects to cause environmental changes, 72%, 78% and 74% of respondents respectively. Only 50% of province and district officials expected the projects to cause change.



The stakeholders were clear on what they felt the environmental changes would be and that the changes would be significant environmental benefits. This is illustrated by the chart below. For roads, they clearly saw easier travel as a significant socio-economic benefit, and particularly mentioned a reduction in road dust as an environmental benefit. For irrigation canals, better water distribution was seen as the benefit, which is a socio-economic benefit. Only one of the sampled projects was a school, which explains the low percentage citing this benefit.

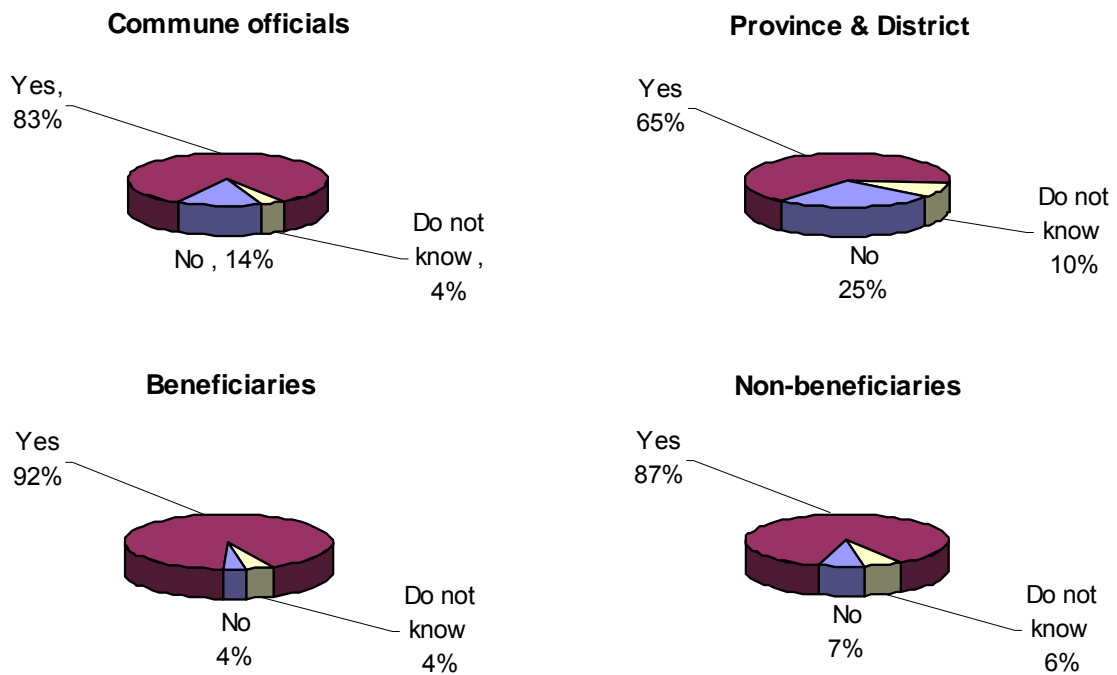
**Environmental changes foreseen after project**



It is worth noting that nobody cited a negative environmental impact, including the province and district officials. The environmental safeguards are designed to protect against negative environmental impacts, the benefits of projects being a given. However, the results flag that negative impacts on the environment do not rank highly in peoples consciousness, it is after all rather an esoteric concept for the rural poor. However, province and district officials do receive training on the topic but the results do not indicate that they have recognised its significance.

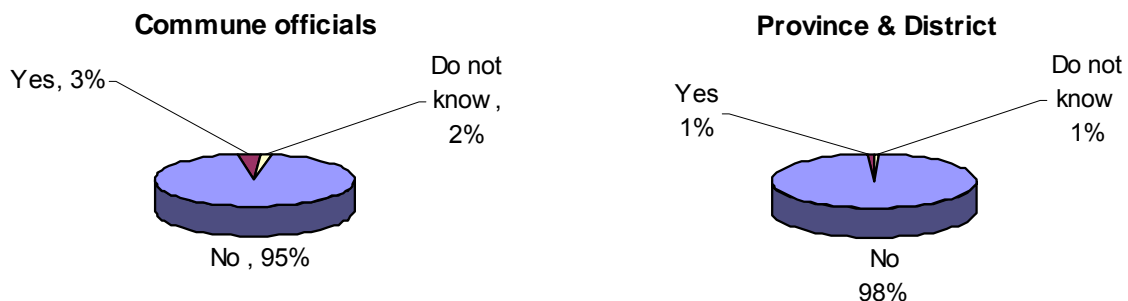
**Q90. Are you happy with the environmental changes caused by the project?**

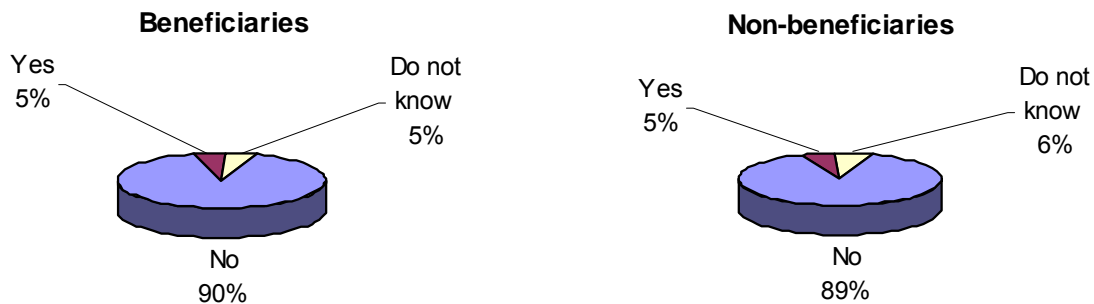
Although a majority in all groups were happy with the environmental changes caused by the project significant minorities were not; 14% of commune officials, 25% of province and district officials, 4% of beneficiaries and 7% of non-beneficiaries.



**Q9P. Did construction cause any environmental damage, if so what was the damage?**

Across the Stakeholder groups between 1% and 5% considered that construction caused some environmental damage.





There was some recognition in the percentage of yes answers that projects can cause environmental damage but when it came to saying what this might be only nine people from stakeholder groups in the commune gave an answer. No province or district official cited an example of environmental damage although this group is trained to recognise it. The damage identified was:

- four people said loss of trees;
- five people said land was affected; and
- two people said crops were lost.

#### A4.2.10 Land rights safeguards

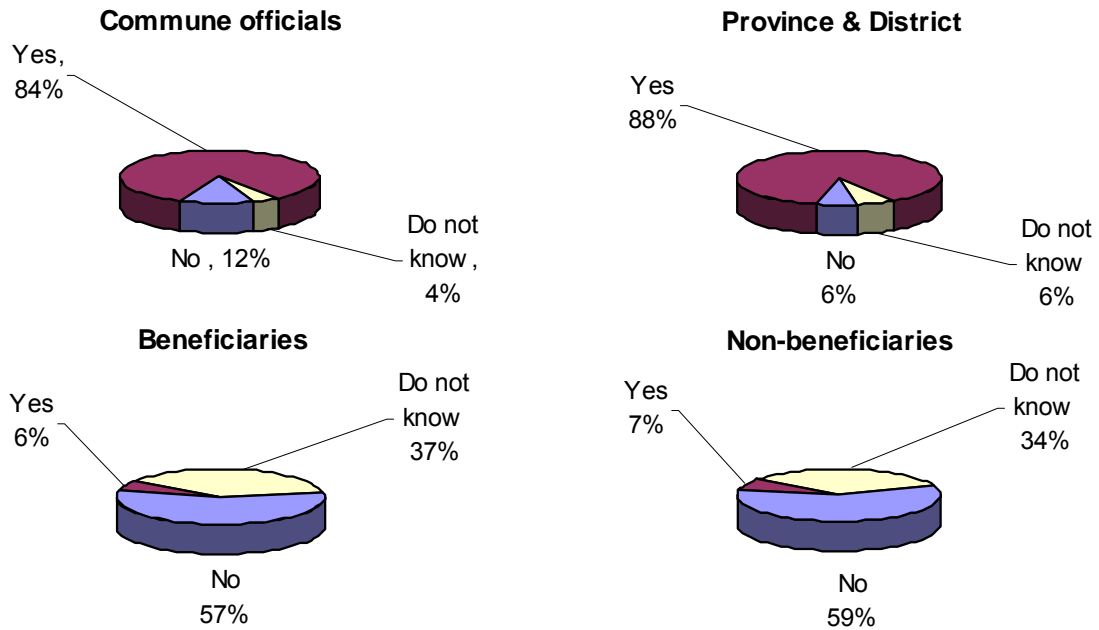
##### Summary of key findings

The summary conclusions for land rights safeguards are listed below; the full questions, commentary and charts follow.

- Q10A. Some 84% and 88% respectively of commune, province and district officials had seen the NCDD illustrated information pamphlet of land acquisition procedures but a significant proportion had not. Only 6% and 7% respectively of beneficiaries and non-beneficiaries said they had seen it.
- Q10B. About two-thirds of the sampled projects required land used and/or owned by people.
- Q10C. There is a significant minority problem that people are not being informed in time and in detail about land being required but also that the province and district officials perceive this as a bigger problem than the communes do.
- Q10D. There are differences between stakeholder groups over how many meetings were held for land issues but it appears between two and five meetings are being held with three meetings most common.
- Q10E. There is a significant minority of projects where maps were not prepared and shared which showed the land affected in a way that could be understood by everyone.
- Q10F. It appears that people believe that they know their rights as landowners and/or users but that perhaps they are not totally informed. In any case, this does not appear to be a significant issue amongst the communities.
- Q10G. Given the inevitability that some projects require peoples land, people being pushed to hand over their land does not appear to have been a problem for the sampled projects.
- Q10H. There is a widespread and significant non-compliance for land rights safeguards and that many people are not informed about possible compensation for land.
- Q10J. It can be concluded that compensation is paid on only a minority of projects.
- Q10K. Overall, it appears that dealing with land matters is not a significant cause of delay for projects.

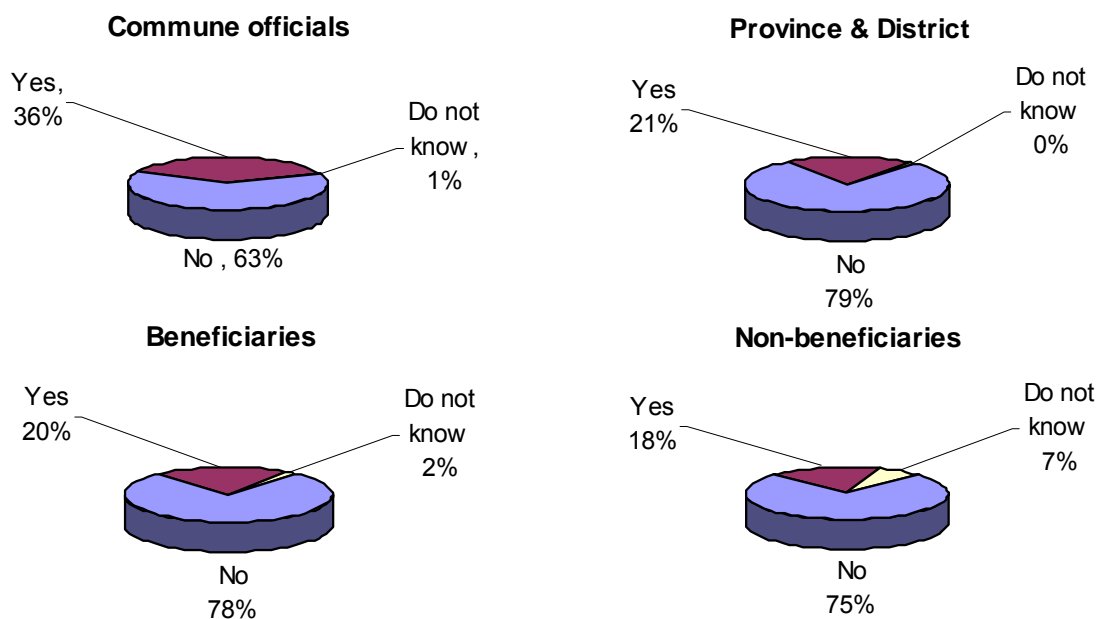
**Q10A. Have you seen the NCDD illustrated information pamphlet of land acquisition procedures?**

Some 84% and 88% respectively of commune, province and district officials had seen the NCDD illustrated information pamphlet of land acquisition procedures but a significant proportion had not. Only 6% and 7% respectively of beneficiaries and non-beneficiaries said they had seen it.



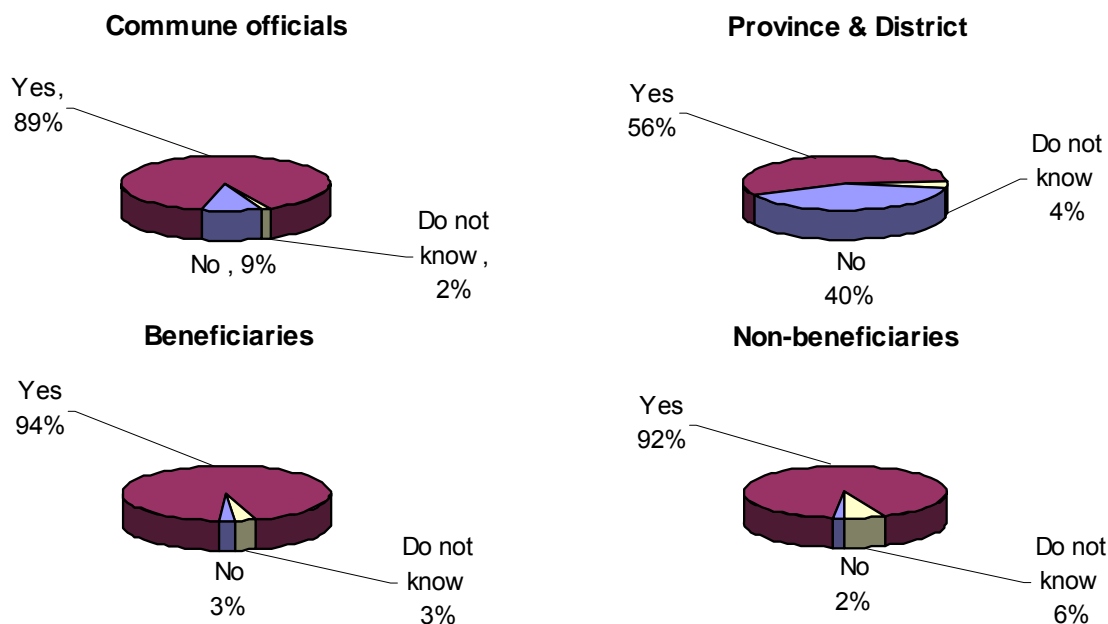
**Q10B. Did the project require any land used and/or owned by people?**

There were 63 projects corroborated by two or more stakeholders which required land used and/or owned by people, there were a further 15 projects where one stakeholder said land was required. There was many more commune officials 36% saying land was required against 20% of beneficiaries, however, this is not a concern because the interviews did not seek out beneficiaries who donated land and there is no reasons why those interviewed would know. It can be conclude about two-thirds of the sampled projects required land used and/or owned by people.



**Q10C. Were people informed in time and in detail about land being required?**

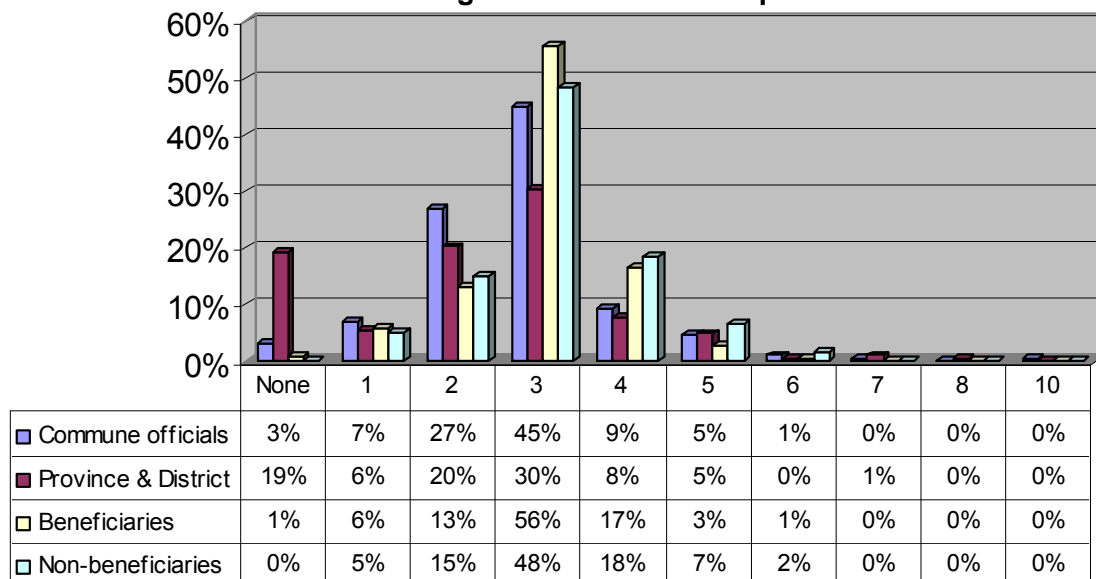
There were 29 projects where every stakeholder said people were informed in time and in detail about land being required. Overall, in the communes 89% of officials said people were informed in time and 94% of beneficiaries said people were informed. This contrasts with province and district officials who said people were not informed for 40% of the time, examination of the data reveals that for 35 projects only the province and district officials said people were not informed in time, and no one in the commune agreed with this. It can be concluded that there is a significant minority problem that people are not being informed in time and in detail about land being required but also that the province and district officials perceive this as a bigger problem than the communes do.



**Q10D. How many meetings were conducted to discuss the project and land requirements?**

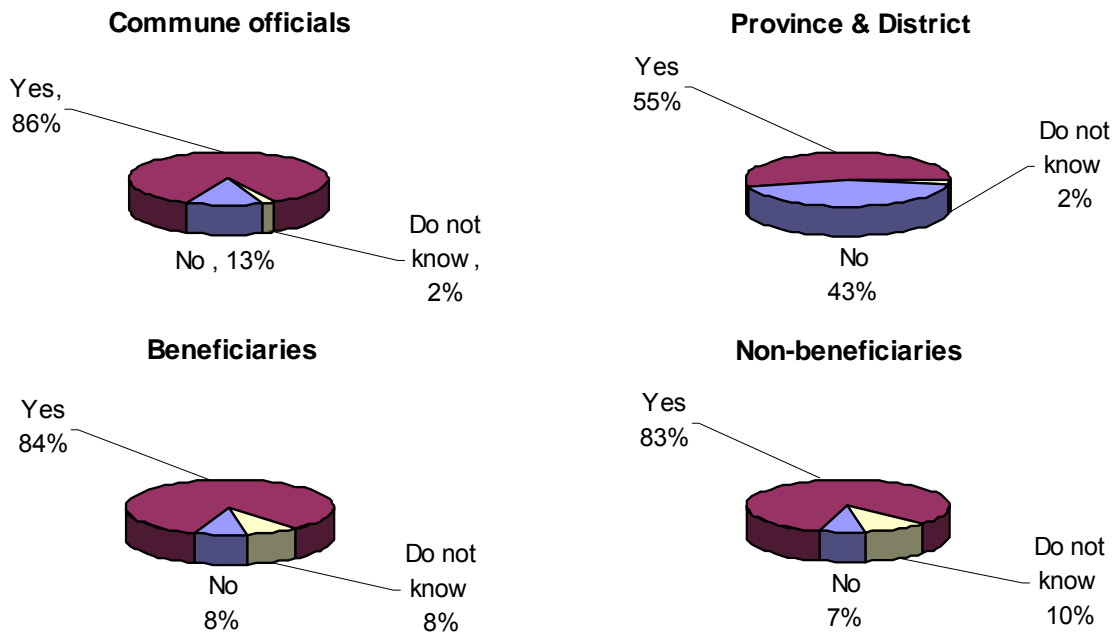
There are difference between stakeholder groups over how many meetings were held but it appears between two and five meetings are being held with three meetings most common. A few individuals said there were up to ten meetings, possibly these were for small groups.

**Number of meetings to discuss land requirements**



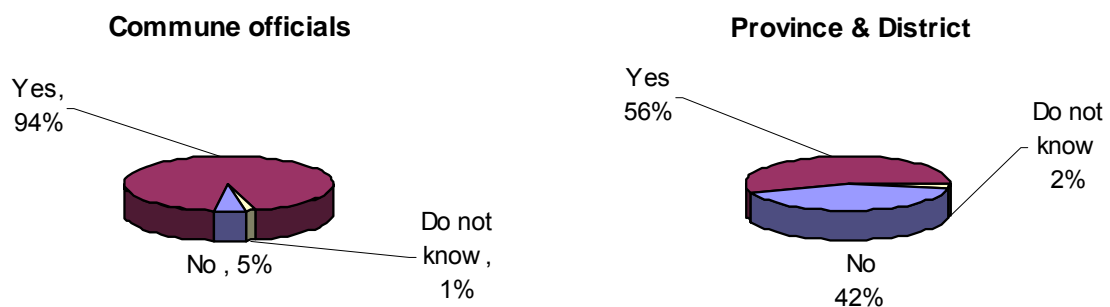
**Q10E. Were maps prepared and shared which showed the land affected in a way that could be understood by everyone?**

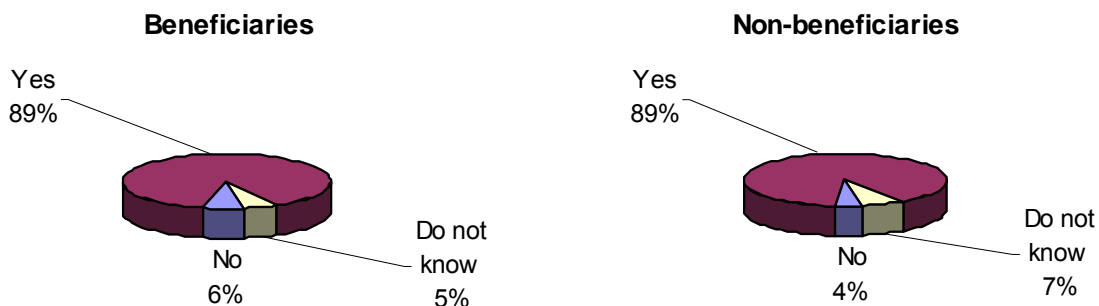
In the commune the officials, beneficiaries and non-beneficiaries are in reasonably close agreement (86%, 84% and 83% respectively) that maps were prepared and shared which showed the land affected in a way that could be understood by everyone. However, the province and districts report that maps were not prepared for 43% of projects. It can be concluded that there is a significant minority of projects where maps were not prepared and shared which showed the land affected in a way that could be understood by everyone.



**Q10F. Were people informed of their rights as landowners and/or users?**

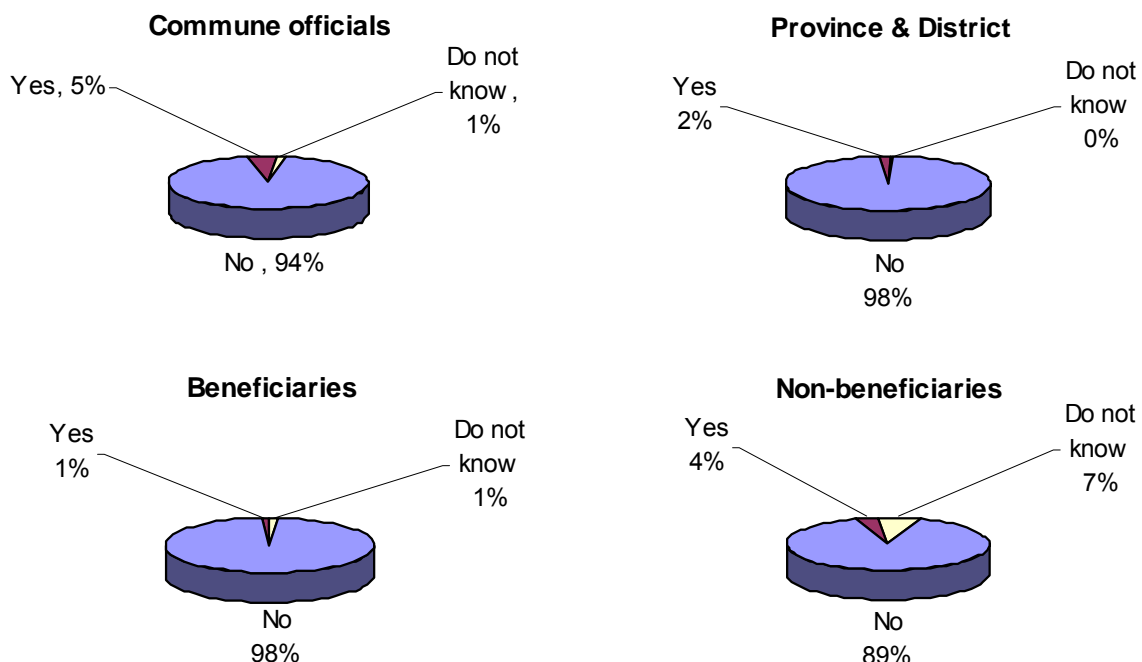
There were 26 projects where all stakeholders agreed people informed of their rights as landowners and/or users. Overall, the commune officials claim that for 94% of projects people were informed of their rights as landowners and/or users but the province and district officials say only 56% were informed. Indeed, there were 37 projects where only the province and district officials said people were not informed, yet all the stakeholders in the commune said they were. There was no project where a majority of stakeholders in the commune said they were not informed. The response to Q10A should be noted in that only a minority of villagers have seen the NCDD illustrated information pamphlet of land acquisition procedures. It appears that people believe that they know their rights as landowners and/or users but that perhaps they are not totally informed. In any case, there does not appear to be a significant issue amongst the communities.





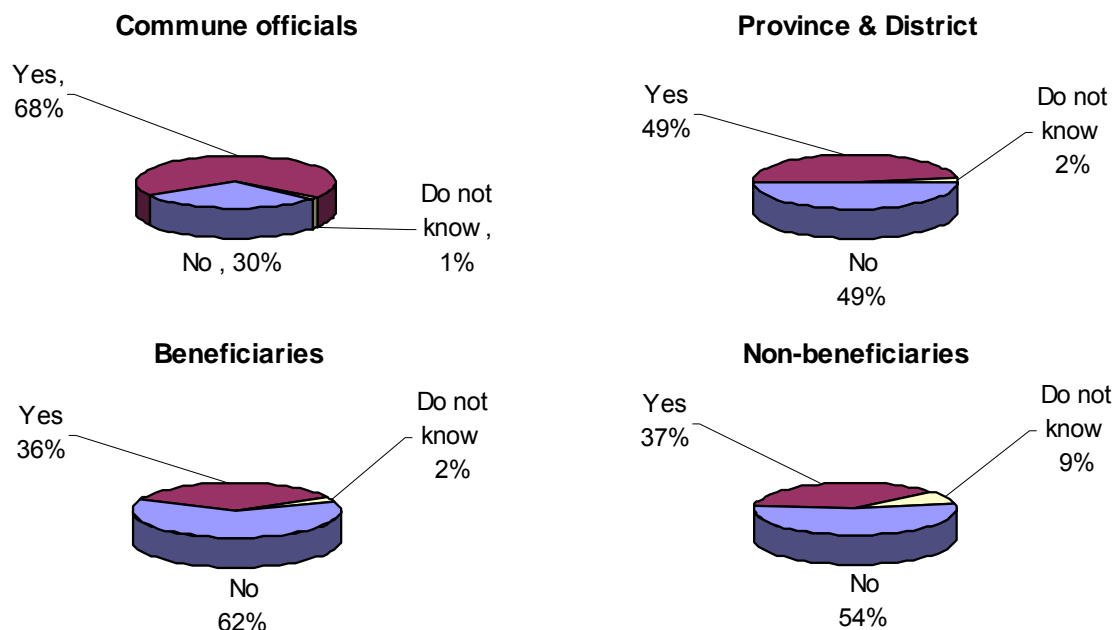
**Q10G. Were people pushed to hand over their land?**

There were 32 projects where at least one stakeholder said people pushed to hand over their land, but for only nine of these did between two and four stakeholders corroborate that people were pushed. Given the inevitability that some projects require peoples land, people being pushed to hand over their land does not appear to have been a problem for the sampled projects.



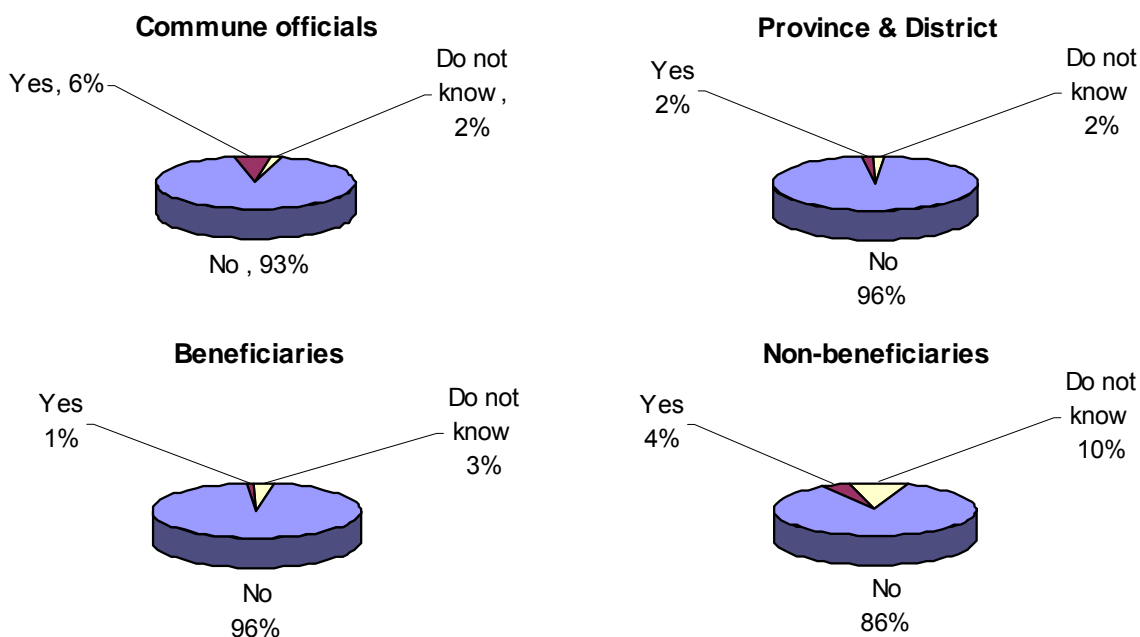
**Q10H. Were people informed about possible compensation for land (or anything built on the land and/or crops/trees on the land)?**

Only for three projects did stakeholders agree that people were informed about possible compensation for land; out of the other 97, a majority for 47 of these said people were not informed. It is clear that there is a widespread and significant non-compliance for land rights safeguards and that many people are not informed about possible compensation for land.



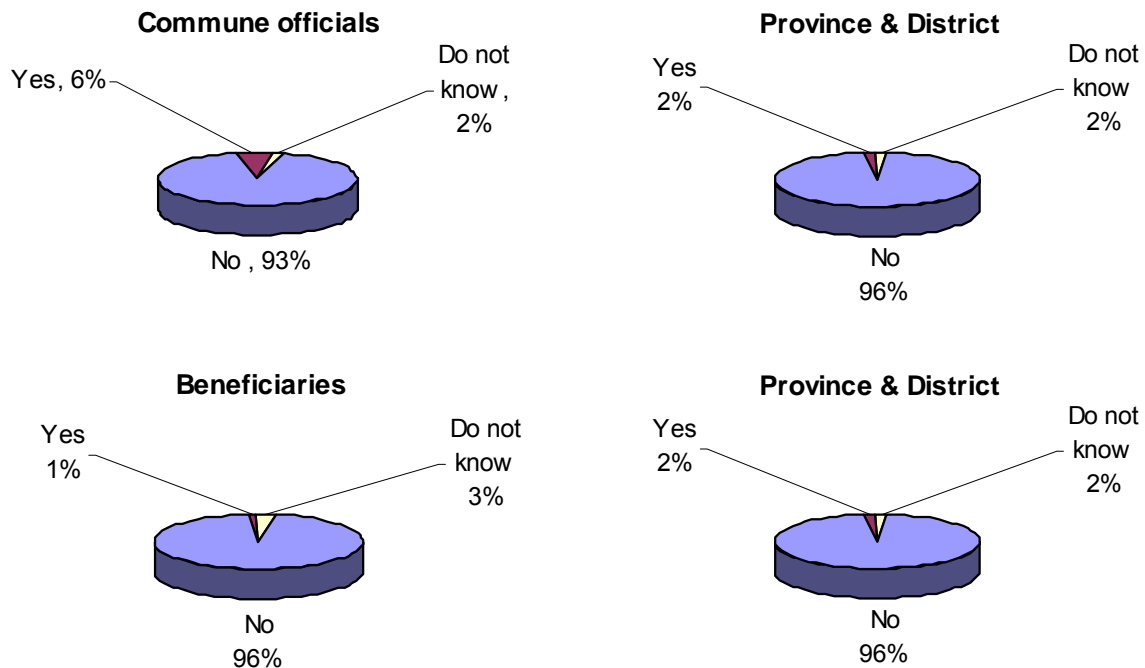
**Q10J. Was any compensation paid?**

Stakeholders agreed that no compensation was paid for 69 of the projects, for the others there are only five projects with sufficient stakeholders corroborating compensation may have been paid. Even then, the mix of responses mean that it is still uncertain compensation was paid. It can be concluded that compensation is paid on a minority of projects.



**Q10K. Did dealing with land matters delay the project and if so how long?**

There were 83 projects where stakeholders agreed that dealing with land matters did not delay the project. Amongst the other 17 projects there was only ever one stakeholder saying there was a delay with the exception of one project where four stakeholders said there was a delay. Overall, it appears that dealing with land matters is not a significant cause of delay for projects.



#### A4.2.11 Highland people safeguards

##### Summary of key findings

Only six of the sampled projects were in highland people watch-list communes. The findings reported in this section are for these six projects, not the full sample of 100 projects.

The summary conclusions for highland people safeguards are listed below; the full questions, commentary and charts follow.

- Q11A. Considering the presence of highland people in the six communes it is unsatisfactory that a significant number of officials have not seen the illustrated information pamphlet of highland people safeguards.
- Q11B. Based on the responses from stakeholders there were no highland people in the villages that benefited from the project.
- Q11C. Only about one quarter of officials for the six highland people communes knew that the communes were on the watch-list.
- Q11D. The stakeholder responses from the communes indicate that meetings were held at five of the six projects to specifically inform highland people about the project.
- Q11E. The stakeholder responses from the communes indicate that there was consultation with the traditional leaders of highland people at five of the six projects.
- Q11F. The stakeholder responses from the communes indicate that meetings, consultation and other information were in the language of the highland people affected at three of the six projects.
- Q11G. For four of the six project most communes officials but not the province and district officials said a report on safeguards for highland people prepared, for the fifth project this was reversed, and for the sixth project officials from both groups said there was a report.
- Q11J. Commune officials for five of the six projects claimed there were safeguards measures for highland people incorporated into the project, but only in two cases did

a commune chief claim so. Safeguards are not necessarily required even when a commune is on the highland people watch-list.

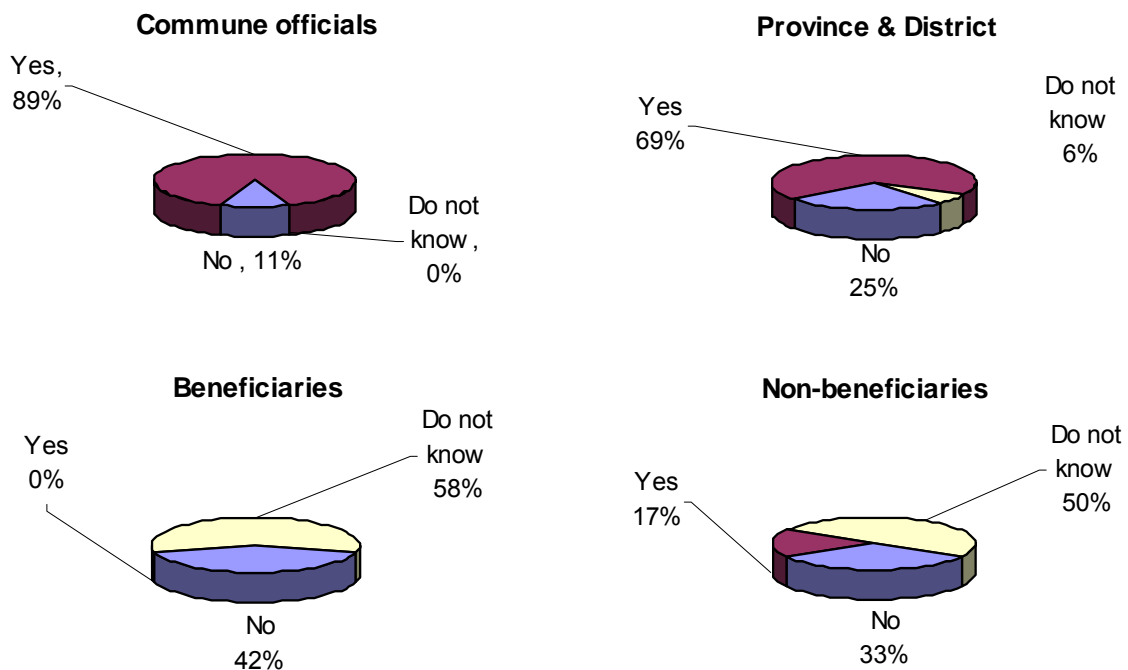
Q11K. One or two province and district officials for each of the six projects said a report on safeguards for highland people was checked and approved by P/MLAU.

Q11L. The stakeholder responses from the communes indicate that there was a report on safeguards for highland approved by the Regional Safeguards Advisor for five of the six projects.

Q11N. It appears that highland people safeguards did not delay any of the six projects.

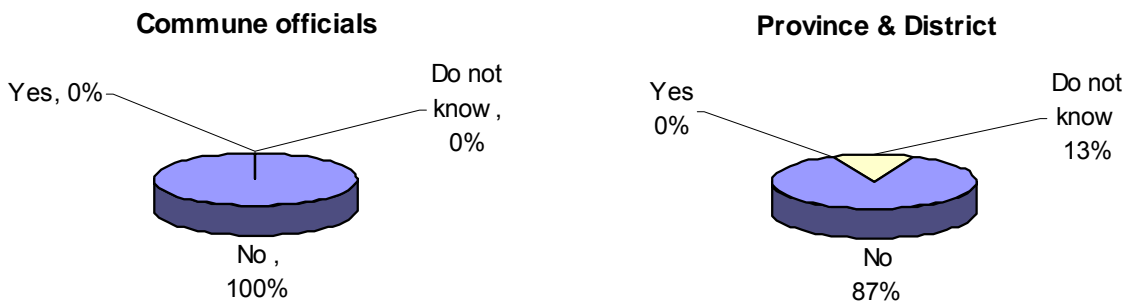
**Q11A. Have you seen the NCDD illustrated information pamphlet of highland people safeguards?**

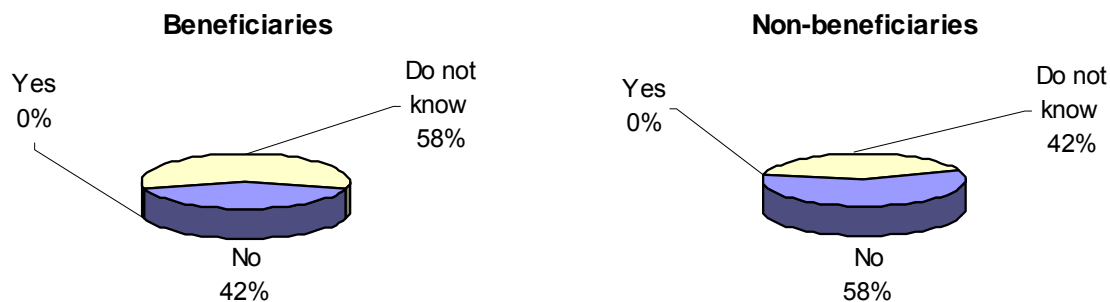
The NCDD illustrated information pamphlet had been seen by 89% of commune officials and 69% of province and district officials. Considering the presence of highland people in the six communes it is unsatisfactory that a significant number of officials have not seen the illustrated information pamphlet of highland people safeguards.



**Q11B. Are there any highland people in the village(s) affected by the project?**

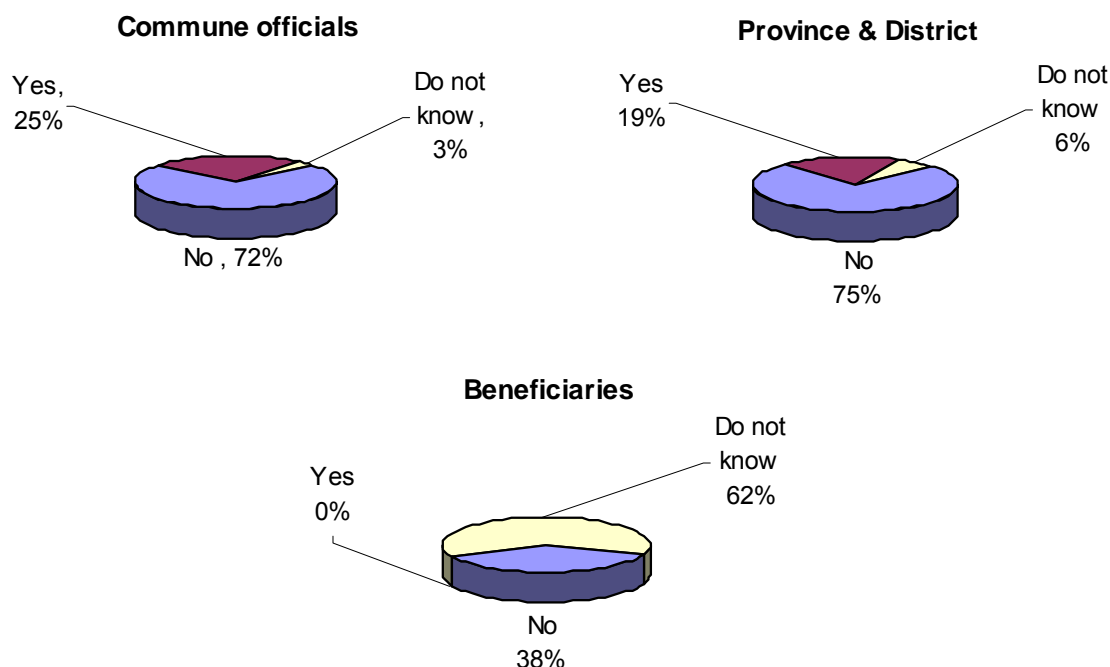
Based on the responses from stakeholders there were no highland people in the villages that benefited from the project.





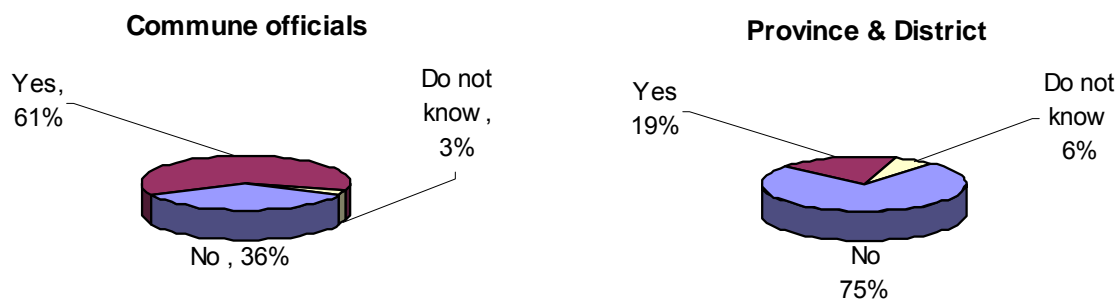
**Q11C. Is the project in a highland people watch-list commune?**

The variations between stakeholder groups to the answers to this question indicate some confusion over whether a commune is on the highland watch-list, and at the time of the Phase 1 survey the list was not confirmed. Only about one quarter of officials for the six highland people communes knew that the communes were on the watch-list.

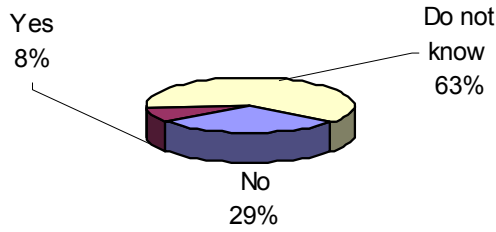


**Q11D. Were meetings held to specifically inform highland people about the project?**

The stakeholder responses from the communes indicate that meetings were held at five of six to specifically inform highland people about the project.



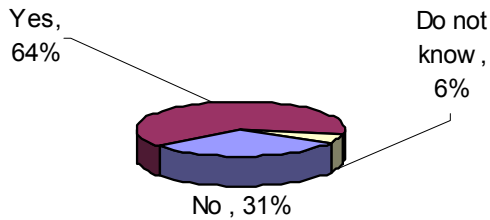
**Beneficiaries**



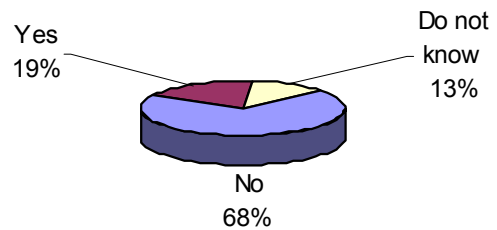
**Q11E. Was there consultation with the traditional leaders of highland people?**

The stakeholder responses from the communes indicate that there was consultation with the traditional leaders of highland people at five of the six projects.

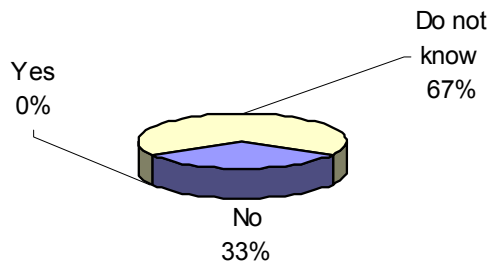
**Commune officials**



**Province & District**



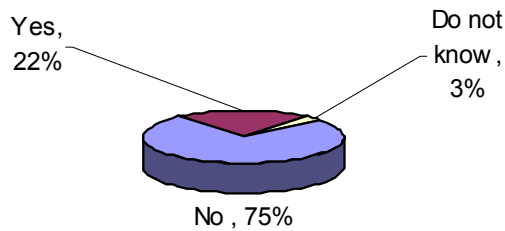
**Beneficiaries**



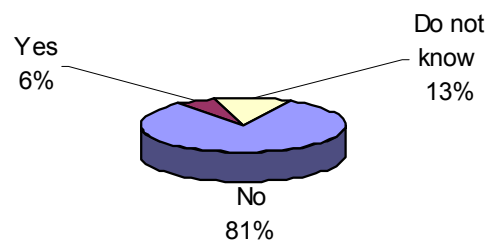
**Q11F. Were meetings, consultation and other information in the language of the highland people affected?**

The stakeholder responses from the communes indicate that meetings, consultation and other information were in the language of the highland people affected at three of six.

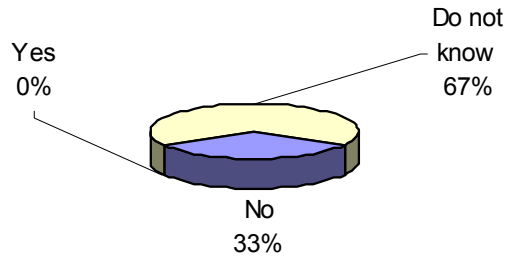
**Commune officials**



**Province & District**



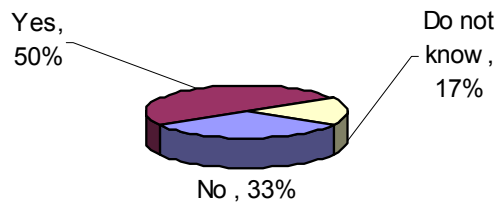
**Beneficiaries**



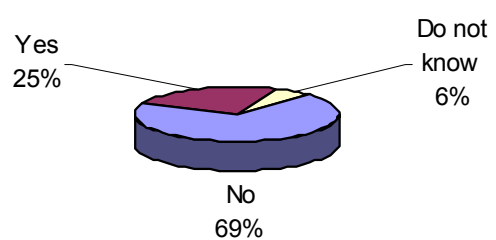
**Q11G. Was a review and report on safeguards for highland people prepared?**

For four of the six project most communes officials but not the province and district officials said a report on safeguards for highland people prepared, for the fifth project this was reversed, and for the sixth project officials from both groups said there was a report.

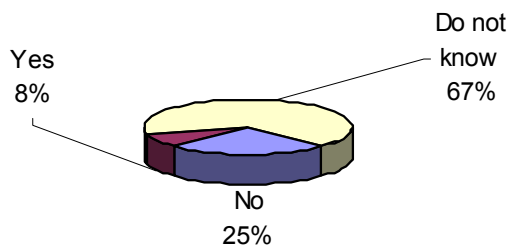
**Commune officials**



**Province & District**



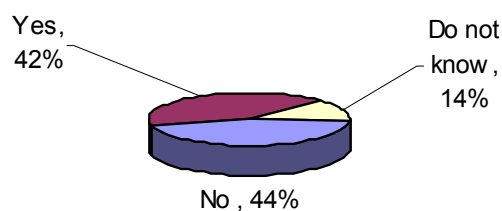
**Beneficiaries**



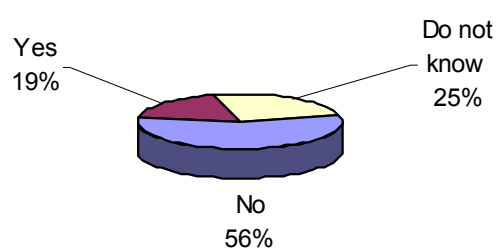
**Q11J. Were any safeguards measures for highland people incorporated into the project and if so what were they?**

Commune officials for five of the six projects claimed there were safeguards measures for highland people incorporated into the project, but only in two cases did a commune chief claim so. Safeguards are not necessarily required even when a commune is on the highland people watch-list.

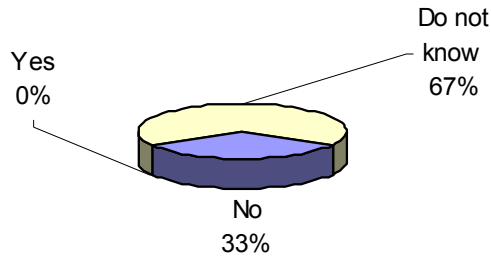
**Commune officials**



**Province & District**



**Beneficiaries**

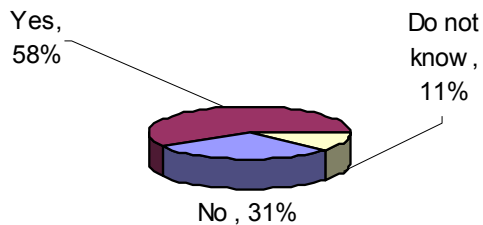


Only one commune official attempted to explain what the safeguards incorporated into the project were and this was more a reiteration of the PIM objective for safeguards to “keep the tradition and the jungle protected by tribe” rather than explain how this was to be achieved.

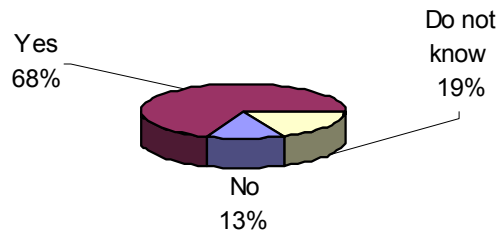
**Q11K. Was a report on safeguards for highland people checked and approved by P/MLAU?**

One or two province and district officials for each of the six projects said a report on safeguards for highland people was checked and approved by P/MLAU.

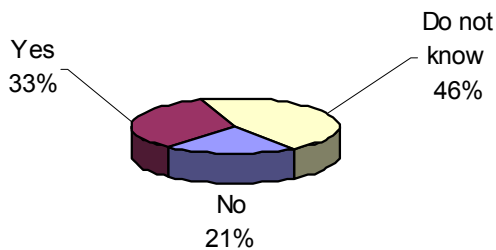
**Commune officials**



**Province & District**



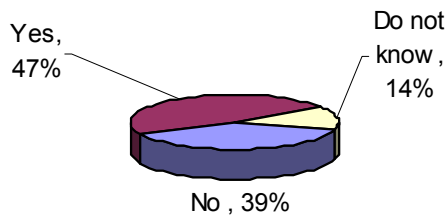
**Beneficiaries**



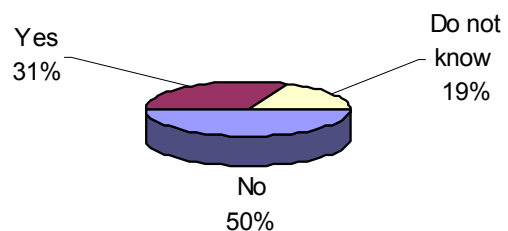
**Q11L. Was a report on safeguards for highland approved by the Regional Safeguards Advisor?**

The stakeholder responses from the communes indicate that a report on safeguards for highland approved by the Regional Safeguards Advisor at five of the six projects.

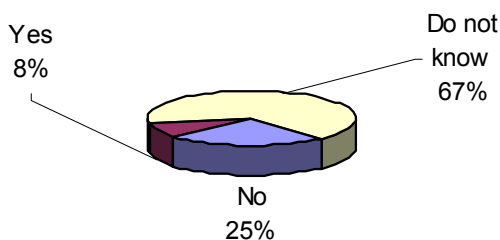
**Commune officials**



**Province & District**



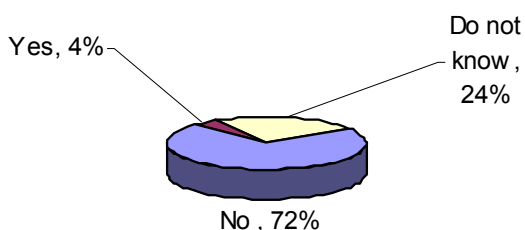
### Beneficiaries



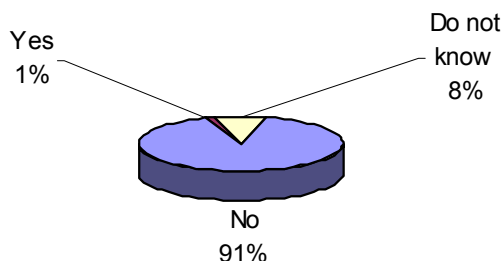
### Q11M. Was a report on safeguards for highland approved by the line ministries?

The responses from commune officials and province and district officials are inconsistent although overall the responses from all four stakeholder groups are consistent with there only being six (6%) of the 100 communes sampled in Phase 1 actually being on the highland people watch-list.

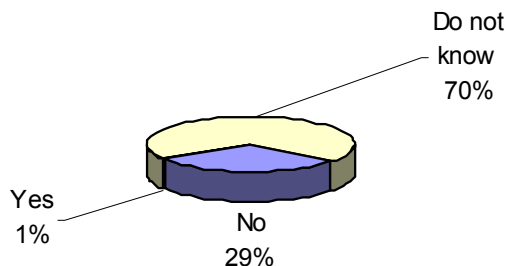
#### Commune officials



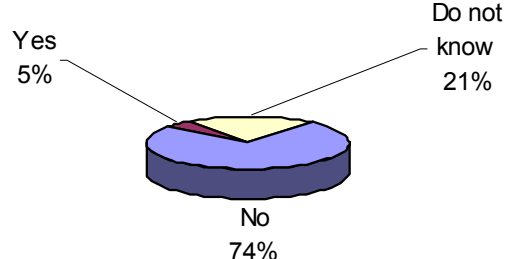
#### Province & District



#### Beneficiaries



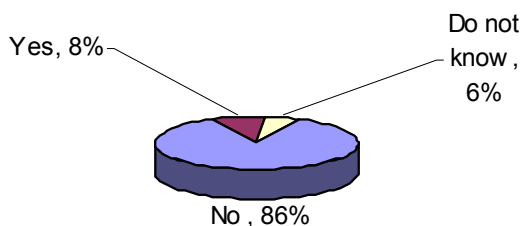
#### Non-beneficiaries



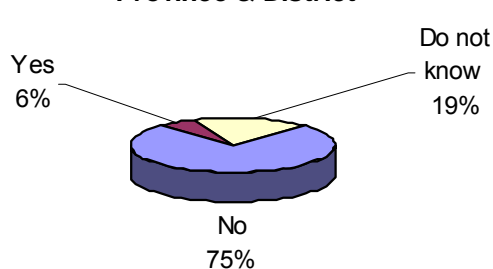
### Q11N. Did dealing with matters affecting highland people delay the project and if so how long?

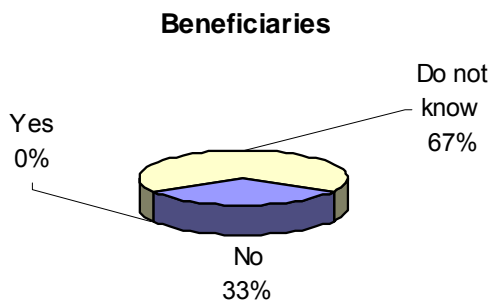
Spread across the six projects the only 4 officials amongst 84 stakeholders said there was a delay, and they were able to say how long the delay was. It appears that highland people safeguards did not delay any of the six projects. However, once again it is emphasised that this was selected from only the 13% of the 2009 projects that were complete in time for the process audit, if highland people safeguards are causing significant delay then this cannot be identified by the Phase 1 survey.

#### Commune officials



#### Province & District





**A4.2.12 Satisfaction with outcome**

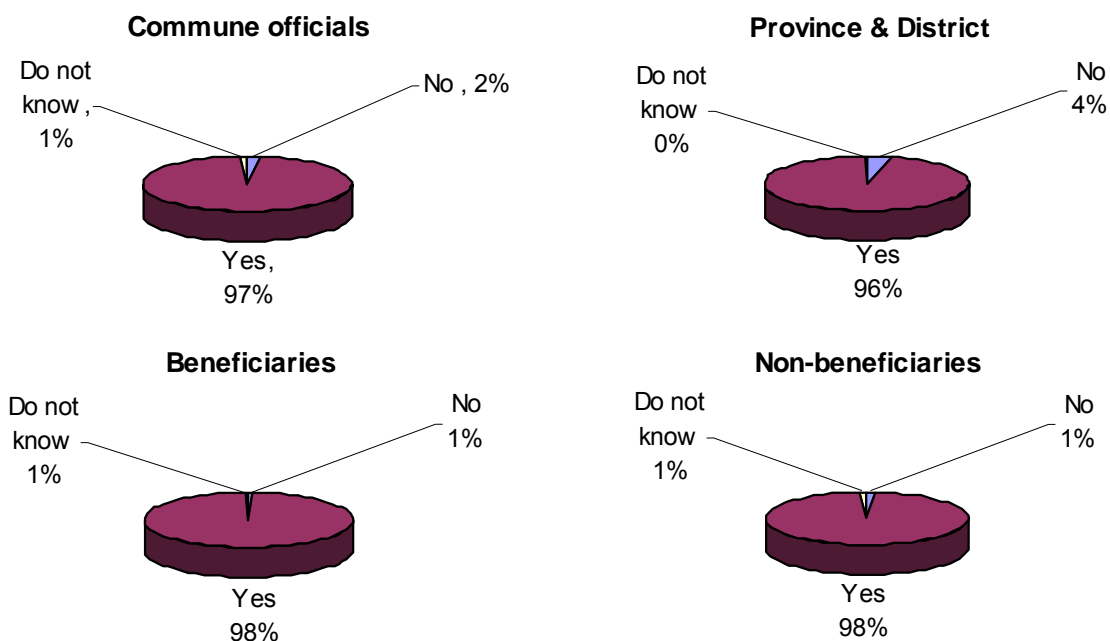
**Summary of key findings**

The summary conclusions for satisfaction with outcome are listed below; the full questions, commentary and charts follow.

- Q12A. Overall stakeholder satisfaction is about 96%.
- Q12B. Overall stakeholders were satisfied with the process for all 100 projects.
- Q12C. The projects are what the majority want.
- Q12D. There were only five projects where some stakeholders said the process was getting worse but the only significant complaints came at two projects in Kampong Speu province.
- Q12E. There were 55 communes where one or more stakeholders said that they were less satisfied with projects built in 2008 or earlier. The major complaint was about the quality of the project (includes design and/or construction) and that the solution it provided is not sustainable.

**Q12A. Are you satisfied with the outcome of the project, if no why not?**

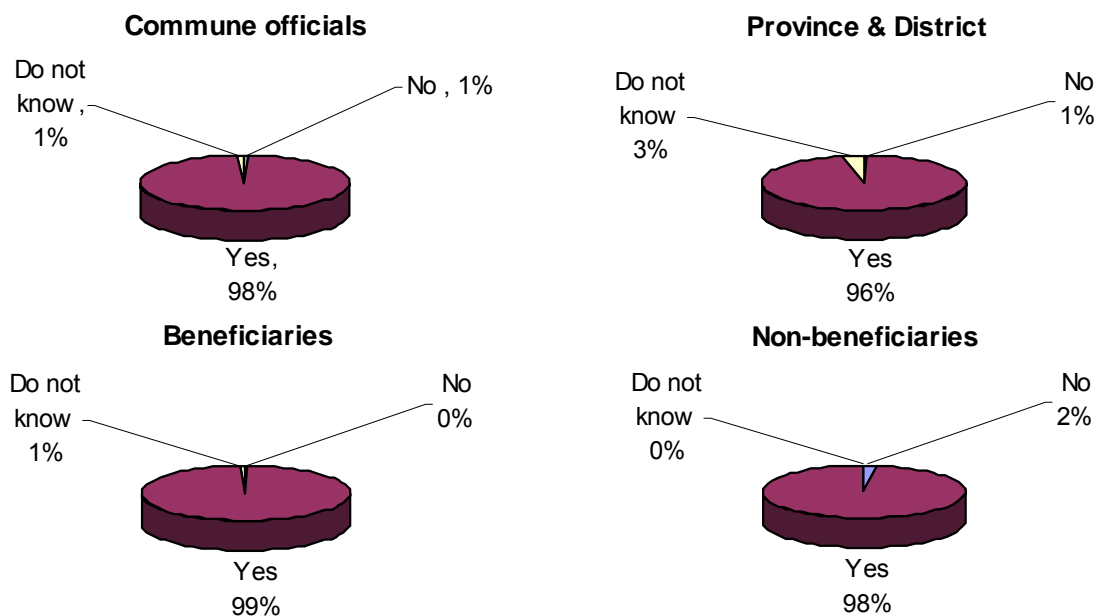
There were 15 projects where at least one stakeholder expressed dissatisfaction with the outcome of the project but only for four of these projects was there a stronger dissatisfaction including province and district officials. Overall stakeholder satisfaction is about 96%.



Only three people would give a reason for dissatisfaction. One commune official commented that a road was not good in some places, which is a construction quality issue. Two non-beneficiaries complained that the Commune Council “just does what it wants”.

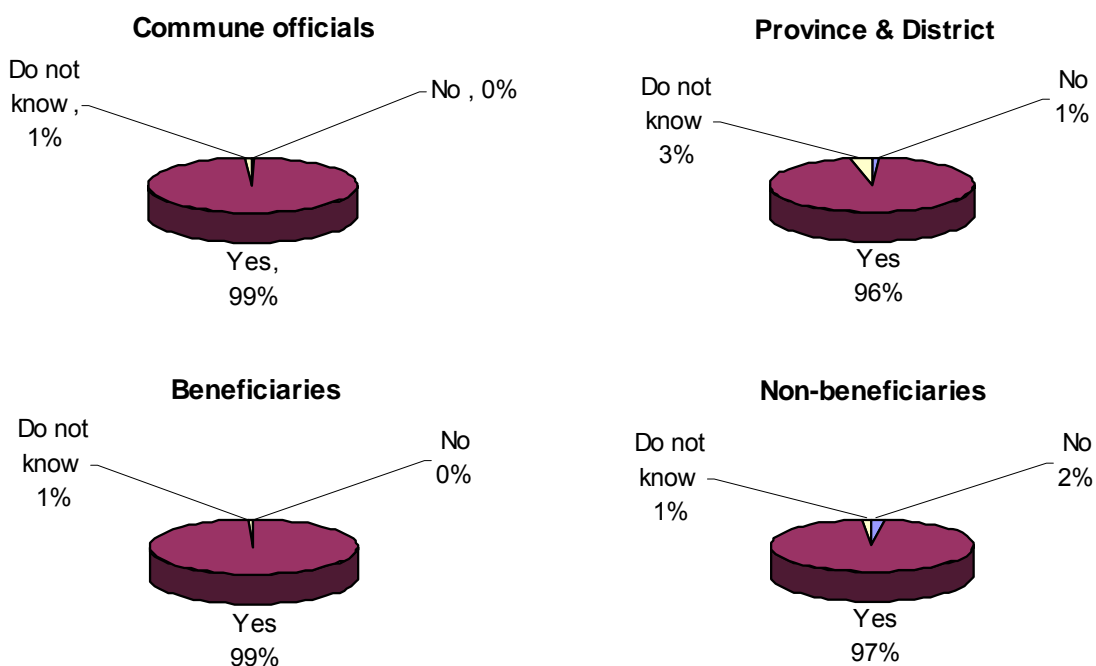
**Q12B. Are you satisfied with the process used to get this project built, if not why not?**

There were eight projects where one or two stakeholders expressed dissatisfaction with the process used to get this project built. Overall stakeholders were satisfied with the process for all 100 projects.



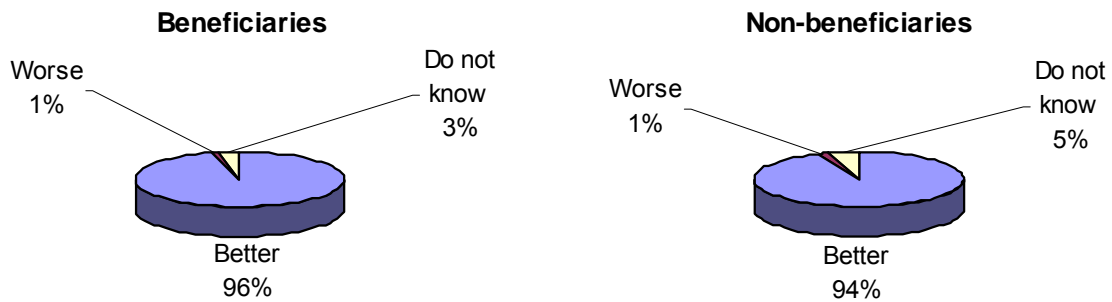
**Q12C. Is this the project you most wanted, if not what project did you want?**

There were only six projects where one or two stakeholders said this was not the project they most wanted; in one case two people said they wanted a service project and micro-finance to run a business. It can be concluded that the projects are what the majority want.



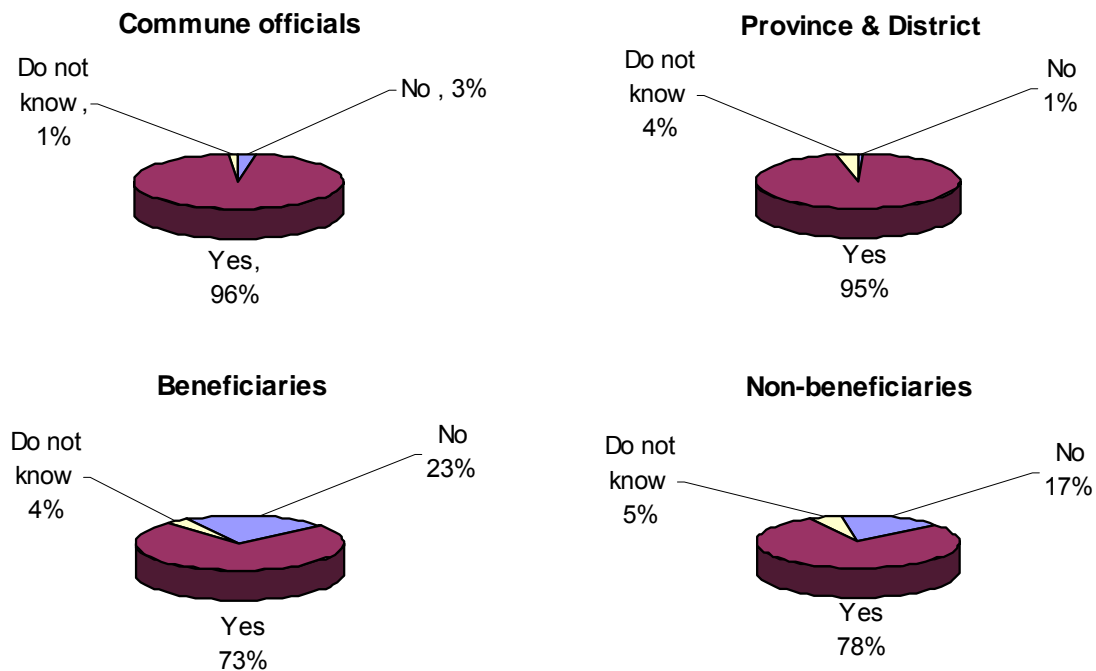
**Q12D. Compared to earlier projects (2008 and before) is the process of getting the project better or worse than before, if worse in what way?**

There were only five projects where some stakeholders said the process was getting worse but the only significant complaints came at two projects in Kampong Speu province.



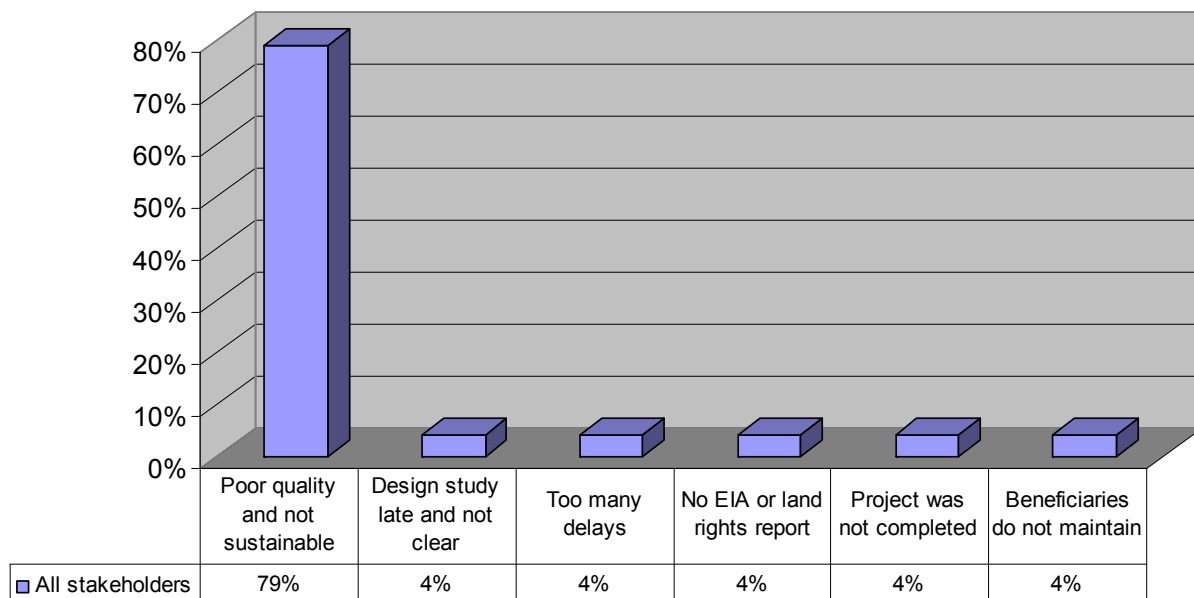
**Q12E. Were you satisfied with projects built in 2008 or earlier, if not why not?**

There were 55 communes where one or more stakeholders said that they were less satisfied with projects built in 2008 or earlier.



The main reason given by stakeholders for projects built in 2008 or earlier being worse was poor quality construction and design resulting in an unsustainable project. The reasons given are illustrated by the chart below. The major complaint was about the quality of the project (includes design and/or construction) and that the solution it provided is not sustainable.

**Reasons for being dissatisfied with projects built in 2008 or earlier**



#### **A4.2.13 Complaints**

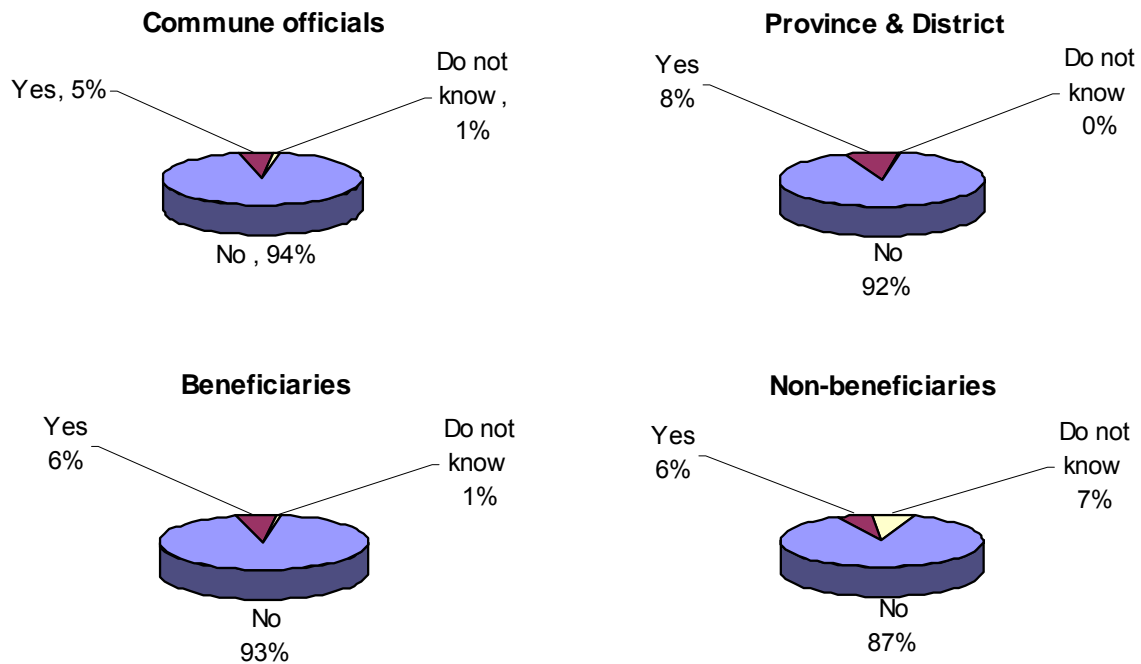
##### **Summary of key findings**

The summary conclusions for complaints are listed below; the full questions, commentary and charts follow.

- Q13A. Complaints came from one to five stakeholders across 49 projects.
- Q13B. A minority of stakeholders said that there were complaints from other people for 41 of the projects.
- Q13C. A minority of stakeholders said that there were complaints verbal and informal for 47 projects.
- Q13D. Formal complaints are very much less than verbal and informal complaints raising questions about the efficacy of the complaints procedure.
- Q13E. Province and district officials report three written complaints for the three different projects to those cited under Q13D.
- Q13F. Across three projects complaints were passed to the PAWG for three projects, different to those cited under Q13D and Q13E.
- Q13G. For the sample, a beneficiary reported only one written complaint, and for a project different to those cited under Q13D, Q13E and Q13F.

##### **Q13A. Have you any complaints about the project, if Yes what are your complaints?**

Complaints came from one to five stakeholders across 49 projects. Commune officials had complaints 5% of the time and the province and district officials 8% of the time. Amongst beneficiaries and non-beneficiaries the level of complaints was 6%.

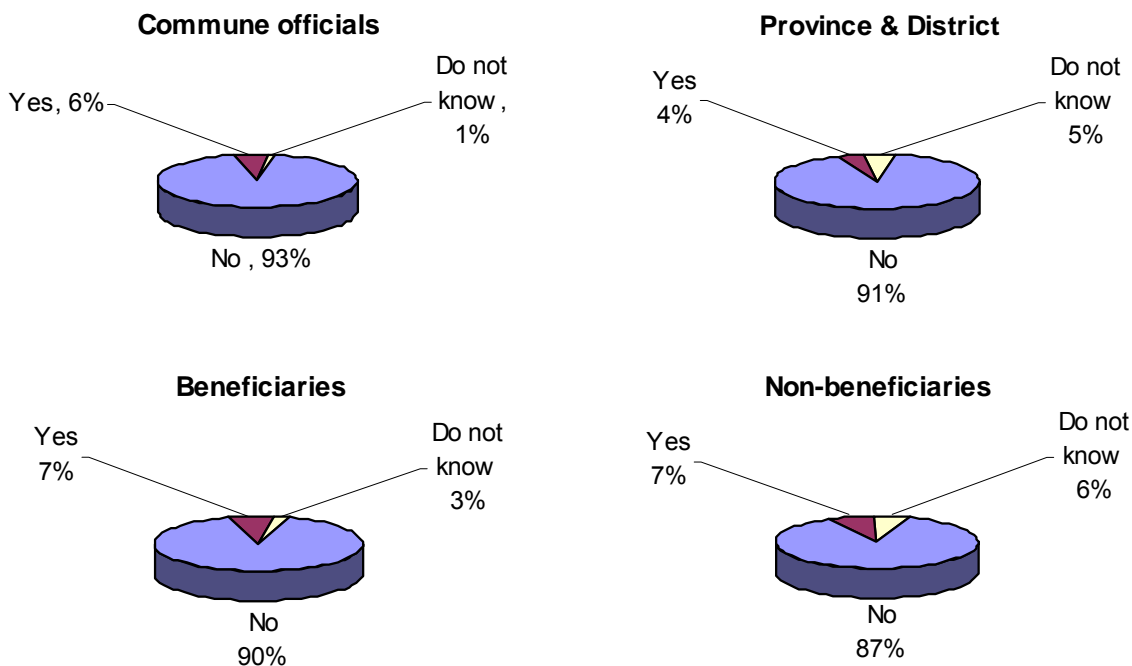


Those who explained their complaints gave the following reasons:

- One non-beneficiary said that the Contractor did not follow the contract
- Two province and district officials said a road should have been paved with concrete.
- Four villagers complained just a road was built when it also required a culvert and bridge.
- One commune official complained that the contractor was poor.
- One province and district official complained that overloaded (construction) trucks passing destroyed the road.
- One commune official said that grass should be planted before spreading the Laterite.
- One beneficiary said that the road is not good.
- One province and district official complained road watering was not good and construction was not good.
- One beneficiary complained that the soil fill was not good and that the right side of a road collapsed.
- One beneficiary said they support placing thicker Laterite surfacing.
- One commune official said the contractor did not follow the work plan very well
- One commune official said the contractor did not follow the technical drawings and specifications.
- One commune official said the Laterite surfacing should be 300 mm thick so that road is more durable.
- One province and district official complained the road is not completely good.
- One commune official said a road should have been constructed as a national road.
- One commune official complained about transparency of finances.
- One province and district official complained that water washed up the road in some spots (it is not clear whether this means the road floods or that it is eroded).

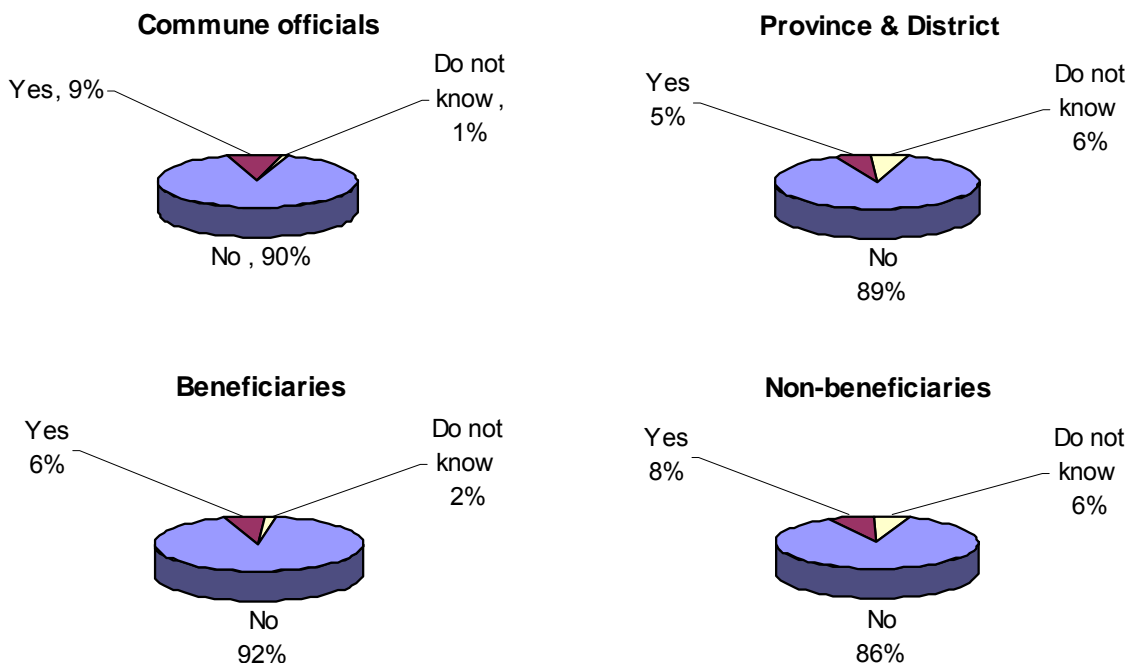
**Q13B. Have other people complained about the project?**

A minority of stakeholders said that there were complaints from other people for 41 of the projects. There was a significant minority of complainants 6% and 4% according the commune, provincial and district officials respectively, 7% according to beneficiaries and non-beneficiaries respectively.



**Q13C. Are there complaints verbal and informal amongst the community?**

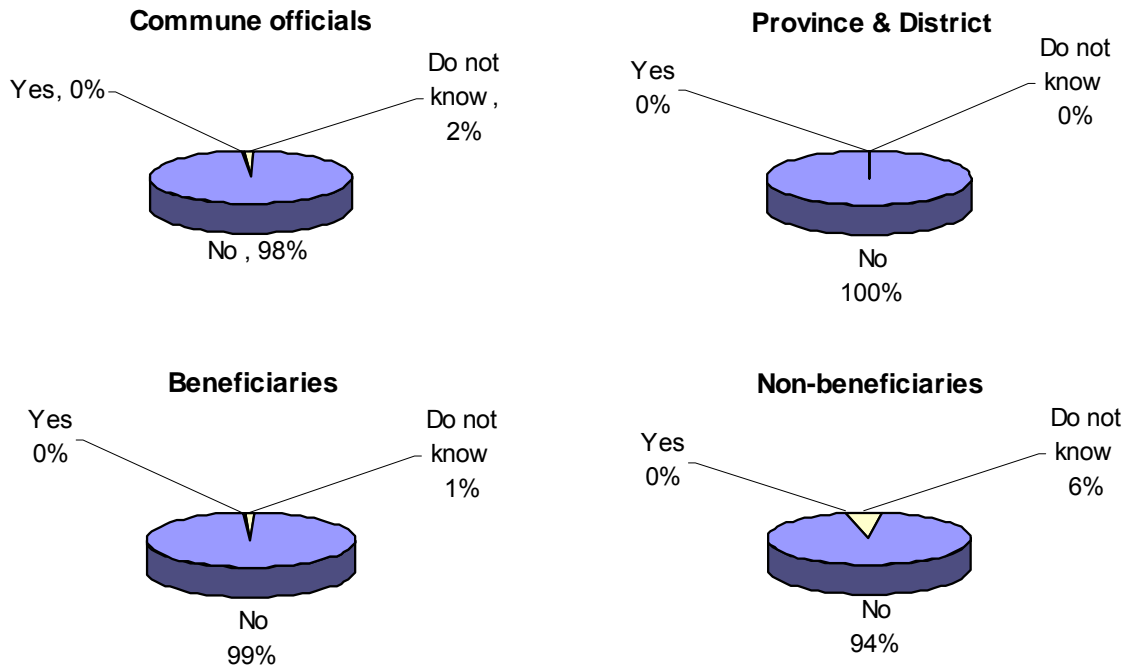
A minority of stakeholders said that there were complaints verbal and informal for 47 projects. Amongst the community, the complaints came from a significant minority, 9% and 5% of projects according the commune, provincial and district officials respectively, 6% and 8% according to beneficiaries and non-beneficiaries respectively.



**Q13D. Have any formal complaints been made about the project?**

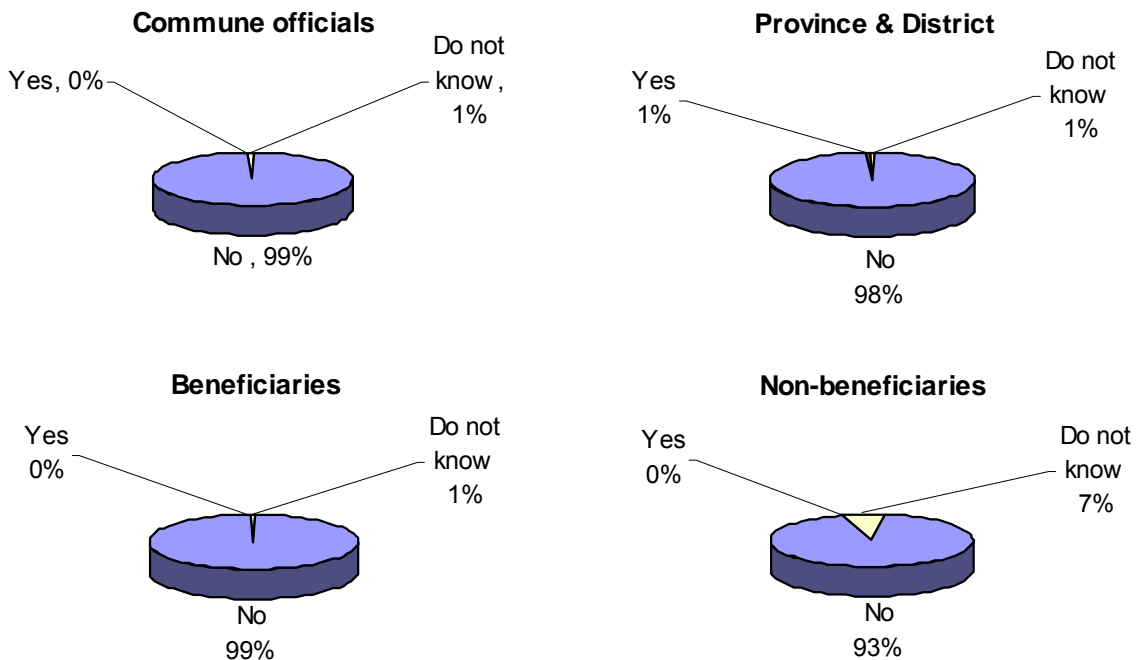
Formal complaints were negligible and came for only three of the sample projects, two according to commune officials and one according to a beneficiary. Formal complaints are

very much less than verbal and informal complaints raising questions about the efficacy of the complaints procedure.



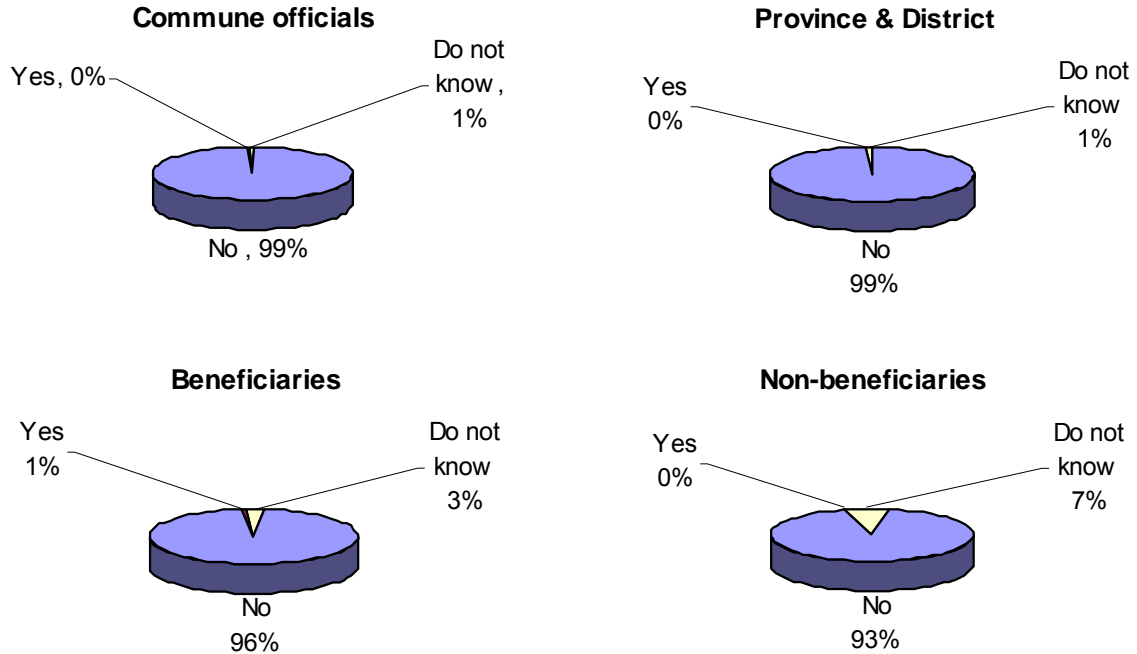
**Q13E. Are there written records of complaints?**

Province and district officials report three written complaints for the three different projects to those cited under Q13D.



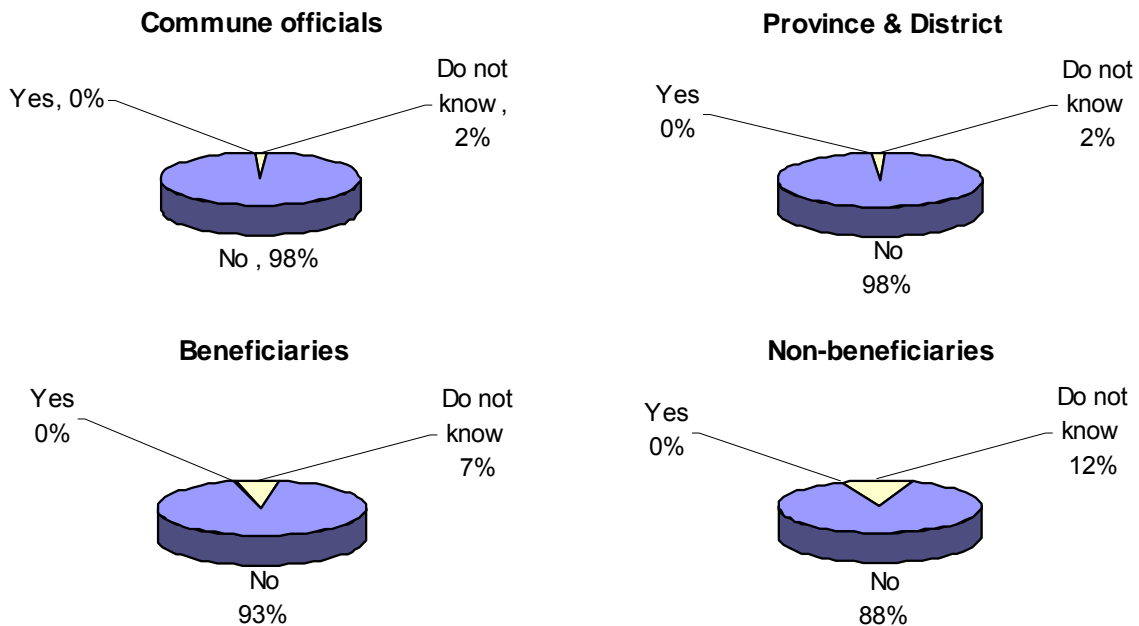
**Q13F. Were any complaints passed to the Provincial Accountability Working Group (PAWG)?**

Across three projects a single complaint was passed to the PAWG according to commune officials; beneficiaries said it was two. The three projects are different again to those cited by stakeholder under Q13D and Q13E.



**Q13G. Were complaints to PAWG written and put in the 'Accountability Box' or were they verbal reports or phone calls, to any one of the PAWG members?**

For the sample, a beneficiary reported only one written complaint and it was for none of the projects cited in response to Q13D, Q13E or Q13F.



#### **A4.2.14 Other comments**

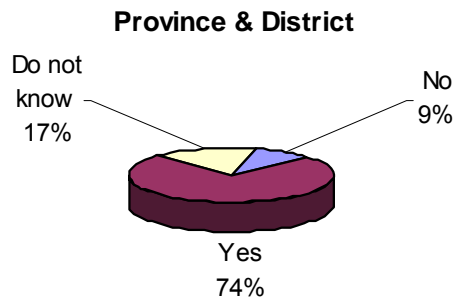
##### **Summary of key findings**

The summary conclusions for other comments are listed below; the full questions, commentary and charts follow.

- Q14A. Amongst provincial and district officials, 74% thought there was enough staff at provincial level.
- Q14B. Amongst provincial and district officials, 81% thought there was enough staff at district level.
- Q14C. Some 22% of the TSO had been on post one year or less, the remainder had been on post for up to 13 years.
- Q14D. The majority of TSO had experience working for Seila, NCDD and the predecessor projects with 53% having 7 to 8 years experience.
- Q14E. A significant proportion 19% of the provincial facilitation team are new to the process having worked for one year or less and were therefore not involved previously with Seila, NCDD and the predecessor projects. Others had worked up to 13 years with 56% having between 7 and 8 years experience.
- Q14F. A significant proportion 25% of the district facilitation team are new to the process having worked for one year or less and were therefore not involved previously with Seila, NCDD and the predecessor projects. Others had worked up to 13 years with 27% having between 7 and 8 years experience.
- Q14G. The majority of commune officials 88% and province and district officials 72% said that the projects could be implemented better or differently next time.
- Q14H. Suggestions for faster implementation were:
- Contractor must be adequately resourced, making good preparations and keeping to the requirements of the contract.
  - Starting the process earlier and reducing the procedures.
  - More training on use of the PIM.
  - More participation, coordination and cooperation from villagers and other stakeholders.
  - Provision of enough funding.
  - Ensure construction took place during the dry season.
  - Follow-up monitoring.
  - Lessons should be learnt from experience.
- Q14J. The villagers as beneficiary mostly wanted more infrastructure.

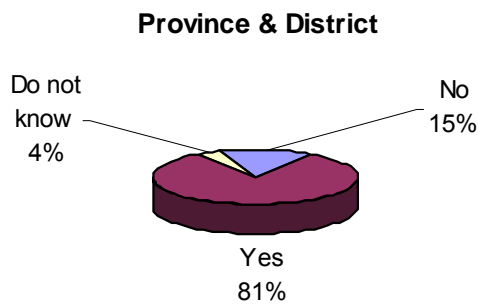
##### **Q14A. Are there sufficient staff at provincial level to implement the 2009 PIM**

This question was only put to province and district officials, 74% thought there was enough staff, 17% did not know.



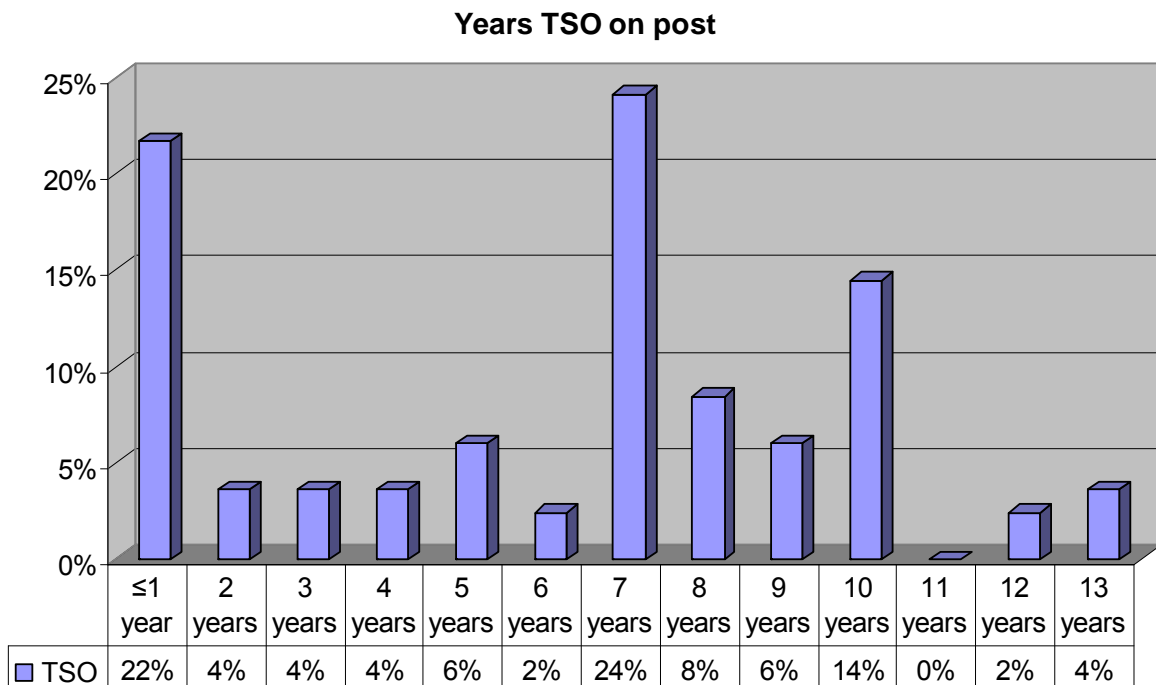
**Q14B. Are there sufficient staff at district level to implement the 2009 PIM**

This question was only put to province and district officials, 81% thought there was enough staff, 15% said there was not and 4% did not know.



**Q14C. How long has the TSO for the project been on post?**

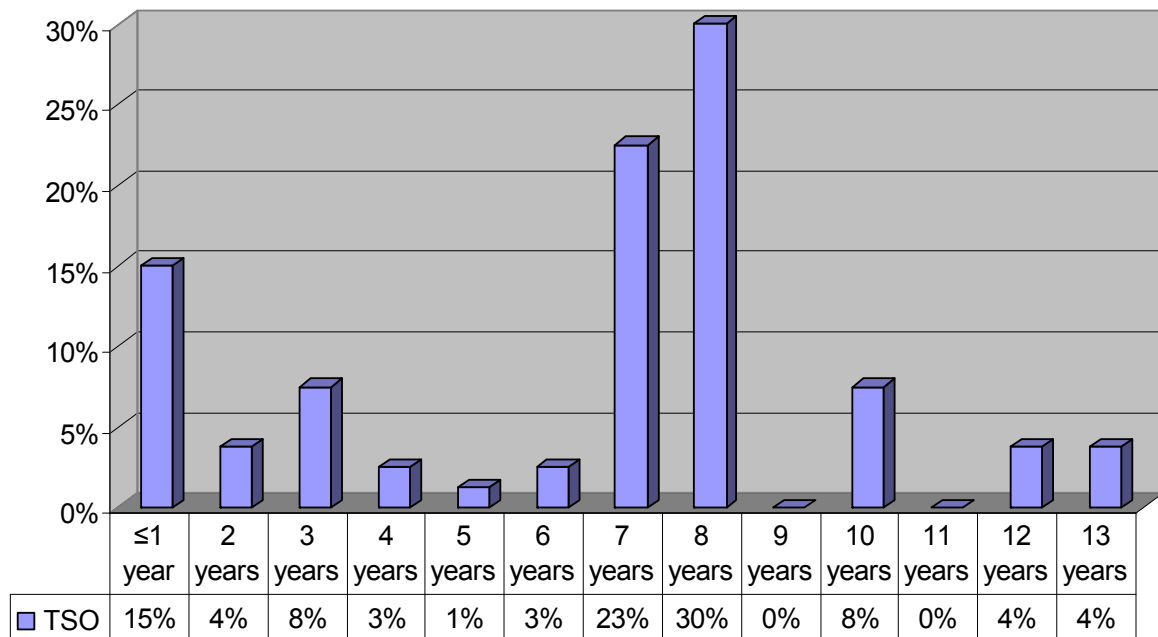
Some 22% of the TSO had been on post one year or less, the remainder had been on post for up to 13 years of which 32% had been seven or eight years.



**Q14D. How many years experience has the TSO working for Seila, NCDD and the predecessor projects?**

The majority of TSO were experienced working for Seila, NCDD and the predecessor projects with 53% having 7 to 8 years experience.

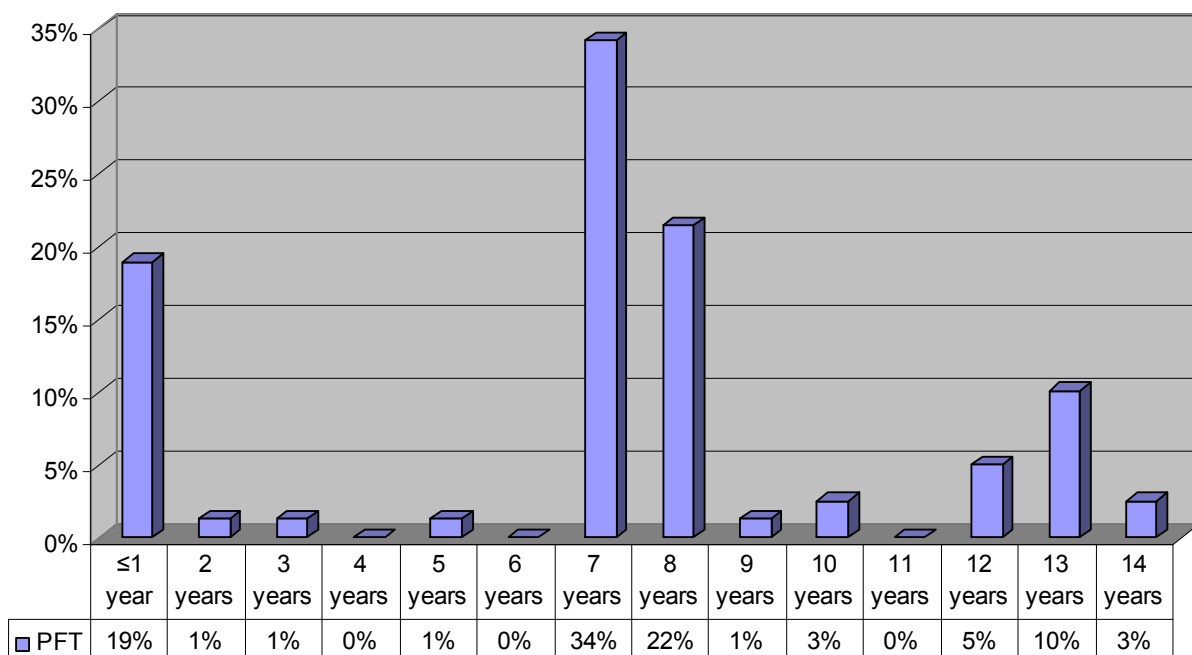
**Years TSO working for Seila, NCDD and the predecessor projects**



**Q14E. What is the average number of years that members of the provincial facilitation team have been involved with Seila, NCDD and the predecessor projects?**

A significant proportion 19% of the provincial facilitation team are new to the process having worked for one year or less and were therefore not involved previously with Seila, NCDD and the predecessor projects. Others had worked up to 13 years with 56% having between 7 and 8 years experience.

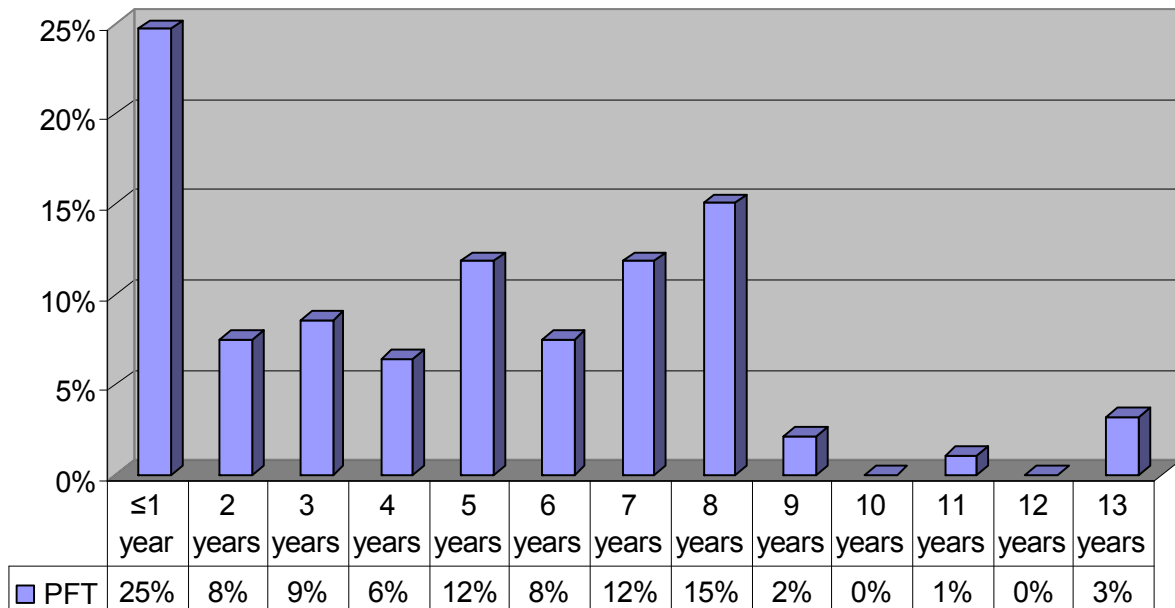
**Years that members of the provincial facilitation team have been involved with Seila, NCDD and the predecessor projects**



**Q14F. What is the average number of years that members of the district facilitation team have been involved with Seila, NCDD and the predecessor projects?**

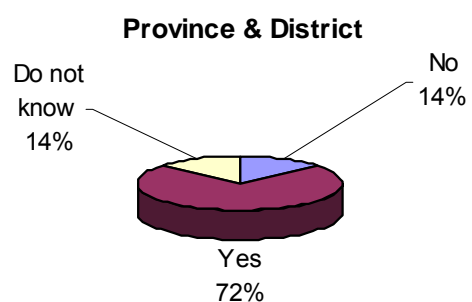
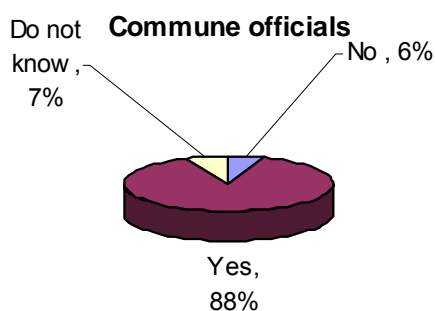
A significant proportion 25% of the district facilitation team are new to the process having worked for one year or less and were therefore not involved previously with Seila, NCDD and the predecessor projects. Others had worked up to 13 years with 27% having between 7 and 8 years experience.

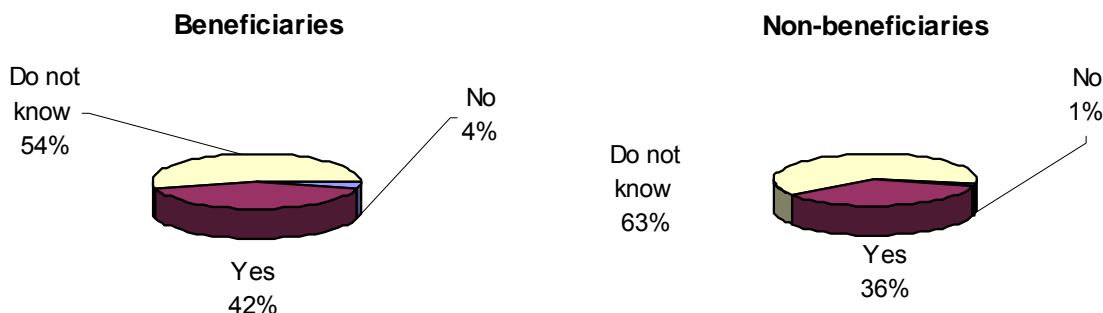
**Years that members of the district facilitation team have been involved with Seila, NCDD and the predecessor projects**



**Q14G. Can projects be implemented better or differently next time?**

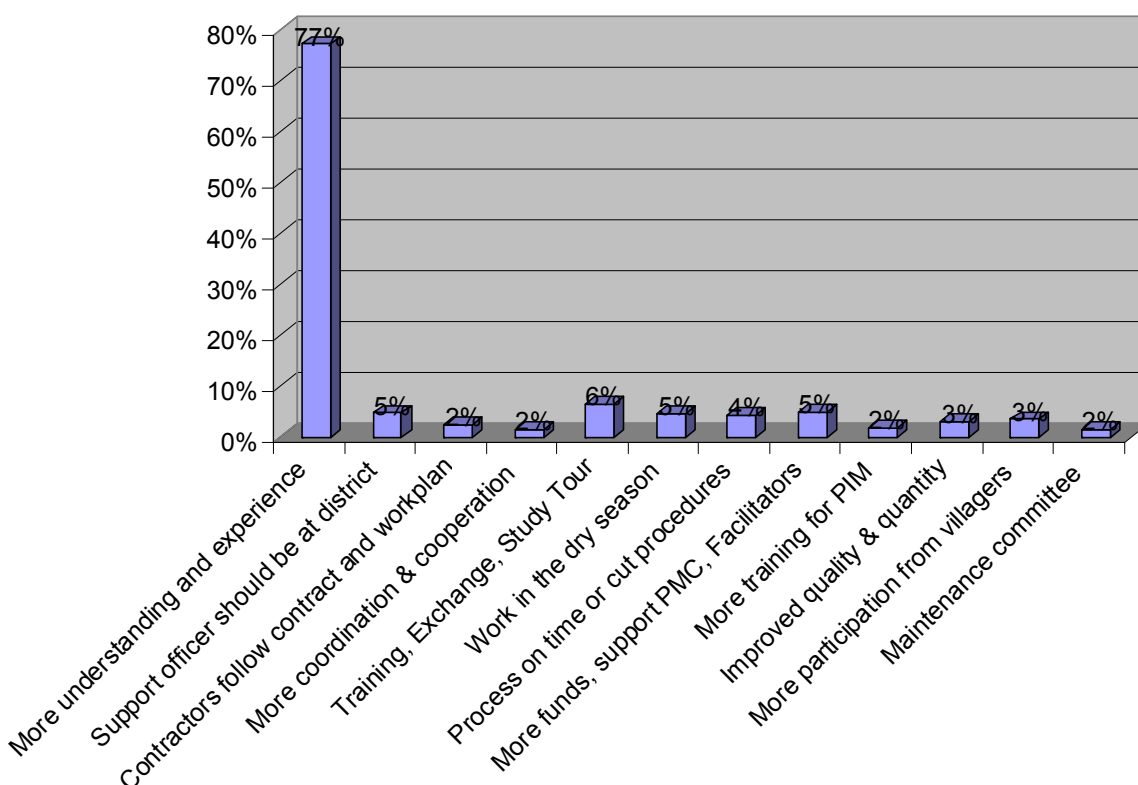
The majority of commune officials 88% and province and district officials 72% said that the projects could be implemented better or differently next time. Amongst the beneficiaries and non-beneficiaries responses were split pretty evenly between those that thought the projects could be implemented better or differently and those that did not know.





When asked for suggestions for better or different implementation included 77% of those who answered said they wanted more understanding and experience of the process. Other responses are shown by the chart below.

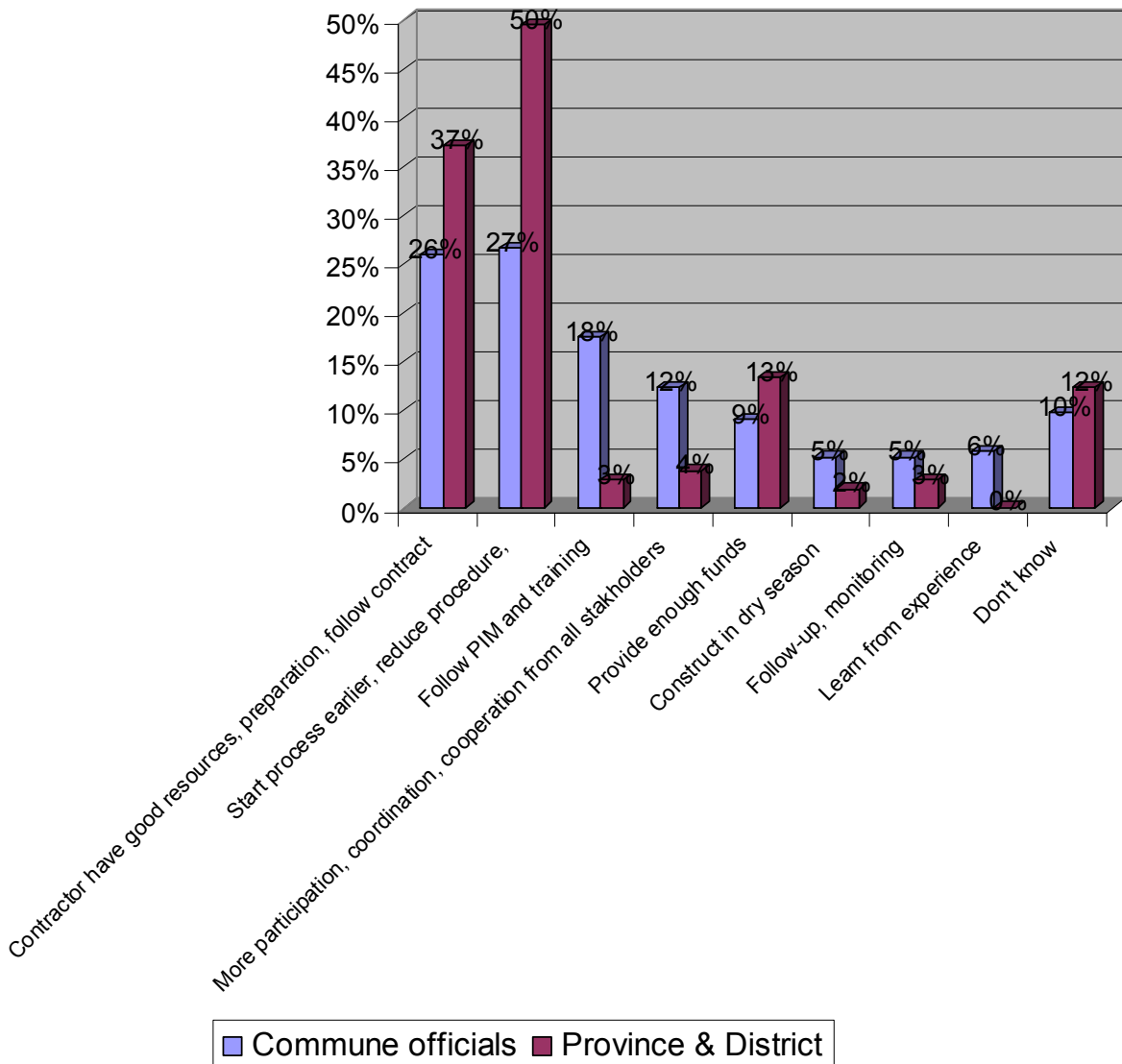
**Stakeholder suggestions for improving implementation process**



**Q14H. How can the implementation be done faster?**

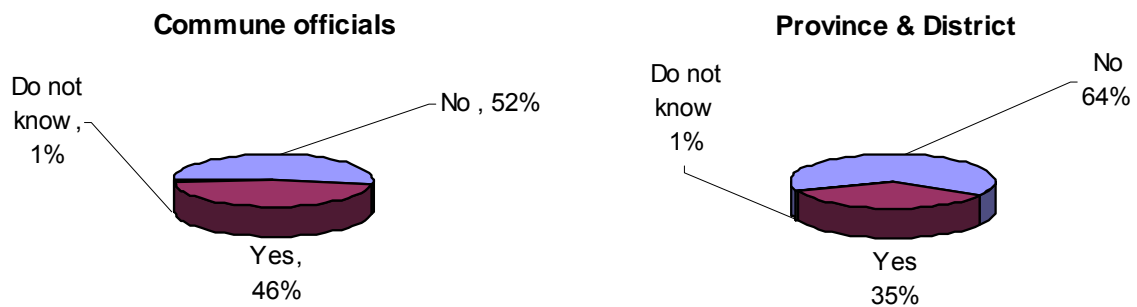
This question was only put to commune, province and district officials. A significant proportion of officials, 26% at the commune and 37% at the province and district, identified the importance of the contractor being adequately resourced, making good preparations and keeping to the requirements of the contract. Also 27% of commune officials and 50% at the province and district suggested starting the process earlier and reducing the procedures; this comment is rather contrary to the satisfaction level of these groups with the PIM. Amongst commune officials 18% said there was room for more training on use of the PIM and 12% said there could be more participation, coordination and cooperation from villagers and other stakeholders. Some 9% of commune officials and 13% of province and district officials wanted provision of enough funding. Other suggestions were to ensure construction took place during the dry season, that there should be follow-up monitoring, and lessons should be learnt from experience.

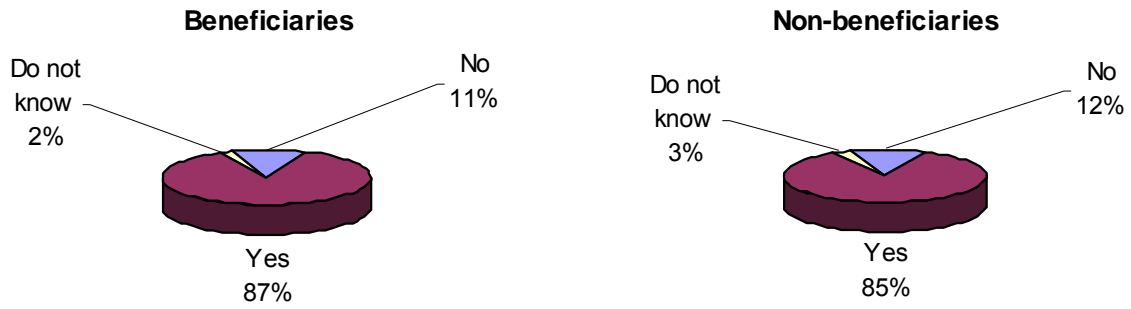
**Suggestions on how implementation can be faster**



**Q14J. Do you want to add any comments?**

The villagers as beneficiary were the more eager to comment and as the column chart shows they mostly wanted more infrastructure, the differences being only in the type of infrastructure that they consider priority.





**Other comments on process from stakeholders**

