SERC

Strengthening Early Recovery for Comprehensive and Sustainable Reintegration of IDPs

Project Final Report

March 2011
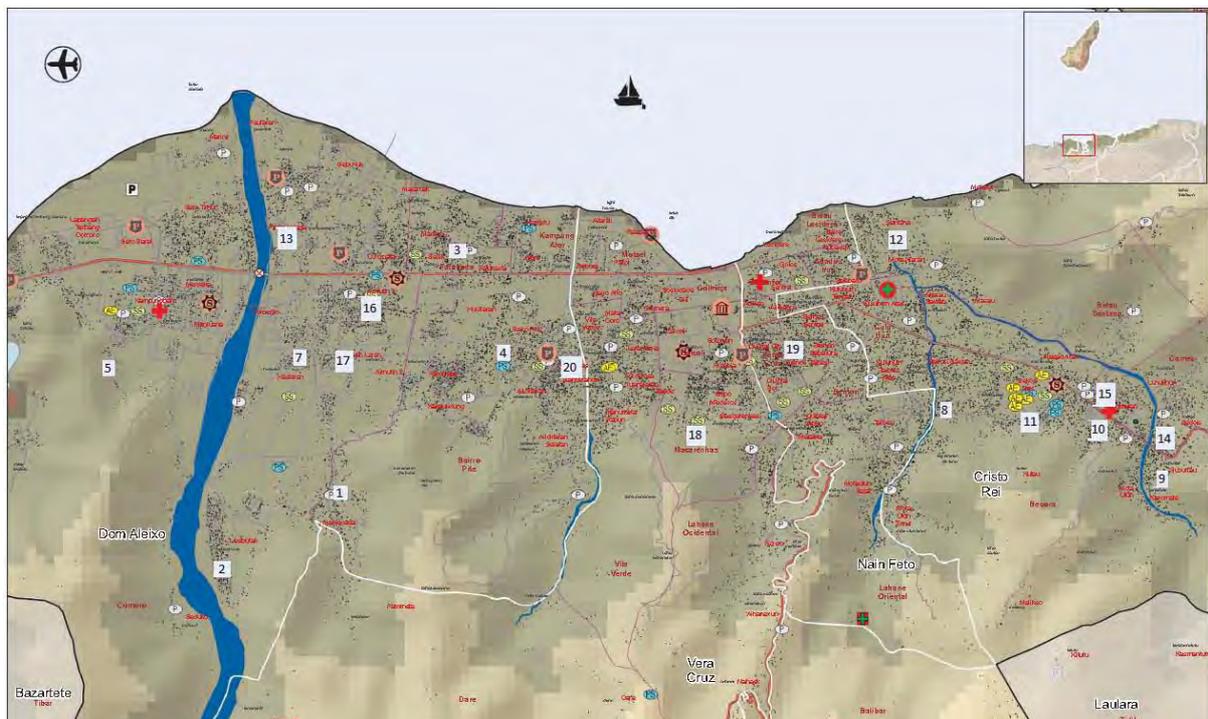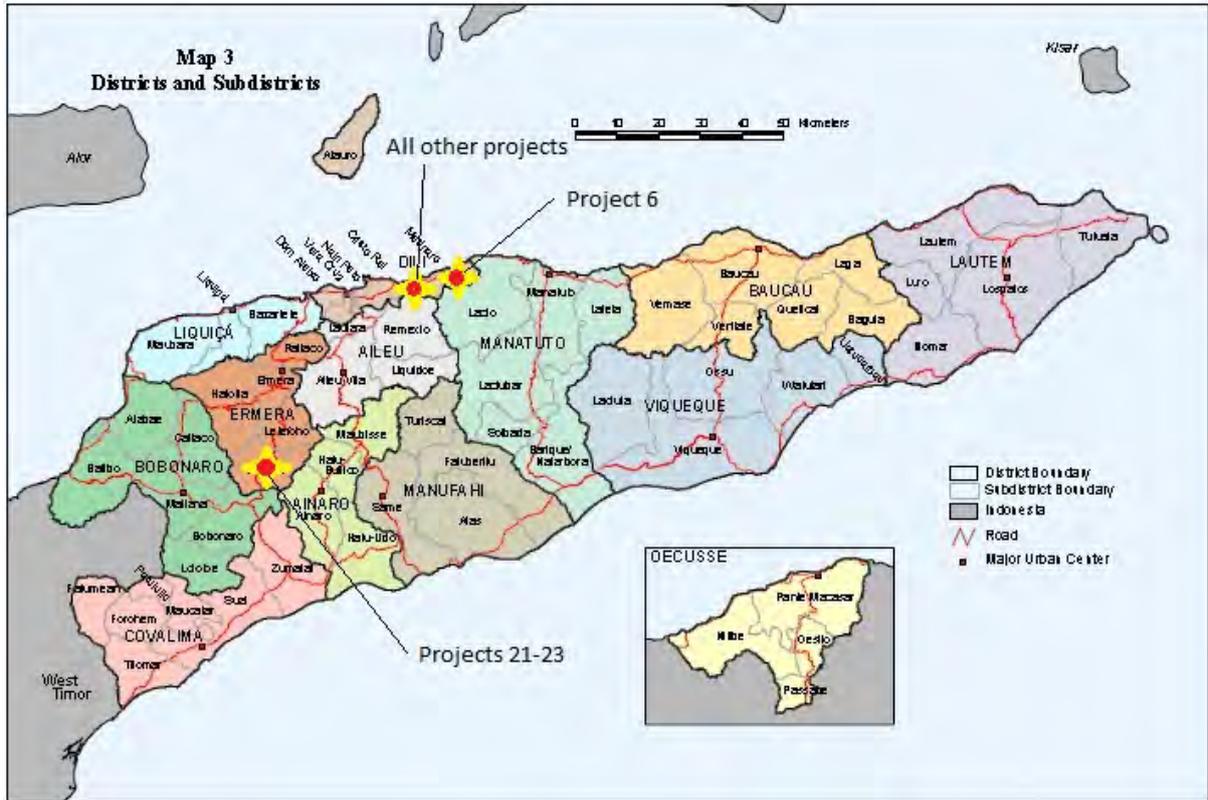
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Acronyms and abbreviations

AusAID	Australian Aid Programme
BCPR	Bureau of Crisis Prevention and Recovery
CRS	Catholic Relief Services
DNAS	National Directorate of Social Assistance
DNSAS	National Directorate for Water and Sanitation Services
DPBSC	Department of Peace Building and Social Cohesion
F-FDTL	Armed Forces of Timor Leste
FTA	Fixed Term Appointment
FGD	Focus Group Discussion
GAS	Goal Attainment Scaling
GMF	Facilities Management Group
GoTL	Government of Timor Leste
HHK	Hamutuk Hari'i Konfiansa
HHU	Hamutuk Hari'I Uma
IDP	Internally Displaced Person
IOM	International Organisation for Migration
M&E	Monitoring and Evaluation
MSC	Most Significant Change
MSS	Ministry of Social Solidarity
NDSA	National Directorate of Social Assistance (DNAS)
NGO	Non Government Organisation
PBD	Peace Building Department
PBF	Peace Building Fund
PDD	Project Design Document
PMB	Project Management Board
PRA	Participatory Rural Appraisal
PSTWG	Project Selection Technical Working Group
SC	Service Contract
SD	Sub District
SERC	Strengthening Early Recovery for the Comprehensive and Sustainable Reintegration of IDPs
SM(s)	Social Mobiliser(s)
SoS	Secretary of State
SSA	Special Services Agreement (Consultancy)
TA	Temporary Appointment
TCDM	Training and Capacity Development Mentor
UNDP	United Nations Development Programme

Executive Summary

The Project '*Strengthening Early Recovery for the Comprehensive and Sustainable Reintegration of IDPs'* (SERC) was signed in November 2008. It was then launched in June 2009 but the team reached its full capacity only in January 2010. In conjunction with the Ministry of Social Solidarity (MSS), the Project implemented small community infrastructure projects in conflict prone IDP receiving communities in Dili and Ermera Districts as a follow on the UNDP/MSS Dialogue Project and other similar initiatives that supported the housing and trust building pillars of the National Recovery Strategy.

The Project was implemented by teams of Social Mobilisers who used participatory methodologies to facilitate community consultations and planning processes to prioritise and select small community infrastructure proposals of common benefit. A technical team comprised of one international and four national engineers then worked with the communities to plan, design and implement the projects. An implementation process was developed to ensure that a do-no-harm approach was incorporated into the interventions, and that the projects were sustainable and inclusive of everyone in the communities, including women, youth and other vulnerable groups.

As part of the MSS capacity building aspect of the Project, the process was fully documented and translated to Tetun for use by MSS and other GoTL Ministries and departments. It was the intention of the Project that the 10 Social Mobilisers and the Finance Associate be taken on in full time employment in the Ministry after the Project closed, however at the time of writing only 2 had been offered positions.

Over the period from January 2010 to March 2011, the Project worked in 23 communities and implemented 21 small community infrastructure projects. This represented a reduction in the original target of 30 projects due to a funding gap. Resource mobilization proved impossible due to the changing circumstances in Timor following the closure of the IDP camps, and the shift of donor priorities from humanitarian to development.

Overall, despite the slow start, the Project was deemed to be successful. An internal evaluation indicated that the Project met its objectives of delivering small community infrastructure projects which contributed to fostering social cohesion. Whilst the results varied from place to place, 77% of community members surveyed (using random household selection) felt that the Project - and particularly the infrastructure - were of positive benefit to the community.

1   Introduction

1.1   Background Information

Two years after the crisis of 2006/07, 16,000 families remained living in IDP camps in and around Dili. This displacement crisis was widely viewed as a serious threat to political and social stability and as a serious humanitarian concern affecting many Timorese citizens. As part of the National Recovery Strategy (NRS), adopted in December 2007, the government took the decision to solve the displacement crisis through reintegration of IDPs living in camps. This strategy resulted in the return of more than 8,000 families by the end of 2008, and the final closure of all camps by September 2009.

However, returning IDPs and the receiving communities faced potentially conflicting challenges such as occupied houses, lack of infrastructure, historically grown hostilities, and others. The government and its international partner organisations subsequently recognised the need to provide significantly more assistance to returning IDPs and receiving communities. A number of initiatives were launched within the framework of supporting the implementation of the National Recovery Strategy, namely the housing and trust-building pillars, Hamutuk Hari'i Uma (HHU) and Hamutuk Hari'i Konfiansa (HHK), respectively.

Two such initiatives, implemented by the UNDP, include the Dialogue Project[1], which aims to strengthen MSS capacities for dialogue and conflict mediation, and the NGOs Small Grants[2], which aims to facilitate the implementation of the actions listed under the Trust Building pillar of the National Recovery Strategy and coordinate relevant interventions at the grassroots level. The project "Strengthening Early Recovery for Comprehensive and Sustainable Reintegration of IDPs" (SERC) came as a follow on to enhance the durability of the reintegration process and provide assistance to returning IDPs and receiving communities by addressing the basic community infrastructure needs.

A note on terminology:

SERC is a 'Project' that implements 'small infrastructure projects'. To avoid confusion, throughout this report the word "Project' capitalised refers to the SERC Project and lower case 'project' refers to individual community infrastructure projects.

1.2   SERC Project Design

The SERC Project was designed as a follow up to on-going UNDP support to the Ministry of Social Solidarity (MSS) for the reintegration of IDPs into communities and camp closure. The Project aimed to strengthen social cohesion amongst returned IDPs and their receiving communities through bringing people together to identify small community infrastructure priorities of common benefit. The Project supported discussion and exchange in conflict-prone communities identified by the Ministry of Social Solidarity. The process was facilitated by a team of ten Social Mobilisers, through participatory planning and agreement on priorities of small infrastructure projects among various community members. Technical viability and implementation was overseen by a technical team comprised of one international and four national engineers.

The SERC Project was comprised of two major components:

A.   **Participatory Planning for small community infrastructure projects.**

This component focused on:

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[1] "Strengthening Institutional Structures and Mechanisms for Dialogue" (2008-2010).
[2] "Support to the Trust-building Pillar of the National Recovery Strategy", ongoing.

1 Developing the capacity of MSS staff and more specifically the National Directorate of Social Assistance (NDSA), in participatory planning for identifying small community infrastructure projects in IDP recipient communities.

2 Implementing small community infrastructure for promoting social cohesion and reducing social tension in areas of IDP return.

B. Support to Early Recovery Coordination

In line with the Humanitarian Reform, the Project supported early recovery coordination through facilitating coordination of sector approaches amongst stakeholders, as well as assisting with information management. The stakeholders for this component included line ministries, UN agencies and the international community, with the aim of better policy coherence and operational support.

This report will focus on achievements against outputs, issues and lessons learned relating to Component A (community infrastructure).

Table 1 outlines the main indicative activities undertaken as part of Component A.

Expected Outputs	Indicative Activities
1. Developing the capacity of MSS (NDSA) staff in participatory planning for identifying small community infrastructure projects in IDP recipient communities	1.1 Recruit Project team and mobilize the Project 1.2 Develop mechanisms and guidelines for participatory planning and implementation of community infrastructure projects that can improve social cohesion 1.3 Train Project and NDSA staff [at least 40% are women] on participatory planning processes 1.4 Develop in collaboration with NDSA a longer-term strategy to continue working with Suco Councils on community development projects
2. Implementing small community infrastructure projects for promoting social cohesion and reducing social tension in areas of IDP return	2.1 Develop with NDSA transparent operational procedure for the identification and selection of target Sucos in Dili and priority districts as a follow-up on the dialogue initiatives undertaken by MSS in coordination with District Offices. 2.2 Conduct participatory needs assessment & relevant trainings for *Chefe de Sucos* and community leaders to identify community infrastructure needs. 2.3 Help establish and participate in MSS technical working group for selection and award of community projects 2.4 Implement community projects supported by MSS. 2.5 Monitor and evaluate development projects, including conducting pre- and post project assessment survey

Table 1 – SERC Project Outputs and Indicative Activities.

For more information on the Project Design, please refer to the SERC Project Design Document[3].

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[3] http://www.tl.undp.org/undp/recovery.html.

1.3   Project Indicators

The SERC Project was conceived during the period in which most of the IDP camps that formed following the crises of 2006/07 were still in existence. As described above, the Project was designed as a follow on the Dialogue Project, to support the mediation and conflict resolution processes initiated by the Dialogue Teams. The Project indicators in the Project Document, reflect this, as shown below.

Output 1 Indicators
• Number of issues between receiving communities and returning IDPs identified and managed by MSS
• Mechanisms and guidelines for participatory planning elaborated and implemented by MSS

Output 2 Indicators
• Level of satisfaction in the targeted Sucos – receiving community and returning IDPs – with the reintegration process through a pre- and post project assessment survey
• Number of infrastructure approved, implemented and completed on time in targeted Sucos

In early 2010 the Project indicators were revised in an attempt to better reflect the activities of the Project, and the reality of the circumstances in which the Project staff were working. The revised indicators are as follows:

Component 1 Indicators
• Participatory processes were applied in at least 22 conflict prone and IDP return communities
• At least 30% participation of disadvantaged groups (youth, women, IDPs) in all participatory processes.

These indicators do not fully reflect the breadth and scope of all the activities and achievements of the SERC Project, and so in this report, the focus is on reporting against the indicative activities rather than the indicators.

1.4   Risk Log

The original risk log in the Project Document is contained in Annex B. All these were managed by the Project during the implementation period to a greater or lesser extent, as documented throughout this report. It is worth noting, however, that two additional risks were identified during the Project period, and were added to the Risk Log, and did have an impact on the ability of the Project to meet its original targets. These were:

1.	Lack of donor interest to fund the gap
2.	Unclear Land and Property situation

The first of these relates to the timeliness of Project implementation. The Project was underfunded at the outset and was budgeted on the premise that the funding gap would be met once implementation was underway by demonstrating to donors the benefits and achievements of the Project. However as the GoTL priorities, and so donor priorities, had changed by the time the Project showed results, additional funding proved impossible to source.

At the time of writing, the land and property ownership laws in Timor Leste were still in a state of flux. Throughout the Project implementation period, the process of clarifying land ownership was underway, and the widely held feeling was that once this law was passed, there would be a period of unrest whilst land ownership issues were resolved. Indeed, in the preceding period, there have been many instances of people squatting on and claiming in the belief that if they are occupying the land when the law is passed, they will have a greater claim over the land than others who may also wish to claim it.

Whilst this has not actually had a deleterious overall impact on the Project, it was identified as a potential risk and so in all communities the Project ensured that the ownership of the land on which

the community infrastructure project was constructed was clear and transparent. In several communities the agreed project changed as a result of land ownership disputes, and in one community the project was cancelled because the community was unable to clarify land ownership.

Both of these issues are discussed further throughout the remainder of this report.

2   Project Achievements

This report will describe achievements and results from the whole Project period (June 2009 to February 2010) against the Project goals and objectives. Note that whilst the Project Document was signed by the UNDP and MSS in November 2008, Project implementation did not commence until June 2009.

The following sections are structured according to the outputs and indicative activities shown in Table 1 above.

2.1   Output 1

Developing the capacity of MSS (NDSA) staff in participatory planning for identifying small community infrastructure projects in IDP recipient communities

Capacity development was mainly focused on Social Mobilisers which held MSS contracts. The influence of the Project beyond this group was limited and so the main effort in terms of working towards this output was directed towards the MSS (NDSA) staff within the Project.

As described below, the Project developed a participatory planning and implementation process for implementing community infrastructure projects in communities identified by MSS for Project interventions. These were predominantly (but not all) IDP recipient communities considered as conflict-prone. Significant effort was put into supporting the Social Mobilisers in understanding and implementing this process. This was done through a mix of formal and informal training, as well as mentoring on a day to day basis. A full-time Capacity Development Mentor was recruited to implement and monitor their professional development.

It was the desire of the Project that MSS would take up the SERC trained staff within other projects or as permanent staff after the closure of the Project, and in this way ensure that the capacity building efforts of the Project would benefit MSS into the future. At the time of writing, only 2 staff members had secured ongoing employment within the Ministry due to the enactment of new recruitment regulations in the public sector. Whilst this is a relatively small uptake, it should be noted that nearly all the Project staff had secured employment elsewhere (in NGOs and other Ministries) and so it is felt that the Project has contributed to building the skills in this area generally in Timor Leste.

Project achievements against the indicative activities for Output 1 are shown in the following sections.

2.1.1   Indicative Activity 1.1

Recruit Project team and mobilize the Project

- Although the Project Document was signed in November 2008, the appointment of the Project Manager and Deputy Project Manager did not happen until June 2009, and so in reality the Project implementation did not start until this time. Recruitment of the remaining positions commenced after June 2009 but was also lengthy and plagued by delays. Table 2 shows the positions and the dates the positions were filled.

Title	Contract type	Recruitment date Contract Duration	Comments
Project Manager	UNDP	17/6/2009 21 months	Initially envisaged as a 12 month position
Deputy Project Manager	UNDP	17/6/2009 21 months	24 month position. Envisaged that PM would hand over to DPM after 12 months
International Engineer/Architect	UNDP	19/09/2009 10 months	Initially appointed as SSA for 4 months whilst permanent position recruited
National Engineer x 4	UNDP	04/01/2010 14 months	Envisaged that International Engineer would hand over to National Engineers after 12 months
Social Mobiliser x 10	MSS	23/09/2009 18 months	5 men and 5 women
Finance Associate	MSS	23/09/2009 18 months	Envisaged that Project finances would be mainly done through MSS.
Driver x2	UNDP	01/10/2009 17 months 01/06/2010 9 months	1 man and 1 woman.

Table 2 –SERC Staff Appointments.

As Project implementation progressed, it became clear that additional positions would be required, and that some of the assumptions made in the Project Document about Project staff would need to be revised.

- It was assumed that the Project Manager would hand over to the Deputy Project Manager after 12 months; however it became clear that the complexity of the Project meant that he would need to continue until the end of the Project implementation period. The National Deputy Project Manager was strong on operational aspects but needed more experience on programming to accommodate the complexity of the project.

- Similarly with the National Engineers; it was apparent that the National Engineers would require support from the International Engineer until the Project completion.

Table 3 below shows additional positions created during the Project period as a result of identified needs and gaps:

Title	Contract type	Recruitment date Contract Duration	Comments
Capacity Development Mentor / Capacity Development Specialist / Documentation & Evaluation Specialist	UNDP	13/01/2010 14 months	Initial 5 month position, created to provide mentoring, training and support to the Social Mobilisers. The position was later modified to reflect the changing needs of the Project. The staff member was finally retained until the end of the implementation period to manage the internal evaluation and to document the knowledge gained by the Project.
Procurement Associate	UNDP	18/01/2010 3 months	Created in response to MSS request to support MSS Procurement department, and ensure smooth implementation of Project procurement processes.
Operations Assistant	UNDP	07/07/2010 9 months	Following resignation of the Procurement Associate, the Project modified TOR and title to better meet the needs of the Project.
Senior Coordinator	MSS	01/10/2010 5 months	In response to a request by MSS Director to have a focal point in the Project, the position of Senior Coordinator for the Social Mobilisers was created.

Table 3 – Subsequent SERC Staff Appointments.

- The Project Manager became increasingly absent towards the end of 2009 and then ultimately resigned in 2010. Project management from this point was handled by the International Engineer who ultimately became the Project Manager. An intern architect who supported the Project in December 2009 and January 2010 was ultimately recruited back to the Project for 6 months as the International Engineer/Architect to replace the International Engineer who until that time was covering both positions.

- A number of staff members resigned during the implementation period. These included:

  o 4 Social Mobilisers (all male). The Project recruited 1 additional SM and the Senior Coordinator to replace them.

  o The Procurement Associate left to pursue studies abroad. His position was revised to reflect the needs of the Project and the Operations Assistant was recruited to replace him

  o 1 National Engineer resigned to take up another position. This occurred towards the end of the Project implementation period and so he was not replaced.

  o The International Engineer left at the beginning of October 2010. The Project took the decision not to replace him, and so the Project Manager covered this position until the end of the Project.

- The Project established a main Project Office in the Ministry of Social Solidarity, and two offices in each of Dom Aleixo and Cristo Rei Sub-District Offices. Following the lead from the Dialogue Project, it was the Project's intention that the SMs would be based in the Sub-District offices in order to facilitate contact with the communities and the sub-district administration.

  In fact the sub-district offices were rarely used by the SMs. The identified need for close mentoring and training, the fact that they were required to sign in each morning at MSS, the lack of facilities in the sub-district offices and the need to coordinate with the rest of the Project staff meant that it was easier for all if they were based at the main Project Office. Accordingly, the Project closed the sub-district offices in October 2010 and formally handed the assets to the sub-district Administrations.

2.1.2   Indicative Activity 1.2

Develop mechanisms and guidelines for participatory planning and implementation of community infrastructure projects that can improve social cohesion

- The Project Design recognised the importance of placing significant emphasis on social mobilisation and consultation in comparison to the hardware side of the Project. Whilst the infrastructure is important, it is recognised that to achieve social cohesion, harmony and sustainability, the Project must invest significantly in participatory planning and decision making, and ensure the inclusion of all sectors of the communities in which the Project is working.

- The Project team developed the Project Implementation Process (see Annex A) that clearly outlines a series of 14 steps to be undertaken during implementation. This process was developed within a do-no-harm framework, taking into account the role of the Project Selection Technical Working Group (PSTWG - see Section 2.2.3), the need to ensure expectations are not raised unrealistically, the importance of ensuring full participation of the community and the desire by the Project to construct good quality infrastructure.

- The Process was developed in collaboration with all Project staff, as well as other stakeholders in UNDP and MSS. As with the implementation of the process, it was felt that there should be a sense of ownership amongst the Project staff and MSS of the process if it was to be fully embraced.

- A brief description of the 14 steps is contained in Annex A of this report. A full description of the process, including the rationale for the steps, the methodology, successes and challenges in implementing the steps and lessons learned is contained in the Project Manual (See Attachment 3). This document also describes the stabilisation activities introduced by the Project to address the problems associated with raised expectations and delays in implementing infrastructure projects in the early stages of the Project.

- The results of the M&E analysis undertaken by the Project towards the end of the implementation period (see Section 2.2.5) suggest that the adoption of this process (and the use of stabilisation activities) led to a significantly increased positive impact on social cohesion in the communities in which the Project worked. This is discussed in detail in the SERC M&E Post-Assessment Survey Results and Analysis 2011 Final Report (see Attachment 4).

2.1.3   *Indicative Activity 1.3*

Train Project and NDSA staff [at least 40% are women] on participatory planning processes

- The recruitment of the SMs ensured that 50% were women. It should be noted that 4 of the 5 male SMs resigned or left before the end of the Project. All 5 female SMs stayed until the end.

- A Capacity Development Mentor was appointed to support the SMs, undertake a capacity and training needs assessment, and develop and implement a training plan. The framework for this was the Project Process.

- For more information on the training needs assessment and the training plan, please refer to the SERC Project Training Report (See Annex C).

2.1.4   *Indicative Activity 1.4*

Develop in collaboration with NDSA a longer-term strategy to continue working with Suco Councils on community development projects

- The Project worked informally with Suco Councils - through consultation and participation in planning stages for community infrastructure.

- The longer term strategy, developed by UNDP in conjunction with MSS, was the establishment of the Department of Peace Building and Social Cohesion (DPBSC) for ongoing support of peace building and social cohesion efforts in conflicted communities.

- Lessons learned from and methodologies developed during the implementation of the SERC Project will be incorporated into this initiative. The SERC Project Manual (see Attachment 3), which documents the SERC Project Implementation Process, including objectives, methodologies, successes and challenges and lessons learned, will be translated into Tetum and handed to the DPBSC and the wider Ministry as a resource for the future. It will also be shared with the Ministry of State Administration and Territorial Planning who is implementing local development projects.

2.2   Output 2

Implementing small community infrastructure projects for promoting social cohesion and reducing social tension in areas of IDP return

As described in the Project Document, the Project was premised on using the provision of small community infrastructure projects as a tool for promoting social cohesion. This was significantly more complicated than simply building infrastructure.

Section 2.1 above describes the activities undertaken by the Project to ensure that the planning for the infrastructure projects was participatory, collaborative and incorporated a do-no-harm approach. This section describes the achievements made by the Project in implementing the physical infrastructure projects, ensuring the quality of construction was high, as well as the full involvement of MSS in decision making forums.

2.2.1 Indicative Activity 2.1

Develop with NDSA transparent operational procedure for the identification and selection of target Sucos in Dili and priority districts as a follow-up on the dialogue initiatives undertaken by MSS in coordination with District Offices.

As mentioned previously, the selection of the communities in which the SERC Project worked was done by MSS based on criteria such returning IDPs, fragility and propensity for conflict, and competition over scarce infrastructure as reported by IDP monitoring. Nearly all communities in which SERC worked had received significant amounts of attention from the Dialogue Teams.

See Section 2.2.4 below for a full list of the communities in which the Project worked. A summary of the conflict and background of each community is contained in the summary sheets in Attachment 1.

2.2.2 Indicative Activity 2.2

Conduct participatory needs assessment & relevant trainings for Chefe de Sucos and community leaders to identify community infrastructure needs.

- As mentioned in the Project Document, a lack of basic infrastructure has been identified as a potential trigger for conflict in IDP receiving communities. This includes infrastructure such as water supplies, roads, drainage, electricity, and so on.

- For community level infrastructure to be sustainable and to achieve the Project's objectives of reducing conflict and supporting community cohesion, it was critical that the process build a strong sense of ownership of the infrastructure. This meant ensuring that the processes were as participatory as possible, and that decisions involved as much as possible all the various groups of the communities.

- As a result, in many cases the choice of the infrastructure project did not only include basic infrastructure but also civic infrastructure that enhances the quality of life in the community but does not necessarily address basic needs (for example sporting facilities). The Project felt that these were legitimate projects as they were (a) chosen by the community, (b) usually related directly to the causes of the conflict, and (c) would serve a wide sector of the community.

- There is a tendency in community consultations for the process to be dominated by community leaders and/or men, to the exclusion of other groups (women, youth, poor, disabled etc). The Project felt that focussing attention on Chefe de Sucos and community leaders alone would tend to reinforce this exclusivity.

- Instead the Project concentrated on trying to ensure the involvement of all groups within the community. The needs assessments and identification of projects was facilitated by the SMs using participatory methodologies, striving to include as many different sub groups with the community as possible. Community leaders were included, but not exclusively. Techniques such as informal meetings and discussions in the street, discussions and meetings with women's

groups and youth groups and so on were all used. Training in these techniques was provided to the SMs by the Project.

- The Project Process (see Annex A) called for 3 potential projects to be identified (unprioritised). The reason for this was to ensure that if one of the projects was found to be unfeasible for technical, financial or other reasons, there were other options to pursue and the process would not stall or need to start again.

- See Table 4 in Section 2.2.4 below for a summary of the infrastructure projects implemented by SERC.

2.2.3   Indicative Activity 2.3

Help establish and participate in MSS technical working group for selection and award of community projects

- The Project Selection Technical Working Group (PSTWG) was established at the beginning of the Project implementation period with a preparatory meeting being held in July 2009. A subsequent meeting was held in early September.   Thereafter meetings were held approximately every two months (the frequency varied depending upon need and the number of projects underway). See Annex F for the Terms of Reference for the PSTWG.

- The two initial meetings were chaired by the Secretary of State for Social Assistance and Natural Disasters (DNAS). Subsequent meetings were chaired by the Director of DNAS.

- In accordance with the Terms of Reference for the PSTWG, the purpose of the PSTWG meetings was to discuss and approve community infrastructure projects, resolve issues arising during community consultations and implementation, agree and plan significant events such as inaugurations and so on.

- The group was also meant to include representatives from other Ministries and departments with whom the Project's activities overlapped. The rationale for this was to ensure that Project activities were in line with other strategies, plans and projects being implemented outside MSS. Whilst representatives from DNSAS and the Ministry of Education attended the first two meetings, the involvement of other line ministries and departments has proved challenging thereafter.   As a result, the PSTWG consisted solely of representatives from MSS (chaired by the Director - DNAS) and Project staff (usually the PM, the DPM, the International Engineer and a representative of the National Engineers).

- Where there was a specific need for line Ministry involvement in a project - for example the Department for Water and Sanitation DNSAS' involvement in community water supply projects (4 Setembru) or the Ministry of Education's involvement in the construction of a pre-school (Zero III) - the Project staff approached the Ministry and dealt directly with them. Information was then fed back to the PSTWG accordingly.

- The other strategy for ensuring the involvement of the line Ministry was to formally include them in the inauguration and project launching ceremonies. During these ceremonies, a representative from MSS would hand the keys (or some other symbol of the infrastructure) to a representative from the line ministry who in turn would hand them on to the head of the management group (GMF). In this way a link was formed directly between the GMF and the line ministry for future interaction and support.

2.2.4   Indicative Activity 2.4

Implement community projects supported by MSS.

- According to the Project Document, the SERC Project aimed to implement a minimum of 30 infrastructure projects in Dili, Ermera and Viqueque Districts. The average value of each project was budgeted as $30,000. The Project, however, was only partly funded (see Section 4 below), with the assumption that additional funds would be mobilized once implementation commenced and there were some tangible outcomes to show.

- However, the situation in Timor had changed and the GoTL, and accordingly the donors, shifted their focus from humanitarian to development. Consequently, it proved impossible to raise additional funds.

- As a result the Project revised down the total number of community infrastructure projects it could complete to 23, and requested a no-cost extension of 3 months to be able to finalize them. Two projects (20 Setembru and Sao Jose) were cancelled due to intractable disputes and land ownership issues respectively, and so the total number of projects actually completed was 21, with an average value of $24,000 and a median value of $18,000.

- A summary of the projects completed is contained in Table 4 below. Individual fact sheets for each project are contained in Attachment 1.

No	Project Name	District	Suco	Project Description
1	**Mauc**	Dili	Comoro	Rehabilitation of Community Centre
2	**Mundo Perdido**	Dili	Bairo Pite	Rehabilitation of a Football Field & Associated Works
3	**Zero III**	Dili	Fatuhada	Rehabilitation of a Preschool and surrounds
4	**Rai Nain**	Dili	Bairo Pite	Rehabilitation of a Volleyball Court
5	**4 de Setembru**	Dili	Comoro	Rehabilitation of Water Supply System
6	**Duyung**	Dili	Duyung	Construction of community shallow wells
7	**Delta III**	Dili	Comoro	Rehabilitation of a Volleyball Field
8	**Berbidu**	Dili	Becora	Drainage and Catchment Management
9	**Burbulau**	Dili	Camea	Rehabilitation of Water Supply
10	**Culau Laletec**	Dili	Becora	Rehabilitation of drainage system
11	**Caqueo Laran**	Dili	Becora	Rubbish Collection
12	**Mota Claran**	Dili	Bidau Santana	Rehabilitation of Grotto and volleyball court
13	**20 de Setembru**	Dili	Comoro	Project cancelled due to unresolved conflict in community
14	**Camea**	Dili	Camea	Public toilets and Water Tank
15	**Macocomate**	Dili	Becora	Rehabilitation of drains
16	**Aimutin**	Dili	Comoro	Rubbish Collection System
17	Sao Jose	Dili	Bairo Pite	Project cancelled due to land ownership issues
18	**Mascarinhas**	Dili	Mascarinhas	Rehabilitation of sports court and chapel
19	**25 de Abril**	Dili	Santa Cruz	Construction of sports facilities and community garden
20	**Rio** de Janeiro	Dili	undefined	Rubbish collection system
21	**Atara**	Ermera	Atara	Construction of multifunction sports court
22	**Lasaun**	Ermera	Lasaun	Construction of Youth Centre

| 23 | **Atsabe Villa** | Ermera | Laclo | Construction of Youth Centre |

Table 4 – SERC Project Community Infrastructure Projects.

2.2.5 Indicative Activity 2.5

Monitor and evaluate development projects, including conducting pre- and post project assessment survey

The Project monitored progress in a number of ways. Project staff were required to record in Project diaries all information related to their interaction with communities, and in particular details of community meetings. In the early stages of Project implementation staff were also required to prepare monthly reports which were submitted to and approved by the Project Management (an example report is contained in Annex D.

For reporting purposes, a Project database was developed in Excel to record information about each project, including basic demographic and geographic information, information about community consultations, construction progress and information about related activities in the community. This was updated regularly and on a monthly basis the database was printed and circulated to stakeholders. In this way the progress of individual projects could be tracked. The final database output for all community infrastructure projects is contained in Annex D.

Formal M&E was incorporated into the Project on two levels. In line with the requirements set out in the Project Document, the Project has engaged a consultant to undertake a final evaluation of the Project, focusing on the Project results and achievement of its' objectives. The Project also undertook monitoring and evaluation at the community level to investigate issues of sustainability, including the perceptions of ownership of infrastructure, community satisfaction with the process and perceptions of impact at the community level.

These two approaches to M&E are discussed below.

Final Evaluation

- The Report is included as Attachment 1.

- Specifically the final evaluation will attempt to answer the following questions:

Project Outcome:
To what extent has implementation of the SERC project contributed to the promotion of early recovery and durable solutions in Timor-Leste, particularly in terms of provision of basic services to IDPs and their surrounding and recipient communities due to damaged and destroyed infrastructure?
To what degree was the project able to promote social cohesion through the design and implementation of infrastructure projects?
How has the project strengthened institutional structures and mechanisms for dialogue? How did it support enhanced communication and exchange among community members on basic infrastructure needs and facilitated reaching agreements on project of common benefit?
Project Outputs:
Output 1:
To what extent have the skills of MSS increased in order to conduct participatory planning for community development projects and to assess their impact?
How many issues between receiving communities and returning IDPs have been identified and managed by MSS?
Which mechanisms/guidelines for participatory planning have been elaborated and implemented by MSS? What was UNDP's role in this? To what extent is MSS now able to further implement participatory planning without UNDP support?

Output 2:

How were MSS staff assisted through the project to identify needs, plan and implement small community infrastructure projects in a participatory process?

Based on the pre- and post project assessment survey, what is the level of satisfaction in the targeted Sucos – receiving community and returning IDPs – with the reintegration process?

How many infrastructure projects were approved, implemented and completed on time in targeted Sucos? What is the role and capacity of MSS in continuing to implement such projects?

Community Level M&E

- Once the Project Process was fully defined and the team was up to speed on how to carry out the Process steps, the Project started collecting data about the communities before entering them and commencing consultations. The data was recorded in a format referred to as the Pre-project Survey, of the format of which is contained in Annex E.

- The survey was designed predominately as a do-no-harm tool, to ensure that the staff were fully aware of the history of the conflict in the community, who the main stakeholders were, any current or ongoing issues and so on, before they entered the community. It was not designed as a baseline survey for M&E purposes.

- In order to address the need for community level M&E, the Project engaged in July 2010 a consultant for a short period to make recommendations about the approach and methodologies. The recommendations made by the consultant, in recognition that the Project was well into implementation, was to use a combination of methodologies including Goal Attainment Scaling (GAS) to provide a comparison between projects, and Most Significant Change (MSC) to provide a qualitative understanding of the link between infrastructure and community cohesion.

- The recommendations made by the short term M&E consultant were further developed. A survey format was developed and guidance notes prepared for conducting the survey and running focus group discussions (FGD).

- The data collection process was undertaken by a gender balanced team of trained local staff between November 2010 and January 2011. Full results are contained in the report entitled 'SERC M&E Post-Assessment Surveying Results and Analysis 2011 Final Report' (See Attachment 4), and a summary of the findings is shown below.

Awareness of the infrastructure was high at 84%, but men were much more likely to know about the infrastructure then women (99% compared to 67%).

Whilst actual participation of the respondents in the projects was low (34% of men and 15% of women), the perception amongst respondents was that participation was high (68% thought "everybody" in the community was involved). Participation rates between former IDPs and non-IDPs were more or less the same. Most people felt there was good youth participation in the project.

Most people (94% of respondents) who were aware of the project felt that participation in the project strengthened community unity and supported community cohesion.

Whilst most people (88% of respondents) knew that the infrastructure belonged to the community, there was less clarity about who within the community was responsible for O&M. The role of the GMF was not well understood.

Less than half (45%) of respondents were aware that stabilisation activities had taken place in their community. However, amongst those that were aware, these activies were seen to support the Project's overall objectives.

Most respondents felt that the level of conflict in their community had improved over the past 12 months. At the Aldeia and Suco level, most people felt safe, but less so at the District and National levels. However, whilst there may not be any current conflict between former IDPs and non IDPS, the root causes of past conflict are still there and could come to the surface at any time.

77% of respondents felt that the Project and particularly the infrastructure were positive and of benefit to the community, and helped improve social cohesion. Three notable exceptions are the three communities (Camea, Kulau Laletec and Caqueo Laran) in which there was a low level of satisfaction with the infrastructure. In these communities there was the perception that the Project could potentially increase tension by exacerbating conflict between the various groups over the infrastructure, and by creating social jealousies.

It is difficult to assess whether the Project's interventions had a direct impact on the level of stability in the beneficiary communities. However, the results of the surveys suggest that participation in Project activities (consultations, infrastructure development and stabilisation activities) did support community cohesion, and in doing so added to the general improvement in stability (or perception of stability) in these communities.

This in turn suggests that the Project's interventions supported IDP reintegration. However this is by no means conclusive, particularly when one considers that a large proportion of IDP respondents remarked that the underlying tensions between former IDPs and non-IDPs remain.

2.3 Other Achievements

There were a number of other notable achievements by the SERC Project which are worthy of mention.

- **Rope Pump**. In the community of Duyung, Metinaro, the Project piloted Timor Leste's first Rope and Washer pump, installed on a hand dug well. This pump, widely used across Africa, Latin and South America, and gaining a strong foothold in Asia, is a low tech, low cost hand pump that can be entirely fabricated at a local level, and is easy for community members to operate and maintain into the future. It is included in the DNSAS Guidelines for rural water and sanitation as one of the approved pump types for use in Timor Leste, but until now had yet to be used here. This innovation has the potential for long term and far reaching benefits.

- **Rubbish Collection System**. In conjunction with IOM, the SERC Project designed and piloted a new rubbish collection system in Dili. The system, approved by the Dili District Sanitation Department, is based on 200 litre drums located at regular intervals along a road such that all households have easy access to a bin. Hand winch cranes, mounted on the Dili Sanitation trucks, facilitate the emptying of the bins. The system was installed in 5 Aldeias around and in Dili District.

- **Timorese Company involvement.** UNDP Procurement documentation and related submissions are required to be in English; this meant that no Timorese companies were able to compete for contracts, or even bidding. In response, the Project staff pushed for local company involvement, and with the Procurement Unit, developed a strategy for supporting and encouraging Timorese companies to bid for UNDP civil works contracts. This included conducting training for local companies on UNDP Procurement processes, directly marketing to Timorese companies during the advertising period, and offering support to these companies during bid preparation[4].

- As a result the number of Timorese companies bidding increased significantly and by the end of the Project 11 of the 22 contracts issued were to Timorese companies.

3 Financial Status

- The SERC Project is comprised of 2 components, as described in Section 1.2 above. As previously mentioned, this report focuses on Component 1 only, however for clarity Tables 5 and 6 below show the financial status for both components.

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[4] SERC Project staff were careful not to provide any information to these companies that could give them a competitive advantage in the tender process.

- Table 5 shows the original total budget and the amounts allocated to the Project by donors. It was envisaged that funding gap would be secured once implementation had commenced, however for reasons outlined previously, this did not happen.

Original Budget	3,656,000
BCPR (26941)	1,062,000
BCPR (26951)	188,000
PBF (30000)	308,963
AusAID (30000)	600,000
Total Funded	2,158,963

Table 5 – Funds Received

- Table 6 below shows actual expenditure by donor for the entire duration of the project. The figures for 2011 in Table 6 also reflect the expenditure for Component 3, which includes an amount budgeted activities which have not yet taken place. As such, whilst the SERC Project for Components 1 and 2 will be completed at the end of March 2011, overall the Project will remain open. As such final figures for the expenditure of the whole Project will be reported elsewhere.

Donor	Initial Funds	Expenditure 2009	Expenditure 2010	Projected Expenditure 2011	Remaining Funds
BCPR	$1,062,000.00	$619,193.44	$425,934.92	$16,871.68	$0.00
	$188,000.00	$4,706.80	$142,643.86	$40,649.34	$0.00
PBF	$308,963.00	$22,564.28	$284,284.39	$2,114.33	$0.00
AusAID	$600,000.00		$217,314.41	$382,685.59	$10,633.23
	$2,158,963.00	$646,464.52	$1,070,177.58	$431,657.67	$10,663.23

Table 6 – Expenditure to 31st March 2011

- For Components 1 and 2, it is useful to break the expenditure down by expenditure type. Table 7 below shows expenditure for the infrastructure components of the Project broken down by International and National staff, other HR costs, Infrastructure and Operations. It is possible to see the trends in expenditure which reflect what happened during implementation.

- During 2009, expenditure on operations was high as it included the capital costs of establishing the Project. Staff salaries were predictably high in 2010 as the whole Project team came on board, and Grants expenditure also climbed rapidly. Grants expenditure is also high in 2011 even though no new projects were started as the milestone payments for contracts signed in 2010 carried forward into the new year. This expenditure in fact will not be finalised until June 2011 when the last of the warranty defects periods for the infrastructure contracts expire.

Expenditure Type	2009	2010	2011	Total
International Staff	$168,006.80	$245,590.50	$94,245.00	$507,842.30
National Staff	$16,974.12	$137,886.20	$22,936.26	$177,796.58
Other HR	$27,924.03	$21,482.56	$2,606.25	$52,012.84
Grants	$937.00	$358,331.59	$144,963.41	$504,232.00

Operations[5]	$128,719.00	$87,868.35	$19,513.00	$236,100.35
Total	$342,560.95	$851,159.20	$284,263.92	$1,477,984.07

Table 7 – Expenditure Type for Components 1 & 2

4 Lessons Learned and Recommendations

As with any project with a similar level of complexity, the SERC Project experienced a number of challenges during implementation. Delays in recruitment and mobilisation of Project staff in the early stages left a legacy that took some time and effort to overcome. Another issue was the low levels of expertise and capacity amongst some of the national staff, which is generic and are common to most projects in Timor Leste. Also, differences in operating procedures and agendas between MSS and UNDP caused implementation delays in some instances. .

Despite these issues, the SERC Project was generally considered a success by MSS. Through the efforts and hard work of the entire Project team, all these issues were eventually resolved and on most levels the Project's objectives were met. However, it is worth making note of the main lessons learned for the future.

Delays in Mobilising Project

- The Project document was signed by the UNDP and MSS in November 2008, with an implementation period of 2 years. The Project Manager and Deputy Project Manager did not start until June 2009. Recruitment of the remaining Project staff commenced at this point but it was not until January 2010 that the full team was on board and implementation really began. Significant pressure was subsequently put on the Project Team by MSS to implement community infrastructure and deliver projects quickly. ..

- As previously noted, the Project was underfunded at its inception, with the idea being that additional funds would be secured once there were some tangible results. However, both GoTL and donors' priorities had changed from humanitarian to development and there was no interest in further funding such activities. The Project therefore had to both revise the Project targets, and request a no-cost extension to allow sufficient time for implementation.

Staff issues

- **Staff Attrition**: During the 14 months that the full Project team was on board, 4 of the SMs resigned (all men), as well as 1 engineer and the Procurement Associate. Whilst it is normal for staff to resign and move on, there are a couple of points to note about the way this happened in the SERC Project. Firstly, particularly amongst the male MSS staff, there was a strong resentment about the different terms and conditions between UNDP national staff (namely national engineers) and MSS staff. This was cited on a number of occasions.

- Secondly, there is no requirement for MSS staff to give notice periods when resigning. So on all occasions the staff members informed the Project of their resignation the day before they actually left, meaning that handovers were not done (or were cursory at best). This seems to be common place in Timor Leste, and it would seem prudent for this to be addressed in HR policies.

- **Recruitment**: Both UNDP and MSS recruitment processes are lengthy.. The Project found it difficult to replace staff who left or recruit staff to new positions. For example, the recruitment of the Project's second driver (UNDP) took more than 6 months, and the recruitment of the Senior Coordinator (MSS) took a similar period.

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[5] This includes the cost of vehicles and other capital items necessary for establishing the Project.

- **Consistency in Staff Terms and Conditions**. It is recommended that, in future Projects implemented collaboratively between UN agencies and GoTL staff, that implementation staff are employed under similar conditions. There was a clear lesson from SERC that asking staff on vastly different employment contracts to work side by side in the field causes resentment and conflict.

- **Capacity Limitations**. The difficulties involved with implementing community development projects in Timor Leste, in terms of local staff capacity, is well documented. Whilst SERC acknowledged the need for capacity building of MSS (DNAS) staff, the assumption was made that the UNDP national staff would be sufficiently skilled and experienced to hit the ground running. Whilst undoubtedly some of the National staff were able to work autonomously and effectively from the beginning, it was clear that a full hand over to the National staff after 12 months as envisaged in the PDD would not be possible. Had this been recognised in the PDD, it would have saved a significant amount of effort revising the Project accordingly.
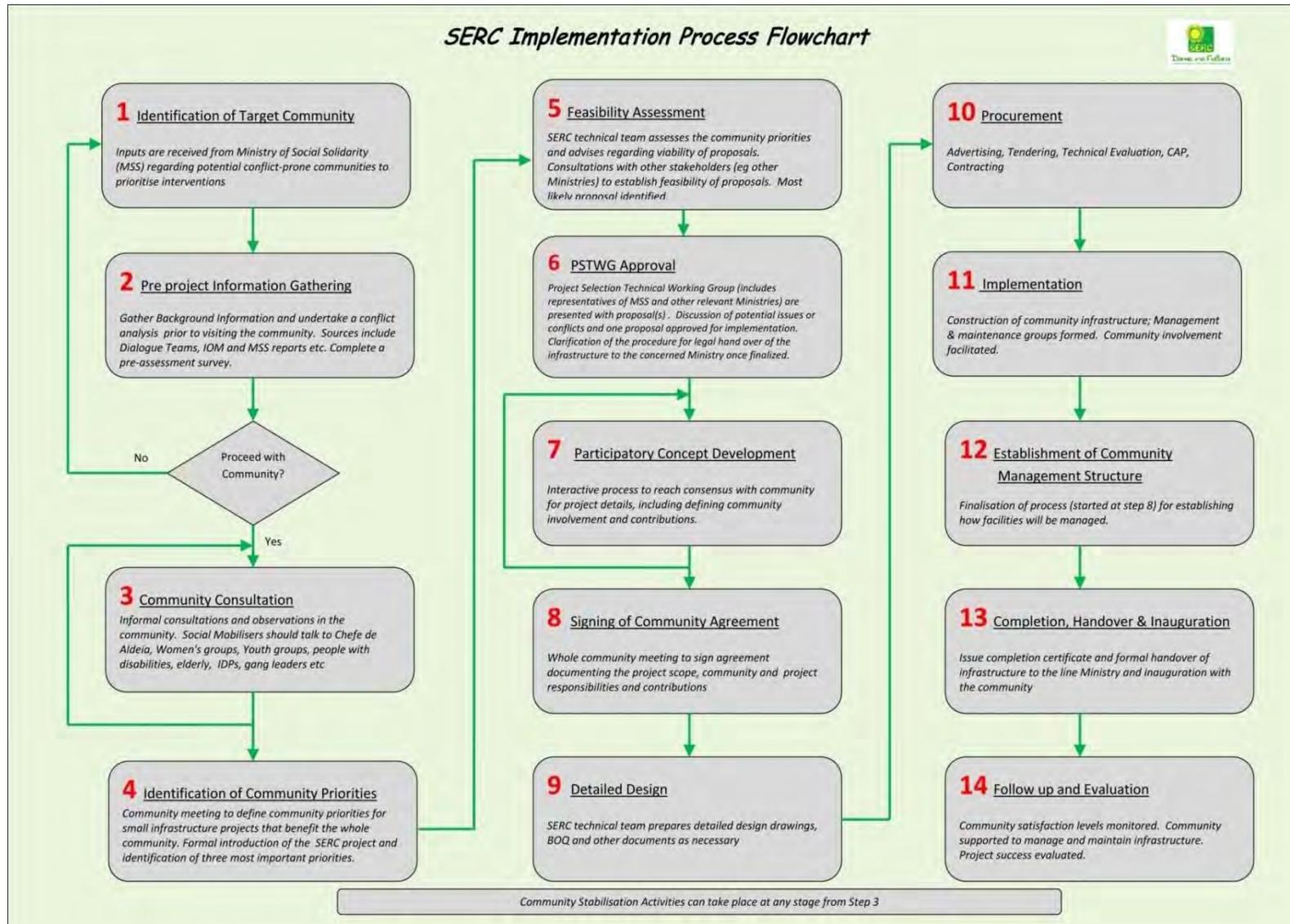
Programmatic Issues

- **Raised Community Expectations**: The Project experienced significant problems early on with raised community expectations. These were caused by a combination of delays in recruitment of Project staff (in particular the technical team who were needed to implement the small community infrastructure projects) the lack of a clear process to follow with a do-no-harm approach incorporated, and low staff capacity levels (both social and technical). As a result, the early Project interventions led to frustration within the target communities, particularly focussed on Project staff. The importance of planning sufficient time and resources for planning, training and mobilising should not be underestimated.

- **Sustainability**: The Project attempted, through the implementation process, to foster a sense of community ownership of the infrastructure. It did this by using participatory planning methodologies, ensuring the involvement of men and women, youth, IDPs, community leaders and other community sub groups that make up the mix of stakeholders. A requirement for some level of community contribution and involvement in project implementation was meant to demonstrate a commitment by the community to both the process and the long term sustainability of the infrastructure (the latter being strengthened by the formation of a representative Community Management Group or GMF).

- Whilst the true level of this sense of community ownership will only really be known in years to come, it proved generally very difficult to get good participation in voluntary community activities. For example, it proved impossible to get community members to attend the focus group discussion meetings unless they were paid (which the Project refused to do, so they were cancelled), and attendance at training events in which travel money and per diems were not paid, was very low. This has also been observed in other projects and raised by various NGOs, and should be strictly addressed and factors in risk management. This varied to some degree from community to community, and despite this, the M&E results showed that awareness amongst community members that the infrastructure belonged to the community was high (see Section 2.2.5 above). However the sustainability of the facilities provided is totally dependent on social cohesion within the communities and how representative and effective the GMFs prove to be.

- **Ministry Involvement**. The importance of the full involvement of the partner or line Ministry in projects such as SERC should not be underestimated. The Project acknowledges that at times the relationship between it and the Ministry was not always positive, and, for example, regarding procurement, faltered altogether (see Project Progress Report January to June2010). However this is not productive, and, apart from the fact that the GoTL is the representatives of the people and the international community should support them, they are also often in a better position to resolve local issues that is the international organisation. It is therefore

recommended that, in recognition of the fundamental differences between the Ministry and the UNDP, every effort be put into ensuring the Ministry are present at all decision making forums.

- Finally, it should be emphasized again that building ownership of community infrastructure takes time and should not be rushed. Projects should be designed so that implementation schedules align with community timeframes. When implementation is rushed, and community ownership of facilities is not there, then sustainability suffers and in the long run the resources are wasted.

Paul Tyndale-Biscoe
SERC Project Manager
March 2011

Annex A – SERC Implementation Process Flowchart

SERC Implementation Process Flowchart

1 Identification of Target Community

Inputs are received from Ministry of Social Solidarity (MSS) regarding potential conflict-prone communities to prioritise interventions

2 Pre project Information Gathering

Gather Background Information and undertake a conflict analysis prior to visiting the community. Sources include Dialogue Teams, IOM and MSS reports etc. Complete a pre-assessment survey.

Proceed with Community? — No / Yes

3 Community Consultation

Informal consultations and observations in the community. Social Mobilisers should talk to Chefe de Aldeia, Women's groups, Youth groups, people with disabilities, elderly, IDPs, gang leaders etc

4 Identification of Community Priorities

Community meeting to define community priorities for small infrastructure projects that benefit the whole community. Formal introduction of the SERC project and identification of three most important priorities.

5 Feasibility Assessment

SERC technical team assesses the community priorities and advises regarding viability of proposals. Consultations with other stakeholders (eg other Ministries) to establish feasibility of proposals. Most likely proposal identified.

6 PSTWG Approval

Project Selection Technical Working Group (includes representatives of MSS and other relevant Ministries) are presented with proposal(s). Discussion of potential issues or conflicts and one proposal approved for implementation. Clarification of the procedure for legal hand over of the infrastructure to the concerned Ministry once finalized.

7 Participatory Concept Development

Interactive process to reach consensus with community for project details, including defining community involvement and contributions.

8 Signing of Community Agreement

Whole community meeting to sign agreement documenting the project scope, community and project responsibilities and contributions

9 Detailed Design

SERC technical team prepares detailed design drawings, BOQ and other documents as necessary

10 Procurement

Advertising, Tendering, Technical Evaluation, CAP, Contracting

11 Implementation

Construction of community infrastructure; Management & maintenance groups formed. Community involvement facilitated.

12 Establishment of Community Management Structure

Finalisation of process (started at step 8) for establishing how facilities will be managed.

13 Completion, Handover & Inauguration

Issue completion certificate and formal handover of infrastructure to the line Ministry and inauguration with the community

14 Follow up and Evaluation

Community satisfaction levels monitored. Community supported to manage and maintain infrastructure. Project success evaluated.

Community Stabilisation Activities can take place at any stage from Step 3

A brief explanation of the rationale behind the steps is described below:

Step 1   **Identification of Priority Communities:** Communities are selected in accordance with predefined criteria pertaining to level of conflict and issues around IDP reintegration. In reality the communities selected for Project interventions were identified by MSS and were generally those communities in which the Dialogue Teams had worked. Whilst it was originally envisaged that the Project would work in IDP conflicted communities, during the reporting period this was expanded to include other communities with conflict.

Step 2   **Pre-project Information Gathering**: It quickly became apparent that significant problems could arise for the Social Mobilisers and the Project if direct contact between the Project and the communities was initiated before the Project had a full understanding of the situation and context existing in the communities. A pre-project reporting format was subsequently developed covering basic demographic information, as well as conflict analysis with a do-no-harm element. Once this report is prepared, the Project Selection Technical Working Group (PSTWG) makes a decision as to whether or not to proceed in the community concerned.

Steps 3 & 4   **Community Consultation & Identification of Priorities**: Consists of a series of participatory community consultations, both formal and informal, with a range of stakeholders (men, women, youth, leaders etc) culminating in a whole of community meeting in which 3 potential (un-prioritised) projects are identified.

Steps 5&6   **Feasibility Assessment and Approval**: The three identified projects are assessed to ensure they are technically feasible, within budget and are inclusive (benefit the whole community). The results are presented to the PSTWG for approval and to ensure that there is no conflict or overlap with plans or interventions from other Government Departments and organisations. One project is approved for implementation.

Steps 7&8   **Project Development and Community Agreement**: The project concept is further developed in consultation with and the full participation of the community, culminating in a whole-of-community meeting in which a community agreement is signed. The agreement clearly outlines what the project entails (illustrated in drawings, sketches, photographs and/or models), and details both the Project responsibilities and the community responsibilities. The latter should include some level of community contribution to demonstrate demand and ownership of the infrastructure being constructed.

Steps 9-11   **Detailed Design, Procurement & Implementation**: The Project Engineers fully document the project (drawings and Bill of Quantities), the implementation modality is decided (external tendering, community contracting or NGO implementation), the procurement processes are undertaken and the project is implemented. The Engineers monitor implementation to ensure that the project is constructed in accordance with the designs. The social mobilisers work with the community to facilitate their involvement in the process, which can include contributions such as cleaning the site, planting trees, painting, decision making around colour schemes, community monitoring of implementation and so on.

Step 12:   **Establishment of Management Structure**: The social mobilisers facilitate the establishment of a Grupo Management Facilidade (GMF) comprised of both men and women from the community(s) involved. The GMF is provided with training in organisational and financial management, as well as operation and maintenance if needed (see Section 2.4 below). Links are made between the GMF and the appropriate Line Ministry

Step 13: **Completion, Handover & Inauguration**: Once implementation is finalised, the project enters a warranty defects period during which time the contractor (if used) is responsible for any repairs of faulty workmanship. During this period a handover ceremony/inauguration is arranged in which MSS formally hands the infrastructure to the Line Ministry who in turn hands it to the community (represented by the GMF).

Step 14: **Follow up and Evaluation**: Following the inauguration ceremony, the social mobilisers continue to liaise with the GMF and other community representatives to support their ongoing use and management of the facilities. Approximately one month after the handover, an evaluation of the whole process is undertaken to assess how well the intervention met the Project's objectives.

Annex B – Project Risk Log

#	Description	Type	Impact & Probability	Countermeasures / Management response	Owner
1	Volatile security situation	Political	P = L- M I = H	Close monitoring of security situation as affected by underlying tensions between IDPs and their communities, food insecurity; and mitigation of potential disagreements through mediation and dialogue and participation of PNTL and UNPOL when and where necessary.	Project Manager
2	Poor coordination or delivery of different parts of NRS leading to delay in future returns and poor sustainability for those IDPs involved	Organizational	P = M-H I = H	Advocacy by international community and support to government for parallel implementation of the different HHF pillars	Project Manager
3	Decrease in Government Leadership and ownership	Political	P = L I = H	Project complies with government's NRS and MSS leadership on HHK group and PMB	Project Manager
4	Failure to include disenfranchised groups such as youth and women	Operational	P = L-M I= H	These aspects will be factored in communication strategy and project design	Project Manager
5	Political intervention resulting in non-transparent decision and constituting potential source of conflict at local level	Political	P = L-M I= H	Transparent mechanisms for recruitment, procurement and choice of beneficiaries	Project Manager

Annex C – SERC Project Training Report

SERC Community Mobilizers Capacity Assessment Report Part 1   04/03/2010

Annie Sloman

Trainer and Capacity Development Mentor

SERC Project - MSS/UNDP

This capacity assessment report will look at the Community Mobilizers of the MSS/UNDP SERC project. At the time of undertaking this report only 8 of the 10 Community Mobilizers were working and thus this report focuses on only 8.[6] As one of the primary aims of this assessment is to be able to develop a training & mentoring plan and for it to act as a baseline for future assessment, it will outline a general overview of the community mobilizers capacity as a group focusing first on the five functional capacities as recognized in UNDP's Capacity Assessment Practice Notes[7] then on their capacity in specific areas related to their positions highlighting areas of high, medium & low capacity and offer specific suggestions for follow up. Part 2 of this report looks at each mobilizers individual capacity and provides a baseline and benchmark measurement of individual mobilizers capacity. Part 2 is a confidential report due to HR considerations. The basis for this capacity assessment report is the community mobilizers individual capacity assessment, where mobilizers assessed their own capacity in areas related to their role (see attachment *SERC individual capacity assessment results*), observations of the mobilizers work and skills over 6 weeks (13th of January to the 26th of February) and informal interviews with different stakeholders in the project. This assessment focuses on the point of entry for capacity development being at the individual level and at times zooms out to the organizational level. The capacities that are primarily focused on are those related directly to the community mobilizers positions, and cross over the five functional capacities that UNDP recognize including the capacity to engage stakeholders, capacity to assess a situation and define a vision and a mandate, capacity to formulate policies and strategies, capacity to budget, manage and implement and capacity to evaluate.[8] There is a possibility that the need to develop the reasonably large number of different areas of capacity could cause a measure of overload for SERC community mobilizers, when added to their normal workloads. This issue will require continuous attention and regular adjustment to implementation methods and schedules to ensure it does not become problematic.

Key to the Capacity Assessment

A mark system was used in measuring the capacity of the mobilizers based on scores that they gave themselves in the individual capacity assessment, observation of their skills and work, both written and practical, and informal interviews with different people in the project, including the community mobilizers themselves.

The Key for this Capacity Assessment Mark is laid out below.

Capacity level	Low level capacity	Medium level Capacity	High level Capacity – Desirable level
Explanation	Little to no understanding or use of topics/skills that are specific to the role	Limited understanding and use of topics/skills that are specific to the role	High level understanding and confident use of topics/skills that are specific to the role
Equivalent score in	1-2.4	2.5-3.4	3.5-5

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[6] Only 8 of the 10 SERC community mobilizers were working during the time of the Capacity Assessment. Abel Santos had resigned the week before the capacity assessment was undertaken and his replacement had yet to be instated and Imaculada Soares Gusmao was on maternity leave from the 7th of January to the 8th of March 2010.

[7] Colville, J. (2008), *UNDP Capacity Assessment Practice Note*, UNDP, USA.

[8] *Ibid*

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the individual capacity assessment			
Capacity Assessment Mark	Low	Medium	High

Mobilizers as a group

The mobilizers have come to these positions with a varied wealth of experience and already established capacities, some more developed then others. They have also already undergone training as part of their position and developed their capacities through the five months that they have worked on the job. To generalize and try and gain a general understanding of where the mobilizers capacity as a group lie we can look at the mean score from the mobilizers individual capacity assessment of 2.8, which as explained in the key above rates the capacity at a medium level, that being that they overall have a limited understanding and use of topic/skills that are related to their job. This rating of medium for the mobilizers as a collective group was further backed up by observation and interviews. It recognizes the already established capacity that the mobilizers have while also recognizing there is a need to further develop skills in particular areas.

Assessment of Community Mobilizers Functional Level Capacities

Functional Level Capacity	Criteria of Capacity[9]	Relative level
Capacity to engage stakeholders	• Identify, motivate and mobilize stakeholders; • Create partnerships and networks; • Promote engagement of community, civil society and government; • Manage large group processes and open dialogue; • Mediate divergent interests; • Establish collaborative participatory mechanisms.	Medium to high
Capacity to assess a situation and define a vision and mandate	• Access, gather and disaggregate data and information; • Analyze and synthesize data and information; • Articulate capacity assets and needs; • Translate information into a vision and/or a mandate.	Low to medium
Capacity to formulate policies and strategies	• Explore different perspectives; • Set objectives; • Develop strategies & plans; • Manage priority-setting mechanisms.	Medium
Capacity to budget, manage and implement	• Formulate, plan and manage projects and programs, including the capacity to prepare a budget and to estimate capacity development costs; • Manage human and financial resources and procurement; • Set indicators for monitoring and monitor progress.	Medium
Capacity to evaluate	• Measure results and collect feedback to adjust policies; • Codify lessons and promote learning; • Ensure accountability to all relevant stakeholders.	Low

Assessment of Community Mobilizers Specific Areas of Capacity as related to their work

Areas of already existing High Capacity

Specific Area of capacity	Comments	Follow-up
Overall understanding of the	Overall very strong, though a need	• Mentoring of the mobilizers to

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[9] based on functional capacity criteria as set out in Colville, J. (2008), *UNDP Capacity Assessment Practice Note*, UNDP, USA.

project – including values and objectives	to clarify people's explanation of the project to the community	develop a clear way to describe the project to the community
Working directly and engaging with stakeholders incl. facilitation, building relationships with the community and listening skills	Overall strong for the team across the board	• Continued need to monitor and support these areas.

Areas of Medium capacity

Area	Comments	Follow-up
Gender	People have an overall good understanding of gender and why it is important to incorporate into the project. They are overall making an effort to include it into their work, but this could be further increased, in regards to some of their own team relationships and particularly due to cultural barriers in the community	• That gender continues to be monitored and mainstreamed within all elements of the project • not a need for further specialized training at this point but this should be reassessed in the future

Team work	While overall the mobilizers work well together as a team, as well as have ranked themselves high in this area. There have been limitations so far in working with the technical team as one group. This is due to the technical team having just joined, mobilizers and technical team being on different contracts and this causing some tension, the layout of the office as well as formal coordination between the two has been limited. Some individual social mobilizers have also had issues in not working well together	• Need to follow up with specific activities such as
		  o opportunities for team building exercises during workshops/training and retreats.
		  o Informal team building exercises out of work hours such as a picnic or drinks after work.
		• Reassess general project set-up and how this factor can be further addressed such as
		  o formalizing team coordination processes (such as planning community meetings)
		  o reassess and clearly plan mobilizers working teams
		  o Address issues of team work in performance evaluations if need
		• Continue to monitor this issue
		(N.B some of these actions have started taking place and are already demonstrating positive results)

Participatory practice	The mobilizers have a medium level of understanding of participatory practice and why it is an important part of the project processes. They have already had training in this area, but due to limited monitoring, mentoring and guidance from the project post training the training impacts have been limited. In using participatory practice some are stronger then others.	• Increased Monitoring • Mentoring • Review and formalization of participatory steps and processes within the project • Possible further training in the future.
Community mobilization &	The mobilizers overall have a good natural understanding of this, but it could be	• Future community development/mobilization Training –

community development	strengthened, particularly going back to the basis of community development & community mobilization theory	possibly from UNTL community development department • continued mentoring • This be a special area of focus in the Community Mobilization Guide
Peace Building & Conflict Analysis	The mobilizers have had training in this area. Some have a low capacity others medium capacity. Many are finding this very challenging.	• Need for further training particularly regarding concepts of conflict, peace building theory and conflict analysis. • extensive follow-up mentoring. • Further incorporating conflict analysis into project working templates • Already there are signs of people resisting this topic due to it being so challenging, so a need to be slow at present and focus on mentoring, with further training in the future.

Networking	Some mobilizers have already demonstrated a medium to high ability to network and use this for the benefit of the project, others have not yet demonstrated this	• Incorporate this further into program structures by:
		  o Setting up, or the mobilizers begin attending regular meetings with the dialogue team, MSS, Ita nia Rai and other important forums
		  o Develop and formalizing networking elements within project steps – such as step 2,3 & 5 of the project flowchart
		• Further mentoring

Work plans	People have rated themselves strongly in this area, but from observation I believe their capacities are limited. From observation they are able to do weekly activity work plans well, but developing a long term work plan that takes into account a thorough analysis of different elements of the situation is at present limited.	• Training and mentoring in undergoing greater analysis in their work and putting this into a subsequent work plan • monitoring of work plans
Undergoing research and collecting data	Even though mobilizers rated themselves highly regarding research and data collection, their general work to date does not demonstrate this, including incomplete pre-project information gathered shown in their reports. Their understanding of communities is generally sufficient from their research and their ability to verbally pass on this information is good, their ability to analysis and use this data is limited, particularly using it into report format.	• Need to readdress project plans for research and data collection in the pre-project survey phase • Develop a pre-survey assessment pro-forma • Further training in methods and particularly analysis and use of data when they begin this step again in new communities

Areas of low capacity

Area	Comments	Follow-up
Proposal writing	All bar one person rated themselves very low in this, I have yet to see them write proposals,	• Proposal writing training particularly

	I think with a little training they will be able to do this fairly easily	related to the stabilization activity • follow-up mentoring
Understanding of administration and finance systems that have a connection with their work	This is particularly important to clarify in regards to systems for accessing funds that are currently at MSS, and budgeting for their proposals	• Develop a clear system with the finance officer & deputy project manager
Monitoring and Evaluation	An area of low capacity, very little understanding and low awareness, and very low standard of what is done, particularly reporting. Awareness raising will aid them to understanding that monitoring will allow them to report and communicate on their results. A high priority for capacity development and review of processes.	• Review and further develop projects M&E systems. • Training with support from UNDP M&E specialist • Follow up mentoring
Strength based approach & needs and asset based assessment[10]	Little to no understanding of this even though there was some training regarding this early on. This low understanding has been due to their being little to no follow up mentoring in these areas or integration into the project.	• Need for further specialized training and mentoring, • Increased integrating into the project
Managing diversity in the community	The mobilizers have rated themselves low in this area. At present there is some awareness of managing diversity and the ability to recognize vulnerable groups, but this is limited.	• Follow up with further monitoring & mentoring. • Possibly some training in the future
Analysis and using analysis tools	Overall the mobilizers as a team have medium to low capacity regarding ability to analyze, use analysis tools & use this analysis to impact on their work. Some analysis tools they have yet to receive training in. Some are stronger in this then others	• Further training in specialized analysis tools • Ongoing mentoring & support in incorporating analysis into work strategies and plans.
Using technology related to work	Overall people's computer skills, internet research skills and skills related to photography are limited	• Training in Excel, Word, Internet research & photography with follow-up mentoring. • Maybe include touch typing and filing to increase people's work efficiency
English	Mobilizers have an overall low level of capacity regarding this and have requested training	• Regular classes

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[10] A strengths based approach is a core approach within community development and community mobilization theory. Significant evidence has shown that by focusing on a communities or individuals strengths(as opposed to weaknesses) there is a greater chance for long term sustainable change. An asset based assessment(which also touches on a needs assessment) is a tool that comes under the strengths based approach that looks at the strengths and needs of the community and helps identifies gaps and ways to move forward. This is a potential useful tool for supporting communities identify priorities.

Annex D – Example Weekly Progress Report

Technical Team Activities Weekly Report
Arq. Andre Yoshimoto

Date: 12-19/02/10

Activities:
- Agreement Meeting in Delta Tres - concept agreed
- drawings for Delta Tres: sections and elevations - done; detail design for the warehouse - ongoing
- BOQ for Delta Tres - done
- detail design of the gates for Mundo Perdido – Done
- preparation of presentation material for Community Meeting in Duyung, including aerial photo and visual tools – done
- followed up with quotations for the power generator shelter
- coordination of works for installing the signboard in Manleuana Mauc
- prepared a draft for a new Community Agreement Contract
- scale model for presenting the new concept agreed in Rainain – done
- technical visit to Mundo Perdido (14.02, 18.02)
- working in detail design of water well for Duyung
- visit to Mr.XXX, director of DNSAS to follow up with the issue of future maintenance of infrastructures implemented by SERC - done
- quotations for a dumpy level – done
- UNDP Security Training - done

Remarks:
- the pictures taken at the Community Meeting in Duyung reveal that it is needed to establish basic parameters for taking this kind of pictures in order have proper documentation – following up

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Annex E –   Pre-Survey Assessment Format
SERC Project - MSS/UNDP

Aldeia **(if more then one list all, with the primary aldeia listed first):**			
Suco:			
Sub-district:			
Who has prepared this assessment		**Date**	

From this assessment can the project continue in this community?	
Yes	
No, why?	

DEMOGRAFIC INFORMATION ABOUT EACH ALDEIA (add boxes for more aldeias as needed)			
Aldeia:			
Total Population			
Total Men		**Total Women**	
The number of homes destroyed or damaged during the 2006 crisis			
The number of IDPs who have returned to this aldeia			
Aldeia (if more then one):			
Total Population			
Total Men		**Total Women**	
The number of homes destroyed or damaged during the 2006 crisis			
The number of IDPs who have returned to this aldeia			

STAKHOLDERS OUTSIDE OF THE COMMUNITY THAT MUST BE CONTACTED			
Position/ Organization	**Name**	**Contact**	**Information**

Dialogue team			•
IOM (if they work in the area)			•
NGO or other organization representatives that work or have worked in the community			•
Other			•

Documents that must be examined	
Document	**Information**
Provedor Reports	•
Information from MSS (IDPs, houses damaged etc)	•
Map	•
Other	•

Information about key stakeholders in the community (Do not contact them at this point, just collect information about them)			
Position (More then one person for each position can be included)	**Name**	**Contact**	**Information about this person**
Xefe de Suco			•
Xefe de Aldeia			•
Youth Leader			•
Women's representative			•
Gang Leader			•
Representative from the Church			•

Local leader			●
Local Leader			●
Other			●

The History of the Community What is the history from Indonesian times and 1999 till 2006, particularly about conflict that may have existed or occurred	●

History of conflict in the community from 2006 till now
 	
-What happened and why?
 	
  - East/West?
 	
  - Gang/Martial arts?
 	
  - other?
 	
-Who became IDPs?
 	
-Why did they become IDPs?
 	
- Where did IDPs go?
	●

If there were IDPs that returned to the community what was reintegration like? - What percent of IDPs returned on their own accord, who and why? - What percent of IDPs were reintegrated through the MSS reintegration process, who and what happened?	●

-If the Dialogue team was evolved in the reintegration process, give details (how many mediations, dialogues etc, about what and how did they go?) - Was there any issues or tension when IDPs were reintegrated? What were they and why?	
Are there Martial Arts or gang groups? Is there conflict or tension between them? If yes, between whom and why?	●
Is there conflict or tension about other issues? **What and Why?**	●
What has happened to address these conflicts and tension in the community? This may include information about other stakeholder initiatives like NGOs, the church government or the community itself.	●
What is the current situation in the community?	●
What do you identify that could cause or increase conflict and tension or divide the community?	
What do you identify that supports unity, connects the community and is positive in the community now?	●
What are the strategies for working in this community that takes into account your conflict analysis and other factors?	●

Annex F – Terms of Reference - Project Selection Technical Working Group

1. **Purpose**

   The purpose of the SERC Project Selection Technical Working Group (PSTWG) is as follows:

   - To provide a forum for regular **consultation between the SERC project and the Ministry of Social Solidarity**, in particular the Directorate for Social Assistance, on project implementation and achieved progress.
   - To provide a transparent mechanism for assessing and clearing community proposals in term of location and scope of proposed infrastructure;
   - To assess participatory approaches used by the project and discuss any needed adjustments due to change in context and/ or MSS policy;
   - To allow for feedback from other relevant government actors, according to the scope of specific projects, and in particular to facilitate the **sharing of information regarding any current government initiatives and policies, or future plans**, which may impact on the type, scope and location of proposed infrastructure projects.

2. **Background**

   As the process of national recovery from the events of 2006-2007 has advanced under the Government-led National Recovery Strategy *Hamutuk Hari'i Futuru,* the need for ongoing support to post-return communities has emerged as a critical area in consolidating the success achieved to date.

   As the returns, relocation and resettlement processes have progressed it has become clear that: a) some communities have seen damage to community infrastructure that is adversely affecting the delivery of basic services, which may be adversely affecting the sustainability of resettlement and; b) social resentment is evident, based on a perception that IDPs have been the principal beneficiaries of recovery programming to date.

   With these factors in mind, priority has been given by MSS and its partners (notably UNDP and IOM) to developing mechanisms and processes to meet basic infrastructure needs in the crisis-affected communities in order to encourage interactions in and among communities on issues of common benefit and to support government initiatives for alleviating difficult living conditions and potential triggers of conflict associated with the return of IDPs and the scarcity of services and poor infrastructure.

3. **Functions**

   The Project Selection Technical Working Group will achieve the following functions:

   Internally at Ministry of Social Solidarity

   - Agree and prioritise new locations for interventions, in line with conflict-prone sucos and aldeias already identified by MSS, UNDP and IOM monitoring work;
   - Endorse the type and scope of projects identified by communities through participatory planning processes, in these prioritized aldeias;
   - Review project implementation progress and discuss emerging challenges within the project.
   - Submit relevant recommendations to the Project Management Board, as applicable.

   Vis-a-vis other government actors

   - Provide the opportunity for government partners concerned by project proposals to highlight any overlap between proposed community infrastructure projects and government sectoral plans;
   - Ensure alignment of community infrastructures with relevant government policies;
   - Enable the specific inputs of sector-relevant government representatives on potential linkages and synergies between infrastructure projects and Government departments, both in the implementation and later in management and maintenance of projects post-completion.

4. **Chairing and Membership**

   Membership of the Project Selection Technical Working Group would include NDSA (Chair), Secretariat of State for Public Works (co-chair), CTA/ project Manager, Deputy Project Manager, project Engineer(s), Finance/ Procurement Associate, and representatives of relevant government bodies, as nominated by the relevant government departments. Relevance of different government bodies will vary with each meeting, given the type of potential projects.

5. **Frequency of Meetings and Secretariat Support**

Meetings of the working group shall be held on monthly basis as a minimum. Secretariat support will be provided by the SERC project, in the form of provisional agendas, invitation and any project information to be circulated at least one week in advance of any meeting. Minutes will be circulated for approval/amendment within the week following the PSTWG meeting.

Attachment 1 - Summary Sheets for SERC Project Infrastructure

To be attached.

Attachment 2 - SERC Projects List by Line Ministry

To be attached.

Attachment 3 - SERC Project Manual

To be attached.

Attachment 4 - SERC M&E Post-Assessment Survey Results and Analysis 2011 Final Report

To be attached.

Attachment 5 - Final Project Evaluation

To be attached.