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**PROJECT DOCUMENT**  
**UNDP Cambodia**

**Project Title:** Graduation-based Social Protection (GBSP) Project

**Project Number:** 118418

**Implementing Partner:** UNDP (DIM)<sup>1</sup>

**Start Date:** 24<sup>th</sup> December 2019 **End Date:** 30<sup>th</sup> November 2023

**PAC Meeting date:** 16<sup>th</sup> December 2019

Brief Description
<p>Cambodia has seen exceptional economic growth and poverty reduction over the past two decades. However, although millions have been lifted out of poverty, an increasingly hard to reach group of extreme poor remain. Due to their circumstances and characteristics, economic growth alone is unlikely to succeed in lifting these households out of poverty, and hence the eradication of poverty and hunger (as per SDGs 1 and 2) will be delayed. A further challenge is the large (non-poor) population subsisting just above the poverty line. Given the near absence of formal mechanisms of social protection, these people are highly vulnerable to income shocks.</p> <p>A policy consensus in Cambodia has emerged on the need to address these twin challenges. Since 2017, UNDP has been researching and promoting the concept of graduation-based social protection. These are programmes that transfer assets to the poor as opposed to cash alone, enabling households to boost their own incomes and secure a lasting exit from poverty, and hence also provide an effective <i>social protection floor</i>. Past UNDP research has included economic modelling studies, which showed these programmes could both reduce poverty and boost the wider economy. In the current year, UNDP is undertaking a fiscal assessment to test their affordability, as a component of the Government’s National Social Protection Policy Framework (NSPPF)<sup>2</sup>.</p> <p>This Project will conduct an experiment (a large-scale control trial) to validate past research findings and test field delivery of graduation-based programmes. The end goal is to enable the adoption of these programmes within the NSPPF and their scaling up nationwide, and in turn meeting the twin aims of eradicating extreme poverty and delivering an effective Social Protection Floor. <sup>3</sup></p>

**Contributing to Outcome (UNDAF/CPD):** By 2023, women and men in Cambodia in particular the marginalized and vulnerable, benefit from expanded opportunities for decent work and technological innovations; and participate in a growing, more productive and competitive economy, which is also fairer and sustainable.

**Indicative Output(s) with gender marker:** CPD output 1.1.: Extreme poor, disadvantaged populations, including PLHIV and people with disabilities (PwDs), have access to improved RGC social protection [Gen 2 – significant contribution to gender equality]

<b>Total resources required:</b>	US\$ 2,300,000	
	<b>UNDP TRAC:</b>	800,000
	<b>UNDP/ Russia TF :</b>	1,000,000
<b>Unfunded/ pipeline:</b>	500,000	

<sup>1</sup> Noting the RGC counterparts are the Department of Municipal, District, Commune and Sangkat Administrative Affairs -DMDCSAA (Ministry of Interior) and the Secretariat of the National Social Protection Council (Ministry of Economy and Finance).

<sup>2</sup> NSPPF includes ambitious proposals to establish basic social assistance systems. UNDP has pitched graduation approaches these were well-received.

<sup>3</sup> In addition to meeting SDG1 (poverty), SDG2 (nutrition), and SDG8 (decent work), these programmes have proved effective in reducing inequality (SDG 10) and promoting good health and wellbeing (SDG3).



UNDP Cambodia



Nick Beresford, Resident Representative

Date: 25.12.19

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## I. DEVELOPMENT CHALLENGE (1/4 PAGE – 2 PAGES RECOMMENDED)

### Development context

**Poverty incidence in Cambodia has fallen dramatically over the past decade**, from around 50% in 2007 to 13.5% in 2014 (the latest published data), and estimates suggest the rate has fallen further to below 10% in 2019 (as estimated by the Royal Government). Underpinning this has been ongoing strong economic growth, over 7% per year and high levels of labour market participation (89% of men and 80% women)<sup>4</sup>.

**However, (extreme)<sup>5</sup> poverty persists in remote areas, and at the same time, vulnerability (to poverty) has risen markedly. Cambodia is facing twin poverty challenges therefore.** First, in reaching the hard to reach poor, whose characteristics are atypical, and for whom high levels of growth alone are unlikely to be successful in lifting them out of poverty. Second, in securing the incomes of the growing proportion of the population subsisting above the poverty line by providing an effective *Social Protection Floor (SPF)*<sup>6</sup>. There is a growing consensus among practitioners and researchers in Cambodia, that innovative social protection measures are required to address these issues.

**Cambodia's extreme poor typically live in remote, marginal areas and are engaged in subsistence agricultural activities.** They satisfy their own consumption needs and sell small surpluses into local markets. These smallholder farms are overly diversified across several crop types, and farming techniques are basic, making the inputs limited. **Productivity and incomes remain low, and these poor farmers have few opportunities to access Cambodia's growing markets.** Indeed, while demand from Cambodia's booming towns and cities continues to grow, it is being met by imports and by large commercial farms. The key challenge faced by poor farmers is a set of biting constraints – of high risks and risk aversion, and very restricted access to finance. These single family-farmers have no ability or appetite to invest as the risk of failure can be catastrophic, and affordable lines of credit are not available to them. Consequently, they are locked in a classic *poverty trap*, and these constraints can be still more significant for female-headed and ethnic minority households.

These single family farms, comprising two parents and children, often lack skills and awareness of how best to combine the labour of men and women to maximize production. Gender norms and sorted roles can also serve to limit output. Additionally, gendered roles within the household and gender condition behaviours can have implications for the distribution of resources - and knock on effects on wider deprivations.

**Expanded social protection offers a solution, but introduction of cash transfers alone, although relieving poverty directly, would not resolve the underlying constraints, since extreme poor households are likely (inevitably) to wholly devote any new income to consumption.** The poverty trap would remain unchanged and equally, some of the gains of cash transfers would be dissipated by higher prices due to supply constraints. Thus, the key to lasting success is enabling beneficiaries, though building capital (physical and/ or human), to sustainably promote their own livelihood opportunities. For those who can work, asset transfers are one such solution.

**Widespread vulnerability is a further real challenge, as large numbers of formerly poor people find themselves subsisting just above the poverty line.** Cambodia's current level of social protection provision is insufficient, and it lacks measures to deliver basic income security. There is no effective SPF and a large population share is vulnerable to any form of income shock. According to the Asian

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<sup>4</sup> From CSES data, various years.

<sup>5</sup> Characterized by subsistence level and livelihood options, and the remote and marginal areas they live.

<sup>6</sup> As defined by the UN – the *Social Protection Floor* offers a universal basic guaranteed livelihood for those falling into/ at risk of severe deprivation. It consists of several programmes – social insurance and social assistance based, as defined by national authorities, and appropriate to national conditions. See ILO website: <https://www.ilo.org/secsoc/areas-of-work/policy-development-and-applied-research/social-protection-floor/lang--en/index.htm>

Development Bank, only 2% of households in the poorest quintile have access to some form of social safety net. In comparison, coverage for the lowest quintile in East Asian countries is estimated to 53%, and this reaches 49% of all households on average across all developing countries. The ADB Social Protection Index (SPI) ranked Cambodia close to the bottom in Asia and the Pacific (34th out of 35 countries). Cambodia's actual spending on social protection per intended beneficiary represents just 2% of the expenditure threshold needed to allow the coverage of the extreme poor.

### **Graduation-based models and untapped potentials in Cambodia's rural areas**

**Graduation Models combine cash transfers with the allocation of productive assets, to build investment in human and physical capital, thus offer a powerful means of durably improving livelihoods.** The experience of many countries has shown their potential to address the root causes of poverty faced by working-age, able-bodied households. These packages of interventions, although costlier in the short term, are proven to improve resilience and effectively unlock poverty traps.<sup>7</sup>

In turn, Cambodia's agricultural sector has shown itself to be a robust driver of inclusive growth and has a significant potential to lift rural households out of poverty. Between 2004 and 2012, the Cambodian agricultural sector has experienced a major structural transformation. Cambodia's rapid fall in poverty rates since 2004 is due mainly to sustained rural development, in a country where about 90% of the poor live in the countryside. New economic opportunities and increases in rural wages therefore allowed economic growth to translate into improved livelihoods and poverty reduction.<sup>8</sup>

For smallholder farmers at the bottom of the income distribution, implementing measures that strengthen their productive activities is key to supporting long term income generation. Vulnerability is also higher in smaller farms, which have typically lower capital intensity, lower productivity, are crop over-diversified and rely on more traditional technologies.

### **Graduation programmes offer a win-win for poor households and the wider economy**

**UNDP's analytical research aimed to examine what impacts could be expected if such interventions were implemented nationwide in Cambodia, specifically examining the benefits compared to using cash transfers alone for the target group (extreme poor able-bodied households).** UNDP's interest was heightened by the specificities of the Cambodia's agricultural economy and the role it played in poverty reduction over the last two decades<sup>9</sup>. It also looked at complementarities at the local level accruing from other poverty interventions, such as rural development policies, and if providing training alongside assets offers advantages.

The research was analytically innovative in three respects. First, it married micro to macro level tools to examine impacts on the livelihoods of the extreme poor; second, it built (for the first time) a Social Accounting Matrix (SAM) for the Cambodian economy depicting the flows of incomes and expenditures and distributional outcomes; and third it used a Computable General Equilibrium (CGE) Model to test different scenarios. The study modelled adoption of a national graduation programme for 1 million extreme poor in Cambodia, versus cash transfers of the same value (i.e. adopting a *counterfactual approach*). Both were specified as being funded from external (ODA) resources, to make the impacts clear. A number of options were looked at and specified as scenarios – scenario 1 being a wholly cash-based transfer scheme, and scenarios 2 through 6, being different configurations of graduation-based programmes.

**The results depicted in the chart below were very encouraging for graduation approaches.** While the poverty reaction impacts were higher for cash transfers in the first year (a 15% versus 13% reduction on the base), the GDP effects were markedly higher in all graduation options (around a 15%

<sup>7</sup> See Banerjee et al (2015).

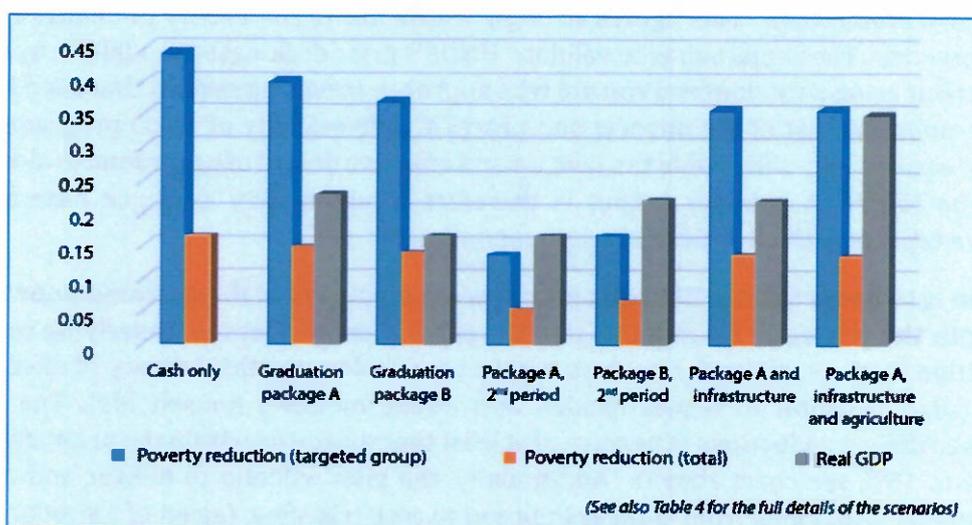
<sup>8</sup> According to the World Bank's Cambodia Economic Update (2015) and Asian Development Bank (2012), agricultural growth explains most of the poverty reduction in Cambodia over the past decade.

<sup>9</sup> UNDP's 2018 research examined if transfers of productive assets to the rural poor would enable their inclusion in markets, helping them generate incomes and escape poverty, but also, if these transfers could help promote the local/ national economy – see: <http://www.kh.undp.org/content/cambodia/en/home/library/poverty/Socialprotectionreport.html>

to 20% increase on the base), and the poverty reduction gap was closed after a further year, given the income effects of graduation were ongoing and not reliant on continued transfers (a further fall of 5% on the base). Moreover, the researchers found that combining graduation packages with agricultural growth and/or local economic development policies would potentially provide a further powerful driver for growth and help sustain development and poverty reduction. These simulation results offer a strong basis for the proposed pilot, which aims to test these outcomes in the real-world context.

The adoption of graduation-based programmes at national level is also likely to yield additional economic benefits beyond those we have modelled. These relate to the effective provision of a Social Protection Floor, that graduation programmes would provide, as an essential part of the wider reforms given within the Government's NSPPF. This would work to build confidence of the non-poor population and lower the level of risk aversion. Both economic theory and studies have shown that aggregate reductions in risk perceptions are associated with improved entrepreneurship and increased levels of investment. These effects are particularly significant for groups at the lower end of the income distribution, given they face the highest risk burdens. The effective guarantee of an income floor could therefore have a wider - and hence structural - impact on productivity within the wider economy.

***Summary results from UNDP modelling of social protection options***



Source: UNDP (2018), page 46; Note scale refers to percentage change at national level.

**International experience generally confirms the positive effects of these programmes - especially with regard to the household livelihood gains and poverty reduction** (see for example: BRAC, 2017<sup>10</sup>; and Hashemi and Umaraia, 2011). The more solid empirical evidence draws extensively on the Bangladeshi experience (where BRAC<sup>11</sup> is based), with the average improvement in incomes reaching some 30-40%, alongside growth in household assets/ savings. Macroeconomic gains have been claimed but only weakly empirically demonstrated, usually by way of modelling approaches (see Alderman and Yemstov's 2012 review for the World Bank<sup>12</sup>). Indeed, Levy's 2017 study for UNDP, referred to above (and in the chart) stands within this literature. The control trial proposed by the project is noteworthy as it proposes a field test of these economic effects, via a local (community level) output survey (using subnational GDP estimation techniques). This could also therefore make a major contribution to the global evidence base.

**Several international studies while recognizing the value of graduation programmes, raise the importance of their positioning, content and institutional/ strategic management.** Devereux and others argue that these programmes graduation interventions to be fully effective, should be situated

<sup>10</sup> Available at: <https://www.un.org/development/desa/dspd/wp-content/uploads/sites/22/2017/04/Lamia-Rashid-BRAC-Ultrapoor-Graduation-Paper-for-UN-Expert-Group-Meeting-May-2017-25Apr17.pdf>

<sup>11</sup> Various: the Bangladesh Rural Advancement Committee, Bangladesh Rehabilitation Assistance Committee and Building Resource across Communities; a now international NGO-based in the Bangladeshi capital Dhaka.

<sup>12</sup> See World Bank Working Paper Series (2012/ 1203) at: <http://siteresources.worldbank.org/SOCIALPROTECTION/Resources/SP-Discussion-papers/430578-1331508552354/1203.pdf>

within and informed by national social protection frameworks. This project therefore seeks to work with Cambodia's National Social Protection Council (NSPC) (Ministry of Economy and Finance), at the policy level, and the Department of Municipal, District, Commune and Sangkat Administrative Affairs (DMDCSAA) (within the Ministry of the Interior) at the delivery level.

Within the same bulletin, Michael Sampson makes the case for wider and more developmental graduation packages, including the provision of **behavioural change communications (BCC) inputs (mentoring, coaching advising on life/ business skills and household practices) and gender roles (especially distribution of work, which can boost programme effectiveness)**. This project takes these global insights on board in the design of the pilot and envisages BCC would be delivered by local teams.

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## II. STRATEGY (1/2 PAGE - 3 PAGES RECOMMENDED)

**The overarching goal of the project is to inform (and influence) national policy choices, in the context of NSPPF implementation, and specifically provide a case for the adoption of graduation-based approaches within Cambodia.** This is to further national medium-term development aims set out in the Royal Government's Rectangular Strategy Phase IV (RS IV), and in the longer term, the targets given in the CSDG Framework. This figures strongly within the of the Theory of Change (ToC) set out in the next subsection. The project aims to validate UNDP's prior desk-based modelling by undertaking a large experiment using a randomized control trial approach (covering several thousand households), to provide an empirical test of the impacts and practical deliverability of these programmes (versus counterfactual cases). This will enable the take up and effective design of programmes alongside other elements of the NSPPF. A primary output is therefore a high-quality evidence base and a set of comprehensive reports with clear policy recommendations<sup>13</sup>.

**A primary aim is to boost the livelihoods and reduce the poverty of the extreme poor households participating in the project.** This requires that the experiment tackles the underlying constraints on livelihoods within these areas faced by extreme poor households, and the delivery of effective support (paying particular attention to female-headed and ethnic minority households). The project will therefore seek to deliver reductions in poverty of at least that suggested within the prior analytical work (at around 14 to 15% see chart above). Additionally, the pilot will aim to deliver and measure, the economy wide-effects accruing from asset as opposed to cash transfers, (again of a similar level to that seen in the modelling work – taking account of the effects on local output, prices and in/ out trade).

**The project would separately provide an operational case, testing and documenting delivery lessons, operational weaknesses, including the potential for mal-administration<sup>14</sup>.** Again, this forms part of the Theory of Change, and the experiment also allows for learning and modification during its delivery. It should also enable design modifications and other changes to be made, ultimately to enable the transfer of the project to Government, its subsequently its scaling-up. As such, it is vital that national management be embedded within the key RGC partners – the Department of Municipal, District, Commune and Sangkat Administrative Affairs (DMDCSAA) within the Ministry of the Interior (MOI), and the National Social Protection Council (NSPC) within the Ministry of Economy and Finance (MEF). Delivery would also be undertaken at local level and must at least be coordinated with the respective local governments, noting a more proactive relationship would be preferred with co-delivery (and governed by a joint oversight body). This is especially the case during the follow-on round, when Government management and engagement in delivery should be stepped up. It is also important to note that a number of future delivery options present themselves, ranging from direct public provision to others that involve partnerships with NGOs/ CSOs, with Government resourcing and oversight.

The project's outputs (and components) focus on successful delivery of the experiment (provision of a high-quality evidence base) to influence policy choices. **Key parameters are set out below, and**

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<sup>13</sup> These are articulated within the project's *Theory of Change*, see page 7.

<sup>14</sup> Referring to corruption, graft, financial losses and misuse of administrative powers.

activities are discussed in more detail in the following section. It is also important to note that final modalities will be adjusted in the light of consultations with partners, and set-up works during the first component (again see next section). This is particularly pertinent for operational delivery activities, where partners (other UN agencies, private sector deliverers and NGOs) would be engaged and/ or contracted.

- **Delivery would take place in several villages at 2 separate rural (commune) locations, in the Battambang, Kampong Chhnang and Preah Vihear provinces (selected on the grounds of poverty incidence).** Noting these have been selected on the basis of need and as typifying average rural localities. Village selection would be statistically stratified, yet also would: (1) offer real potentials for success, providing average village conditions; and (2) avoid areas where large numbers of donor-funded and NGO programmes are/ were present to prevent interference/ contamination of results. It is also noted that the follow-on round (of an additional 800 households) may be re-located to a province with different characteristics, for example in the coastal zone (dependent on Government partners' viewpoints and project budget).
- **Target participants will be the rural extreme poor but identified using the national poverty listing ID Poor programme (administered by MOP).** Selection would focus on the ID Poor 1 category households (the poorest) with basic labour capacity (at least one able bodied household member). Potentially, selection methods may also use additional characteristics to deliver greater accuracy/ fit with poverty as defined in the primary statistical survey (the CSES). This also requires some consideration of the conditions faced by landless households and where there are labour capacity constraints, and the need to provide relevant assets (e.g. livestock models for the landless).
- **An RCT approach will be adopted with three arms:** (a) a *graduation treatment group*, receiving a standard package - assets, training and a small cash transfer; (b) an *equivalent cash transfer treatment group* receiving an equivalent cash payment paid monthly; and (c) a *control group*, representing nil intervention for 12 months. A randomized approach would be adhered to as far as possible, but recognizing ethical and operational constraints, a key issue being the need to incentivize cooperation of the nil group. Noting this might be delivered by agreeing without any commitment that some of the nil group households may be made eligible for the follow-on round (see below) or other interventions (within wider UNDP projects). Additionally, there are operational challenges associated with social cohesion relations, driven by possible tensions between participants and non-participants, and treatment versus control group members. In the light of these, it is likely that: (1) extensive consultation will be required at localities; (2) maximum transparency should be observed within selection processes; and (3) the 3 RCT arms would be undertaken at different locations.
- **Graduation participants would have a choice of agricultural assets, given by a preselected menu of bundles (again see next section).** Efforts would be made to ensure full participant ownership of assets – fitting the final menu of assets to the needs of participants (including landless, female-headed households and labour capacity), and by proactively engaging them in asset selection (at quasi-markets, and the use of vouchers). Experience elsewhere favours livestock over equipment assets, yet the Cambodian context, implies a wider set of choices is appropriate, including arable assets (seeds), hand tools and basic irrigation equipment; and this might be further expanded and flexed. Participant asset choices would be facilitated by project staff, but selection would take place by participants themselves. Livestock present several management issues that require specialized technical oversight.
- **Asset transfers would also be complemented by initial and follow up (basic agricultural) training, plus access to technical assistance (TA) from a contracted provider, plus mentoring and follow-up by local project staff.** Training (relevant to the asset group) would be provided prior to asset allocation. Inputs would also include *behaviour change communications* (BCC) to improve: family nutrition, sanitary standards (including referencing husbandry of livestock) and welfare and seek to foster entrepreneurship and basic business skills. The provider would also offer TA to the expert group and may require a nominated agricultural adviser to be added to that

group<sup>15</sup>. It is underlined that training inputs (agricultural and BCC) would have to be tailored to the participant groups, recognizing potentially low level of literacy, risk aversion and constrained time horizons).

- **Graduation and cash transfer (i.e. all treatment) participants will be offered financial inclusion training, and access to electronic banking facilities.** The package would include a basic 2G mobile phone, and cash transfers will also be paid to participants electronically, also providing them with a bank account. Noting that although initial proposals specified a 3G phone, cost restrictions and advice from stakeholders meant this was scaled back. The project will therefore separately explore if and how, it might develop a mobile application to serve as a platform for the trading of farm produce (for those households which already have their own 3G phones, and potentially also via banking agents).
- **Base, mid and two end-line surveys would be undertaken to compare household incomes and consumption.** These would be based on the standard CSES questionnaire, but data would also include household savings and investment behaviours, and in turn the impact on poverty levels<sup>16</sup>. An end-line survey would take place a year after, and a further one 2 years, after the end of the experiment to pick-up longer term effects. These would supplement regular M&E visits.
- **This would be complimented by an economywide survey to gauge the aggregate effects on the supply responses, prices, out and in trade, and gross (local) output.** This would draw on methods developed by NIS and be based on aggregated data from households, and inferring additional meso level data on provinces, outputs etc.
- **Separate to the RCT experiment, a follow-on elective 12 month asset package would be provided to a different group of households.** While based on the original experimental round, this would allow for the graduation scheme to be honed and operational improvements to be made and allow for the specific examination of climate related risks. Participants within the nil group may be eligible but this not be guaranteed under any circumstances; precise terms of eligibility would be decided after completion of the trial. There would be a at least a six month gap on the RCT. This is vital to maintain the integrity of the randomized approach and avoid contamination of the trial. It is also possible that this follow-on round might be re-located to a province a of different character of the RCT areas (this will be for Government to determine).

The underlying hypothesis being tested is that (localized) market failures (risk aversion, household time preferences, and capital constraints) impact farmer behaviours, constrain investment and limit incomes; and that graduation packages can relieve these constraints, and this boosts incomes and reduces poverty.

Effective management and technical staffing will be a key to success. It is planned that 6 full-time staff be recruited: (or sourced from contacting parties): a national project manager and an assistant based in Phnom Penh; and 2 senior technical staff plus 2 assistants in the two locations (local staff would also provide mentoring, BCC inputs, and community mobilization).

The project would also retain high level technical capacity in the form of an expert team chaired by the UNDP Country Economist, to advise the project, assist the oversight function, and carry out analytical work, notably final reporting and policy recommendations (under component 3, see below). Expertise will include a high calibre economist/statistician, and social protection operations expert, and additionally would access TA on agricultural best practice<sup>17</sup>. It is also underlined that staff posts and expert TA may be supplemented or replaced by contacting arrangements with qualified private sector and or NGO providers.

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<sup>15</sup> This might also be dealt with by inviting partner organizations to support the expert group e.g. the FAO or an agricultural NGO.

<sup>16</sup> This would be based on the CSES (LSMS) questionnaire, allowing calculation of household effects.

<sup>17</sup> The Social Protection Operations specialist would be expected to assist with programme set up, but also to assist local staff in mentoring and community mobilization efforts.

**Throughout implementation, the pilot will seek to make connections and engage with RGC agencies at national and local levels (see the partnerships sub-section below), and with national/ local NGOs and the private sector.** This is to ensure consultation and engagement, effective delivery and advocacy for the graduation approach, and to build local social capital. Partnering with RGC and national/ local NGOs agencies is crucial in developing lessons learnt and knowledge to enable the (desired) transfer to the Government and national scaling-up. It is envisaged that the national team will be placed within one of the two national partners (DMDCSAA or the NSPC), and local teams would be placed with local governments (most likely at district level) and the potential establishment of local management and/or oversight committees. It is also important that the capacity of local government officials is built during the process of implementation. Noting also that a number of possible future models for delivery exist, ranging from direct delivery by the state, or outsourced private or independent sector provision. Developing links to the local private sector is also essential if the gains in livelihoods accruing from asset ownership are to be realized.

**Although not a primary objective of the pilot, women's economic empowerment is built in at various stages of the design and delivery.** Notably by: specifying a set of asset choices to ensure that female-headed households and women generally, are able to fully participate (making best use of household labour resources); requiring that BCC inputs, delivered by field staff and contractors, include advice and mentoring which is gender responsive; and by making all cash transfer payments to the most senior female within households. The base and end line surveys will also seek to capture gender differences where possible.

**In laying the ground work for this Project, UNDP scoped the use of graduation models and interventions in Cambodia in the recent past.** Few substantive examples were found, but the most similar, significant and relevant activities were:

- The Food and Agriculture Organization's (FAO) *Local Farmers Markets Initiative* carried-out during 2014-15; through which some 9 markets were held for smallholder farmers in locations throughout Cambodia offering participants subsidized assets (with over 90 line items) to boost their productivity. Noting that this was not linked to a social protection package, was not restricted to the poor/ extreme poor, and assets alone were transferred. This does however, offer a model that also might be employed within the experiment, with assets chosen by participants within a quasi-market (potentially with non-cash redeemable vouchers).
- Secondly, World Vision International (WVI) have trialled elements of what might be considered graduation packages within their existing rural development projects. More significantly, they have developed proposals to roll-out a graduation intervention formulated with BRAC, which includes many of the features set out in this project.

These project proposals have been informed by extensive discussions with FAO, UNCDF and WVI, and we would seek to establish an ongoing relationship on technical issues with the UN agencies, and where possible with WVI and other NGOs on delivery (as partners or contractors).

***Theory of change: Using the field experiment to build a solid policy and public investment case***

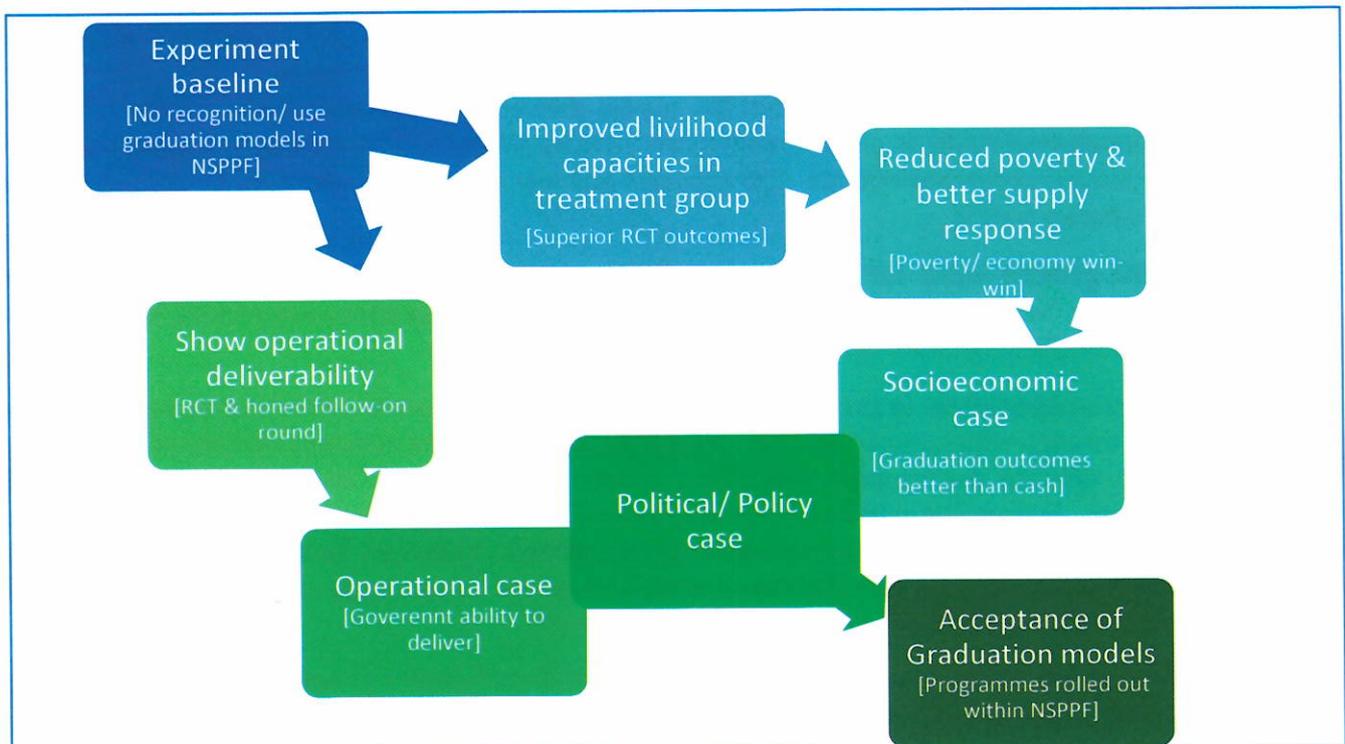
**In line with the discussion above, the project's underpinning *Theory of Change* (ToC) is predicated on providing high quality evidence to build a solid policy and public investment case for graduation-based models; and facilitates the adoption of these programmes as an integral part of the NSPPF.** As such, the ToC has two channels of causation, one routed in the core socio-economic gains (targeted on replicating the findings of the prior modelling study), and a second rooted in an operational case, showing that these programmes are applicable and deliverable in the Cambodian context (see chart below).

The first is given by the poverty reduction and household livelihood improvements, and the local economy (supply-response and output) impacts. The second is provision of a fully working delivery model, which for the target households is superior and more cost effective than alternative (notably cash transfer programmes). This allows for two pathways – depicted in the chart below.

It is recognized also however, that there is a need to establish a political rationale within the evidential case – again see below – to deliver support within official circles and gain acceptance of graduation’s integral role within NSPPF reforms. This is essential as graduation models touch on a number of sensitive topic areas: the need for effective targeting; a focus on the usually less-prioritized adult stage of the life cycle (i.e. families with labour capacity); and acceptance of a poverty-based Social Protection Floor.

The ToC (see chart) begins from the roll-out of the experiment as described above and below; shows the two causal channels; their coming together to provide prima facie evidence for the policy and investment case; and the end objective of securing adoption within the NSPPF and progressive nationwide roll-out. The starting and end positions are respectively: a situation without formal recognition of the value of graduation based social protection; versus their adoption as a distinct component of the NSPPF.

Schematic of Theory of Change



Key assumptions, at the various stages include:

- At the **starting point**, that UNDP is able to secure sufficient resources and build consensus within donor circles on the value/ role of graduation-based programmes. Second, Government endorses the project and commits to its aims and value of the prospective evidence base. This is now in place, but the project envisages a relationship with two RGC counterparts: DMDCSAA (within MOI) on the operational side, and the NSPC (within MEF) on the policy side, and this requires development of an effective division of roles and responsibilities.
- Within **the socioeconomic branch**, that the economy remains sufficiently buoyant to enable the experiment to succeed; and that it is analytically possible to vouch the economy-wide gains.
- Within **the operational branch**, that it is possible to recruit the full complement of participants in each of the arms of the experiment, and to implement the Randomized Control Trial methods, while also overcoming any ethical and community relations.
- And that it is possible to build durable capacity at local levels, and social capital to ensure success of the RCT. This will require structures and innovations to better matrix delivery to government operations.
- At the **end case**, that Government adopts an evidence-based posture and that political economy constraints can be managed; specifically, also, that sufficient fiscal space can be deployed to enable adoption.

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### III. RESULTS AND PARTNERSHIPS (1.5 - 5 PAGES RECOMMENDED)

#### A. EXPECTED RESULTS AND KEY ACTIVITIES

For the period 2019 to 2022, the project will have 4 principal components:

- (1) **Set-up and roll-out of the pilot**, preparation of analytical instruments and institutional arrangements;
- (2) **Delivery of the pilot to several thousand households** at 2 localities (several villages within 2 specified rural/remote districts)<sup>18</sup>;
- (3) **Delivery of a follow-on asset package** (to separate group of households) informed by the initial round;
- (4) **Review and reporting** including analysis and building a policy case.

These correspond to the outputs listed below and in the budget in the final section. In total, the project is budgeted at USD 2.3 million, resourced by UNDP (US\$800,000) and to be mobilized from donor funds (US\$ 500,000) and the RTF funds of USD 1 million (see budget at section VI below).

As shown in the chart below, the project will begin in December 2019 and end at the close in November 2023, a four year period. The chart shows the composition of activities: set up and roll out; delivery of the trial (for 3 groups: the 2 treatments - those receiving assets, and those pure cash transfers, and the nil control); the follow-on package (outside the trial), to hone the approach; and a reporting phase. This an extension on the draft submission to allow for separation of the follow-on round and longer term monitoring of the impacts.

It is also useful to note the 4 household survey points: base line prior to beginning of the RCT; the mid line at the end of the RCT; the first end line, some 9 months after te RCT; and the second End line some 2 years after the RCT. These end lines also serve as baselines for the follow-on trial. The project also includes 2 local economy surveys – close to the household baseline and first end-line.

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<sup>18</sup> Specific provinces/districts will be identified in component 1.

***Proposed Timeline***

No.	Month (& 4 household <u>survey points</u> )	(1) Set-up & roll-out (months)	(2) Control trial (months)			(3) Follow-on asset group	(4) Review, analysis & reporting
			Asset treatment group <sup>19</sup>	Cash treatment group	Nil control group		
1.	December 2019	1					
2.	January 2020	2					
3.	February 2020	3					
4.	March 2020	4					
5.	April 2020	5					
6.	May 2020	6					
7.	June 2020	7					
8.	July 2020	8					
9.	August 2020	9					
10.	<u>September 2020 Base-line</u>		1		1		
11.	October 2020		2	1	2		
12.	November 2020		3	2	3		
13.	December 2020		4	3	4		
14.	January 2021		5	4	5		
15.	February 2021		6	5	6		
16.	March 2021		7	6	7		
17.	April 2021		8	7	8		
18.	May 2021		9	8	9		
19.	June 2021		10	9	10		
20.	July 2021		11	10	11		
21.	August 2021		12	11	12		
22.	<u>September 2021 Mid-line</u>		13	12			
23.	October 2021		14				
24.	November 2021		15				1
25.	December 2021						2
26.	January 2022						3
27.	February 2022						4
28.	March 2022						5
29.	April 2022						6
30.	May 2022						7
31.	<u>June 2022 1<sup>st</sup> End-line</u>					1	
32.	July 2022					2	
33.	August 2022					3	
34.	September 2022					4	
35.	October 2022					5	
36.	November 2022					6	
37.	December 2022					7	
38.	January 2023					8	
39.	February 2023					9	
40.	March 2023					10	
41.	April 2023					11	
42.	May 2023					12	
43.	June 2023					13	
44.	July 2023					14	
45.	August 2023					15	9
46.	<u>Sept 2023 2<sup>nd</sup> End-line</u>						10
47.	October 2023						11
48.	November 2023						12

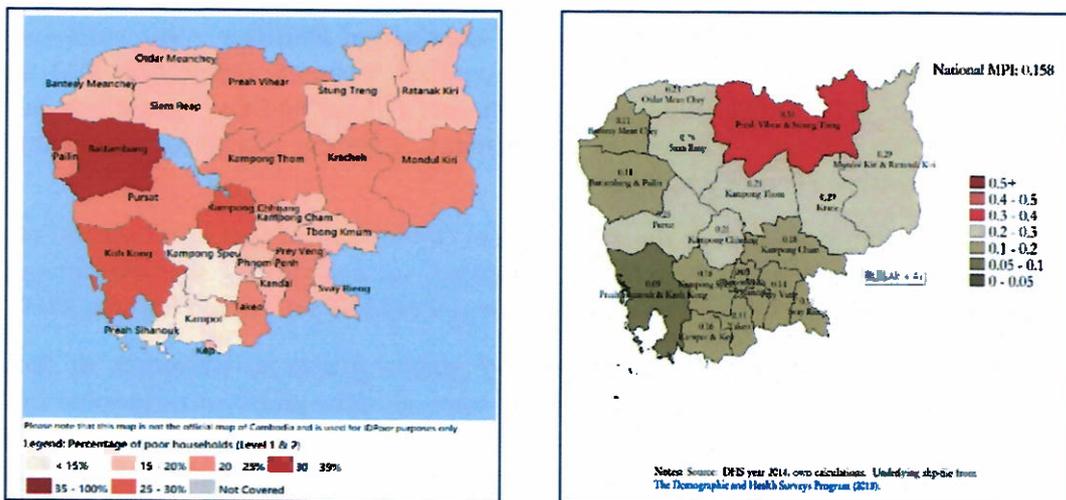
<sup>19</sup> Includes a three month phase in/ phase out period for asset recipients.



**Component 1: Institutional and management arrangements, and analytical tools are in place to deliver a graduation-based social protection pilot (which is nationally affordable and capable of being scaled-up).** This component, timed to take place over the last month of 2019 and the first 7 months of 2020, would operationalize the proposals given in this document. The 4 specified activities (see below), would enable the project to move to the roll-out stage, and establish analytics, key partnerships and core design features, but also select the localities, and the 2,400 household participants.

- **Activity 1.1: Finalization of the RCT and scheme design, and selection of localities** - made up of village selection, participant selection methods and rules; and design of analytics, base, mid and end-line questionnaires and the local economy-wide study. Supplemented by codification of these arrangements, this would be undertaken by an expert team, specifically, the retained economist/statistician and the social protection operations specialist (see appendix within Section XI below).
- Additional details are provided below, and further work would be required, but selection of locations would take place within two or three rural provinces which score highly poverty indices (both ID poor and the MPI). Additionally, we would seek to select localities, which at least have the basis of agricultural expansion and are untainted by extensive development activities. In the light of this, and referring to the charts below, Battambang, Kampong Chhnang and Preah Vihear provinces are selected.
- It is also emphasised that locality and participant selection will need to be handled sensitively, avoiding tensions between participants and non-participants. This calls for selection of villages with a high proportion of poor and building effective community relations. The maintenance of social cohesion is also likely to require a high level of prior consultation and transparency regarding key processes.
- Final locality selection will be supplemented by an environmental assessment of the localities and the likely impact of assets to be deployed. This will inform later delivery activities, including follow up as at the end of the RCT.

Poverty Maps for Cambodia: ID (income) Poor and Multi-dimensional Poverty



Sources: ID poor, MoP; MPI, OPHI (2017)

- **Activity 1.2: Complete the design of pilot instruments and operating arrangements** - including cash transfer values, asset choices and menus; and drafting of project manuals, standing orders and financial regulations. This would be undertaken by the expert team, specifically, the social protection operations specialist and consultant economist/ statistician (this activity also includes their selection and retention). Based on initial research and consultations with partners a set of eight asset packages has been established (see discussion under component two below, page 12). The asset and cash packages, and support, would have an equivalent financial value of USD 480



per year<sup>20</sup>.

- **Activity 1.3: Set-up of management arrangements and institutional structures** - at national and local levels, including the phased appointment of six staff, and set up of management support from the UNDP Country Office, and oversight arrangements. The pilot will seek a strong partnership with Government and other actors, with a view to the end goal of nationalization and scale-up of graduation-based programmes.
- UNDP is seeking endorsement of the Department of Municipal, District, Commune and Sangkat Administrative Affairs (within the Ministry of Interior) and the Secretariat of the National Social Protection Council, the unit within the Ministry of Economy and Finance, which is responsible for roll-out of the NSPPF. Efforts will be made to link local delivery arrangements to local government administrations, build staff capacities and engage local authorities in oversight/ governance of delivery (especially during the follow-on round). The project will develop Memoranda of Understanding with all key RGC parties. It is also recognized that these partners may require capacity building, and parallel efforts will be made to address this, within other projects/ interventions.
- Staffing arrangements are discussed in more detail below, but the structure includes a national management team based in Phnom Penh, and provisionally within the Ministry of Economy and finance and two delivery teams within the two selected localities. Appropriate office and transport arrangements would be needed in these locations. TORs for the key posts (the national manager and locality managers) are attached as Annex 5 (b).
- **Activity 1.4: Design of the local area economic survey** – being the design of a local area estimation procedure for aggregate output (local GDP), and to specifically to gauge local supply responses and price levels (in response to the RCT). This would serve as a counterpart estimate the gain depicted in the modelling study. UNDP will seek to tap into the local GDP estimation exercise currently being undertaken by the National Institute of Statistics (NIS) within the Ministry of Planning (MoP). Discussions are currently ongoing and will be prioritized by the expert group (specifically the retained economist/ statistician).
- **Activity 1.5: Design and contracting/ set-up of specialized facilities** – this includes arranging contracts (under RFP modalities) for the training and technical assistance (TA) facility, the financial inclusion (FI) facility (likely 2 contracts: participant banking, and electronic/ mobile payments; and FI training)<sup>21</sup>. Elements of participant behaviour change communications (BCC) will be included within FI and TA contracts<sup>22</sup>.
- Additionally, this line would cover the appointment (under Long-Term Agreements) of an expert team, chaired by the Country Economist, including: an economist/ statistician and a social protection operations specialist. Tendering for these would be prioritized for late 2019.
- **Activity 1.6: Selection of (2,400) treatment and control group participants, at the specified locations** - to enable allocation to three arms, and start-up of the pilot (in Component 2). This final activity within the set-up stage, builds on Activity 1.1 above to provide a pool of extreme poor participants within the pilot. Selection would be based primarily on poverty status (as defined by the RGC's ID poor Category 1) augmented if/ where necessary with additional screening procedures<sup>23</sup>; noting also that households would have to meet basic labour capacity requirements (but this may vary based on the selected asset class).

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<sup>20</sup> Noting the cash and asset value of the graduation group is USD 360 (asset of USD 240 and cash of USD 120) a year, whereas the cash group would receive USD 480, the difference is a USD 10 addition to reflect the cost of training and other supports.

<sup>21</sup> Two providers are likely to be required: discussions have taken place with Wing and WVI.

<sup>22</sup> Behavior Change Communications training – basic household skills (health, sanitation, nutrition and budget skills).

<sup>23</sup> Informed by analyses which suggest that the ID poor system faces identification problems at certain localities, further screening may be necessary to identify extreme poor participants. UNDP continues to research this and will present separate proposals.

**Component 2: Delivery of a graduation-based pilot social protection programme** to 2,400 poor household participants (with three arms comprising 800 households each), with randomized allocation (hence, delivering clear results on livelihood and poverty impacts). This is the most substantive component and would run for 15 months from August 2020 to October 2021 (see timeline above) of the project period. It is comprised of three arms: an asset treatment group; cash recipients' treatment; and a nil intervention control group. All three groups would be run consecutively to provide a *with/without* 12-month counterfactual (again see above). A (separate and distinct) follow-on group to support the operational case would run on for a further 12 months, with a 6-9 month gap on the RCT). Activities are set out below:

- **Activity 2.1: Allocation of participants to RCT group and taking of household baseline surveys** – this is the random allocation of the selected 2,400 extreme poor households (estimated to be 12,000 people, see 1.6 above)<sup>24</sup> into the three RCT arms of equal sizes (800 households, i.e. around 4,000 people) and similar demographics. This requires a considered and sensitive approach, with maximum transparency in selection, ensuring good social relations and community consultation. It is likely to also involve the separation of the three arms (i.e. by using similar, but separate localities).
- This would be followed by administration of the baseline income survey for all participants (at month 10). Household mid line questionnaires would take place after the end of the first round of the pilot (at month 22), 6-9 months after the RCT (at month 31) and close to the end of the project (at month 46). This would be for all participants to allow for estimation of treatment (versus) control effects to be established. Noting a part survey would be needed to establish a base line for the follow-on trial at month 31. The final household questionnaire would enable estimation of longer-term effects of cash and asset options (from the RCT groups).
- **Activity 2.2: Delivery of the local economy survey to estimate output level and other local economy variables as a result of the RCT** – being implementation of method described at Component 1. This would be at two time points: prior to initiation of the control trial (month 10) and before the follow on (month 30). This would be followed up by the required economic analyses (see above).
- **Activity 2.3: Asset selection and distribution to the graduation (treatment) group** – this includes supporting choices from a pre-defined asset menu (based on bundles) and selection/ allocation of assets to approximately 800 households at both locations and all villages (with an average asset value of USD 240). The menu will be established under Component 1, and a sample selection of asset bundles is provided below. Delivery arrangements will seek to ensure household ownership is maximized, through self-selection (after staff moderation) potentially within quasi-markets.
- Noting also that this might be modified, and even mixed choices may be permitted, this includes three asset types: arable packages (rice, fruit growing etc); animal packages (chickens, ducks etc); and tools (including irrigation inputs). Livestock models present particular management issues. To ensure health and sanitary standards are maintained. UN and NGO partners (FAO, WVI) would be retained to assist with this.
- Additionally, households will need support in husbanding livestock, but equally ensuring sanitary standards. This support will be delivered by both the training provider and field teams BCC inputs respectively. This will also be accompanied by a rapid household level environmental check, including provision of advice/ guidance to avoid adverse environmental effects. Impacts should also be assessed during follow-up.

#### Proposed menu of graduation assets

<sup>24</sup> On the basis of an average rural household size of 5.



Asset	Components
1. Rice package	Seeds, fertilizer, pesticide
2. Vegetable package	Seeds, cuttings, pesticide
3. Chicken package	Chickens, feed, chicken coup, vaccinations etc.
4. Duck package	Ducks, feed, duck coup, vaccinations etc.
5. Fishing package	Motor, nets, line, bait
6. Drip irrigation package	Collection drain, tank, pipes etc
7. Irrigation Pump	Standard Water pump
8. Tools package	As required for rice or vegetable production

- This is to be phased in over 3-month period from month 10 (i.e. 14 weeks, with around 60 assets allocated each week, selected at quasi-markets – see below), including: discussion and review; prior training; and selection. Asset phase out will also take place over a 3-month period.
- Quasi (cashless) markets will be based on the FAO farmers markets model and held every two weeks during the set up process. Participants would select their asset bundles, most likely with participants given vouchers totalling USD 240.
- **Activity 2.4: Deliver initial and follow-up training to graduation group households, and ongoing TA** – offer one full day of training before acquisition of selected assets – on asset use, farming techniques and household business advice, to groups of around 10 households (with similar assets). Subsequently, deliver a further day's training/follow-up within the first 6 months. The provider would also be required to offer ad hoc TA to households and project team (equivalent to a further 60 days).
- Project staff will arrange TA on a case by case basis, while also mentoring participants, notably including BCC. Community mobilization and relations will also be key to this, and local project staff will be tasked with enabling this.
- **Activity 2.5: Deliver cash transfer to the treatment (graduation) and cash transfer control group** – a partial cash transfer of USD 10 per month to 800 households, and a full cash transfer of USD 40 per month to a further 800 households. This is to be affected, where possible, using electronic payment systems (see activity below). In line with best-practice approaches, these would be made to the most senior adult women in households (where one exists).
- **Activity 2.6: Ensure financial inclusion of extreme poor participants** – This would enable all participating (treatment) households to open a bank account (in joint names, or the name of the most senior adult woman in the household), offering the ability to save and transact. This would include providing households with a basic 2G mobile phone, an electronic bank account and reaching an agreement with a pre-selected (electronic) financial services provider. Provisional consultations indicate that *Wing*, the largest provider in Cambodia and the provider of the Royal Government's NSSPF cash transfers, is best placed to deliver this task.
- Second, an additional contract would be let to also provide basic financial literacy training (60 sessions for 50 participants at a time). In addition, the project will examine the scope for utilizing mobile technologies for marketing produce and sharing information (noting as above, this potentially would be facilitated via local teams, banking agent and households with their own 3G phones). This would supplement local market channels, for the sale of produce in and between localities.
- **Activity 2.7: Provide behavioural change communications (BCC)** – As part of their regular mentoring support, project staff will provide BCC support to households (a process beginning with behaviour analysis, followed by communications and M&E). This will be delivered via household

visits once every three to four months (with a minimum of 3 visits during the trial period).

**Component 3: Carry-out a follow-on graduation trial to ensure future RGC deliverability** – Operationally distinct from the RCT, a follow-on asset round would be undertaken for a new group of 800 poor households. This will be crucial to building the practical case for adoption, the purpose would be to *hone* the approach and instruments used during the RCT. We would also aim to deliver this round to better fit with government capacities and resources (and developed in full consultation with our RGC partners). National and local governments would also be encouraged to take a more active role in managing delivery, building on their participation in the RCT. Local government capacity building – via learning by doing – within each activity, is a key part of this component.

- **Activity 3.1: Reshape graduation approach drawing on lessons learnt from RCT and based on RGC inputs** – Recommend, then affect changes to the delivery scheme, also making savings of at least 10% of the total cost. Although operationally separate, the follow-on round will be modified, informed by learning gained during the first. Changes might reflect general issues, but specifically, climatic effects and the varying resilience of assets and their paybacks, and RGC's views on the delivery approach.
- **Activity 3.2: Select participants for the follow-on round** - Electively (i.e. non randomly) determine 800 participant households from the ID poor list (ID Poor 1 status) . Noting that also while RCT treatment (cash and asset) group participants would be excluded, nil control group participants may be made eligible. Underlining also that this is not certain, and no preference would be given. Precise eligibility would be decided after the RCT had ended.
- **Activity 3.3 – deliver the follow-on round with similar facilities to the RCT asset group** – But noting while the element would reflect the shape of the RCT, change will be made as a result of the review carried-out in Activity 3.1 above. Moreover, that this would include the achievement of cost savings equivalent to at least 10% of the overall delivery costs (noting this maybe varied as a result of consultations with RGC partners). During the follow-on, efforts would also be made to transfer works to the relevant local authorities where possible and the level of cooperation would move beyond co-location to co-delivery and management. Project equipment transfers would also take place at this point.
- **Activity 3.3: Undertake base and end line surveys for the Follow-on round** – To be done at months 31 and 45 (i.e. directly before/ after delivery of the follow-on round). Potentially again based on CSES module but paired done to reflect RGC M&E needs, possibly only ID Poor status.

**Component 4: Review and analysis of experiment and follow on round completed** - with full account taken of the impacts at household and local economy-wide levels of the RCT to provide a policy case for adoption of graduation-based programmes. And later, review and develop the operational case for scaling-up and future government delivery or government-sponsored delivery.

This would be undertaken in two stages - for six months after the RCT and in the three months at the end of the project. The expert group and project staff would be tasked with the analysis of household data, and to deliver two assessments. First, and primarily in the period after the RCT, a quantitative assessment of livelihood impacts and the economywide effects (specifically including incomes, poverty, nutrition and inequality). Second, in the closing months of the project, a practical account of lessons learnt and a qualitative assessment of the potential for scaling up the project to national level; but this would also include estimation of the longer term effects of the RCT. These would be gathered together and delivered as a policy case for graduation-based social protection to relevant policymakers.

- **Activity 4.1: Conduct analyses of data collected at base, mid-line and 2 end line surveys for household and economy-wide impacts** – For households, this draws on activity 2.1 above, which refer to the collection of household data (by standard questionnaire – at months 10, 22, and 46<sup>25</sup>) and it includes analysing treatment impacts for a *with/ without* counterfactual. Key variables include changes in incomes/consumption, investment and savings, and asset holdings, and

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<sup>25</sup> Based on the standard modules used in the Cambodia Socio-Economic Survey (CSES).

nutritional impacts, and hence levels of poverty and inequality. Noting there would be 4 survey points – base line, mid-line (post RCT) and 2 end lines (9 months after the RCT and 2 years after the RCT, with the latter two surveying serving as base/ end lines for the follow-on trial).

- Second, building on Activity 2.2 above, the economywide estimation exercise, this component would include the analysis, of community level economic effects. This would rely on techniques being developed by the NIS to estimate sub-national GDP. This estimation exercise would have only 2 measurement points – before the first round of the pilot (month 10) and before the follow on (month 30) at the end line. It is also likely to draw on the 4 household survey points in providing several of the datasets. A single final report would be produced by the expert team with the aim of replicating the economy wide effects depicted in the prior modelling study
- **Activity 4.2: Lessons learnt and viability/ practicality of graduation models countrywide** - this assessment will focus on how graduation approaches might be taken to scale and fitted within the existing NSPPF agenda. This will be informed by experiences gathered from the management team and staff, and by interactions with partners, including RGC agencies, UN agencies and NGO/ CSOs engaged in the project, and by an assessment provided by the expert team (led by the SP operations specialist). It would take place at the mid-point, but especially at the end point of the project, and would be informed by the second follow-on round (itself shaped by the RCT).
- Key issues include the ability/ capacity of local actors, state and/ or NGOs and communities to deliver this type of programme; the future cost effectiveness of delivery arrangements; and any systemic issues which would have to be taken account of, including the potential for mismanagement/ mal-administration. This assessment should be provided alongside recommendations for how scale up might be achieved.
- **Activity 4.3: Final project report and policy recommendations** – This final activity is a combination of activities 4.1 and 4.2, plus a policy paper, to provide a core investment case reaching conclusions on the graduation approach and its role in relation to delivering NSPPF objectives. This should include a recommended way forward (including if merited a roadmap). This would include advocacy and policy engagement for the adoption of graduation-based social protection at national level. UNDP would seek to jointly launch these final outputs with the National Council for Social Protection.

## **B. PARTNERSHIPS**

Effective partnerships are key to success of the pilot, these span several groups, as set out below. Key partners include Government (national and local levels and with the 2 RGC partners and district localities), donors/ funders, delivery counterparts/ contractors and the local private sector. Efforts will also be made to engage partners, especially RGC actors, in delivery, in project management and governance arrangements (see sections IV VIII below).

### **Cooperation with donors, development partners and CSOs:**

UNDP has received outline funding acceptance from the UNDP-Russia Development Trust Fund. Partnership arrangements will build on those established for the Decent Employment for Youth Project (funded via the Russia Youth Window). UNDP is also actively seeking other DP funders, and a number of other parties have expressed interest.

The project will report and consult with the relevant Technical Working Group(s) (established by the RGC), and the Development Partner (DP) Social protection Core Group. We will also engage with emerging DP actors in this sector, notably UNICEF, the World Bank and the Asian Development Bank.

Given the project's focus on agricultural production, efforts will build on initial discussions carried-out with relevant UN sister organizations - the Food and Agriculture Organization (FAO), which has been engaged in similar (but non-social protection) interventions in the past, and with the UN Capital Development Fund (UNCDF) who have expertise in financial inclusion initiatives, including advising Cambodia's central bank. These two agencies may also be formally retained as participants.

The project will also develop a working relationship with key national and international NGOs. UNDP has had a long dialogue with World Vision International (WVI) during development of the project, who have existing graduation-type programmes, and are planning for new interventions based on a model similar to that set out in this project document. Discussions are ongoing between WVI and UNDP, potentially with a view to WVI taking a major operational role in field delivery. If this route were selected modifications the staffing structure would also be required. WVI is an advantageous partner as it also has a relationship with BRAC, the Bangladeshi NGO which has globally-recognized competences in this field.

Relationships with other NGO/ CSO partners are also important, indeed an alternative option would be to deliver the project with a number of national NGOs/ CSOs. Regardless of this, it is vital the project draw on linkages with other local civil society actors working in complimentary fields.

#### **Engagement with Royal Government of Cambodia Partners:**

Based on a long and positive dialogue, it is planned that the project will be overseen by two RGC partners – the DMDCSAA in MOI (the central government lead in supporting local administrations); and the NSPC Secretariat based in MEF (the national focal point for the NSPPF). One will be designated as the operational lead, most likely the DMDCSAA, and the other, the NSPC- S, the policy partner. They will ensure the project's fit with the national framework, ensure good relations with local administrations (including delivery cooperation and co-location of staff). These ultimately, should enable positive decisions to be reached on the transfer and scaling-up of activities after the pilot has ended.

The ID Poor Department within the Ministry of Planning (MoP), which is responsible for administering the national poverty targeting system, have been consulted on the pilot proposals, and will be engaged to identify potential participants. This will focus on ID Poor 1 (i.e. most poor) status, but additional controls are likely to be needed to make those identified consistent with the extreme poor identified by the Cambodia Socio-economic Survey (CSES). This is published by National Institute for Statistics (also a division of MOP). Both entities will be engaged in the design of the RCT scheme and the identification of beneficiaries.

It is envisaged that the DMDCSAA would assist with the building of a partnership with the local governments and the capacities of their staffs for the selected localities (at district and commune level), which will be key participants in hosting the project. Co-working arrangements and co-lotion of staff are essential in ensure effective consultation and enable learning, to enable any future transfer of delivery and scaling up. This would also include the establishment of local management committees, and within the follow-on round their direct engagement in management.

#### **Partnerships with the Private Sector**

Efforts will be made to engage with private sector partners – both as contractors to the project (asset procurement, delivery of cash transfers etc.) and as buyers of output and suppliers of new demand in project localities. UNDP staff had extensive dialogue with some potential contactors (e.g. Wing), but others will be engaged during the project set-up stage.

During set-up and roll-out, local partnerships will be developed to build connections and create supply chains between graduation group households (in the RCT and within the follow-on round) and the private sector agents and buyers of produce. In addition, local teams will support the supply of goods within communities to meet the demand generated by the intervention. This is key if the graduation benefits are to be fully realized.

### **C. INNOVATIONS**

Foremost, the graduation approach itself offers an innovative social protection option, particularly in providing for economically deprived and excluded households, via improved livelihood opportunities and self-empowerment. These models are novel to Cambodia and offer clear advantages in the context of a nascent social protection framework in an emerging lower middle-income country, and one with a persistent and hard to reach group of extreme poor households (given economic growth is unlikely to succeed alone). Moreover, in using innovative RCT methods, the pilot will offer a very high-quality evidence base for decision making and policy formulation.

In addition, a series of innovations are planned via **the use of new technologies and recognizing importance of connecting participants to the digital economy** in Cambodia. Using fintech, all participants (in treatment and control groups) would be offered a bank account through an arrangement with a financial services provider. Cash transfers would be paid electronically, and the pilot would encourage electronic payment for goods and services, including the output from the graduation pilot participants.

Second, **the pilot will examine using mobile technologies to provide additional livelihoods capacities of the graduation participants, via tailored applications – for information sharing, training farming techniques, allowing rapid access to expertise, early warning and metrological reports.** There may also be potential for establishing a trading platform app for the marketing of output of household farms. These facilities might also be supplemented at a later date with e-governance functions linked to local service delivery. This would however, be dependent on the engagement of the local authorities.

**Third, it is also emphasizing that the project would promote local channels for the sale of produce within communities, i.e. village and commune markets.** This will be facilitated by local teams and where possible allow for cross-pilot sales (for example sales in areas where cash transfers are piloted). This will also contribute to the strengthening local social capital and would have to done in concert with local governments and local CSOs/ NGOs.

**The expert team chaired by the UNDP Country Economist will be crucial in supporting innovative practices.** The team will include: an economist/ statistician, offering analytical support on RCT methods, and ex-post econometric analysis; and a social protection operations expert with wide experience of the and management of graduation-based programmes. The team will also seek to access technical advice via several standing contracts – with a national agricultural training/TA provider, a financial services institution for direct transfers, and a provider of FI training. It is noted also that Behaviour Change Communications, noted as essential to effective graduation from poverty, should form a key element of delivery. The expert team will be asked to ensure this work is mainstreamed within the activities of the project staff and the support contracts.

**UNDP Cambodia will also engage its Acceleration Lab (Acclab) in sharpening/ refining the pilot and its key facilities.** The Acclab team would focus on providing and honing innovations, completing any design omissions, and matching delivery to the operating context (including consulting on widely with key actors and other participants).

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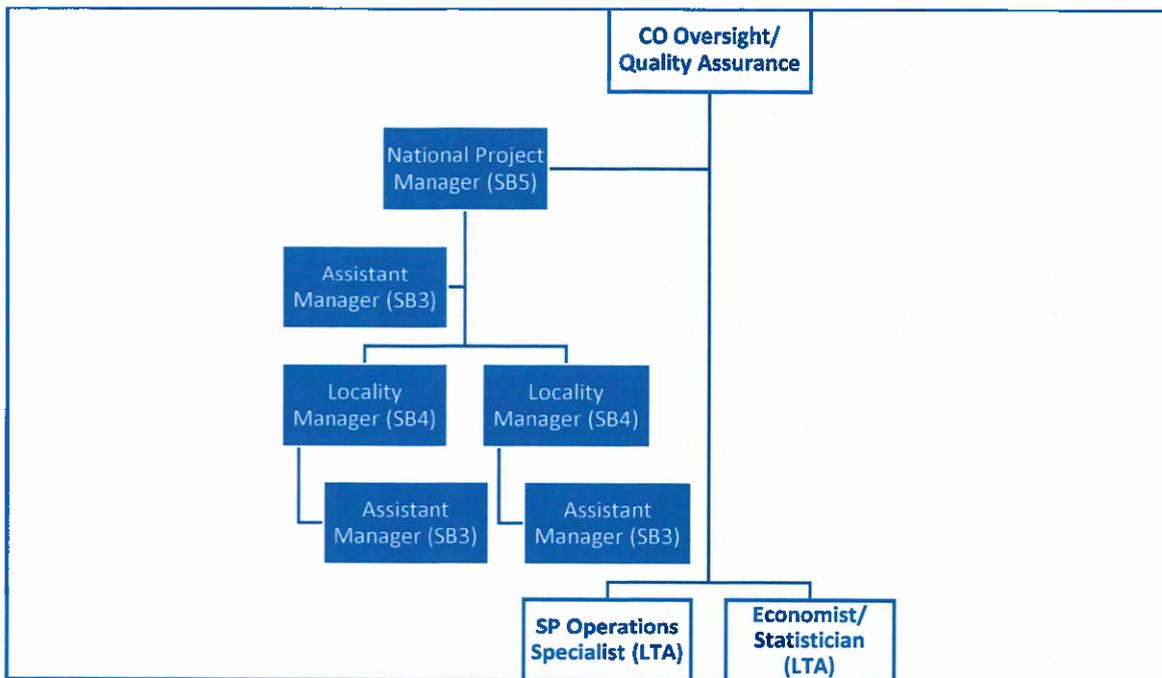
#### **IV. PROJECT MANAGEMENT (1/2 PAGES - 2 PAGES RECOMMENDED)**

UNDP will deliver the project, under its Direct Implementation Modality (DIM), see additional discussion below in Section X. Overall management arrangements/ oversight would be provided in partnership with RGC partners – DMDCSAA in MOI and the NSPC Secretariat in MEF. These two have been consulted on the project and their formal endorsement will be sought during the set-up stage. Details of the full Governance arrangements, and the roles/ responsibilities of partners is provided at Section VIII below.

Day to day activities will be carried out by the project team - the project manager, his/her assistant, and the two local teams (2 local managers and 2 assistants). The former will be located in Phnom Penh (provisionally with the NSPC at MEF) and the latter at the 2 delivery locations (if possible, co-located with district or province staff). TOR for the Project Manager is provided at Annex 5 (b).

Full-time posts are marked in by the filled boxes in the staff organogram below. The Country Office will provide oversight and the project will also rely on contracted (LTA) consultants within an expert team (chaired by the Country Economist). These roles are shown in the unfilled boxes below.

Staffing Organogram



## V. RESULTS FRAMEWORK<sup>26</sup>

**Intended Outcome as stated in the UNDAF/Country Programme Results and Resource Framework: By 2023, women and men in Cambodia in particular the marginalized and vulnerable, benefit from expanded opportunities for decent work and technological innovations; and participate in a growing, more productive and competitive economy, that is also fairer and sustainable.**

**Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:**

**UNDAF Outcome indicator 2.3.2. Number of participating in government-targeted United Nations-supported poverty eradication/economic inclusion programmes, including social protection and mine action**

**Applicable Output(s) from the UNDP Strategic Plan: 1.1.2 Marginalised groups, particularly the poor, women, people with disabilities and displaced are empowered to gain universal access to basic services<sup>27</sup> and financial and non-financial assets to build productive capacities and benefit from sustainable livelihoods and jobs**

**Project title and Atlas Project Number: Graduation-Based Social Protection Project (GBSP) - 118418**

EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>28</sup>	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)					DATA COLLECTION METHODS & RISKS
			Value	Year	2019	2020	2021	2022	2023	
<b>Output 1: Institutional and management arrangements, and analytical tools are in place</b>	<i>1.1 RCT and scheme design, and selection of localities</i>	<i>Project team</i>	<i>Preparations</i>	<i>2019</i>		<i>Complete / endorsed</i>				<i>Project reports, documentation</i>
	<i>1.2 Pilot instruments and operating arrangements</i>	<i>Project team</i>	<i>Preparations</i>	<i>2019</i>		<i>Complete / endorsed</i>				<i>Project reports, documentation</i>
	<i>1.3 Set-up of management arrangements and institutional structures</i>	<i>Project team</i>	<i>Preparations</i>	<i>2019</i>		<i>Complete / endorsed</i>				<i>Project reports, documentation</i>

<sup>26</sup> UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

<sup>27</sup> Basic services include social services (e.g. health and nutrition, education, water and sanitation, social housing, vocational training), economic services (including finance), environmental and energy services (e.g. renewables, clean fuels and technology, use of natural resources), and other services (e.g. rule of law and justice). Please note that UNDP focuses primarily on policies and capacities that improve the enabling environment for provision of basic services.

<sup>28</sup> It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

	<i>1.4 Local area economic survey design, with gender disaggregated data</i>	<i>Project team</i>	<i>Preparations</i>	<i>2019</i>		<i>Complete / endorsed</i>			<i>Project reports, documentation</i>
	<i>1.5 Contract of specialized facilities</i>	<i>Project team</i>	<i>Preparations</i>	<i>2019</i>		<i>Complete / endorsed</i>			<i>Project reports, documentation</i>
	<i>1.6 Treatment and control group participants at the specified locations selected</i>	<i>Project team</i>	<i>Preparations</i>	<i>2019</i>		<i>Complete / endorsed</i>			<i>Project reports, documentation</i>
<b>Output 2: Graduation-based pilot social protection programme delivered</b>	<i>2.1 Number household (HHs) allocated &amp; enrolled in (assets/ cash/ nil) groups &amp; surveyed (base line)</i>	<i>Project team</i>	<i>0/0/0</i>	<i>2019</i>		<i>800/ 800/ 800</i>			<i>Project reports, documentation</i>
	<i>2.2 Delivery of local economy survey</i>	<i>Project team</i>	<i>Preparations</i>	<i>2019</i>		<i>Base complete</i>			<i>Survey results</i>
	<i>2.2 Value (USD) of assets transferred to households</i>	<i>Project team</i>	<i>0</i>	<i>2019</i>		<i>240,000</i>			<i>Project reports, documentation</i>
	<i>2.3 Gender sensitive training sessions received by households (&amp; follow-up)</i>	<i>TA provider</i>	<i>0</i>	<i>2019</i>	<i>200</i>	<i>200 (follow-up)</i>			<i>Project reports, documentation</i>
	<i>2.4 The amount of cash transfers given – full cash &amp; partial cash (USD)</i> <i>2.4.1. HHs receiving cash transfer</i>	<i>Data collected by bank/ Wing</i>	<i>0</i>	<i>2019</i>		<i>120,000</i> <i>[1,600]</i>	<i>360,000</i> <i>[1,600]</i>		<i>Data from Bank (or Wing as provider)</i>
	<i>2.5 The number of bank accounts opened (financial inclusion)</i> <i>2.5.1 % of accounts opened in name of most senior woman in HH</i>	<i>Data collected by bank/ Wing</i>	<i>0</i>	<i>2019</i>		<i>1,600</i> <i>[&gt;90%]</i>			<i>Data from Bank (or Wing as provider)</i>
	<b>Output 3: Follow-on graduation trial, of similar size and shape carried out (but more efficiently)</b>	<i>3.1 Report/ proposals for reshape graduation approach including cost direct reductions</i>	<i>Project team</i>	<i>N/A</i>	<i>2021</i>			<i>Proposal &amp; budget cut &gt;10%</i>	
<i>3.2 Number of participant households selected for the follow-on round, and surveyed</i> <i>3.2.1 % where women HH members active within productive activities</i>		<i>Project team</i>	<i>N/A</i>				<i>800</i> <i>[&gt;50%]</i>		<i>Project reports, documentation</i>

	<p>3.2 Deliver the follow-on round with similar facilities:</p> <p>3.3.1 HHs provided with assets;</p> <p>3.3.2 Cash transferred to HHs;</p> <p>3.3.3 Households trained;</p> <p>3.3.4 HHs with bank a/c</p> <p>3.3.5 % of a/c in women's name</p>	Project team, provider, Wing	N/A				800 HHs/ [USD 96,000/ 800 HHs/ 800 HHs/ 800 HHs/ >90%]			Project reports, documentation, Data from Bank (or Wing as provider)
<b>Output 4: Review and analysis of experiment and follow on round completed</b>	3.1 Surveys and feedback received	Project team	N/A	2019			Mid-line	1 <sup>st</sup> End-line	2 <sup>nd</sup> End-line	Project reports, documentation
	3.2 Operational Lessons learnt documented & reflected in follow-on, & reported at end-line	Agencies & expert team	N/A	2019		Reported & include in 3.1			Include in final report	Project reports, documentation
	3.3 Final report published 3.4 Social protection graduation model adjusted and provided to the government	Project team	N/A	2019				Complete & model provided to RGC		Project reports, documentation

## VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans: *[Note: monitoring and evaluation plans should be adapted to project context, as needed]*

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
<b>Track results progress</b>	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
<b>Monitor and Manage Risk</b>	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.  Specific account to be taken of climatic risks in communication with EWS project colleagues.		
<b>Learn</b>	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		
<b>Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	- At beginning - Once every two years during implementation - At closure	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
<b>Review and Make Course Corrections</b>	Internal review of data and evidence from all monitoring actions to inform decision making.	Semi-annually	Performance data, risks, lessons and quality will be discussed by the project board		

			and used to make course corrections.		
<b>Project Report</b>	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)			
<b>Project Review (Project Board)</b>	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	At least annually	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		

### Evaluation Plan<sup>29</sup>

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Mid-Term Project Review					<i>Not required</i>	
Final evaluation on pilot result	UNDP and RGC partners - DMDCSAA & NSPC	1.1.2	2	2023	Government partners, CSOs	Project budget

<sup>29</sup> Optional, if needed

## VII. MULTI-YEAR WORK PLAN <sup>3031</sup>

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year				RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1/2	Y3	Y4	Y5		Funding Source	Budget Description	Amount
<b>Output 1: Institutional and management arrangements, and analytical tools are in place to deliver a graduation-based social protection pilot (which is nationally affordable and capable of being scaled-up).</b>	1.1 Finalization of the RCT & scheme design, & selection of localities	x				UNDP	UNDP	International Individual Consultant	\$10,000
	1.2 Complete the design of pilot instruments & operating arrangements	x	x	x	x	UNDP	RTF	International Individual Consultants	\$90,000
	1.3 Set-up of management arrangements & institutional structures	x	x	x	x	UNDP	UNDP	Vehicle, Equipment & field offices setup, Project staff costs	\$454,500
	1.4 Design of the local area economic survey	x				UNDP	RTF	International Individual Consultant	\$10,000
	1.5 Design and contracting/ set-up of specialized components	x				UNDP	RTF	International Individual Consultant	\$10,000
	1.6 Selection of (2,400) treatment and control group participants, at the specified locations	x				UNDP &/ Partner (s)	RTF	Travel costs, venues	\$10,000
<b>Sub-Total for Output 1</b>									<b>\$584,500</b>

<sup>30</sup> Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

<sup>31</sup> Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

<b>Output 2: Delivery of a graduation-based pilot social protection programme with 3,000 extremes poor household participants (with 2,000 households receiving assets and/or cash transfers), with randomized selection (hence, delivering clear results on livelihood and poverty impacts).</b>	2.1 Allocation of participants to RCT group & taking of household baseline surveys	x				UNDP &/ Partner (s)	RTF	International Individual Consultant, national consultants, travel costs	\$24,000
	2.2 Delivery of the local economy survey to estimate output (GDP) & other local economic variables	x		x		NIS & UNDP	RTF	International consultants, national consultants	\$20,000
	2.3 Asset selection & distribution to the graduation (treatment) group	x				UNDP &/ Partner (s)	RTF	NGO partner grant or contracted Services	\$192,000
	2.4 Deliver initial & follow-up training to graduation group households, & ongoing TA	x	x			UNDP &/ Partner (s)	UNDP	NGO partner grant or contracted Services	\$90,000
	2.5 Deliver cash transfer to the treatment (graduation) and first control (cash transfer) group	x	x			UNDP	RTF	Mobile Money Card Issuance & cash transfers to the selected poor households	\$480,000
	2.6 Ensure financial inclusion of extreme poor participants		x			UNDP &/ Partner (s)	RTF	Training, phones	\$36,000
	2.7 Provide behavioural change communications (BCC) to graduation group HHs.	x	x			UNDP &/ Partner (s)	RTF	Contracted services	\$8,000
<b>Sub-Total for Output 2</b>									<b>\$850,000</b>

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<b>Output 3: Carry-out a follow-on graduation trial, of similar size and shape (but more efficiently), to ensure future RGC deliverability</b>	3.1 Reshape the graduation approach drawing on lessons learnt from the RCT, & based on RGC inputs			x		UNDP	To be mobilized	International individual consultant	\$10,000
	3.2 Select participants for the follow-on round, and survey			x		UNDP	To be mobilized	National Individual consultants	\$14,000
	3.3 Deliver the follow-on round with similar facilities to the RCT asset group (with bankable efficiency savings)			x	x	UNDP	To be mobilized	Contracted services, NGO grant	\$360,000
<b>Sub-total for Output 3</b>									<b>\$384,000</b>
<b>Output 4: Review of pilot completed - with full account taken of the impacts at household and local economy-wide levels, and clear policy recommendations made.</b>	3.1 Conduct mid/ end analyses of data collected at base and end line surveys for household and economy-wide impacts .		x	x	x	UNDP	To be mobilized	International individual consultant & contracted services	\$ 82,000
	3.2 Lessons learnt and viability/ practicality of graduation models countrywide			x	x	UNDP	To be mobilized	International Individual Consultant	\$10,000
	3.3 Final project report and policy recommendations				x	UNDP	To be mobilized	International Individual Consultant	\$25,000
<b>Sub-Total for Output 4</b>									<b>\$117,000</b>

<b>Project Management and Technical Support</b>									
<b>Evaluation (as relevant)</b>	Final EVALUATION				x	UNDP	RTF	International Individual Consultant	\$20,000
	Project oversight and management Inc. direct project costs	x	x	x	x	UNDP	RTF	Programme oversight	\$180,000
	Cost recovery (ISS, communication, stationary; etc.)	x	x	x	x	UNDP	RTF	UNDP's service change on finance and procurement processes.	\$45,000
<b>Total for Project and Technical Support</b>									<b>\$245,000</b>
<b>General Management Support (8% of Total Donor Fund/ 1.5M)</b>		x	x	x	x	UNDP	RTF	UNDP's general management support	\$120,000
<b>TOTAL</b>									<b>\$2,300,500</b>

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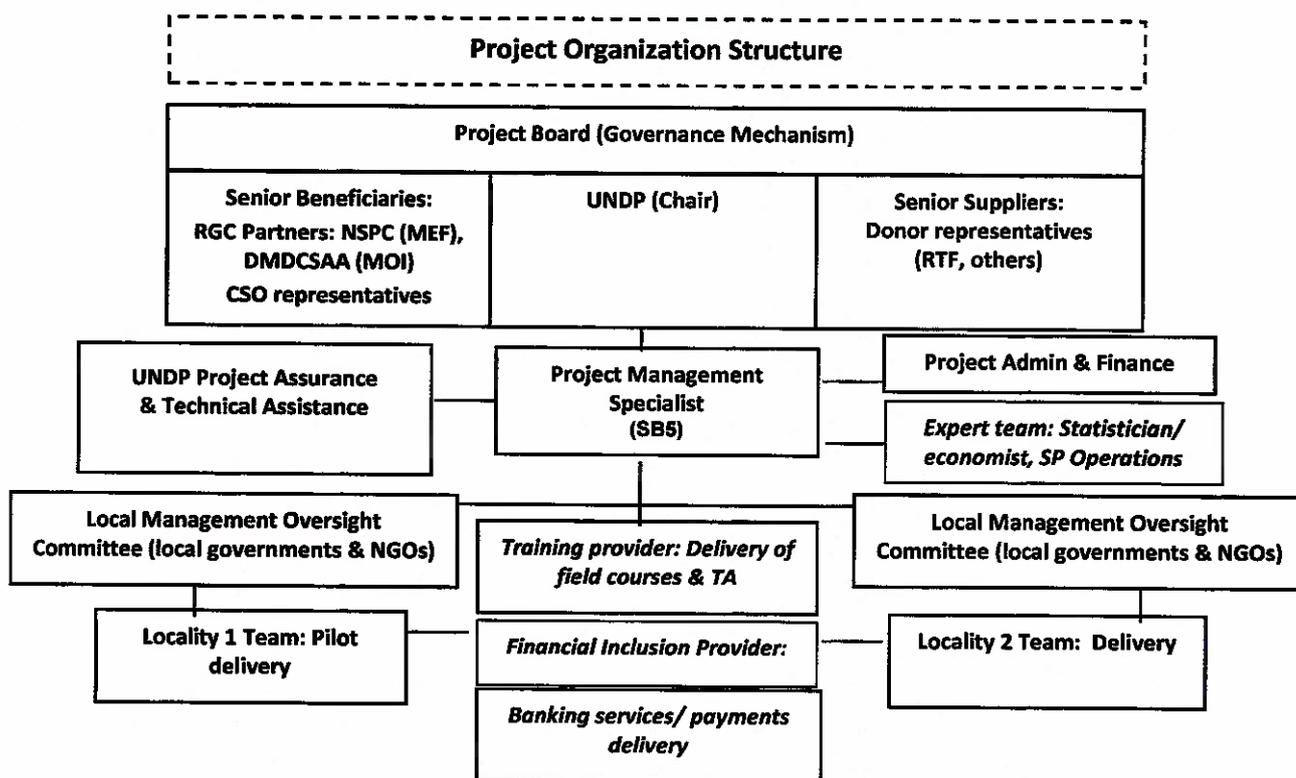
## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

UNDP will serve as the implementing partner to the project, under its DIM modality. Activities will be jointly implemented with government partners - the Secretariat of the National Social Protection Council (strategic level), the Department of Municipal, District, Commune and Sanghat Administrative Affairs and the relevant local government institutions (field delivery level), plus any NGO/ CSO delivery partners (for example WVI). The project will be governed by a Project Board chaired by the UNDP Resident Representative. Members of the Board include a senior representative of the lead RGC partner and donor(s). The Board will provide strategic direction and oversight and have final decision-making authority (approving the project document and annual workplans, and review implementation progress and resource allocation).

Based on the organogram above, full-time posts are marked in bold text in the chart below. In addition, the project will rely on a number of contracted staff and services – an expert team (chaired by the Country Economist), a training/ technical assistance provider, a financial services provider and a financial inclusion provider. These are shown below in bold italics below. Quality assurance will be provided by UNDP staff, including both Country Office regional advisors. Additionally, UNDP will provide project financial and administrative support, ensuring financial compliance. The project would also make full use of the established Acceleration Lab facility<sup>32</sup>.

As a pilot-based intervention the normal midterm evaluation is judged unnecessary. A single end of project evaluation exercise will be undertaken and reported to the Project Board. In line with best practice this will be undertaken by an independent team.

### Project organization structure



<sup>32</sup> Team in UNDP's PIU with capacities in ethnographic mapping, technology, consultation and prototyping.

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## IX. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on 19 December 1994. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by UNDP("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures.

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## X. RISK MANAGEMENT

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]<sup>33</sup> [UNDP funds received pursuant to the Project Document]<sup>34</sup> are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/ag\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/ag_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies and procedures.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
  - a. Consistent with the Article III of the SBAA *[for the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible parties, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
    - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
    - ii. assume all risks and liabilities related to such responsible parties, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
  - b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan

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<sup>33</sup> To be used where UNDP is the Implementing Partner

<sup>34</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

as required hereunder shall be deemed a breach of the responsible parties, subcontractor's and sub-recipient's obligations under this Project Document.

- c. In the performance of the activities under this Project, UNDP as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or address SEA and SH.
- d. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
- e. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).
- f. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- g. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

- h. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

**Note:** The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

- i. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract

execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.

- j. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- k. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

# XI. ANNEXES

## 1. Project Quality Assurance Report

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL				
OVERALL PROJECT				
EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The Principled criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.
DECISION				
<ul style="list-style-type: none"> <li>• <b>APPROVE</b> – the project is of sufficient quality to be approved in its current form. Any management actions must be addressed in a timely manner.</li> <li>• <b>APPROVE WITH QUALIFICATIONS</b> – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.</li> <li>• <b>DISAPPROVE</b> – the project has significant issues that should prevent the project from being approved as drafted.</li> </ul>				
RATING CRITERIA				
For all questions, select the option that best reflects the project				
STRATEGIC				
<b>1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change?</b> <ul style="list-style-type: none"> <li>• <b>3:</b> The project is clearly linked to the programme's theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project's strategy will likely lead to this change. This analysis is backed by credible evidence of what works effectively in this context and includes assumptions and risks.</li> <li>• <b>2:</b> The project is clearly linked to the programme's theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change.</li> <li>• <b>1:</b> The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme's theory of change.</li> </ul> <p><i>*Note: Projects not contributing to a programme must have a project-specific Theory of Change. See alternative question under the lightbulb for these cases.</i></p>			✓ 3	2
			1	
			<b>Evidence</b> The TOC outlines two pathways of change: (1) poverty graduation and (2) government's adoption of the experiment model. The project strategy directly response to CPD's objectives to address economic vulnerabilities and priorities established in the NSDP, CSDG and National Social Protection Policy Framework. Key assumptions for project successes are outlines. (Section II of the Prodoc)	
<b>2. Is the project aligned with the UNDP Strategic Plan?</b>			✓ 3	2
1				



<ul style="list-style-type: none"> <li>• <b>3:</b> The project responds to at least one of the development settings as specified in the Strategic Plan<sup>35</sup> and adapts at least one Signature Solution<sup>36</sup>. The project's RRF includes all the relevant SP output indicators. <i>(all must be true)</i></li> <li>• <b>2:</b> The project responds to at least one of the development settings as specified in the Strategic Plan<sup>4</sup>. The project's RRF includes at least one SP output indicator, if relevant. <i>(both must be true)</i></li> <li>• <b>1:</b> The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF.</li> </ul>	<p><b>Evidence</b> The project response to primarily to the first development setting: Eradicating Poverty and to some extent the 3<sup>rd</sup> area: building resilience to shocks and adapt the first signature solutions "keeping people out of poverty". The RRF includes SP output indicator 1.1.2.</p>	
<p><b>3. Is the project linked to the programme outputs? (i.e., UNDAF Results Group Workplan/CPD, RPD or Strategic Plan IRRF for global projects/strategic interventions not part of a programme)</b></p>	<p>✓ Yes</p>	<p>No</p>
<p><b>RELEVANT</b></p>		
<p><b>4. Does the project target groups left furthest behind?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The target groups are clearly specified, prioritising discriminated and marginalized groups left furthest behind, identified through a rigorous process based on evidence.</li> <li>• <b>2:</b> The target groups are clearly specified, prioritizing groups left furthest behind.</li> <li>• <b>1:</b> The target groups are not clearly specified.</li> </ul> <p><i>*Note: Management Action must be taken for a score of 1. Projects that build institutional capacity should still identify targeted groups to justify support</i></p>	<p>3</p>	<p>✓ 2  1  <b>Evidence</b> Project targets the extreme poor. Prodoc defines selection criteria primarily based on ID poor mechanism. Poorest category of ID Poor is targeted.</p>
<p><b>5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project.</li> <li>• <b>2:</b> The project design mentions knowledge and lessons learned backed by evidence/sources but have not been used to justify the approach selected.</li> <li>• <b>1:</b> There is little, or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<p>✓ 3</p>	<p>2  1  <b>Evidence</b> The poverty graduation model proposed in the project was informed by lessons and experiences globally, particularly in Bangladesh as well as backed up by UNDP's analytical research in Cambodia. (Prodoc page 4&amp;5)</p>
<p><b>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national/regional/global partners and other actors?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. <i>(all must be true)</i></li> </ul>	<p>3</p>	<p>✓ 2  1  <b>Evidence</b> An analysis on the roles of different partners have been conducted but division of labor</p>

<sup>35</sup> The three development settings in UNDP's 2018-2021 Strategic Plan are: a) Eradicate poverty in all its forms and dimensions; b) Accelerate structural transformations for sustainable development; and c) Build resilience to shocks and crises

<sup>36</sup> The six Signature Solutions of UNDP's 2018-2021 Strategic Plan are: a) Keeping people out of poverty; b) Strengthen effective, inclusive and accountable governance; c) Enhance national prevention and recovery capacities for resilient societies; d) Promote nature based solutions for a sustainable planet; e) Close the energy gap; and f) Strengthen gender equality and the empowerment of women and girls.

<ul style="list-style-type: none"> <li>• <b>2:</b> Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and communications strategies or plans.</li> <li>• <b>1:</b> No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<p>between different actors is not yet very clear. South/South and triangular cooperation option is not explored. (Prodoc Section III)</p>								
<b>PRINCIPLED</b>									
<p><b>7. Does the project apply a human rights-based approach?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project's strategy. The project upholds the relevant international and national laws and standards. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. <i>(all must be true)</i></li> <li>• <b>2:</b> The project is guided by human rights by prioritizing accountability, meaningful participation and non-discrimination. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. <i>(both must be true)</i></li> <li>• <b>1:</b> No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.</li> </ul> <p><i>*Note: Management action or strong management justification must be given for a score of 1</i></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">3</td> <td style="width: 50%; text-align: center;">✓ 2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"><b>Evidence</b></td> </tr> <tr> <td colspan="2">The project targets working with the extreme poor, factors to ensure equal participation of women and ethnic minority in the selection and decision making with regards to choice of assets and trainings. Accountability mechanisms in the delivery of the graduation package is part of the project strategy. (Prodoc section II)</td> </tr> </table>	3	✓ 2	1		<b>Evidence</b>		The project targets working with the extreme poor, factors to ensure equal participation of women and ethnic minority in the selection and decision making with regards to choice of assets and trainings. Accountability mechanisms in the delivery of the graduation package is part of the project strategy. (Prodoc section II)	
3	✓ 2								
1									
<b>Evidence</b>									
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<p><b>8. Does the project use gender analysis in the project design?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. <i>(all must be true)</i></li> <li>• <b>2:</b> A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities, but gender inequalities are not consistently integrated across each output. <i>(all must be true)</i></li> <li>• <b>1:</b> The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the gender inequalities have not been clearly identified and reflected in the project document.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">3</td> <td style="width: 50%; text-align: center;">✓ 2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"><b>Evidence</b></td> </tr> <tr> <td colspan="2">A basic gender analysis in development challenge section. Project Strategy mentions the strategy to pay attention to female headed households in the selection process, engage women in defining assets and training relevant to them and ensure gender sensitive BCC as well as ensure cash transfer is made to the eldest women in the household but the same is not well reflected in the Results section, results framework and budget plan.</td> </tr> </table>	3	✓ 2	1		<b>Evidence</b>		A basic gender analysis in development challenge section. Project Strategy mentions the strategy to pay attention to female headed households in the selection process, engage women in defining assets and training relevant to them and ensure gender sensitive BCC as well as ensure cash transfer is made to the eldest women in the household but the same is not well reflected in the Results section, results framework and budget plan.	
3	✓ 2								
1									
<b>Evidence</b>									
A basic gender analysis in development challenge section. Project Strategy mentions the strategy to pay attention to female headed households in the selection process, engage women in defining assets and training relevant to them and ensure gender sensitive BCC as well as ensure cash transfer is made to the eldest women in the household but the same is not well reflected in the Results section, results framework and budget plan.									
<p><b>9. Did the project support the resilience and sustainability of societies and/or ecosystems?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been</li> </ul>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">3</td> <td style="width: 50%; text-align: center;">✓ 2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"><b>Evidence</b></td> </tr> <tr> <td colspan="2">The project primary focus is on poverty graduation and economic resilience.</td> </tr> </table>	3	✓ 2	1		<b>Evidence</b>		The project primary focus is on poverty graduation and economic resilience.	
3	✓ 2								
1									
<b>Evidence</b>									
The project primary focus is on poverty graduation and economic resilience.									

<p>identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. <i>(all must be true)</i>.</p> <ul style="list-style-type: none"> <li>• <b>2:</b> The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. <i>(both must be true)</i></li> <li>• <b>1:</b> Sustainability and resilience dimensions and impacts were not adequately considered.</li> </ul> <p><i>*Note: Management action or strong management justification must be given for a score of 1</i></p>	<p>However, SESP was conducted to identify social environmental risks and commits to mitigates those.</p>	
<p><b>10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks?</b> The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]</p>	<p>Yes</p>	<p>No</p>
<p>SESP Not Required</p>		
<p><b>MANAGEMENT &amp; MONITORING</b></p>		
<p><b>11. Does the project have a strong results framework?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project’s selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. <i>(all must be true)</i></li> <li>• <b>2:</b> The project’s selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. <i>(all must be true)</i></li> <li>• <b>1:</b> The project’s selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. <i>(if any is true)</i></li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<p>3</p>	<p>✓ 2</p>
<p>1</p>		
<p><b>Evidence</b></p> <p>The project uses appropriate level of SMART / results oriented indicators with fully populated baseline and targets. Target group is clear (poor) but no sex-disaggregated indicator used. (Prodoc Section V)</p>		
<p><b>12. Is the project’s governance mechanism clearly defined in the project document, including composition of the project board?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project’s governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. <i>(all must be true)</i>.</li> <li>• <b>2:</b> The project’s governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. <i>(all must be true)</i></li> <li>• <b>1:</b> The project’s governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<p>3</p>	<p>✓ 2</p>
<p>1</p>		
<p><b>Evidence</b></p> <p>Section VIII defines governance structure with key functions defined but no individual identified. Annex 5 provides TOR of the Project Board.</p>		
<p><b>13. Have the project risks been identified with clear plans stated to manage and mitigate each risk?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the programme’s theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders. Clear and complete plan in place to manage and mitigate each risk, reflected in project budgeting and monitoring plans. <i>(both must be true)</i></li> <li>• <b>2:</b> Project risks related to the achievement of results are identified in the initial project risk log based on a minimum level of analysis and consultation, with mitigation measures identified for each risk.</li> <li>• <b>1:</b> Some risks may be identified in the initial project risk log, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and/or no initial risk log is included with the project document.</li> </ul>	<p>3</p>	<p>✓ 2</p>
<p>1</p>		
<p><b>Evidence</b></p> <p>Risk logs defined (but still at high level) with corresponding mitigation actions</p>		



*Note: Management Action must be taken for a score of 1		
<b>EFFICIENT</b>		
<p><b>14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include, for example: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners; iv) sharing resources or coordinating delivery with other projects, v) using innovative approaches and technologies to reduce the cost of service delivery or other types of interventions.</b></p> <p><i>(Note: Evidence of at least one measure must be provided to answer yes for this question)</i></p> <p><b>Evidence:</b> partnership with local partners and strategy to partner defined in section II and III.</p>	✓ Yes (3)	No (1)
<p><b>15. Is the budget justified and supported with valid estimates?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project's budget is at the activity level with funding sources and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilization plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications and security have been incorporated.</li> <li>• <b>2:</b> The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates.</li> <li>• <b>1:</b> The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.</li> </ul>	3	✓ 2 1 <b>Evidence</b> Section VII: multi-year work plan. Budget still need to be broken down by year.
<p><b>16. Is the Country Office/Regional Hub/Global Project fully recovering the costs involved with project implementation?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)</li> <li>• <b>2:</b> The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.</li> <li>• <b>1:</b> The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.</li> </ul> <p>*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.</p>	✓ 3 1 <b>Evidence</b> The project budget covers technical input, quality assurance and other direct project costing.	2
<b>EFFECTIVE</b>		
<p><b>17. Have targeted groups been engaged in the design of the project?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Credible evidence that all targeted groups, prioritizing discriminated and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.)</li> <li>• <b>2:</b> Some evidence that key targeted groups have been consulted in the design of the project.</li> <li>• <b>1:</b> No evidence of engagement with targeted groups during project design.</li> </ul>	3	✓ 2 1 <b>Evidence</b> Project design was consulted with relevant organizations including CSOs working on Social Protection but not directly engaged project target groups. Project strategy outlined actions to ensure target groups active



	participates in the design of package.	
<b>18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation?</b>	✓ Yes (3)	No (1)
<b>19. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.</b>	✓ Yes (3)	No (1)
*Note: Management Action or strong management justification must be given for a score of "no"		
<b>Evidence</b>		
<b>SUSTAINABILITY &amp; NATIONAL OWNERSHIP</b>		
<b>20. Have national/regional/global partners led, or proactively engaged in, the design of the project?</b>	3	✓ 2
<ul style="list-style-type: none"> <li>• <b>3:</b> National partners (or regional/global partners for regional and global projects) have full ownership of the project and led the process of the development of the project jointly with UNDP.</li> <li>• <b>2:</b> The project has been developed by UNDP in close consultation with national/regional/global partners.</li> <li>• <b>1:</b> The project has been developed by UNDP with limited or no engagement with national partners.</li> </ul>	1	
	<b>Evidence</b>	
	Consultations took place with gov't, UN and NGO partners during project design.	
<b>21. Are key institutions and systems identified, and is there a strategy for strengthening specific/comprehensive capacities based on capacity assessments conducted?</b>	✓ 3	2
<ul style="list-style-type: none"> <li>• <b>3:</b> The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection and adjust the strategy to strengthen national capacities accordingly.</li> <li>• <b>2:</b> A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment.</li> <li>• <b>1:</b> Capacity assessments have not been carried out.</li> </ul>	1	
	<b>Evidence</b>	
	The whole project aims at generating evidence and making case for a graduation model of social protection and its delivery mechanism to the government. This include capacity building on the management and delivery of the model by relevant government partners.	
<b>22. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?</b>	✓ Yes (3)	No (1)
<b>Evidence:</b> This is a DIM project most fund will be management under UNDP's rules and regulations. However, UNDP as an office is committed to full implementation of HACT framework which in the case fund is transferred to national partners, it will be managed under the national procurement and finance system.		
<b>23. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation and communications strategy)?</b>	✓ Yes (3)	No (1)
<b>Evidence:</b> The whole project aims at generating evidence and making case for a graduation model of social protection and its delivery mechanism to the government. The National Social Protection Council at MEF has been closely engaged. Once proven successful and accepted by the government, the model would be scale up in Cambodia (Project strategy section).		

## 2. **Social and Environmental Screening Template**

[English][French][Spanish], including additional Social and Environmental Assessments or Management Plans as relevant. (NOTE: The SES Screening is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences, preparation of communication materials, strengthening capacities of partners to participate in international negotiations and conferences, partnership coordination and management of networks, or global/regional projects with no country level activities).

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) and [Toolkit](#) for guidance on how to answer the 6 questions.

### Project Information

Project Information	
1. Project Title	Graduation-Based Social Protection (GBSP)
2. Project Number	TBA
3. Location (Global/Region/Country)	Cambodia

## Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

**QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?**

**Briefly describe in the space below how the Project mainstreams the human-rights based approach**

The Project's rationale is to promote the rights of the extreme poor, who suffer from considerable social and economic exclusion. As a pilot, its goal is the adoption by the national government at scale, of an asset-transfer social protection model, as opposed to the distinct delivery impacts. At core it is a human rights-based intervention, seeking to ensure participants, and beneficiaries of future schemes enjoy, permanent graduation from poverty and other forms of deprivation.

It adopts a randomized selection approach which aims to ensure the inclusion of all household groups (male and female headed, land-holding and landless, and from differing ethnicities). Its asset packages are also tailored to ensure all households can be included – with the final choice over the asset given to the participating households themselves. Efforts are made to ensure full transparency in project processes at the localities at which it will operate, and especially during selection. This includes oversight and consultation with local governments and communities. These arrangements will also include rights of access to information and (household) appeal.

**Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment**

While the project is household focussed (as poverty status is non-gender disaggregated), key features are embedded to promote gender quality within delivery. Notably:

1. A requirement that all cash payments are made to the most senior woman within the household;
2. Asset packages are tailored to meet the needs of female-headed households, and promote women's active participation within income generating activities (in all households), and field teams will seek to ensure women's engagement;
3. Randomized selection will also serve to remove any systemic gender biases in selection;
4. During the follow-on round, female-headed households can be prioritized more explicitly;
5. Training inputs will be sensitive to gender issues, and to the specifics of other disadvantaged households

Where possible, the project's M&E metrics are gender disaggregated, and end reporting required to evidence gender issues and mechanisms through which the (the follow on) round might be made more gender responsive.

**Briefly describe in the space below how the Project mainstreams environmental sustainability**

The Project recognizes that its pilot activities, involving the transfer of agricultural assets (including livestock) to poor households, present certain environmental challenges.

Foremost, it is underlined that all asset bundles have been selected (in concert with expert partners) to provide a good fit with existing farming practices in Cambodia. They also aim to use neutral inputs, which are field tested.

Throughout the project, efforts will be made to ensure effective management and oversight of disease and sanitary risks. Qualified partner organizations, notably FAO will be involved in these efforts.

Additionally, environmental screening will take place at two stages:

1. Thoroughgoing assessments (at various sites) as part of the locality selection process having explicit regard to 7 challenges set out within the guidance, specifically bio-diversity impacts.
2. Rapid checks on screening and allocation of the assts to participant households.

These will be followed up during the trial. The major assessment will be revisited after the RCT and household practices will be monitored throughout the trial.

## Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>		QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>		QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Risk 1: The Project could lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups.	I = N/A P =	No risks		
Risk 2: There is a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups.	I = 2 P = 3	Low/ Moderate	Some issues re: RCT selection & use of nil control group	Inequality may result within communities, given use of RCT & a nil intervention group. Can be counteracted by undertaking trial arms at different locations & providing a possible route to inclusion within (later) treatment group (without any guarantee).
Risk 3: The Project could potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	I = N/A P =	No risk		
Risk 4: There is a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them.	I = 1 P = 3	Low	Systemic exclusion from ID poor possible	Weaknesses in the national poverty identification system may need to be corrected via additional screening processes.
Risk 5: There is a risk that duty-bearers do not have the capacity to meet their obligations in the Project.	I = N/A P =	No risk		
Risk 6: Is there a risk that rights-holders do not have the capacity to claim their rights	I = N/A P =	No risk		

Risk 7: There is a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls	I = N/A P =	No risk		
Risk 8: The Project would potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits	I = 1 P = 3	Low	Potential for HH decisions to be led by male head	Danger that gender biases are replicated in project supported livelihood activities. Use of staff advice/ guidance as countermeasure, with BCC inputs.
Risk 9: The Project would potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	I = N/A P =			
Risk 10: The Project could potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services	I = 1 P = 1	Low	Dangers of poor animal husbandry / cropping practices	Danger that HH farmers lack capacity to manage impacts of livelihood activities. Effective training & support is key counter measure. Important HH environmental assessment also guides management of assets.
Risk 11: The Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods	I = 1 P = 1	Low	Ditto	Ditto
Risk 12: The Project activities would pose risks to endangered species	I = N/A P =	No risk		
Risk 13: The Project involve the production and/or harvesting of fish populations or other aquatic species	I = 2 P = 5	Moderate	Project includes fishing option for poor HHs	Risk (in question) is not clear. Is there a prohibition on fishing per se? If so, this asset bundle can be removed. Harvesting impact is not strong however, given these are small-scale activities.
Risk 14: The Project would generate potential adverse transboundary or global environmental concerns	I = N/A P =	No risk		
Risk 15: The Project would result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area	I = N/A P =	No risk		
Risk 16: The potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change	I = N/A P =	No risk		
Risk 17: Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)	I = N/A P =	No risk		
Risk 18: The elements of Project construction, operation, or decommissioning would pose potential safety risks to local communities?	I = N/A P =	No risk		
Risk 19: The Project would pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials	I = 1 P = 1	Low	Some potential sanitary issues around animal husbandry	Sanitary control & HH support are effective counter measures
Risk 20: The failure of structural elements of the Project would pose	I = N/A	No risk		

risks to communities (e.g. collapse of buildings or infrastructure)	P =			
Risk 21: The proposed Project would be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions	I = N/A P =	No risk		
Risk 22: The Project would pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning	I = N/A P =	No risk		
Risk 23: The Project involve support for employment or livelihoods that may fail to comply with national and international labour standards (i.e. principles and standards of ILO fundamental conventions)	I = 1 P = 1	Low	Informal worker status not changed	HHs would be engaged in informal work, which already not a desired end-state is preferred over poverty.
Risk 24: The proposed Project will result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)	I = N/A P =	No risk		
Risk 25: The Project would possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)	I = N/A P =	No risk		
Risk 26: There is a risk that the Project would lead to forced evictions	I = N/A P =	No risk		
Risk 27: The proposed project would possibly affect land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources	I = N/A P =	No risk		
Risk 28: The project would potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts	I = 1 P = 1	Low	Some potential for release of fertilizer	Will be limited by use of low impact fertilizer & HH training/ support.
Risk 29: The proposed project would potentially result in the generation of waste (both hazardous and non-hazardous)	I = N/A P =	No risk		
Risk 30: The proposed project will potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?  <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	I = N/A P =	No risk		

QUESTION 4: What is the overall Project risk categorization?		
Select one (see <a href="#">SESP</a> for guidance)		Comments
<i>Low Risk</i>	<input type="checkbox"/>	
<i>Moderate Risk</i>	<input checked="" type="checkbox"/>	Rights challenges given by RCT method; specifically, potential equity/ community cohesion issues.  Some further (environmental) issues associated with livestock assets, and arable farming.  However, all can successfully be countered by the existing project design.
<i>High Risk</i>	<input type="checkbox"/>	
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
Check all that apply		Comments
<i>Principle 1: Human Rights</i>	<input checked="" type="checkbox"/>	Some questions over use 2 treatment and a (nil) control group, and potential inequities. Needs some review and ongoing management, but effective counters are specified in the project design.
<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input checked="" type="checkbox"/>	Need to avoid embedded male bias. Counter measures in place.
<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input checked="" type="checkbox"/>	Danger of animal impacts, and fertiliser contamination. Support and oversight provide adequate counters
<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>	
<i>3. Community Health, Safety and Working Conditions</i>	<input checked="" type="checkbox"/>	Minor issue over informality of work. Cannot be avoided in this connect however.
<i>4. Cultural Heritage</i>	<input type="checkbox"/>	
<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>	
<i>6. Indigenous Peoples</i>	<input type="checkbox"/>	
<i>7. Pollution Prevention and Resource Efficiency</i>	<input checked="" type="checkbox"/>	Danger of fertilizer escape. Effectively countered, however.

### Final Sign Off

Signature	Date	Description
QA Assessor:		Richard Marshall, Country Economist, UNDP KH
QA Approver:		
PAC Chair		

3. Risk Analysis. Use the standard [Risk Log template](#). Please refer to the [Deliverable Description of the Risk Log](#) for instructions

<b>Project Title:</b> Graduation-based Social Protection Pilot	<b>Award ID:</b>	<b>Date:</b> 14 <sup>th</sup> August 2019
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#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Under mobilization of project resources or funds are delayed	August 2019	Financial	P = 2, Medium I = 3, Medium	RTF and UNDP funds obtained. Re-double efforts with DPs to obtain additional funds. Frontload funding. Pre-Identify possible savings & carry-out effective cost management	CO RR/ DRR Programmes Unit, PIU	PIU	August 2019	No change, P&I reduced as RTF agreed
2	Need for strong official commitment	August 2019	Operational Political	P = 1, Low I = 5, High	Operates at 2 levels: (1) National – with DMDCSAA & NSPC provisionally agreed, will seek formal endorsement; (2) Local build relationships, & seek DMDCSAA support.	CO RR/ DRR, PIU, Programmes Unit, Project Team	PIU	December 2019	National partner support obtained
3	Adverse economic conditions	August 2019	Environmental Financial	P = 2, Medium Low I = 3, Medium	Maintain watching brief & forecasting – with NIS, MEF (noting KH growth is strong). Train Project Team with response skills.	PIU, UNDP, Project Team	PIU	August 2019	No change
4	Adverse environmental conditions	August 2019	Environmental Financial	P = 3, Medium I = 3, Medium	Obtain TA from EWS colleagues. Regular forecasting. Carry-out scenario plan for impacts. Equip. Project Team with response & recovery key skills.	PIU, Project Team	PIU	August 2019	No change

**4. Capacity Assessment:**

Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)

***Not applicable currently - but may be required if/ when NGO/ CSO partners join the project. This will be kept under review and completed as necessary.***

**5. Project Board Terms of Reference and TORs of key management positions**

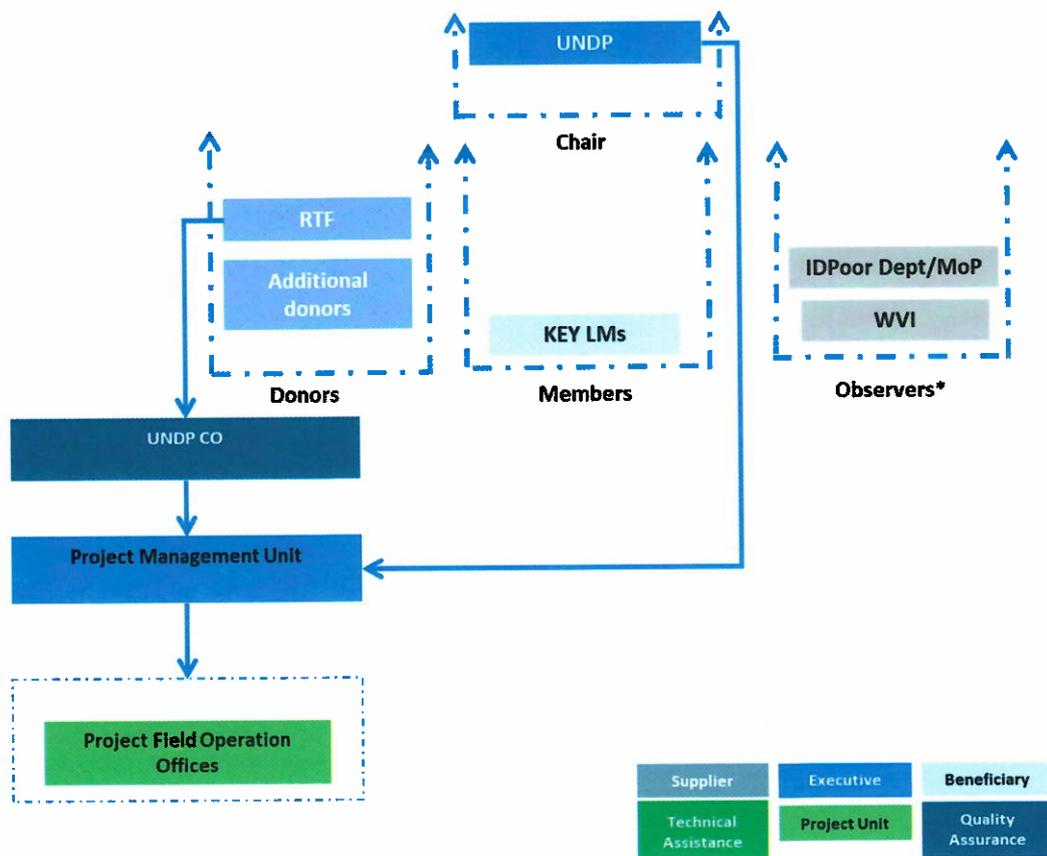
**(a) Project Board**

**TERMS OF REFERENCE OF THE PROJECT BOARD**

**GRADUATION-BASED SOCIAL PROTECTION PROJECT (GBSP)**

The Graduation-Based Social Protection Pilot Project will be guided by a Project Board. Other than UNDP officials and staff, the Project Board will consist of a core of permanent board members and development partners participating in their individual capacity from the National Social Protection Council Secretariat (NSPC -S) of the Ministry of Economy and Finance (MEF) Key lines ministries/agencies, the representative of the Russia Trust Fund/ Russian Embassy, , and any other forthcoming donors. The Poverty Identification Department of the Ministry of Planning, and National Committee for Democratic Development-Secretariat (NCDD-S) will serve as observers and the status may be extended as the situation so demands to: individual persons from the United Nations Agencies, Civil Society Organizations and other relevant stakeholders as the permanent project board members where see fit.

**PROJECT BOARD COMPOSITION:**



*\* To be confirmed*

The Project Board is responsible for making by consensus management decisions when guidance is required by the Executive and chair of the board. In order to ensure UNDP's ultimate accountability, the decisions of Project Board should be made in accordance to standards that shall ensure best value for money, fairness, integrity transparency and effective international competition. In the case where a consensus cannot be reached in the Project Board, the final decision shall rest with UNDP which is accountable to the Government for the execution of the Project. Project Board Meeting will take place at minimum once a year, or as necessary when raised by the Project Management Specialist (Project Manager) or one of the Board members.

The Project Board may review and approve project Annual Work Plan (AWP) when required and authorises any major deviation from these agreed AWP. It is the authority that signs off the completion of each AWP as well as authorises the start of the next year of the project activities. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the project and external bodies.

### **KEY RESPONSIBILITIES OF THE PROJECT BOARD:**

1. Provide strategic guidance based on the principles, strategies and cross-cutting issues for the identification of priorities to be tackled by the project;
2. Support resource mobilization with relevant donors and development partners; Review and endorse annual work-plans developed by the leadership of the Project Management Specialist;
3. Ensure strategic harmonization and coordination between complementary initiatives happening in country;
4. Provide guidance and review progress against approved work-plans; and
5. Review evaluations/review findings and recommendations of the project.

## (b) Senior staff: Project Manager (SB5)

### I. Position Information

Job Title:	<b>Project Management Specialist</b>
Type of Contract:	Service Contract
Grade:	SB5
Reports to:	Country Economist
Duty Station:	Phnom Penh

### II. Background

Over the past two decades, Cambodia has realized striking rates of economic growth (of around 7%-8% per year), accompanied by a persistent decline in poverty levels and improvements in human development. As such, growth has been exceptionally inclusive, with initially rising levels of income inequality falling back in recent years. Millions have been lifted out of poverty.

However, a hard core and increasingly hard to reach group of extreme poor remain. Due to their circumstances and characteristics, economic growth alone is unlikely to succeed in lifting these households out of poverty - and hence realizing the eradication of poverty and hunger (as per SDGs 1 and 2). A large proportion of the (non-poor) population is positioned just above the poverty line and is highly vulnerable to income shocks. Moreover, vulnerability has risen inexorably, and a large proportion of the population now living just above the poverty line. Disparities in human development levels and incomes between geographical areas, specifically urban and rural remain sizeable. Going forward, a series of pressures stemming from Cambodia's progression as a Middle-Income Country (MIC), will also place stress on its development model and give rise to new sources of inequality. Therefore, a key challenge which the country faces is how to ensure continual yet "high quality" and "inclusive" growth in a manner that fully incorporates Sustainable Development Goals (SDGs).

The Royal Government of Cambodia (RGC) is implementing the National Social Protection Policy Framework (NSPPF). Led by the National Social Protection Council within the Ministry of Economy and Finance (MEF), this includes ambitious proposals to establish basic social assistance systems. UNDP has pitched graduation approaches as a key, and these were well-received. It is underlined that in addition to addressing SDGs 1 and 2, these programmes have proved effective in reducing inequality (SDG 10) and promoting Good health and wellbeing (SDG3).

Since 2017, UNDP has been researching and promoting the concept of graduation-based social protection in Cambodia. These are programmes that transfer assets to the poor as opposed to cash alone, enabling households to boost their own incomes and secure a lasting exit from poverty. UNDP's research has included an in-depth economic analysis using modelling techniques, published in 2018, which showed these schemes can reduce poverty and boost the wider economy. In the current year, UNDP is undertaking a fiscal assessment to test their affordability of and developing detailed proposals for a large field pilot of a graduation-based scheme in rural Cambodia. This proposal aims to secure resources for that pilot. The objective is to evidence the possible adoption of graduation-based programmes nationwide.

UNDP is the UN's global development network, connecting countries to knowledge, experience and resources to help people build a better life. UNDP in Cambodia works to help create sustainable and inclusive prosperity, strengthen environmental protection, adapt to and mitigate climate change, and to improve governance and participation. Our overarching aim is to support the progress towards the Sustainable Development Goals (SDGs). UNDP works in partnership with the Royal Government of Cambodia, non-government organizations, civil society and community-based organizations, multilateral aid agencies, bilateral donors and private firms.

### III. Functions / Key Results Expected

The Project Management Specialist/Project Manager will work under the overall guidance of the Country Economist, and the day-to-day work closely with the National Economist, Policy Analyst, and other team members in the UNDP Socio-Economic Team. The Project Management Specialist will be managing the Graduation-Based Social Protection Project (GBSP) which is a three years pilot project.

In this role the Project Management Specialist will be responsible for project management ensuring quality and results by:

- Overseeing and managing the GBSP Project and the project team on day-to-day basis;
- Managing partnerships, policy, and advocacy efforts;
- Overseeing monitoring and evaluation activities of the project; and
- Facilitating knowledge management and sharing.

#### 1. Oversee and manage the project on day-to-day basis

- Lead strategic planning, performance monitoring and major project decisions for the graduation-based social protection project;
- Manage the project team, results –orientation and accountability for project results;
- Lead the development of annual project work plans, delivery targets and guide the teams to achieve the targets;
- Set direction for the teams including roles and responsibilities, accountability and reporting ensuring that the work of the teams is conducted in accordance with UNDP's relevant business processes and that high – quality outputs are delivered on time;
- Guide the projects' staff to perform project oversight, quality assurance, monitoring, reporting, field missions, audits, evaluations, formulations and project support services providing day-to-day guidance by enhancing team work within the project and with national stakeholders;
- Monitor the progress on agreed results framework and performance indicators and take action/decision and/or provide timely support to project staff;
- Undertake performance management of staff including establishment of annual results, on-going feedback and mid-term and final evaluations in line with UNDP Rules and Regulations;

#### 2. Manage partnerships, policy, and advocacy efforts

- Provide policy and strategic advice to UNDP and the project team to strengthen and scale up the partnership with the key RGC counterparts, and foster/enhance collaboration with other relevant Government bodies by building synergies and complementarities with Government counterparts and national partners;
- Contribute to seek and identify additional partnership and funding opportunities, and prepare concept notes, funding proposals, donor briefing and presentations in support of resource mobilization to advance UNDP's and the project goals;
- Mobilize, foster and strengthen strategic partnerships with private sectors, private foundations and other relevant multilateral and bilateral organizations to advance and support the projects' objectives;
- Establishes strong ties to and with national programmes, and relevant sectoral strategies, priorities and plans;
- Lead the analytical and policy development work of the project team;

#### 3. Oversee Monitoring and Evaluation activities of the project

- Ensure close financial and procurement oversight and monitoring of all activities of the project;
- Set direction for monitoring and evaluation priorities in accordance to UNDP rules and regulations;
- Guide development of overall monitoring and evaluation systems for the project and put mechanisms in place for proper and timely reporting;
- Lead quarterly review meetings and annual project reviews by monitoring the progress of project implementation, assessing results and identifying areas of weaknesses to ensure the project achieves the planned results in accordance with relevant plans;
- Monitor and manage any strategic risks/issues facing the project; submit new risks/issues to the Board for consideration and decision on possible actions if required; update the status of these risks/issues by maintaining the Project Risks/Issues Log;
- Evaluate all key project deliverables, as well as final product to ensure traceability of requirements, high quality and client acceptance.

#### **4. Facilitate knowledge management and sharing**

- Ensure regular assessment of strategic, implementation, action plans identifying areas of emphasis to guide project improvements and future plans;
- Use sound judgment in all project communication and ensure that project communication meets needs of different audiences (government, private sector and so forth)
- Manage stakeholder expectations and participate in communication activities to inform stakeholders of progress and issues;
- Establish and maintain a friendly internal communication system to ensure smooth communication among and between the project partners;
- Lead the process of knowledge creation and dissemination related to national, regional and global know-how in the areas of project focus including sustainable urban development;
- Contribute to the development and maintenance of the programme knowledge networks and practices and development of knowledge products; and
- Represent the projects with donors, governments and national and international forums.

#### **IV. Impact of Results**

The intended impact would be better-informed policies and investment decisions through development and public partnership for instance in support of Cambodia poor households lifting them up above the poverty line – using the Graduation-Based Social Protection Model.

#### **V. Competencies**

##### **Core Competencies:**

- Promoting Ethics and Integrity / Creating Organizational Precedents
- Building support and political acumen
- Building staff competence, Creating an environment of creativity and innovation
- Building and promoting effective teams
- Creating and promoting enabling environment for open communication
- Creating an emotionally intelligent organization
- Sharing knowledge across the organization and building a culture of knowledge sharing and learning
- Fair and transparent decision making; calculated risk-taking

## **Functional Competencies:**

### Advocacy / Advancing Policy Oriented Agenda: preparing information for advocacy

- Identifies and communicates relevant information for a variety of audiences for advocating UNDP's mandate
- Maintains a functioning network of contacts with a variety of stakeholders to promote a better understanding of UNDP's mandate and to support advocacy efforts

### Results-based Programme Development and Management: Contributes into results through primary research and analysis

- Assesses project performance to identify success factors and incorporates best practices into project work
- Researches linkages across programme activities to identify critical points of integration
- Monitors specific stages of projects/programme implementation
- Analyses country situation to identify opportunities for project development
- Participates in the formulation of project proposals and ensures substantive rigor in the design and application of proven successful approaches and drafts proposals accordingly

### Building Strategic Partnerships: Maintaining a network of contacts

- Maintains an established network of contacts for general information sharing and to remain up-to-date on partnership related issues
- Analyses and selects materials for strengthening strategic alliances with partners and stakeholders
- Establishes and nurtures positive communication with partners

### Innovation and Marketing new Approaches: Enhancing processes or products

- Generates new ideas and proposes new, more effective ways of doing things
- Documents and analyses innovative strategies/best practices/new approaches
- Documents bottlenecks, problems and issues, and proposes effective solutions
- Embraces new approaches

### Resource Mobilization: Providing inputs to resource mobilization strategies

- Analyses information/databases on potential and actual donors
- Develops a database of project profiles. Identifies opportunities for project proposals for presentation to donors

### Promoting Organizational learning and Knowledge Sharing: Basic research and analysis

- Generates new ideas and approaches, researches best practices and proposes new, more effective ways of doing things
- Documents and analyses innovative strategies and new approaches
- Identifies and communicates opportunities to promote learning and knowledge sharing
- Develops awareness of the various internal/external learning and knowledge-sharing resources

### Job Knowledge and Technical Expertise: Fundamental knowledge of own discipline

- Understands and applies fundamental concepts and principles of a professional discipline or technical specialty relating to the position
- Possesses basic knowledge of organizational policies and procedures relating to the position and applies them consistently in work tasks
- Identifies new and better approaches to work processes and incorporates the same in his/her work
- Analyses the requirements and synthesizes proposals
- Strives to keep job knowledge up-to-date through self-directed study and other means of learning
- Demonstrates good knowledge of information technology and applies it in work assignments

- Demonstrates in-depth understanding and knowledge of the current guidelines and project management tools and utilizes these regularly in work assignments

### **Organizational Leadership and Direction**

#### Global Leadership and Advocacy for UNDP's Goals: Preparing information for global advocacy

- Identifies and communicates relevant information for advocacy for UNDP's goals for a variety of audiences
- Maintains a functioning network of contacts in the media and civil society, to promote a better understanding of UNDP's mandate and to support advocacy efforts
- Identifies and takes advantage of opportunities for advocating for UNDP's mandate

#### Client Orientation: Establishing effective client relationships

- Researches potential solutions to internal and external client needs and reports back in a timely, succinct and appropriate fashion
- Organizes and prioritizes work schedule to meet client needs and deadlines
- Establishes, builds and sustains effective relationships within the work unit and with internal and external clients
- Actively supports the interests of the client by making choices and setting priorities to meet their needs
- Anticipates client needs and addresses them promptly

## **VI. Recruitment Qualifications**

Education:	<ul style="list-style-type: none"> <li>• Master's Degree in economics development, political science, development studies, or related fields;</li> </ul>
Experience:	<ul style="list-style-type: none"> <li>• At least 5 years of experience in managing, implementing and monitoring development projects;</li> <li>• Expertise and proven track record in building partnership and development financing;</li> <li>• Sound liaison, negotiation and representational skills in local and international levels;</li> <li>• Experience in working with social protection project and networking with national and international stakeholders preferably in Cambodia;</li> <li>• Familiarity with procedures of the UN and donor agencies is a strong asset;</li> <li>• Commitment to and skills of knowledge management and capacity development.</li> </ul>
Competencies:	<ul style="list-style-type: none"> <li>• Knowledge of graduation-based social protection/CGE modeling is a strong asset;</li> <li>• Sound knowledge and interest in poverty and sustainable development concept;</li> <li>• Ability to formulate investment case/proposal</li> <li>• Ability to work with multi stakeholders (private sector, government, development partners and civil societies)</li> </ul>
Language Requirements:	Fluency in spoken and written Khmer and English