

**Project Title:** Inclusive Governance for Service Delivery and Social Accountability**Project Number:** 00110110**Implementing Partner:** UNDP**Start Date:** 1-Jul-2018**End Date:** 30-June-2020**PAC Meeting date:** 30 Mar 2018

Brief Description

<p>The Inclusive Governance for Service Delivery and Social Accountability Project is established building on the achievements and lessons learned from the previous Association of Councils Enhanced Services (ACES) Project in which UNDP helped to establish and build the capacity of 25 Provincial Associations of District, Municipality, Khan, Commune and Sangkat, the National League of Local Councils, the National Association of Capital and Provincial Councils and their Joint-Secretariat (ASAC-S). The interests of sub-national administration councils and citizens have been promoted and voiced out through deploying constructive methods for advocacy of clearly defined needs and demands.</p>
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<p>Despite these significant achievements, there remain challenges that are highly likely to hinder the sustainability of these independent local institutions, their members, and the interests of their constituencies. Generally, although many progresses have been made in terms of policy adoption, and organizational setups at the sub-national level, Cambodia's decentralization reform has made limited progress in the areas of functional and resource assignment. Specifically, on the issue of capacity development for sub-national administrations, despite huge investment, the current modality which relies heavily on training has not been effective. Engagement of citizens has been promoted under the decentralization, but so far, the quality of such partnership is still in question, especially among vulnerable groups, including youth, women and persons with disabilities.</p>
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<p>One particular gap in the current decentralization reform agenda is its limited focus on urban issues. Fast urbanization has led to many urban service delivery challenges, one prominent of which is solid waste management (SWM). This issue is alarming not only in the Capital and key secondary cities, but also specific rural areas where population size and economic activities have been fast growing. Poor SWM affects disproportionately environmental and health status of those living in poor communities and urban-peripheries. Poor SWM also affects women more compared to men, given that women are usually the ones who take care of household's waste, work as small market and street vendors, and live in rental house areas as migrant workers.</p>
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<p>One of the noticeable responses to the issue of SWM was the decision by the Government in 2015 to transfer SWM service delivery function from the Ministry of Environment (MoE) to District and Municipality (DM) (together with commune/Sangkat (CS) level. While this is a positive move, existing assessment suggests that the implementation of the policy has been partial and uneven. The roles and responsibilities of DM/CS versus other stakeholders (including private contractors) still need clarification, enforcement of specific rules (such as fine) are still pending, the issue of funding transfer and budget management at the sub-national level keeps coming up, and more importantly, it is unclear how local citizens should be engaged in an urban setting, with relation to urban-focused services such as SWM.</p>
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<p>To help address these issues, the two-year Inclusive Governance for Service Delivery and Social Accountability project seeks to continue improving the capacity of local administrations and citizen engagement in selected geographical areas through the introduction and implementation of certain local service delivery models which better reflect local needs, local initiatives, key national policies and</p>

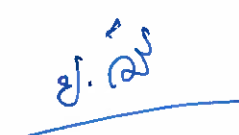
regulations and which can be up-scaled and used as evidence for further policy discussion. The project will use SWM function as an illustrative case for promoting better governance of service delivery and enabling function of local governments to address local service needs. The project will also explore opportunity of south-south cooperation with other countries in the Asian region that have rich experiences in term of decentralized service delivery, including that in urban setting.

The project commits to achieving the following outputs:

- **Output 1 – Capacity development on local service delivery for DM/CS:** DM/CS administrations in 3 target areas (Stueng Treng Municipality (Stueng Treng province), Ang Snuol District (Kandal province), and Kampong Trorlach District (Kampong Chhnang province)) will have a better understanding about their generic roles and be more able in performing specific service delivery functions, here being the SWM. In doing that, selected DM/CS will develop and implement their own models of SWM in ways that benefit local citizens, including women, youth, and other vulnerable groups.
- **Output 2 – Citizen engagement and accountability:** Local citizens, including vulnerable groups, will be better informed and engaged in the planning and execution of the service delivery and more able in demanding more accountability from responsible agencies (including concerned private sectors).
- **Output 3 – Advocacy and communication:** Relevant national level agencies will be engaged, informed and gradually own the initiative and use the evidence produced for future scale-up, policy-discussion and experience sharing both within the country and beyond.

<p>Contributing Outcome (UNDAF/CPD):</p> <p>By 2018, national and sub-national institutions are more transparent and accountable for key public-sector reforms and rule of law; are more responsive to inequalities in enjoyment of human rights of all people living in Cambodia; and increase civic participation in democratic decision-making.</p> <p>Indicative Output(s) with gender marker²: GEN2</p>	Total resources required:		USD 359,962
	Total resources allocated:	UNDP TRAC:	USD 50,962
		Donor:	USD 309,000
		Government:	
		In-Kind:	
	Unfunded:		

Agreed by (signatures):

UNDP

For Nick Beresford, Country Director a. i
Date: 17.7.18

I. Background and rationales

Development challenges

Cambodia has achieved impressive economic growth over the past two decades, maintained its growth rate at seven percent on average, and has attained lower middle-income country status in 2016. To sustain the growth that is inclusive, equitable and environmentally conscious, Cambodia needs to focus on improving its governance system that is transparent, responsive and accountable and can reach out to the marginalized segments of the population. Local governments have been proven to be a strong interface between the central Government and local communities. Their proximity to people can ensure responsive service delivery, accountability and the inclusion of vulnerable group including women, youth, elderly, and persons with disabilities.

The decentralisation reforms in Cambodia which began in the 1990s aimed to shift powers, decision making, and service delivery responsibility from the central Government to local authorities that are closer to people, are elected by and are more accountable to their constituencies. Despite the achievements made so far in the last two decades, including the election of sub-national councils, the establishment and enactment of structures, systems and regulatory frameworks, decentralization in Cambodia remains an “unfinished agenda”. The organizational and individual capacities of local councils and councillors, elected every five years, to deliver services and to meaningfully interact and engage local people need further improvement. At the same time, local citizens also need to be more aware of their rights, more engaged and able to demand accountability from their local government.

On the capacity development, as indicated in the 3 Year-Implementation Plan Phase III (IP3-III), many policies and programs/projects have been implemented. A recent assessment however suggests that, despite huge financial investment, the current modality which relies heavily on training has not been effective and that a more ‘learning by doing’ or ‘on-the-job-training’ approach should be used. This suggests the need for more functional assignment, together with necessary resources.¹ On citizen engagement, the Social Accountability Framework (referred to as ISAF) has been initiated since 2014 using specific tools and process to promote citizen engagement in specific local service delivery, namely, primary education, health and commune services. However, ISAF is still rural focused and its impact is yet to be proven, although at the process and out-put level, specific positive elements have been proven and ready for replication.² NCDD has also adopted a new Communication Strategy to ensure a more effective outreach to local citizens and other stakeholders through various means, including social media and other modern ICT technologies.³ The Strategy however still needs to be operationalized and its impact measured.

Inclusiveness is considered important in the IP3-III. Vulnerable groups including women, youth, children, elderly and persons with disabilities are given explicit attention.⁴ While this is much appreciated, especially in the context of the ‘No One Left Behind’ agenda of the Sustainable Development Goals (SDGs), there is one specific gap in the current decentralization policy, and that is its limited urban focus. Propelled by economic growth and migration, Cambodia has experienced rapid urbanization, leading to various urban governance challenges and new form of urban vulnerability. In term of service delivery, solid waste management (SWM) has been consistently identified as one of the main challenges in existing reports and key informants.⁵ This issue is alarming not only in the Capital and key secondary cities, but also specific rural areas where population size and economic activities have been fast growing. Poor SWM affects disproportionately environmental and health status of those living in poor communities and urban-peripheries.⁶ Poor SWM also

¹ NCDD (2017). Three years implementation plan IP3-III

² ADB (2017). Cambodia: Process Audit, Implementation of Social Accountability Framework (I-SAF)

³ NCDD (2017). Communication strategy for SNDD

⁴ NCDD (2017). Three years implementation plan IP3-III

⁵ See for instance World Bank (2017) on Urban Development in Phnom Penh

⁶ UN Cambodia (2018). Common Country Assessment (CCA) for UNDAF preparation

affects women more compared to men, given that women are usually the ones who take care of household's waste, work as small market and street vendors, and live in rent house areas as migrant workers.⁷

Despite the growing urban issues, the current decentralization reform is still largely rural-focused. One of the few exceptions, however, is the decision by the Government in 2015 to transfer SWM service delivery function from the Ministry of Environment (MoE) to District and Municipality (DM) level.⁸ While this is a positive move, existing assessment suggests that the implementation of the policy has been partial and uneven. The roles and responsibilities of DM versus other stakeholders (including private contractors) still need clarification, enforcement of specific rules (such as fine) is still pending, the issue of funding transfer and budget management at the sub-national level keep coming up, and more importantly, it is unclear how local citizens should be engaged in an urban setting, with relation to urban-focused services such as SWM.⁹

Under the decentralization reform, numerous policies and guidelines have been adopted and imposed on the sub-national level to implement. But the evidence on how they have been implemented and scaled-up (where applicable) has not well documented and channelled back to those in charge of policy formulation and adjustments. This has led to many missed opportunities where practical challenges and lessons learned on-the-ground can be used to advocate for policy changes at the national level. Within the context of regional knowledge sharing and South-South cooperation, also missed is the opportunity for Cambodian sub-national administrations to share what they have experienced with their peers in other countries who might have faced similar challenges. Vice versa, it is believed that local governance challenges in Cambodia are not unique and that there are many lessons to be learned from those other regional countries, particularly the lessons relating to urban local service delivery and civic engagement.¹⁰

UNDP Engagement

Over the past five years, UNDP helped to establish and build the capacity of 25 Provincial Associations of District, Municipality, Khan, Commune and Sangkat, the National League of Local Councils, the National Association of Capital and Provincial Councils and their Joint-Secretariat (ASAC-S). Trainings were provided to councillors, local administration staff and to the association staff on management, communication, and finance. Training tools specifically tailored for newly elected councillors and female councillors were also developed and tested, ready for scale up. The interests of sub-national administration councils and citizens have been promoted and voiced out through deploying constructive methods for advocacy of clearly defined needs and demands. For instance, 913 issues (related to education, sanitation, waste management, water, electricity, and the implementation of local projects) were raised through sub-national forums, 873 had been solved and 40 were submitted to discussion and decision at higher level of governance.

Despite these significant achievements, there remain challenges that are highly likely to hinder the sustainability of these independent local institutions, their members, and the interests of their constituencies. Local councillors are elected every five years. Very often, the first-time elected councillors require support in order to perform their functions. This is particularly true for councillors from remote communities and female councillors who have greater limitations due to their low education level and limited access to information. The joint Secretariat of the Associations of Subnational Administration Councils (ASAC) which was established with UNDP support in 2015 is tasked to represent their members (local councillors), to advocate for their members' interests, and more importantly to strengthen their members' capacities.

Another challenge to achieve transparent and inclusive local development, including improved local service delivery, is the commune councils' ability to engage with citizens. Civic engagement in the local development

⁷ Key informant interviews and field observations (May 2018)

⁸ RGC (2015). "Sub-Decree # 113 on Waste Management "

⁹ NCDDS, et al. (2015). Survey on the implementation progress of the SWM at DM level.

¹⁰ There are a few good regional networks on local governments and local service deliveries. Examples of such networks are Local Governance Initiative and Network (LOGIN) and Partnership for Democratic Local Governance in South East Asia (DELGOSEA).

process and service delivery responsiveness remains a foreign concept for most of Cambodia's local councillors who still view the governance system as patronage. Changing their perception toward a more engaging and democratic way of governance is ideal in the long-run. However, a quick win solution would be to equip them with a concrete step-by-step guidance on how to interact with their constituencies in the design and implementation of community development initiatives and to seek their constituencies' feedback and views to improve services.

UNDP also has a growing portfolio of work related to local service delivery – in solid waste, in social housing, local economic development – among other areas. Bring experiences from these works into efforts to support the de-concentration and decentralization agenda will be useful in sharpening local governance effectiveness and supporting service improvement. UNDP initiatives have trialled a number of service consultation and feedback devices, and promoted the enabling function of local governments to address local service needs. A particularly noteworthy area is that of solid waste management (SWM), where UNDP has engaged with central government and with the managements of Special Economic Zones to find creative solutions, and this might be transferred to local governments, and used as an exemplar for the governance of other local services. SWM is a source of particular national and local concerns in Cambodia.

II. Project objective and key outputs

The overall objective of the project is:

To continue improving the capacity of local administrations and citizen engagement in selected areas through the introduction and implementation of certain local service delivery models which reflect local needs, local initiatives, key national policies and regulations and which can be up-scaled and used as evidence for further policy discussion.

By '*continue improving*,' we mean certain part of the project's scope will involve continuation of certain activities that were implemented during the ACES, while the other are designed to reflect the project's new focuses, as well as emerging opportunities and constraints. By *capacity*, we mean not only at individual but also organizational level, and not just soft but also hard capacity around special service delivery arrangement. *Local administrations* in this project refer to both the DM and commune/sangkat (CS) level. However, as the DM has been identified as the main tier responsible for service delivery, more attention will be given to this level. The term '*administrations*' refers not only to the councils but also its administration/ executive part. On *local service delivery*, SWM in urban and semi-urban area is selected as an illustrative case. The selection reflects the growing challenges of urban service delivery and that fact that such issues have not received much attention so far from both the Government and development partners.

In line with the overall objective, the project proposes to achieve three related outputs:

Output 1 – Capacity development on local service delivery for DM/CS: Under this output, DM/CS administrations in target area will have a better understanding both about their **generic roles** and more able in performing specific service delivery functions, here being the SWM. In doing that, selected DM/CS will develop and implement their own models of SWM in ways that benefit local citizens, especially women, youth, and other vulnerable groups. The models will be developed in accordance with existing rules and regulations, reflect local needs, knowledge and innovations, and with support (mostly technical, but also financial) from the project. The expected models will also involve private sector actors.

Output 2 – Citizen engagement and accountability: Local citizens, including vulnerable groups, will be better informed and engaged in the planning and execution of the service delivery and more able in demanding more accountability from responsible agencies (including concerned private sectors). This outcome relates directly to the ISAF with two explicit value-additions: One, it will be a case of ISAF in urban and semi-urban areas, and two, it will focus on a different urban-focused service (i.e. SWM) whose characteristic is different from the three services included under the ISAF so far (namely, primary education, health, and commune services).

Output 3 – Advocacy and communication: Relevant national level agencies will be engaged, informed and gradually own the initiative and use the evidence produced for future upscaling and discussion at policy level. The key national agencies include the MoI, NCDD-S, MoE, MEF, and ASAC. Together with staff assigned from the project, these agencies work to support the implementation of the project and also to ensure that the evidence produced are documented and communicated to other local SNAs and used to discuss necessary policy adjustment and development.¹¹

III. Strategies

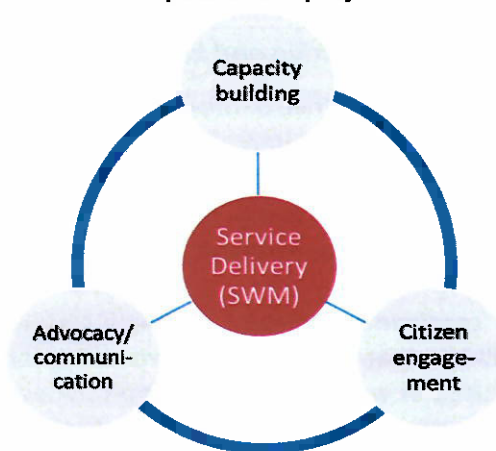
To ensure likelihood of success, the project through its various outputs needs to be coherent, practical, and participatory. As the project is essentially about building capacity and scalability of certain local service delivery models, it is important that the notion of learning by doing and sharing, communication, and policy-level engagement are built into its design and implementation. The following elaborates on these strategic considerations.

Synergy among the different components around concrete service delivery issues: The three components of the project are designed to complement one another around concrete service delivery arrangement, namely, SWM. By doing so, the project is strategically and managerially more coherent. More importantly, it will be perceived by key stakeholders as focused and concrete, something that will help incentivize them in working hard toward tangible and measurable outputs.

Capacity development through learning-by-doing and sharing. This is in line with the point about incentive and focus above. But it is also confirmed by the recent assessment on the capacity building practices within the whole SNDD/ IP3 framework¹² which found that ‘in-class’ training has been less effective in developing capacity building, harnessing available potential and improving performance. Instead, the assessment recommends ‘on-the-job’ training as a more effective approach. In this project, the SWM service will be a concrete job on which the selected D/M and C/S will work and learn from. The learning impact will also be maximized by having the practical lessons documented and shared to other local administrations in the country. More access to learning through digitalizing course and materials will also be considered.

Explicit attention to the issue of inclusiveness and vulnerability: The focus on vulnerability and inclusiveness is also found in key policies of the Government (e.g. SNDD, the social protection policy) and also the UN’s new CCA and UNDAF.¹³ The ISAF also identifies inclusion as one of the key limitations in its implementation since 2014.¹⁴ In the proposed project, the focus on vulnerable groups will have more urban and semi-urban orientation, including female and young migrant workers, those working informal sectors, and residents of urban poor communities where, as discussed earlier, access to basic services (especially SWM) has been a key challenge. The attention to inclusiveness and vulnerable groups is also reflected in other aspects of the project design (especially Component 2) as well as in the Monitoring and Evaluation (M&E) framework where disaggregate data by these groups will be developed and tracked for impact.

Figure 1: Synergy among the three main outputs of the project



¹¹ Key and relevant policies under the SNDD include those relating (but not limited) to: functional transfer, ISAF, inclusiveness, urban management, communication.

¹² NCDD-S (2017) Evaluation of capacity development practices for sub-national administrations

¹³ UN Cambodia (2018). Common Country Assessment (CCA) for UNDAF preparation

¹⁴ ADB (2017). Cambodia: Process Audit, Implementation of Social Accountability Framework (I-SAF)

Selection of target areas for maximum demonstrative effect: The proposed project, with its relatively small budget (please see later section), is sufficient to cover three urban/semi-urban DM, the specifics of which are discussed below. The three main criteria are (i) the extent to which SWM has been or become an urgent issue, (ii) the needs for capacity development needs of the local administration and citizen engagement in the selected areas, and (iii) the need for citizen engagement. On top of these is the level of commitment and readiness of the D/M and C/S in undertaking the service delivery with the support of the project. This last criterion is strategically important because it helps ensure that the project will be implemented successfully or at least to the extent that it can help produce credible experiences, which can be used for adjustment in the up-scaling and future policy development. In another word, we aim to maximize positive demonstrative effect from the selected cases.

Engagement with key national level agencies for effective implementation and advocacy and communication. This is the main rationale for the Component 3. National level agencies including NCDD-S and ASAC have been engaged since the design stage. It is planned that the same agencies, plus some newly identified (e.g. MoE and MEF) will also be involved during the implementation phase, playing critical roles in facilitating between sub-national and national levels, as well as documenting and sharing accumulated evidence and lessons learned. As such, the national agencies will contribute directly to the implementation of the project in target areas as well as to the advocacy and communication works to ensure future scale-up and policy changes.

Harnessing existing resources and new potentials. Resources here refer less to financial but other assets such as expertise, partnership and technology which are readily available or accessible to the project. Examples include UNDP's in-house expertise in SWM, existing partnership with UNDP, ASAC, NCDD-S, MoI, MoE and others, growing private sector involvement, potentially active engagement of youth and education institutions, as well as the broader improvement of information technology and high penetration of internet-based multi-media in Cambodia. The proposed project will identify practical but innovative ways to harness these potential assets.

IV. Target areas and partnerships

Target areas

Guided by the objectives and strategic considerations above, several rounds of key informant interviews at the national level and three fieldtrips were carried out to identify potential target areas. The key selection criteria, as noted earlier, include: (i) the extent of SWM has been an urgent issue, (ii) the needs for capacity development needs of the local administration and citizen engagement, (iii) need for citizen engagement, and (iv) commitment and readiness of the D/M and C/S administrations. As a result, three cases were identified and agreed upon by relevant stakeholders, including:

- **Stueng Treng Municipality (M)**, Stueng Treng province,
- **Ang Snuol District (D)**, Kandal province, and
- **Kampong Trorlach District (D)**, Kampong Chhnang province

Figure 2: Cambodia map by districts



The table below provides key relevant basic statistics about the three locations. What is to be noted is that while Stueng Treng is classified as urban, its population size and economic activities are less compared to the other two cases which are considered as rural. This is because the latter two are located near Phnom Penh where much economic action takes place. Another important point to note is that, because of its urban status, Stueng Treng has received more attention and support in term of SWM, while the other two have not. This explains why the percentage of households with access to garbage collection services by private service providers in Stueng Treng is much higher than the other two (22.8% compared to 3.2% and 1.6%). While the percentage in the two districts are low, it does not mean that there is no waste collection going on. Instead, based on our fieldworks, various private collectors have been operating in these locations, but with no clear recognition, contractual arrangement and very limited/unclear engagement from the DM/CS authority.

Table 1: Key data points of the three selected cases¹⁵

Key data points	Stueng Treng (M)	Ang Snuol (D)	K. Trolach (D)
Total households	6,791	19,188	9,644
Total population	32,725	92,574	40,319
% of houses with access to garbage collection services	22.8%	3.2%	1.6%
# of markets	5	13	6
# of goods/service providers beside market	783	1,244	312

The table below provides a summary of the key characteristics of the three cases in term of four selection criteria. First, all the three cases have SWM as an urgent issue, especially in the last five years which saw rapid rate of urbanization in all places. The identified SWM problems happen around market areas, along big roads, dumping facilities, and at household level. SWM have contributed directly to pollution, bad images and constant complaints by local citizens. Women are most affected by these negative impacts. Second, all the three, from the fieldwork interviews, are in need of capacity development assistance, both generic and specifically on SWM issues. Although at different stages, their individual and organizational capacity are considered inadequate compared the fast-mounting challenge of SWM in their localities.

Third, all the DM/CS in all the three cases raise the lack of citizen's awareness in SWM, their contribution and engagement as the main challenge. We have not interviewed people, but it is reasonable to take

¹⁵ The data is based on Community Database (CDB) for the year of 2016.

DM/CS's assessment into consideration, as it is well in line with daily observation and findings from existing studies.¹⁶ Fourth, the three have tried different solutions to the SWM issues in their localities and have had different experiences of success and failure. Stueng Treng, being a municipality, has gone the furthest among in implementing SWM services, while Ang Snuol is left far behind. Despite the variation in their readiness and experience, the fieldwork and key informant interviews indicate strong commitment and a sense of urgency among the concerned DM/CS administration to tackle the SWM, the sooner the better.

Table 2: Key characteristics of the selected cases¹⁷

Key characteristics	Stung Treng (M)	Ang Snuol (D)	K. Trorlach (D)
SWM as an urgent issue	High - especially in the last 5 years with more markets and tourists	High - as it is located close to Phnom Penh, with markets, businesses, rent-houses	High - as it is located close to Phnom Penh, with markets, businesses, rent-houses
Needs for capacity development of DM/CS	High - both in term of generic roles and responsibilities and in relation to SWM (both at individual and organizational level)		
Needs for citizen engagement	High – with lack of citizen's lack of awareness about SWM, their contribution and ability to hold DM/CS administration accountable		
Commitment and readiness of the DM/CS administrations	High commitment Readiness: Having been implementing SWM service since 2012, but face concrete challenge on how to make the service better	High commitment Readiness: Having developed a plan but still waited for decisions from higher level.	High commitment Readiness – Having reached the last stage of developing a concrete plan for SWM but has not proceeded since late 2017

Target groups

There are two target groups which are expected to benefit from this project:

- **Intended target group** include the households and small business persons who will have access to the SWM services initiated, provided and/or regulated by the target DM/CS authorities. As mentioned, for SWM services, women will benefit more than men, given that they are usually the ones taking care of household's waste, work as small street and market vendors, and live in rent-house areas as migrant workers. The exact number of the intended target group will be determined when the DM/CS prepare their workplan and in the planned baseline at the beginning of the project.
- **Other potentially affected group**, ideally, would include all the people in the target areas who will benefit from overall improvement in local services, SWM and others. However, based on the discussion with concerned SNA administrations and the experience of ISAF implementation (in other areas and on other services), a subjective but informed formula has been proposed to set a realistic number of this group to be at 30% of total local population.

Partnerships at sub-national and national level

Based on the key informant interviews and the fieldwork, a number of key potential partners are identified. A brief description of each one and why they should be partnered with in this project is presented in the table below.

Table 3: Potential partners for the project

Partners	Description and rationales
National level	
Mol, Department of Functions and Resource	The Department is responsible for ensuring effective implementation of the functions already transferred to SNAs. SWM is one of the recently transferred functions.

¹⁶ Please see for instance NCDD, et al. (2015). Survey on the implementation progress of the SWM at DM level

¹⁷ Fieldwork interviews (May 2018)

NCDD-S, Policy Analysis and Development Division	The Division is responsible for facilitating the functional transfer process, including the development of necessary policies.
MoE	After officially transferring the SWM functions to DM level, MoE is responsible for providing necessary technical support.
MEF	MEF plays critical roles in the transfer of budget earmarked for SWM functions, the set of fine amounts and the management of the collected fines. It also has important role in
ASAC	ASAC has a general mandate for developing capacity of SNAs throughout the country. It has also been engaged in SWM related project in the past and was an implementing partner during the ACES. It has also developed various regional networks with other local government, a network which can be useful for this project.
NGO	NGOs are potential partners in providing capacity development and the conduct of certain activities of the project such as awareness raising.
Sub-national level	
DM Administration	The DM is the main partner for the whole project. It is this level that the responsibility for delivering SWM service has been assigned, therefore it is the capacity at this level that needs to be built.
CS Administration	The CS will be engaged in the project through the DM level. Certain roles will be assigned to the CS as to be discussed during the model for SWM.
Provincial administrations and relevant line departments	This includes Line Department of Environment, of Economy and Finance, and a few others to be determined later on.
Local citizens	These are not only the direct beneficiaries of the project but also clients of the services to be provided. They are the target of most of the awareness raising and will play important roles in demanding accountability from the supply-side. In this project, vulnerable groups including women, youth, people with disabilities are given high priority.
Schools	School officials and student play the roles of both demand and supply side. They are particularly important for awareness raising and behaviour changes at the local level.
Private companies	It is very likely a large part of SWM service delivery will be delivered by a private collector whose performance will be monitored not only by local citizens who pay the fees but also the concerned DM administrations who act as regulator.

South-South and Triangular Cooperation (SSC/TrC)

The project will explore opportunity of south-south cooperation with other countries in the Asian region that have successfully introduced an e-governance platform to improve governance services to its citizens. Establishing a twinning arrangement with other local government associations and building direct twinning arrangements between Cambodian and local administrations elsewhere in Asia will also be pursued. UNDP regional office in Bangkok and UNDP Special Unit for South-South Cooperation will provide support to the country office and the Associations of Sub-national Administration Councils in the implementation of this cooperation.

Sustainability and Scaling Up

Scaling up and sustainability is the objective and the core strategies of the project which in turn get translated to specific activities discussed below. Specifically, to ensure that the proposed activities will be up-scaled and sustained over time, the following three considerations are particularly important:

- Emphasis on capacity development at both individual and organizational level: Examples of this include the project's plan to develop capacity of target DM/CS administration, the communities involved, development and testing of SWM models, etc.
- Alignment and advancement of existing policies and guideline: The possibility for scaling up and sustaining is more likely if the project align, contribute and improve on the existing policies and guidelines, this case include: the IP3-III, sub-decree #113 on SWM, and others.
- Importance of M&E, learning and demonstration effect: Proven concrete results which are well disseminated will help ensure more interest and buy-in from other DM/CS and the policy-making

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level. This strategic consideration is well reflected in our decision to select target site, the proposed engagement with various stakeholders (especially at the national level), and our emphasis on documentation and dissemination of lessons learned, both through conventional methods (i.e. meeting and workshop) and modern technologies (i.e. social media and multi-media sharing.)

V. Proposed activities

Reflecting the strategic consideration, a number of key activities are proposed to start-up the project and to achieve each of the state main outputs.

Project start-up activities

Activity 0.1. Develop the National Level Project Support and Coordination Team (PSCT): Unlike the Project Board, the PSCT is composed to more technical level officials from relevant agencies. Its main role is to provide necessary coordination and technical support where needed. This activity is suggested as a priority for the start-up of the whole project. It will involve a series of meetings, including that with: the MoI (Department of Functions under the General Department of Administration), the NCDD-S (Policy Unit, M&E Unit), MoE, MEF, and ASAC. The objective is partly to present the detailed design of the project (as elaborated in this document) but more importantly to get an agreement on how best to establish the PSCT. The PSCT should be created no later than 1 month after the project starts. The PSCT should be headed by a high technical level official from MoI, with representatives from other relevant ministries (MoE, MEF, and NCDD-S), ASAC, NGO partner and UNDP as members. Its main role is to monitor, get updates on implementation progress and challenges and help address those challenges which require intervention at the national/ ministerial level. For more information on the PSCT, please see Annex section.

Activity 0.2. Recruitment of key staff members and contractors. To be done internally by UNDP, the key staff members and contractors include: A Governance Specialist who will be working full time to facilitate the project implementation, a consultant who has strong expertise in SWM, a consultant team to conduct the baseline survey, and a contracted organization who will undertake the generic training for the DM/CS.

Activity 0.3. Hold project Inception Meeting. This is to start-off the project and explain its key objectives, outputs, strategies and other elements to relevant stakeholders.

Activities under Output 1

A number of key activities are proposed aiming at strengthening the capacity of concerned DM/CS generic understanding of their roles in local service delivery and in the area of SWM in particularly. The capacity will be at both individual and organizational level.

Activity 1.1. Capacity development need assessment of key officials in target areas. This will be done by UNDP together with the NGO and SWM expert contracted to deliver and support the capacity development activities, both the generic and on SWM in particular. The assessment can be done as a part of the Inception Meeting mentioned above.

Activity 1.2. Develop the SWM model for the target DM. This task is core to the whole project and needs to do with urgency and quality, i.e. within the first 3 months after the project officially starts. It will be an intensive collaborative work facilitated by UNDP, led by MoI, NCDD-S, ASAC, and participated by selected assigned officials from the target DM/CS. The model to be developed will be an improved version based on what has already been developed and experienced by the Government and the targeted DM/CS. The sub-activities expected are:

- Hold meetings to share experience on SWM and the roles of DM/CS
- Jointly develop a model for SWM at D/M level, including the necessary process and forms for enforcing the fine
- Each target D/M develops a concrete workplan to apply the model into their localities
- Get the approval from the national level on the model and workplans

- Develop a clear workplan detailing the roles, outputs, timeframe for each actor involved

Activity 1.3. Provide generic training to target DM/CS using innovative way, where possible. This activity is partly seen as the continuation of the work under ACES project, but the training content will also reflect the capacity development needs identified under Activity 1.1 above. The task will be done by the selected NGO partner. Two main sub-activities are expected: (i) refine/adapt the training materials on the generic roles and responsibility for DM/ CS level with a focus on key decision-making process and relationship among different actors, and (ii) conduct generic training to DM/CS in target areas with focus on service delivery and participatory planning, budgeting and accountability. More access to learning through digitalizing course and materials will also be considered.

Activity 1.4. Provide trainings on SWM service delivery to target DM/CS. This activity is directly related to the one above in the sense that, within the generic frame of the DM/CS roles and responsibilities, it zooms on specific service delivery mandate (i.e. SWM). As such, it will be conducted as a part of the same training session for the target DM/CS. The objective is to inform concerned officials in the target areas about the agreed-upon SWM model and workplan so that each has a clear understanding of their roles during the project implementation. The established Project Coordination and Support Team and the recruited SWM expert is expected to play important roles in developing the training material and deliver the training. The activity is expected to be conducted during the 2nd quarter of the project life cycle.

Activity 1.5. Provide regular technical support to target DM/CS. This activity will be done jointly through the PSCT, with the SWM Expert and UNDP's Governance Specialist playing active roles facilitating it. The detailed workplan on how this will be produced to reflect the identified capacity development needs and sub-sequent discussions with the target DM/CS.

Activity 1.6. Provide financial support (in cash and in-kind) for the implementation of SWM project to the target DM/CS. This will be done in line with the detailed workplan proposed by each DM during the early phase of the project. The UNDP team will be responsible for figuring out how the financial support will be done, with accordance with all the rules and regulations.

Activities under Output 2

Activity 2.1. Develop a Citizen Engagement Tool based partly on the existing ISAF. As discussed earlier, ISAF is a comprehensive tool for promoting citizen engagement and accountability. However, its detailed step and process has been mainly applied to rural areas and three specific services, namely: primary education, primary health, and commune services. That said, it is expected that certain features of the existing ISAF are still applicable for this project and therefore will be used to develop a Citizen Engagement Tool which is more suitable for SWM in urban and semi-urban setting. A consultant will be recruited to develop such tool. Necessary training will be provided to DM/CS administration, private sector and citizens in the target areas on how to implement them. It is suggested that this activity be done in the 2nd quarter of the project. As indicated below, the developed Citizen Engagement Tool will be used to guide the various project-activities related to public awareness-raising and accountability.

Activity 2.2. Develop awareness raising materials for people with regard to SWM. Tentatively, this will include general knowledge on why SWM is important, the roles of the citizens, and what they can expect from their local representatives to delivery related services, including the possible enforcement of fines. In another word, people will be informed of both their rights and obligations. The content will be developed partly to reflect the communication mediums (e.g. posters, social media) that will be used. The materials will be developed by a contracted agency, but in close consultation with relevant stakeholders including the target SNAs.

Activity 2.3. Conduct awareness raising activities. This activity will be done primarily by the target DM/CS and therefore expected to be detailed in their project workplan and costing. Possible budget support by UNDP will be considered. It is important to emphasize that the awareness raising will be done following the Citizen Engagement Tool developed in earlier Activity.

Activity 2.4. Engage with schools in the awareness raising. This is supposed to be a part of the overall awareness raising campaign in the target areas. However, from the fieldwork, the potential role of schools (and students) in SWM issue has been given special attention and therefore kept as a separate activity in this project document. The activity, and its cost, will be included in the detailed project workplan by each target DM. Possible budget support by UNDP will be considered.

Activity 2.5. Develop and/implement complaint mechanism on SWM issue. Strategically, the project places equal emphasis on voice (demand-side) and responsiveness/accountability (supply-side). To maintain focus, the issue will be mainly on SWM, but the mechanisms used can be either through those already exist or the ones created specifically for SWM related matters. This issue will be addressed in ways that give more weight to local preference and knowledge.

In the previous version of the project document (Action 2.3), an idea of establishing a monitor portal/tool on the performance indicators of local councils using time-cost-visit approach and Local and Urban Governance Diagnostic tool (LOGOD) was proposed. After various rounds of consultation, both at the national and sub-national level, it has become evident that under the current decentralization reform, many mechanism and tools (including ISAF, participatory planning and budgeting process, accountability boxes) have been used. The real need is not a having a better tool but making the existing one work within the current capacity limitation. It is therefore suggested that the time-cost visit approach and the LOGOD not be introduced as a permanent component of the project. Yet, relevant ideas and experiences of using such approach and tool in other countries should be explored and used to reflect on the progress of this project.

Activities under Output 3

The output, which is about advocacy and communication, is critical to ensuring the intended overall impact of the project. As such, the activities included under this section are considered integral to the whole project design and throughout the implementation, and not as an after-thought.

Activity 3.1. Digitalize generic training materials for SNA officials which can be disseminated through online platforms for the project, DM/CS and those of relevant stakeholders. The activity, which is self-explanatory, is proposed to harness the potential of high-internet penetration among Cambodian people. However, it is not expected that the intended out-reach activities will be done automatically. Instead, we suggest a clear plan and support (i.e. focal persons, IT support, result-tracking, etc.) be thought through to ensure that it work. The use of social media and multi-media is also a new trend even among the Government agency. A good recent example is the dissemination via Youtube the 2018 national budget by the MEF.¹⁸

Activity 3.2. Document lessons learned and shared among target areas through key meeting events. The lessons learned documentation will be done regularly, with the support of UNDP's Governance Specialist and (intermittently) by the SWM expert. The documentation of the lessons learned will be done as a part of the regular technical support, while the sharing among the three cases will be through the project's bi-annual and annual meeting. The suggestion is mainly to ensure that the learning component is fully integrated into the project cycle and to minimize fixed resource and time spent just for lesson documentation and sharing purposes.

Activity 3.3. Share lessons learned with other potential DM/CS. This will be done at the end of the second year or early in the third year. The idea is that, after the models start to show enough result and lessons learned in the first three cases, they will be expectedly ready to be presented to other potential areas, both as a way to share lessons, but also to get their interest and buy-in, which will in turn lead to project up-scaling. The support from the national level will be critical for such scaling-up exercises.

Activity 3.4. Identify and work on specific policy-areas that should be improved based on the evidence. As lessons are documented and shared, policy implications will emerge. This activity seeks to ensure that such policy-related issues are taken seriously and lead to concrete joint agreement as to which aspects of the policy that needs to be changed and what actions need to be taken to realize such changes. This suggests the importance of the PCST in facilitating the process of translating concrete evidence into serious policy discussion and changes at the national level.

Activity 3.5. Mutually share lessons learned with other countries in the region, using the existing networks of ASAC and others (i.e. South-South Cooperation). Sharing the lessons learned in a regional network will serve not only the learning purposes, but also building the confidence of the target SNA administrations and other stakeholders. For efficiency and synergy reasons, it is suggested that the existing regional networks that ASAC and others already have be used.

Activities under Monitoring and Evaluation

Baseline and endline evaluations are necessary parts of any project. They are however even more necessary for this project whose main impact depends on its ability to prove what work, what does not, using objective assessment against set targets and criteria.

Activity 4.1. Baseline evaluation. This will be by a qualified contracted team commissioned by the project. The key indicators, both at project objective and output level, as stated in the Result Framework will be used. The sample will be selected to meet statistical requirement and in accordance with the available resource. It is expected that the baseline will be done during the 1st quarter of the project, or early in the 2nd quarter by the latest. The result will be disseminated to all relevant stakeholders.

Activity 4.2. Endline evaluation. This will be done during the last quarter of Year 2 of the project. The indicators used will be the same and comparable to those used in the baseline. Specific qualitative information and case studies will also be produced to better understand the causality/attribution of the project on the various outcome indicators. The result will be disseminated to all relevant stakeholders.

VI. Risks and mitigation

Risk	Probability	Impact	Mitigation
At national level			
Political situation will impact the project implementation	Low	High	While the political situation is somewhat uncertain especially to what might happen after the July 2018 election, it is unlikely to lead to a crisis that affect the whole project implementation. This is, however, a risk that is well beyond what the project can do. What can be done however is to keep ourselves alert to the political development and make necessary decisions and changes as early as possible.
The Government will continue to give low priority to decentralization even after the July 2018 election	Medium	Medium	There is a likelihood that the Government in the new mandate will still not pushing hard enough on decentralization reform, especially in the areas of functional and fiscal assignment. However, it is expected that for this project, based on our data collection so far, there are still rooms for pushing the reform forward especially in the areas of SWM where the need is very urgent. Plus, in the project, we emphasize the need for coordination and support at the national level as a way to mitigate this risk.
The national level agencies will not take fast-enough	Medium	Medium	There has been experience in the past that such support has not given timely. And there is a possibility that this will happen this project as well. The mitigating strategy is to

actions in providing support to DM/CS.			ensure the PCST is well formed, operationalized and support.
At sub-national level			
Coordination between DM and provincial level (including relevant line department) is not smooth and affect the implementation level.	Medium	Medium	Foreseeing this challenge, it is critical that at provincial line departments and relevant line departments are included (at least informed) in the project design and implementation process.
Potential private contractors are not committed to providing services because of low profitability of the waste collection business	Medium	Medium	Work with private sector to demonstrate the benefits and privileges of investment in SWM following UN introduced model and potential of scalability if the model is succeeding.

VII. Result framework (the Matrix)

Intended Outcome as stated in the UNDAF/Country Programme Results and Resource Framework:							
UNDAF Outcome 3: By 2018, national and subnational institutions are more transparent and accountable for key public-sector reforms and rule of law; are more responsive to the inequalities in enjoyment of human rights of all people living in Cambodia; and increase civic participation in democratic decision-making.							
Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:							
Output 2.1: Mechanisms and channels for government-citizen dialogue exist that establish long-term accountability relationships.							
UNDP Strategic Plan (2018-2021) Outcome 2: Accelerate Structural Transformations for Sustainable Development							
Project title and Atlas Project Number: Inclusive Governance for Service Delivery and Social Accountability (Project No. TBC)							
Expected objective and key outputs	Indicators	Data sources	Baseline		Targets (by frequency of data collection)		
			Value	Year	Year 1	Year 2	Final
Output 1 Selected DM/CS more able in performing their roles in local service delivery, with a focus on SWM	% of DM/CS councillors and officials reporting improvement in their performance as a result of training and other capacity development supports they receive from the project (by sex, age)	Project	To be collected	2018	n/a	n/a	At least 70% of the total sample
	# of local citizens and small business with access to SWM collection services	Project	To be collected	2018	Per each DM's workplan	Per each DM's workplan	Regular and interval assessments to be done by the project team/PSCT
Output 2 Local citizens more aware and empowered in service delivery process, with focus on SWM	# of citizens seeking key basic services from the communes (by sex, age, occupation (including students), disability)	Project	To be collected	2018	n/a	n/a	Regular and interval assessments to be done by the project team/PSCT
	# of complaints filed relating to SWM	Project	To be collected	2018	At least 15%	At least 30%	Regular and interval assessments to be done by the project team/PSCT
	% of complaints relating to SWM that are addressed	Project	To be collected	2018	At least 25%	At least 50%	Regular and interval assessments to be done by the project team/PSCT

Output 3 Lessons learned from the project shared and used effectively to scale-up and inform policy changes	# of new DM/CS adopting and/or plans to adopt the SWM model developed and tested under the project	Project	n/a	2018	n/a	n/a	At least 5 DM/CS	Regular and interval assessments to be done by the project team/PSCT
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VIII. 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)
Track results progress	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.		
Monitor and Manage Risk	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.		
Learn	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.		
Annual Project Quality Assurance	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.	Once in year 2	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		

Project Report	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)			
Project Review (Project Board)	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 Plan¹⁹

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Final Evaluation		2	UNDAF Outcome 3 CPD Outcome 2.1	May 2020	NCDD-S ASAS Secretariat Relevant communes and districts Targeted beneficiaries	US\$ 20,000 Project Resources

¹⁹ Optional, if needed

IX. Multi-year work plan and budget (1 July 2018 to 30 June 2020)

MAIN OUTPUTS, MAIN AND SUB-ACTIVITIES		Planned Budget			RESPONSIBLE PARTIES	PLANNED BUDGET		
		Y1	Y2	Y3		Funding Source	Budget Description	Amount (USD)
Start-up phase								
<u>Activity 0.1.</u> Form the national level PSCT		x	x	x	UNDP	00204	Budget is not required	0
Activity 0.2: Recruit key staff members and contractors		x				00204	ISS (Recruitment SC)	0
Activity 0.3: Conduct project Inception meeting		x				00204	Meetings	0
GMS (8%)		x	x	x		00204		0
Sub-total for start-up phase								0
Output 1: Selected DM/CS more able in performing their roles in local service delivery, with a focus on SWM								
<u>Activity 1.1.</u> Capacity development need assessment			x	x	UNDP, ASAC SWM expert	00204	Travels/meetings	5,100a
<u>Activity 1.2.</u> Develop the SWM model for the target DM			x		UNDP PSCT members Target DM/CS	00204	Contractual services	15,000
<u>Activity 1.3.</u> Provide generic training to target DM/CS			x	x	UNDP NGO partner ASAC	00204	Trainings/workings	17,403.11
<u>Activity 1.4.</u> Provide trainings to target DM/CS on SWM and related issues			x	x	UNDP NGO partner ASAC SWM expert	00204	Trainings/workings	7,000
<u>Activity 1.5.</u> Provide regular technical support to target DM/CS		x	x	x	UNDP PSCT members	00204	Travel	5,000
<u>Activity 1.6.</u> Provide financial support (in cash/kind) to target DM/CS			x	x	UNDP	00204	Grant	42,000
GMS (8%)		x	x	x	UNDP	00204		7,300.25
Sub-total for Output 1								98,823.36

Output 2: Local citizens more aware and empowered in service delivery process, with focus on SWM						
Activity 2.1. Develop a Citizen Engagement Tool based partly on the ISAF	x	x	UNDP	00204	Contractual services	20,000
Activity 2.2. Develop citizen awareness raising materials with regard to SWM	x	x	ASAC NGO partner Target DM/CS	00204	Contractual services	10,000
Activity 2.3. Conduct the planned awareness raising activities	x	x	Target DM/CS ASAC NGO partner	00204	Budget included in 1.6 (implement through Grant)	0
Activity 2.4. Engage schools in the awareness raising activities	x	x	Target DM/CS ASAC NGO partner	00204	Travel/Meetings/Events	10,000
Activity 2.5. Develop and implement complaint mechanisms on SWM issues	x	x	Target DM/CS ASAC NGO partner	00204	Budget included 1.2	0
GMS (8%)	x	x		00204		3,200
Sub-total for Output 2						
Output 3: Lessons learned from the project shared and used effectively to scale-up and inform policy changes						
Activity 3.1. Digitalize generic training materials for SNA officials which can be disseminated through online platforms for the project, DM/CS and those of relevant stakeholders.	x	x	UNDP ASAC NGO partner	00204	Contractual service for app development or website upgrade	15,000
Activity 3.2. Document lessons learned and shared at the national level through key meeting events		x	UNDP PSCT members	00204	Meetings/workshops	7,000
Activity 3.3. Share lessons learned with other potential DM/CS		x	UNDP PSCT members	00204	Exchange visits/workshops	8,000
Activity 3.4. Identify and work on specific policy-areas that should be improved based on the evidence	x	x	UNDP PSCT members	00204	Meetings/Workshop	5,000
Activity 3.5. Mutually share lessons learned with other countries in the region, using the existing networks of ASAC and others (i.e. South-South Cooperation)	x	x	UNDP PSCT members Target DM/CS	00012	Travel/monitoring related cost	10,000
GMS (8%)	x	x	UNDP	00204		2,800
Sub-total for Output 3						
General Management and Assurance Support						
Baseline survey	x		UNDP	00204	Contractual services	10,000
End line survey		x	UNDP	00204	Contractual services	10,000

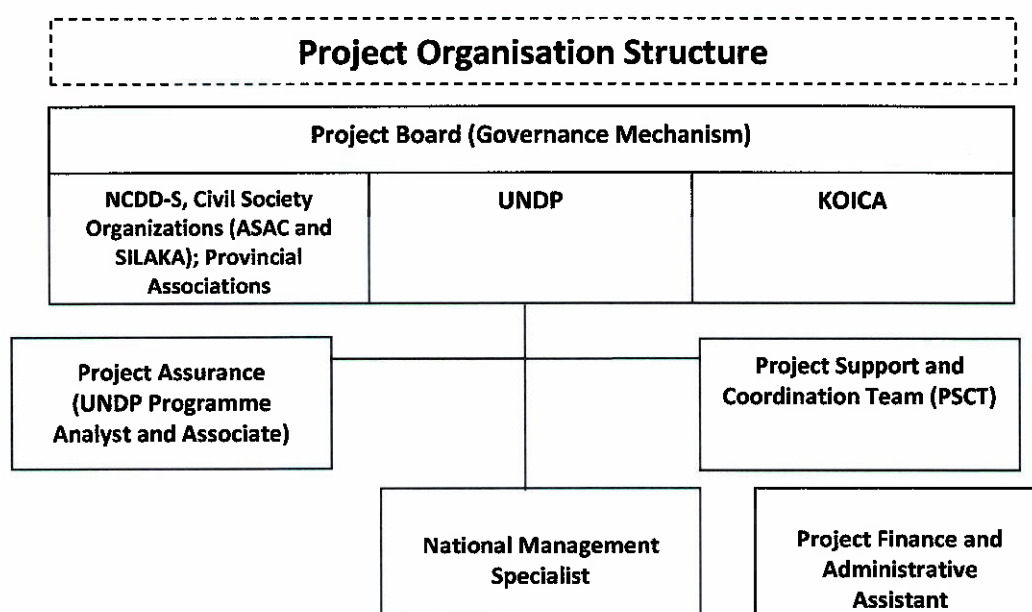
UNITED NATIONS DEVELOPMENT PROGRAMME

XI. Project Management and Governance Arrangement.

UNDP Direct Implementation: the project will be directly implemented by UNDP (DIM) over a two years period, in close collaboration with the ASAC-Secretariat, National Committee for Sub-National Democratic Development Secretariat (NCDD-S), relevant ministries, Provincial Associations, local councils and civil society organizations such as Silaka.

Project organization structure:

- Project Board: UNDP as Chair, ASAC-Secretariat, Koica Cambodia, and a representative from civil society organization,
- Project Support and Coordination Team (PSCT): Mol as Chair, with other relevant ministries, ASAC, UNDP, and NGO partner as members
- UNDP technical support team: head of programme, programme analyst and programme associate, and
- Project team: project manager/governance specialist, admin and finance assistant, UN Volunteer(s), and short-term experts as needed.



Project Board: Performance and results will be overseen by the Project Board, chaired by UNDP country director or his/her designate. Members include representatives from Civil Society Organizations such as ASAC and SILAKA and from Koika. The Board will be responsible for making management decisions on a consensus basis for a project when guidance is required by the project manager, including approval of project workplan, reports, and revisions. The Board will be held at least annually to evaluate activities and progress. Project assurance reviews by this group are made at designated decision points during the project implementation, or as necessary when raised by the manager. In order to ensure UNDP's ultimate accountability, the Board's decisions should be made in accordance to standards that shall ensure best value to money, fairness, integrity transparency and effective international competition. In case a consensus cannot be reached, final decision shall rest with the UNDP Programme Manager (the Country Director). The Board is consulted by the manager for decisions when project tolerances have been exceeded²⁰. Based on the approved annual work plan (AWP), the Board may review and approve project quarterly plans when required and authorises any major deviations from these agreed quarterly plans. It ensures that required

²⁰The Project Board has the responsibility to define for the manager the specific project tolerances within which the manager can operate without intervention from the Project Board. For example, if the Project Board sets a budget tolerance of 10%, the manager can expend up to 10% beyond the approved project budget amount without requiring a revision from the Project Board.

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resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the project and external bodies.

Coordination arrangements: At the political/macro level, an annual Board meeting will be conducted to ensure overall coordination. At the more technical level, the PSCT will be established, headed by MoI and composed of representatives from other key stakeholders at the national level. The main role of PSCT is to monitor, get updates on implementation progress and challenges and help address those challenges which require intervention at the national/ ministerial level. For more information on the PSCT, please see Annex section. In addition, a quarterly and annual report to ensure regular updates on the project progress.

XII. 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 Cambodia and UNDP, signed on 19th 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, in accordance with its financial regulations, rules, practices and procedures.

XIII. 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 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/aq_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. 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.
6. 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 *[or 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 party’s, 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 party's, 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 as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
 - c. 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.
 - d. 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.
 - e. 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.
 - f. 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.

- g. 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 this 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. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

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.

- h. 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.
- i. 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.
- j. 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.

XIV. Annexes

- Project quality assurance report
- Social and environmental screening template
- Project risk log
- Capacity assessment
- Project Board ToR and ToR of key management positions
- The PSCT ToR
- Procurement/ recruitment plan

The Project Support and Coordination Team (PSCT)

Roles: The PSCT is established to play the following roles:

1. Monitor and get updates on project implementation progress and challenges
2. Address the identified implementation challenges, especially those that require intervention from the national/ ministerial level,
3. Provide updates on the relevant policy changes that might affect the project
4. Act as advisory groups on specific practical and policy-related issues relating to the project
5. Connect the project to other relevant initiatives and networks which are helpful in term of capacity development, dissemination, networking and other related matters.

Composition: The composition of the PSCT should be:

- Chair: A high-level technical official from MoI (expectedly, the Department of Function and Resource,
- Members: A high-level technical officials from MoE, MEF, ASAC, NGO partner, UNDP and SWM expert
- Secretariat: A project staff from UNDP

**Annex 1: Project QA Assessment: Design and Appraisal – Inclusive
Governance for Service Delivery and Social Accountability**

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 SES 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

- **APPROVE** – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
- **APPROVE WITH QUALIFICATIONS** – 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.
- **DISAPPROVE** – the project has significant issues that should prevent the project from being approved as drafted.

RATING CRITERIA

STRATEGIC

1. Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):

- **3:** The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the program/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time.
- **2:** The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.
- **1:** The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the program/CPD's theory of change.

*Note: Management Action or strong management justification must be given for a score of 1

3

2

1

Evidence

The project has provided the general architecture of the ToC but has not specifically layout the changes pathways. It is recommended that the project should elaborate the ToC in well consultation with relevant stakeholders to set clear changes expected from

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	this project intervention. This could be done through inception phase.	
2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project): <ul style="list-style-type: none">3: The project responds to one of the three areas of development work¹ as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas²; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. <i>(all must be true to select this option)</i>2: The project responds to one of the three areas of development work¹ as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. <i>(both must be true to select this option)</i>1: While the project may respond to one of the three areas of development work¹ as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.	3	2
	1	
	Evidence The project addresses the inclusive governance issue which is directly link to the UNDP Strategic Plan outcome 2 as indicated in the project RRF.	
RELEVANT		
3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project): <ul style="list-style-type: none">3: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable). The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) <i>(all must be true to select this option)</i>2: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. <i>(both must be true to select this option)</i>1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project. <p>*Note: Management Action must be taken for a score of 1</p>	3	2
	1	
	Evidence The project has defined the direct beneficiary who are the local councillors while the ultimate target groups are the citizen living in the project target areas. However, the project has not clearly identified the specific geographic areas as expected to be informed during inception phase with proper stakeholder consultations.	
4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):	3	2
	1	

*Note: Management Action must be taken for a score of 1

¹ 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

² sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience

<ul style="list-style-type: none"> • 3: Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives. • 2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives. • 1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence. <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<p>Evidence</p> <p>The project is formulated based on the lesson learned from the recently ended of ACES project and its impact evaluation including the institutional assessment of ASAC. The project also adopted the learning from other UNDP CO e-governance project on Access to Information.</p>				
<p>5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: A <u>participatory</u> gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i> • 2: A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i> • 1: 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 constraints have not been clearly identified and interventions have not been considered. <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<table border="1"> <tr> <td>3</td><td>2</td></tr> <tr> <td colspan="2">1</td></tr> </table> <p>Evidence</p> <p>The project document provided gender analysis though not fully sufficient to analyse the different needs and roles of male and female councillors, however, the different challenges faced by female councils (page 3-4) and an output indicator for gender disaggregate date (output indicator 1.1) were included in the RRF.</p>	3	2	1	
3	2				
1					
<p>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: 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. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. <i>(all must be true to select this option)</i> • 2: Some analysis has been conducted on the role of other partners 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. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified. • 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with 	<table border="1"> <tr> <td>3</td><td>2</td></tr> <tr> <td colspan="2">1</td></tr> </table> <p>Evidence</p> <p>The roles of expected partners are clearly defined in the project document including the roles of ASAC, PAs and CSO (SILAKA), while UNDP role is envisaged as executive through DIM implementation.</p>	3	2	1	
3	2				
1					

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partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

*Note: Management Action or strong management justification must be given for a score of 1

SOCIAL & ENVIRONMENTAL STANDARDS

7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):

- **3:** Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. 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. *(all must be true to select this option)*
- **2:** Some evidence that the project aims to further the realization of human rights. 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.
- **1:** No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

*Note: Management action or strong management justification must be given for a score of 1

3	2
1	
Evidence	
Project aims to improve the public services and social accountabilities of local councillors which will be then improve the well-being of the citizen. However, potential adverse impacts on target group is not analysed.	

8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):

- **3:** Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. *(all must be true to select this option)*.
- **2:** No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.
- **1:** No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.

*Note: Management action or strong management justification must be given for a score of 1

3	2
1	
Evidence	
The project is designed to tackle the capacity strengthening of local councils to deliver effective public services including the management of solid waste in which will contribute to environment sustainability.	

9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? 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.]

Yes	No
Refer to completed SESP form	

MANAGEMENT & MONITORING

10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):

3	2
1	

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<ul style="list-style-type: none"> • 3: The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. <i>(all must be true to select this option)</i> • 2: The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. <i>(all must be true to select this option)</i> • 1: The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; 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. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	<p>Evidence</p> <p>The RRF set out SMART outputs and activities, however, not fully reflect the ToC since the ToC is not clearly materialized.</p>	
<p>11. Is there a comprehensive and costed M&E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?</p> <p>Comments: The M& E plan is in place and costed, while the final evaluation will be integrated in a thematic evaluation of CO on governance portfolio as a whole.</p>	<p>Yes (3)</p>	<p>No (1)</p>
<p>12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The project's governance mechanism is fully defined in the project composition. 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 to select this option)</i>. • 2: The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. <i>(all must be true to select this option)</i> • 1: 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. <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>Evidence</p> <p>The Programme governance structure is clearly defined in the project document with mentioning of specific institutions that holds key functions for governing and implementation. However, a specific ToR is needed to provide clear direction to the project board.</p>
<p>13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. <i>(both must be true to select this option)</i> • 2: Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk. • 1: Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document. <p><i>*Note: Management Action must be taken for a score of 1</i></p>	<p>3</p>	<p>2</p> <p>1</p> <p>Evidence</p> <p>The project has identified some potential risks with clear counter measurement.</p>

EFFICIENT

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: 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.	Yes (3)	No (1)
15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)	Yes (3)	No (1)
16. Is the budget justified and supported with valid estimates?	3	2
<ul style="list-style-type: none"><u>3</u>: 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. 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.<u>2</u>: 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. Costs are supported with valid estimates based on prevailing rates.<u>1</u>: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.	1 Evidence The project budget breakdown at activity level with clear items costs and timeframe.	
17. Is the Country Office fully recovering the costs involved with project implementation?	3	2
<ul style="list-style-type: none"><u>3</u>: The budget fully covers all project costs that are attributable to the project, including program management and development effectiveness services related to strategic country program 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.)<u>2</u>: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.<u>1</u>: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.	1 Evidence The programme budget is though quite limited but could sufficiently cover the mandatory management costs.	
*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.		

EFFECTIVE

18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):	3	2
<ul style="list-style-type: none">3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. (both must be true to select this option)2: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.	1	
	Evidence	
	The project adopts Direct Implementation Modality.	
	The HACT micro assessment was conducted to ASAC which is identified as one of	
*Note: Management Action or strong management justification must be given for a score of 1		

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	the grantee of the project, while capacity assessment is needed for other identified grantees during inception phase.	
<p>19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?</p> <ul style="list-style-type: none"> 3: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions. 2: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions. 1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project. 	3	2
	1	
	Evidence	
	Though this project formulation is based on the findings from the previous ACES project MTR, Institutional Assessment, and Impact Evaluation, but the direct beneficiaries have not been consulted yet, it is recommend that the project should conduct proper consultation with beneficiaries and engage their representative in the LPAC session.	
20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?	Yes (3)	No (1)
21. 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.	Yes (3)	No (1)
*Note: Management Action or strong management justification must be given for a score of "no"		
<p>22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> 3: The project has a realistic work plan & budget covering the duration of the project at the activity level to ensure outputs are delivered on time and within the allotted resources. 2: The project has a work plan & budget covering the duration of the project at the output level. 1: The project does not yet have a work plan & budget covering the duration of the project. 	Evidence	
	3	2
	1	
	Evidence	
	The programme has the detail multi-year workplan and budget plan with	

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sufficient resource allocation.

SUSTAINABILITY & NATIONAL OWNERSHIP

23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):	3	2
	1	
	Evidence	
	The project was formulated in a time constraints situation, hence, the stakeholders consultation has not taken place yet, it is recommended that, during the inception phase, the project should conduct a proper stakeholder consultation to ensure ownership of national partners.	
24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):	3	2.5
	2	1.5
	1	
	Evidence	
25. 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?	The capacity assessment will be carried out with Provincial Association and SILAKA since they haven't directly engaged with UNDP project in the past. While, with ASAC was already done with HACT assessment and it is still in a valid timeframe.	
	Yes (3)	No (1) (N/A)
26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?	Yes (3)	No (1)

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OFFLINE RISK LOG

(see Deliverable Description for the Risk Log regarding its purpose and use)

Project Title: Inclusive Governance for Service Delivery and Social Accountability				Award ID: 00110866		Date: 17 Jul 18			
#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Political situation will impact the project implementation	May 2018	Political	While the political situation is somewhat uncertain especially to what might happen after the July 2018 election, it is unlikely to lead to a crisis that affect the whole project implementation. This is, however, a risk that is well beyond what the project can do. P = 1 I = 3	What can be done however is to keep ourselves alert to the political development and make necessary decisions and changes as early as possible.	UNDP	Project Manager/Programme Analyst		
2	The Government will continue to give low priority to decentralization even after the July 2018 election	May 2018	Political	There is a likelihood that the Government in the new mandate will still not pushing hard enough on decentralization reform, especially in the areas of functional and fiscal assignment P = 2 I = 2	It is expected that for this project, based on inception data collection, there are still rooms for pushing the reform forward especially in the areas of SWM where the need is very urgent. Plus, in the project, we emphasize the need for coordination and support at the national level as a way to mitigate this risk.	UNDP	Project Manager/Programme Analyst		
3	The national level agencies will not take fast-enough actions in providing support to DM/CS.	May 2018	Operational	There has been experience in the past that such support has not given timely. And there is a possibility that this will happen this project as well. P = 2 I = 2	The mitigating strategy is to ensure the PCST is well formed, operationalized and support.	UNDP	Project Manager/Programme Analyst		

4	Coordination between DM and provincial level (including relevant line department) is not smooth and affect the implementation level.	May 2018	Operational	The government working structure is general complex and bureaucratic. P = 2 I = 2	Foreseeing this challenge, it is critical that at provincial line departments are included (at least informed) in the project design and implementation process.	UNDP	Project Manager/Programme Analyst		
5	Potential private contractors are not committed to providing services because of low profitability of the waste collection business	May 2018	Strategic	While the private sector is generally profit-oriented, hence, their investment on SWM should be at profitable scale given the costs of facilities and human resources that invested in. Without engagement from private sector the piloting of SWM model may not materialized given high start-up cost. P = 2 I = 2	Work with private sector to demonstrate the benefits and privileges of investment in SWM following UN introduced model and potential of scalability if the model is succeeding.	UNDP	Project Manager/Programme Analyst		