United Nations Development Programme
Country: Cambodia
Project Document

Project Title:	Clearing for Result III: Mine Action for Human Development
UNDAF Outcome:	Outcome 1: By 2018 people living in Cambodia, in particular youth, women and vulnerable groups, are enabled to actively participate in and benefit equitably from growth and development that is sustainable and does not compromise the well-being, natural and cultural resources of future generations.
Expected CPD Output(s):	Output 1.5: Institutional measures are in place to strengthen the contribution of the national mine action programme to the human development of poor communities.
Implementing Partner:	Cambodian Mine Action and Victim Assistance Authority (CMAA).

Brief Description

In line with the most recent research in the field as well as the national new commitments of UNDP Strategic Plan 2014 - 2018 the project seeks to support the government in the development of holistic approaches that could help maximising mine action results on human development. In particular the project seeks to support: (i) the development of performance monitoring systems: that could link mine action to human development in a systematic manner and insure gender disaggregated and poverty related indicators are factored in;(ii) the conduct of land release activities: that in respect of gender equality principles and the Gender Mainstreaming in Mine Action Plan 2013- 2015 would involve poor communities in responsible and effective land release, and contractors in effective and efficient use of new technologies that allow for the release of bigger areas at the minor cost. The three areas of UNDP support will directly be linked and contribute to: (i) CPD output 1.5. Institutional measures are in place to strengthen the contribution of the national mine action programme to the human development of poor communities; (ii) UNDAF Outcome n.1 sustainable, inclusive growth and development.

Strategic Plan Output:	1.1.
Atlas Project ID:	00090541
Start Date:	01/03/2016
End Date:	31/12/2019
PAC Meeting Date:	05/11/2015

Total resources required:	**US$ 11,179,294**
Total allocated resources:	
UNDP Regular	TBD
Other:	
Government cost-sharing	TBC
DFAT:	**US$ 7,658,828**
Unfunded:	**US$ 3,520,466**

The contribution amounts will be adjusted in accordance with actual receipts.

Agreed by (Government): H.E. Chhieng Yanara Date:
Minister attached to the Prime Minister, Secretary General CRDB/CDC

Agreed by (Implementing Partner): H.E. Prak Sokhonn Date:
First Vice President of Cambodian Mine Action and Victim Assistance Authority

Agreed by (UNDP): Setsuko Yamazaki Date:
Country Director

LIST OF ACRONYMS

APMBT	Anti-Personnel Mine Ban Treaty
BLS	Baseline Survey
CFR II	Clearing For Results Phase II
CMAA	Cambodia Mine Action and Victim Assistance Authority
CMAC	Cambodian Mine Action Centre
CCW	Convention on Certain Conventional Weapons
CSHD	Cambodian Self Help Demining
DFAT	Department of Foreign Affairs and Trade.
GAPMA	Gender Mainstreaming Action Plan
GICHD	Geneva International Centre for Humanitarian Demining
ERW	Explosive Remnant of War
IDPoor	Poor Identification
IMSMA	Information Management System for Mine Action
LMAD	Linking Mine Action to Development
MAFF	Ministry of Agriculture, Forestry and Fishery
MAPU	Mine Action Planning Unit
MoP	Ministry of Planning
MPI	Multidimensional Poverty Index
MRD	Ministry of Rural Development
MAG	Mines Advisory Group
NCDD-S	National Committee for Sub-national Democratic Development - Secretariat
NMAS	National Mine Action Strategy
NMSP	National Monitoring Strategic Plan
NSDP	National Strategic Development Plan
NPMEC	National Centre for Peacekeeping Forces Mines and ERW Clearance
OPHI	Oxford Poverty and Human Development Initiative
PBA	Programme Based Approach
PWD	People with Disability
RGC	Royal Government of Cambodia
RCAF	Royal Cambodian Armed Forces
SDC	Swiss Development Cooperation
TWG-MA	Technical Working Group on Mine Action
UXO	Unexploded Ordnance
MRE	Mine Risks Education

CONTENTS

I. DEVELOPMENT CHALLENGE

Cambodia's landmine contamination is the result of a protracted sequence of internal and regional conflicts that affected the country from the mid-1960s until the end of 1998. As a result the north-western regions bordering Thailand are heavily affected, while other parts of the country (mainly the East) are considered moderate to low impact, affected mainly by ERW. It is estimated that from 1965-1975, more than 2.75 million tons of bombs were dropped on Cambodia during the Vietnam War.

With support from the international community, RGC has made great efforts over the past 20 years to clean the uplands from landmines/ERW. In particular and to better coordinate the mine action sector a government body the Cambodian Mine Action and Victim Assistance Authority (CMAA) was created (under Royal Decree No. 177 on 06 September 2000) and tasked with regulating, monitoring and coordinating the mine action sector in Cambodia and responsibility by contributing to the priorities stipulated in the National Strategic Development Plan (NSDP). Between 2009 and 2012 CMAA coordinated land release operations that released 40,529ha of contaminated land for productive uses such as agriculture, resettlement, and infrastructure (schools, health centres, roads, and irrigation system), benefiting tens of thousands of households (NSDP, 2014). Nonetheless, as stated in the National Strategic Development Plan 2014-2018 (NSDP), until 2012, mines and ERW have caused an unacceptable number of casualties, over 64,000, as they have continued to hinder national development. Ever since its birth, the mine action sector development has been supported by several donors, namely:

- Agence Française de Développement (AFD);
- The Australian Department of Foreign Affairs and Trade (DFAT);
- Irish Aid;
- Belgium Development Agency (BTC);
- The Japan International Cooperation Agency (JICA);
- The Department for International Development (DFID);
- The Norwegian People Aid (NPA);
- The Swiss Development Cooperation agency (SDC);
- The Austrian Development Agency (ADA);
- The Canadian Development Agency (CIDA);
- Government of Germany;
- Government of United States of America.

Development Partners have entered the sector by financing clearance operators and some technically supporting the Cambodia Mine Action Authority (CMAA). In particular, ever since 2006 DFAT, CIDA, DFID and later from 2013 SDC have pooled resources to contribute to UNDP Clearing for Results Programme (CFR) aimed not only at clearing contaminated areas but also at technically assisting CMAA to: plan, prioritise and procure clearance activities.

Many of the areas where mines and ERW were and are still located coincide with highly populated poor provinces, such as: Pailin, Battambang and Banteay Meancheay. Some of these provinces still register high propensity to multidimensional poverty, with a poverty incidence equal to 40% that represents the 11.4 % of the total Cambodian population (OPHI, 2013). The pressure of cultivating the land and generating returns from agriculture puts these populations at high risk of casualties as the fear of cultivating the land, for the presence of Mines and ERW, keeps them in poverty.

CMAA reported in its baseline survey in June 2015 that 126,602,166 m² were released and 235,943,719 m² are remaining in Battambang; 55,500,444 m² were released and 199,157,719 m² are remaining in Banteay Mean Chey; and 22,730,927 m² were released and 34,191,531 m² are remaining in Pailin, referring as achievement from 2009 to June 2015. Moreover; Battambang, Banteay Meanchey, and Pailin collectively account for around 40-50% of all reported casualties in Cambodia each year since 2006 and it should be recognized that the mine action activities conducted by the UNDP CFR project, CMAC, MAG, the HALO Trust, and others actors have all contributed to such a significant reduction in casualties. Increased safety as indicated by a reduction in incidents and casualties is considered as the result contributed by CFR project and evidence clearly indicates the positive impact of the project in saving lives as well as building futures.

On the other hand, the concentration of agricultural tenures in these same areas indicates that an effective clearance of the land could build the capacity of the poor population to sustainably graduate from poverty. In fact, Pailin devotes 49% of its land to agriculture when 25% of its households are Poor Identification (IDPoor); the same applies for Battambang where 32% of the land is devoted to agriculture and 32.1% of the households hold the ID poor status and finally Banteay Meancheay where 35% of the land is cultivated and 21% of the population holds the ID-poor status (MAFF, 2013; MoP 2013). The immediate and effective release of contaminated land through clearance and post clearance policies of the three provinces would be key to support the areas not only the economic upgrade but also to maximise the human development impact. The attainment of impact free areas in the most affected and poorest provinces has the potential to reach a minimum of 487,004[1] poor people improving their livelihoods and making them active part of the Cambodian economy.

In 2014 the number of casualties increased from the previous year. The CMAA reports that this was primarily due to expansion of agricultural activities, including use of tractors. This emphasizes the risk of mines and ERW in the development of agricultural livelihoods.

With the support of UNDP Clearing for Results (CFR) phase I (2006-2010) and phase II (2011-2015), CMAA has made considerable advancements in leading the sector towards greater efficiency, accountability and the targeting of land release resources on development priorities. In particular:

[1] This number is equal to the sum of current ID poor 1 and 2 holders in the provinces that CFRII has been working on so far (Battambang, Banteay Meanchey and Pailin) and that resulted highly contaminated after the most recent survey .

- **Extensive capacity development** on the land release at national and subnational level has been conducted to prioritize clearance based on community needs;

- **Strategic lines around land release** have been established thanks to the development of the first National Mine Action Strategy (NMAS) 2010-2019;

- **83 km² of land was released** (2006-2013) in Battambang, Banteay Meanchey and Pailin, exceeding the project target of 72 km² by 2015.

The results attained clearly demonstrate CMAA's increased capacity in policy making, strategy formulation and monitoring of land release. Indeed, the CMAA is now equipped with a solid regulatory capacity both at policy and operational levels, which ensures timely collection of land release data and oversight of a bottom-up system to plan and monitor the prioritization of land release tasks.

Furthermore, the works done by CFR (phase II and I) has significantly contributed to the four goals of the National Mine Action Strategy 2010 - 2019 (NMAS), namely: (i) Reducing Mine/ERW casualties; (ii) contributing to economic growth and poverty reduction; (iii) ensuring sustainable national capacity to address residual contamination; (iv) promoting stability and regional & international disarmament. CFR II clearly contributes to the NSDP (2014 -2018) goals that, under chapter II of Land Reform and Clearance of Mines and UXO, list land release as one of the fifth legislature priorities.

The results of the mine action sector have, so far, been remarkable but the recent evidence emerged on residual contamination together with the poverty intensity of the areas where ERW and mines have been located, pose additional challenges that should be addressed in the upcoming four years. In fact, according to the national mine action database as of 19 August 2015:

- the total number of suspected and confirmed minefields (BLS polygons remaining) is still equal to 11,911;
- the total area of suspected and confirmed minefields remaining is equal to1,013,955,967m² (1,014km²);
- the total number of suspected and confirmed minefields and ERW contaminated polygons is equal to 13,867;
- the total area of suspected and confirmed minefields and ERW contaminated polygons is equal to 1,801,924,874 (1,802km²).

Base on estimation, the total financial resource required include clearance and associated costs of land remaining to be cleared together with additional suspected unsurvey land to allow Cambodia impact free still remain around US$500 million.

The vast area to be cleared coupled with the profile of the provinces located in it pose an important development challenge for human security but also for human development. If the areas could be decontaminated, the poor communities living there could indeed more actively use the resources

that surround them improving their human development and achieving the economic and life outcomes they value. In absence of an intervention that could not only make the areas impact free but also link mine action with human development the situation of these community has the potential of worsening and degenerating in poverty statuses that could favour chronic poverty and severely affect human development. This challenge appear to be even most complicated to solve given the shrinking ODA that might not be sufficient to support Cambodia in the attainment of a complete clearance by 2025 as committed in Maputo Declaration 15+.

II. STRATEGY

In light of the development challenge described above and considering the shrinking ODA, the sector urges for the creation of self-sustaining mechanisms that could help Cambodia carry out mine action work in a more sustainable way and link it to human development. As highlighted by the CFR II and the NMAS mid-term reviews some policy issues still need to be addressed, to maximise human development impact, including:

- **Strengthening data gathering regarding land use** that should aim for more detailed information collection on the use of land (CFR II midterm review Recommendation 3a; NMAS recommendation a-b);
- **Crowd in the mine action sector funding** through alternative and stable funding that can counterbalance shrinking ODA.

Following NSDP indications on the remainder of land to be cleared and surveyed by 2019, UNDP remains committed in supporting the mine action sector. While land release remains the central project goal, as the country approaches the Middle Income Status and the government increases its co-sharing resources, UNDP will concentrate its support along a more strategic and forward looking vision. This last would focus on linking mine action to human development and inclusive growth in the geographical area registered as MPI poor.

A programme evaluation indicated that mine contamination serves as a proxy-indicator for poverty those most vulnerable to mine contamination, were poor households who migrated from land-scarce provinces, to the mine-contaminated frontier areas in the northwest. Villages are reportedly safer, happier and have 'better living' than 5 years ago: mine action has contributed to this. Initial results from a post-clearance impact survey indicated that clearance allowed households to upgrade their livelihoods, and that the additional income allowed them to purchase assets and introduce new crops. There are also important gender dimensions. The post-clearance impact survey revealed that in most cases the decisions to purchase assets were joint decisions with the spouse (85.9%). In the majority of cases, the soft and hard land titles were made out in the name of both spouses. Moreover, when additional labour was required, it was more likely that women would be hired as agricultural labourers.

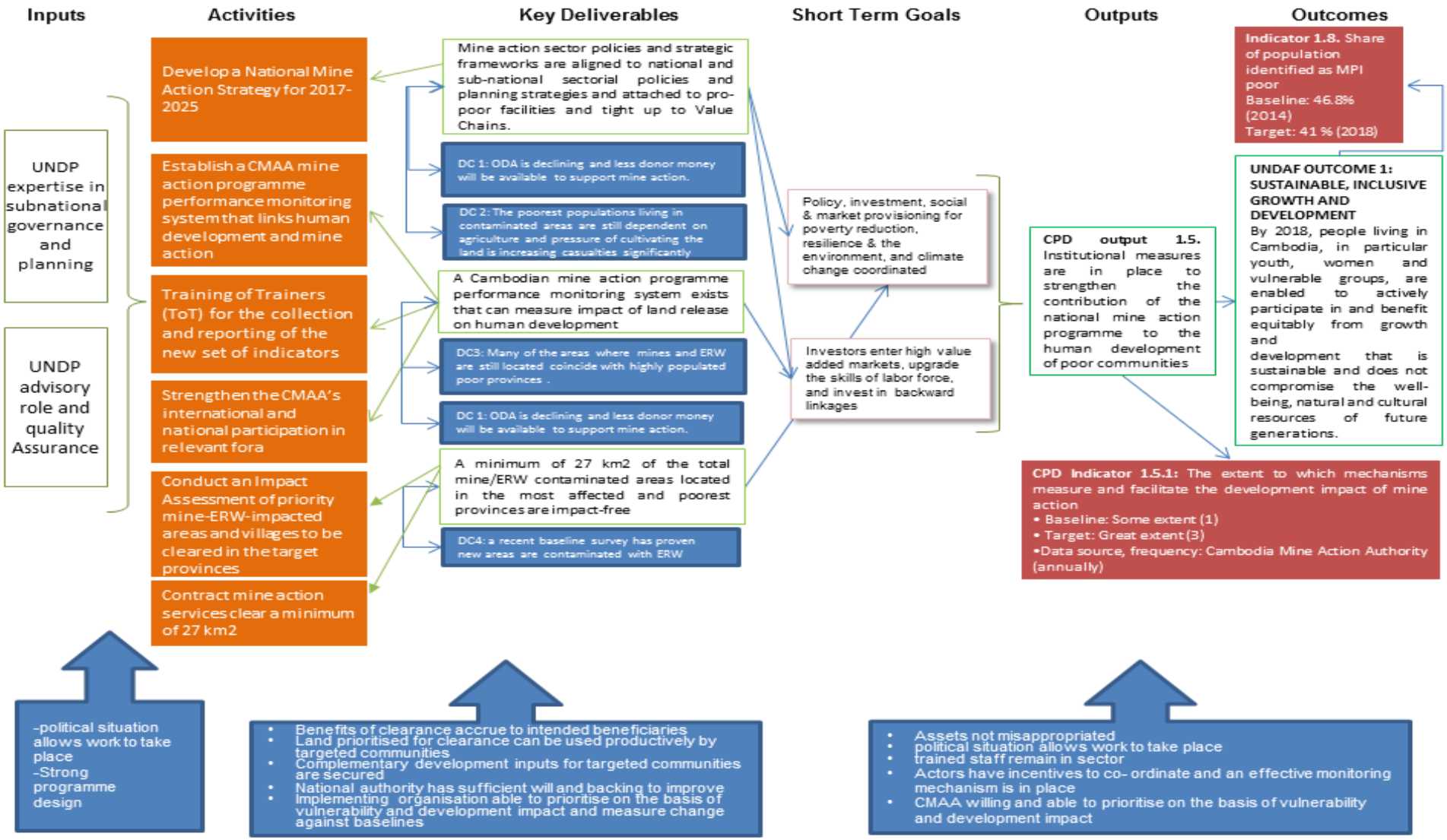
On the downside, according to the programme evaluation, the investment in farms seemed to have contributed to greater indebtedness. Post-clearance households uniformly keep their investment levels low even when funds are available, and this limits production and income. These might reflect the inability of households to access value chains that generate proper returns. The techniques and practices of post-clearance households do not change quickly and, as a result productivity increases following clearance fall short of what one would expect given the size of land, labor and facilities available. Inputs are typically under-used and techniques not well-informed. When household decisions on which livelihoods are to be pursued do not benefit from market information, infrastructure, extension support, there is always the risk that households would engage in low value added activities.

Recent evidence suggests that National Mine Action Authorities (NMAAs) like CMAA can play a vital role in improving relationships between key actors. They can facilitate information sharing and strengthen coordination between mine action and development organisations. But especially, they have the power to convince core budget and planning authorities of the need to support mine action and integrate it in development activities (GICHD, 2008). Their action has the potential of maximising the impact of the mine action sector has on poverty reduction by linking it to the support development partners' and Private Sector to strategic economic sectors, which could sustain the clearance beyond and despite ODA flows.

Figure 1. The architecture of mine action: actors, arenas and linkages

Source (GICHD, Linking Mine Action and Development Guidelines for Policy and Programme Development: Official Development Cooperation Agencies November, 2008)

II.1. Theory of Change Flow Chart



III. RESULTS AND PARTNERSHIPS

III.1. Expected Results

In line with the most recent evaluations research in the field as well as the national new commitments of UNDP Strategic Plan 2014 – 2018, the project seeks to support the government in the development of holistic approaches that could help maximising mine action results on human development. In particular the project seeks to support:

- **The development Performance Monitoring systems:** that could link mine action to human development in a systematic manner and insure gender disaggregated and poverty related indicators are factored in;
- **The conduct of land release activities:** that in respect of gender equality principles and the Gender Mainstreaming in Mine Action Plan 2013- 2015 would involve poor communities in responsible and effective land release, and contractors in effective and efficient use of new technologies that allow for the release of bigger areas at the minor cost.

The three areas of UNDP support will directly be linked and contribute to:

- CPD output 1.5. Institutional measures are in place to strengthen the contribution of the national mine action programme to the human development of poor communities;
- UNDAF Outcome n.1 sustainable, inclusive growth and development.

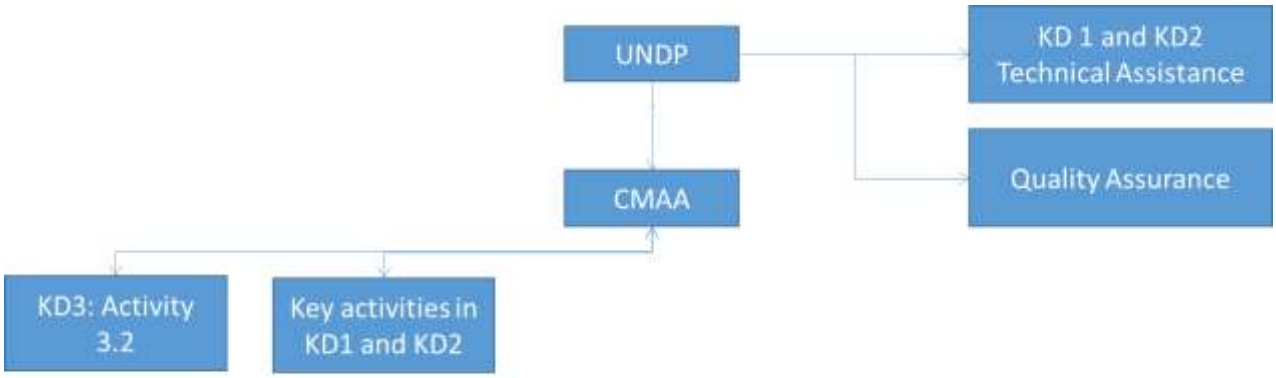
III.1a. Key Deliverable 1 Mine action policies and strategic frameworks are aligned to national and sub-national sectorial policies and planning strategies

Activity 1.1. Develop a National Mine Action Strategy for 2017-2025 that will align Cambodia to the Maputo +15 declaration

The 2010-2019 NMAS is the framework for the implementation of mine action and the CMAA is lead in ensuring it guides the sector by developing, coordinating, mobilizing resources and monitoring the implementation of Mine/ERW work plans (see NMAS Objectives 1.1 & 1.2). Indeed, the NMAS, associated plans, and policies are an important tool for CMAA to advocate for increase resource from development partners and the Government as well as to report on its international obligations under the Anti-Personnel Mine Ban Treaty (APMBT) and the Convention on Certain Conventional Weapons (CCW). In line with the Maputo Declaration 15+, this activity will support the Government of Cambodia and the CMAA in complying with the declaration obligation and elaborate the NMAS strategy 2017 – 2025 leading Cambodia to the completion of the demining work within the established timing of 2025. In particular the activity will be carried out during the first year of the project and aims at completing the new cycle (2017 – 2025) by the end of the first year. The strategy should build on the NMAS review 2013 and the challenges ahead and would be ideally elaborated during the first half of 2016 with the support of UNDP Technical Assistance and of dedicated

resource persons that could take into considerations all aspects that are impacted by the mine action sector (socio economic, mine risk education, environment etc.). The final document should be endorsed by CMAA and approved by the RGC with clear targets and a detailed M&E Plan linked to the performance indicators system to be developed under Key Deliverable 2.

Figure 1. Proposed Project Funding flow



III.1b. Key Deliverable 2 a CMAA mine action programme performance monitoring system exists that delivers quality evidence on sustainable development outcome/impact.

Activity 2.1. Establish a CMAA mine action programme performance monitoring system that links human development and mine action.

The Information Management System for Mine Action (IMSMA) was developed to help make mine action safer, faster, more effective and efficient. There were calls from the mine action community for computerized decision support tools able to support the coordination and management of their operational activities. IMSMA is currently in use in more than 80% of mine action programmes around the world and is the United Nations preferred information management system for mine action. Based on requirements submitted by users, the system has been continuously revised and upgraded since its initial release in the summer of 1999, in Kosovo, and has become a standard in mine action information management. Designed with flexibility and usability at heart, IMSMA is very adaptable and can be continuously customized by individual programmes to suit their changing information management needs. This includes defining the type of mine action data to store and the relationships among the types, the forms used to collect information in the field and the workflows - such as for instance land release. Significant attention should be paid when setting up and customizing IMSMA to make sure that it is adapted to the needs of all staff and external stakeholders. In Cambodia, the IMSMA was introduced in 2011 and is operational ever since 2014.The project will seek to add Human development information to the IMSMA system based on the Contemporary Impact survey results but also on best practices from the other 47 countries using

the system. Also, building on the initial findings of the post-clearance impact assessment, indicators to track the gender impact of mine clearance will be also be generated. The initial list of indicators could include the extent decisions to purchase assets are made jointly by spouses, or land titles are made out in the name of both spouses, and the extent decisions to hire rural labor benefit women.

This activity will be completed in year 2 and 3 by ICT support activities that will make the new collection electronically feasible and reporting automatized.

Activity 2.2.Training of Trainers (ToT) for the collection and reporting of the new set of indicators for the mine action sector.

The new set of indicators will be collected by CMAA through Mine Action Planning Units (MAPUs) but analyzed at national level. This activity will take care of training some pilot MAPUs to collect the new set of indicators to be entered into the system and CMAA in analyzing them. The training will be defined and run ever since the second year and aims at having:

- the MAPUs of the cleared areas trained and ready to correctly report on the new set of indicators;
- CMAA ready to analyze the data and translate them in policy recommendations to be mainstreamed with a Programme Based Approach.

The ToT will review current practices of outcome and impact monitoring by CMAA and MAPUs, and other relevant organizations, including a review of the annual Post-Clearance Monitoring process. Preferably, an executive Working Team will be established with clear Terms of Reference and work plans and will be in charge of this task.

Activity 2.3.Strengthen the CMAA's international and national participation in relevant fora.

The Mine Action sector is a dynamic sector always evolving and experimenting new techniques and increasing liaising with different sectors. If Cambodia were to achieve a complete clearance by 2025, its links with the International Mine Action Community of Practice must remain strong and nurtured along the all life of the project. In particular and in order to sustain the achievement of the three key deliverables previewed by this project, CMAA should lay down annual plans of events and training on Mine Action its senior management would like to participate in to expose Cambodia to new cutting edge technology, share information and best practices and engage in South-South Cooperation when possible.

III.1c. Key Deliverable 3 a minimum of 27 km² of the total mine/ERW contaminated areas located in the most affected and poorest provinces are impact-free.

Activity.3.1. Conduct an Impact Assessment of priority mine-ERW-impacted areas

and villages in the target provinces to be cleared.

Based on the tools and methodology of the CFR II Impact Survey, the project will set up an Impact Assessment Panel study that will comparatively measure results among beneficiaries and non-beneficiaries at baseline at the first year, mid-term on the beginning of third year, and end line at the end of the project.

The study will apply quantitative and qualitative methods for data collection to cover direct and indirect interventions of the project. Therefore, respondents for the household's data collection are farmers identified as direct agricultural beneficiaries and respondents for the infrastructure and risk reduction are community representatives such as Community Councils, Village Chiefs, School Directors and Teachers and other village resident's indirectly benefited from the project. Like in the case of CFRII **the household questionnaire** will capture information on demography, education, housing facilities, land use, land release benefits, income, expenditures, loans and food consumption to measure changes in household's livelihoods before and after intervention. Differently from CFRII questionnaire, this particular set of questions might be updated by pieces of information that refer directly to the support package given to beneficiaries in the 10 pilot communes. In addition, **community representative interviews** will capture information about land prioritization process for land release and criteria's applied, built community infrastructure, awareness and perception of communities about risks, access to education and schools, construction of roads and risk reduction. The impact survey should follow the beneficiaries ever since the beginning of the project but should liaise with the information to be collected by the performance system and ideally inform its formulation.

Activity.3.2. Contract mine action services clear a minimum of 27 km² in areas located among the most affected and poorest provinces from the impact of mines/ERW by the CMAA.

Based on the Baseline survey results and prioritization, this activity will focus on the clearance of a minimum of 27 km². These specific activities planning and procurement will be taken charge by CMAA who will annually prepare a bid for local contractors that will hold contract of an average of 9 months to release land according to the most recent and cost effective technologies. The contractor activities will be closely monitored and should follow CMAA consolidated practices of clearance and engagement as well as the Gender Mainstreaming in Mine Action Plan guidelines that will insure the maximum participation of women in prioritisation and clearance activities. The cost of land release intended as the combination of: (i) non-technical survey; (ii) technical survey; (iii) clearance per sqm is intended, as of the date of project formulation, as equal to US$0.20 but could be subject to change and updates as new technologies were made available on the market. The activity has been over costed to allow currency exchange adjustments and, in case the contamination appeared to be more serious than evaluated in 2012, to allow for the conduct of a feasibility study on potential

ways of self-sustaining clearance with private sector/national resources beyond the duration of the project.

CMAA will need to perform role of making sure that the clearance quality is conform to expected standard, gender inclusive, mine risks is educated to target communities, and other relevant risks are minimised during the project implementation. To perform the roles, project will strengthen the capacity of CMAA especially with public relation department, regulation and monitoring department, victim assistance and possibility extension to technical working group on mine action (TWG) etc. to strengthen the quality of Mine Risk Education (MRE), quality control/assurance on Clearance, gender inclusiveness, public relation, and regulation/policy conformation.

Consideration for expanding the land targeted to be cleared will be made, should additional funding be mobilized or savings are realized.

III.2. Partnerships

The project will leverage and build on the current and past work undertaken to mainstream mine action into policy in order to capitalise the knowledge and financial resources of its programme based approach and capacity development. In particular, the projects supporting gender mainstreaming through other government agencies or CSOs the project will complement are:

- UNICEF Mine Risk Education and Protection activities;
- CSOs.

The project interventions will complement other DP support to the field of capacity development for mine action sector. Through its in-depth capacity development and PBA, the project intends to mainstream mine action into multiple sectors.

CMAA represents the Royal Government of Cambodia in international mine action forums. CMAA has been working on policy guideline and strategic plan development for mine action in Cambodia since 2000; it works with strong collaboration and partnerships with both national and international institutions and organizations. Mine clearance, mine risk education, survivor assistance, and related mine action activities are conducted in Cambodia under the authority of the CMAA;

CMAA has been leading and coordinating mine action activities implemented by mine clearance operators, and it facilitates the integration of development projects into mine action activities by enhancing partnerships between government ministries and institutions, development partners, local authorities, community development organizations and other development entities. CMAA coordinates the Technical Working Group on Mine Action (TWG-MA) which is under the leadership of the CMAA Vice President. Among the others, key de-mining operators has significantly contributed and expanded; those include the Royal Cambodian Armed Forces (RCAF), the Cambodian Mine Action Centre (CMAC), National Centre for Peacekeeping Forces Mines and

ERW Clearance (NPMEC), the HALO Trust, the Mines Advisory Group (MAG), and Cambodian Self Help Demining (CSHD).

The assumptions at the basis of the project partnership strategy are that by introducing a common methodology to mainstream mine action into sectors and developing and using a common M&E framework, the project will support CMAA to provide oversight and coordination over the implementation of the NMAS and the future National Strategies including Mine action.

III.3. Stakeholder Engagement

The attainment of both outcomes has the potential to reach a minimum of 487,004[2] among the poorest populations living in the poorest and most contaminated areas. Target beneficiaries of this project are currently not organized in any association and do not have any representatives that could be involved in the project design or implementation to voice their needs or concerns. To address this issue, beneficiaries will be thoroughly educated on how to make use of UNDP Stakeholder Response Mechanism to voice their concerns during or after the project implementation.

III.4. South-South and Triangular Cooperation (SSC/TrC)

As indicated above in component 2.4., the mine action sector is a dynamic sector always evolving and experimenting new techniques and increasing liaising with different sectors. For this reason and in order to sustain the achievement of the three key deliverables previewed by this project, CMAA should lay down annual plans of events and training on Mine Action its senior management would like to participate in to expose Cambodia to new cutting edge technology, share information and best practices and engage in South-South Cooperation when possible.

III.5. Sustainability and Scaling Up

To realizing the scaling-up and sustainability of the sector as a whole the project aims to strengthen CMAA coordination and advocacy role for Mine Action in order to mainstream this last to other sectors and to create mechanism that address poverty caused by the mine contamination.

Specifically, the project aims to facilitate the strengthening of institutional capacity of CMAA to report evidence-based performance and plans towards relevant national strategies in order to promote the efficiency and effectiveness of the national mine action programme's contribution to the reduction of poverty and the building of resilience. In addition, the project will support the development of the 2017-2025 National Mine Action Strategy which will indicate the resources required for completion of Cambodia. The development of an evidence based performance monitoring system where such evidence and progress indicators towards completion can be used to promote the Cambodian mine

[2] This number is equal to the sum of current ID poor 1 and 2 holders in the provinces that CFRII has been working on so far (Battamabang, Banteay Meanchey and Pailin) and that resulted highly contaminated after the most recent survey.

action sector in terms of fundraising and justification for continued international and RGC support to the sector, over the medium to long-term.

IV.1. Risk Management

The project has been screened against UNDP Social and Environmental Screening check list as its risks have been analyzed overall and for each activity. The full list of identified risk resulting from this exercise is contained in the annexed Risk Log. According to the high level of risk associated in several areas, namely: Human Rights, Gender Equality and Women's Empowerment, Biodiversity Conservation and Natural Resource Management, Community Health, Safety and Working Conditions, Displacement and Resettlement, Indigenous People and Pollution. For example, there is a recognition that the disposal of cleared (and collected) land mines poses potential safety risk to local communities. Complicating the situation is that the transport, storage, and disposal of the collected land mines is hazardous. For this reason and in order to fully and carefully evaluate social and environmental issues and their most adequate mitigation measures, an Environmental and Social Impact Assessment will be carry out during the first year of the project.

IV.2. Cost Efficiency and Effectiveness

The project's budget is informed by previous experience in working closely with CMAA. The project budget is therefore felt to represent a realistic assessment of costs and will offer value for money based on benefiting from and utilising the capacities, processes, systems and mechanisms that have already been established by RGC and CMAA in the past using the support of UNDP and its co-financing partners.

The strategy set out in the document is based on the Theory of Change that includes drawing from good practice established during the predecessor phase of UNDP (and co-founders) support to CMAA and building on the innovative approach conceived by the CPD. These practices include: (i) the application of the national implementation modality that delegates much of the project's planning, implementation and financial management to CMAA; (II) the use of the TWG-MA and its sub-groups and related consultation/discussion processes. This approach is cost effective while making maximum use of country systems and established processes to promote sustainable capacity.

The capacity assessment builds on previous capacity work to ensure that existing systems are further developed and applied so that efficient and effective use of resources is assured into the future. Finally, collaboration with the UNDP policy project will provide synergies – in the form of effectiveness and efficiency – by building relationships between all of the partners involved in both of these UNDP-supported initiatives to promote complementarity in implementation and application.

Furthermore the interventions proposed in the project are the most cost effective one for including:

- Strict poverty targeting measures;

- Effective quality control procedures that include project Monitoring one yearly Audit and independent evaluations;
- The comprehensive UNDP Social and Environmental Standard procedure that measures compliance during three phases: design, implementation and closure;
- The possibility for target beneficiaries of using Stakeholder Response Mechanisms;
- The inclusion of this investment in a larger programme where other donors will be pooling funds. This will make sure investment results are in line with the most recent Government policy measures and thus have the potential to contribute to the implementation of additional activities linked to the post clearance utilization of the land released;
- A clearance cost that is, at the moment, one of the cheapest on the market;
- Solutions for sustainable measures to be applied beyond the timespan of the project.

IV.3. Project Management

The project will adopt a National Implementation modality and will be managed under the authority of the Implementing Partner (IP) and the National Programme Director appointed by the IP. The project will be based at the offices of CMAA in Phnom Penh where all activities will be planned, coordinated and monitored. Particular attention has been paid at the formulation stage to coordinating this project with the other UNDP initiatives and this close collaboration will continue throughout the implementation phase.

IV. RESULTS AND RESOURCES FRAMEWORK

Intended Outputs as stated in the CPD Results and Resource Framework: Output 1.5. Institutional measures are in place to strengthen the contribution of the national mine action programme to the human development of poor communities				
Outputs indicators as stated in the Results and Resources Framework, including baseline and targets: CPD Indicator 1.5.1**:** The extent to which mechanisms measure and facilitate the development impact of mine action				
Applicable Output(s) from 2014-17 Strategic Plan: 1.1. National and sub-national systems and institutions enabled to achieve structural transformation of productive capacities that are sustainable and employment - and livelihoods- intensive				
Project title and ID: Clearing for Result III (CfRIII) **Theme:** Mine Action for Human Development (MAfHD)				
OUTPUTS AND TOC	**OUTPUT INDICATORS**[3]	**ACTIVITIES, RISKS AND ASSUMPTIONS**	**ROLE OF PARTNERS**	**INPUTS** **Total: $ 11,179,293.84**
CPD Output 1.5. Institutional measures are in place to strengthen the contribution of the national mine action programme to the human development of poor communities	**CPD Indicator 1.5.1:** The extent to which mechanisms measure and facilitate the development impact of mine action **Baseline:** Some extent (1) **– Year 2015** **Target:** Great extent (3) **Data source, frequency:** Cambodia Mine Action Authority (annually) **Project Targets (2016)** • a CMAA mine action programme performance monitoring system that links human development and land release; • a Baseline Impact Assessment (BIA) on the target provinces, to be cleared;	**Key Deliverable 1: Mine action policies and strategic frameworks are aligned to national and sub-national sectorial policies and planning strategies and attached to pro-poor facilities.** **Activity 1.1.** Develop a National Mine Action Strategy for 2017-2025 that will align Cambodia to the Maputo +15 declaration		Total Key Deliverable 1: **$588,432.00** Development of a NMAS 2017-2025: $50,000.00 UNDP Technical Assistance: $538,432.00

[3] It is recommended that projects use output indicators from the Strategic Plan, as relevant, in addition to project-specific results indicators

	A desk review, through key relevant stakeholders, on the more cost effective land release technologies available in the market and applicable to Cambodia exists; • Mine action services based upon the results of the BIA are contracted; • CMAA's actively participates in international and national relevant fora; • • the development and implementation of the impact monitoring plan in villages declared free from the impact of mines/ERW is supported. **Project Targets (2017)** performance monitoring indicators including adequate gender indicators with advisory support by Ministry of Women Affairs and other key stakeholders; • CMAA's actively participates in international and national relevant fora; • CMAA's has the capacity to advocate for the inclusion of mine action within national policy and strategy development; • Clearance of the targeted 27 km² is on track.	**Key Deliverable 2:** A CMAA mine action programme performance monitoring system exists that delivers quality evidence on sustainable development outcome/impact. **Activity 2.1.** Establish a CMAA mine action programme performance monitoring system that links human development and mine action **Activity 2.2.** Training of Trainers (ToT) for the collection and reporting of the new set of indicators for the mine action sector **Activity 2.3.** Strengthen the CMAA's international and national participation in relevant fora.		*Total Key Deliverable 2* **$782,298.40** Establish a CMAA mine action programme performance monitoring system and define performance monitoring indicators: $ 100,000.00 Train pilot MAPUs/ToT: $80,000.00 Strengthen the CMAA's international and national participation in relevant fora : $120,000.00 UNDP Technical Assistance: $482,298.40
	Project Targets (2018) • Pilot MAPUs (ToT) are trained in the collection of new set of indicators; • CMAA's actively participates in international and national relevant fora. • development and implementation of the impact monitoring plan in villages declared free from the impact of mines/ERW is supported; **Project Targets (2019)** • CMAA's actively participates in international and national relevant fora. • CMAA's has the capacity to advocate for the inclusion of mine action within national;	**Key Deliverable 3: a minimum of 27 km² of the total mine/ERW contaminated areas located in the most affected and poorest provinces are impact-free.** **Activity 3.1.** Conduct an Impact Assessment of priority mine-ERW-impacted areas and villages in the target provinces to be cleared. **Activity 3.2** Contract mine action services clear a minimum of 27 km² in areas located among the most affected and poorest provinces from the impact of mines/ERW by the CMAA.		*Total Key Deliverable 3* **$8,327,793.60** Baseline Impact Assessment (BIA): $160,000.00 Mine/ERW Clearance: $7,336,000.00

	• Clearance of the targeted 27 km² is completed; • development and implementation of the impact monitoring plan in all the villages declared free from the impact of mines/ERW is supported.			CMAA Clearance Quality Control/Assurance, MRE, PR, Gender mainstreaming: $600,000.00 UNDP Technical Assistance: $231,793.60
		Other Project Costs		Communication and advocacy support/BCC: $200,000.00
				Monitoring:$31,000.00
				Environmental and Social Impact Assessment (ESIA): $40,000.00
				Evaluations (mid-term and final): $ 60,000.00
				UNDP Implementation Support Services (ISS) and assurance activities : $203,322.00
				Direct project cost : $118,352.00
				General Management Support (GMS): $828,095.84

V. MONITORING AND EVALUATION

In accordance with the UNDP Programme Operations Policies and Procedures (POPP), the project will be monitored through the following:

- Within the annual cycle
    - On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below;
    - An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change;
    - Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation;
    - Based on the above information recorded in Atlas, Project Progress Reports shall be submitted by the Project Manager to the Project Board through Project Assurance;
    - a project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project;
    - a Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events.
- Annually
    - Annual Review Report. An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board. As minimum requirement, the Annual Review Report shall consist of progress covering the whole year including a summary of results achieved against pre-defined annual targets at the output level;
    - Annual Project Review. Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

To the extent possible and following the Theory of Change illustrated the project will make use of both national and other systems to assess progress and attainment of the expected results. In particular the system that could potentially be used as a source of data for monitoring are:

- The Technical Working Group on Mine Action Joint Monitoring Indicators submitted to the PM annually;
- The CMAA the Information Management System for Mine Action (IMSMA);
- National Monitoring Strategic Plan (NMSP) submitted to the Prime Minister by the Ministry of Planning every year;
- The UNDAF annual Monitoring Report;
- The UNDP CPD Annual Monitoring Report;
- Any other Project specific/Development Partners Monitoring System as deemed suitable by the project unit.

In light and mindful of the above, the Project Unit will develop a programme management and monitoring system and tools, strengthen their use, and coach and mentor relevant CMAA staff to apply these tools.

An independent mid-term review of the overall activities and achievements of the Programme will be conducted in mid-2017, and if appropriate it will suggest adjustments to the Programme. Terms of Reference for this review and selection of the consultant(s) will be made in close consultation with donors and relevant stakeholders. The Programme will also be subject to UNDP Outcome evaluations, scheduled according to CPD cycle. A final independent evaluation will be conducted at the end of the project in 2019.

VI. MULTI-YEAR WORK PLAN

EXPECTED OUTPUTS and RESULT INDICATORS	PLANNED ACTIVITIES	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3	Y4		Funding Source	Budget Description	Amount
Output 1	**Key Deliverable 1: Mine action policies and strategic frameworks are aligned to national and sub-national sectorial policies and planning strategies and attached to pro-poor facilities.**					**UNDP with the support of CMAA, NCDD-S, MAFF, MoP**			**$588,432.00**
CPD output 1.5. Institutional measures are in place to strengthen the contribution of the national mine action programme to the human development of poor communities *CPD Indicator 1.5.1: The extent to which mechanisms measure and facilitate the development impact of mine action* • *Baseline: Some extent (1) -Year 2015* • *Target: Great extent (3)* • *Data source, frequency: Cambodia Mine Action Authority (annually)*	Activity 1.1. Develop a National Mine Action Strategy for 2017-2025 that will align Cambodia to the Maputo +15 declaration					UNDP, CMAA, Firm	SDC	Cost of Consultancy services	$50,000.00
Target 2016 • A CMAA mine action programme performance monitoring system that links human development and mine action; • a Baseline Impact Assessment (BIA) of priority mine-ERW-impacted villages in the target provinces is conducted • Mine action services based upon the	. *UNDP technical Assistance*					UNDP	SDC	Cost of technical specialist and Advisor	$538,432.00
	Key Deliverable 2: A CMAA mine action programme performance monitoring system exists that delivers quality evidence on sustainable development outcome/impact.					**UNDP with the support of CMAA, MAFF, MoP**			**$782,298.40**

EXPECTED OUTPUTS and RESULT INDICATORS	PLANNED ACTIVITIES	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3	Y4		Funding Source	Budget Description	Amount
results of the BIA are contracted; • CMAA actively participates in international and national relevant fora; • CMAA has the capacity to advocate for the inclusion of mine action within national policy and strategy development; • the development and implementation of the impact monitoring plan in project target villages declared free from the impact of mines/ERW is supported.	Activity 2.1. Establish a CMAA mine action programme performance monitoring system that links human development and mine action.					UNDP, CMAA, Firm	SDC	Cost of Consultancy/IT system and support, stakeholder consultations	$100,000.00
Target 2017 • performance monitoring indicators including adequate gender indicators with advisory support from Ministry of Women Affairs and other key stakeholders; • Mine action services based upon the results of the BIA are contracted ;	Activity 2.2. Training of Trainers (ToT) for the collection and reporting of the new set of indicators for the mine action sector					Trainers	SDC	Cost of Trainers and Training facilities	$80,000.00
	Activity 2.3. Strengthen the CMAA's international and national participation in relevant fora.					UNDP, CMAA	SDC	Related cost for study tours, participation in international conferences or events of CMAA senior management	$120,000.00
	UNDP technical Assistance					UNDP	DFAT/SDC	Cost of technical specialist and Advisor	$482,298.40
• CMAA actively participates in international and national relevant fora; • CMAA has the capacity to advocate for the inclusion of mine action within national policy and strategy development; • Release of the targeted 27 km² is on track.	**Key Deliverable 3: a minimum of 27 km² of the total mine/ERW contaminated areas located in the most affected and poorest provinces are impact-free.**					**CMAA with the support of UNDP and the Recruited Contractors**			**$8,327,793.60**
Target 2018 • Pilot MAPUs (ToT) are trained in the collection of new set of indicators; • CMAA actively participates in international and national relevant fora.	Activity 3.1. Conduct an Impact Assessment of priority mine-ERW-impacted areas and villages in the target provinces to be cleared.					CMAA with the support of UNDP and research firm	SDC	Cost of Firm conducting Impact Assessment Panel Survey 3 times: 1 as baseline, 1 as mid-term, and 1 at the end of project	$160,000.00

EXPECTED OUTPUTS and RESULT INDICATORS	PLANNED ACTIVITIES	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3	Y4		Funding Source	Budget Description	Amount
Target 2019 • CMAA actively participates in international and national relevant fora. • Mine action services based upon the results of the BIA are contracted ; Release of the targeted 27 km2 is completed; • the development and implementation of the impact monitoring plan in project target villages declared free from the impact of mines/ERW is supported;	Activity 3.2. Contract mine action services clear a minimum of 27 km2 in areas located among the most affected and poorest provinces from the impact of mines/ERW by the CMAA.					CMAA with the support of Sub-Contractors	DFAT/SDC	Cost of land release which will be performed by selected sub-contractors	$7,336,000.00
	Strengthening capacity to CMAA's staffs to ensure quality control of clearance, MRE, gender inclusive, public relation, victim assistance					CMAA	DFAT/SDC	Cost of CMAA capacity development, travels, and land clearance control/assurance activities	$600,000.00
	UNDP technical Assistance						DFAT/SDC	*Cost of technical specialist and Advisor*	*$231,793.60*
Other Costs									
Communication and advocacy support/BCC						UNDP with the support of CMAA	DFAT/SDC	Cost for staff carrying out media analysis, communication plan and campaigns	**$200,000.00**
Monitoring						UNDP with the support of CMAA	DFAT/SDC	Cost of staff that performs regular monitoring activities, and annual NIM project audits performed by independent firms	**$31,000.00**

EXPECTED OUTPUTS and RESULT INDICATORS	PLANNED ACTIVITIES	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3	Y4		Funding Source	Budget Description	Amount
Environmental and Social Impact Assessment (ESIA)						Independent Evaluators	DFAT/SDC	Cost of independent evaluators	**$40,000.00**
Evaluations (mid-term and final)						Independent Evaluators	DFAT/SDC	Cost of independent evaluators	**$60,000.00**
UNDP Recovery Cost						UNDP	DFAT/SDC	UNDP Implementation Support Services (ISS) and Quality Assurance	**$203,322.00**
Project Management Costs						UNDP	DFAT/SDC	Direct project cost (Project Coordinator, assistant, Driver and miscellaneous and office expenses)	**$118,352.00**
General Management Support (GMS)							DFAT/SDC		**$828,095.84**
Grand TOTAL									**$11,179,293.84**

VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Following the practice utilized in CFRII the investment will be implemented in UNDP National Implementation modality and have CMAA as Implementing Partner. National implementation is used when there is adequate capacity in the national authorities to undertake the functions and activities of the programme or project. The execution of the projects requires that the national institution acting as "Implementing Partner", CMAA, has the technical and administrative capacity to assume the responsibility for mobilizing and applying effectively the required inputs in order to reach the expected outputs. On the other hand, it is expected that the implementation of the national execution modality contributes to build national capacities. The project will be implemented over a period of four years beginning in the first quarter of 2016, and will be completed in the last quarter of 2019.

The UNDP country office ascertains the national capacities during the project formulation stage by undertaking an evaluation of capacity assessment and a Micro assessment or Harmonized Approach to Cash Transfers (HACT), determining where the strengths and weaknesses are, the way UNDP can assist to build new capacities, and the exit strategy of the project, ensuring that the intervention of UNDP will contribute to the development of new capacities. This solution has been identified in the past cycle, CFRII, as the most cost effective and capable of assuring the best results not only in terms of cost efficiency but also of suitable linkages with higher policy outcomes such has human development and poverty reduction.

Such undertaking will imply that the CMAA will be responsible for the implementation, monitoring and reporting of all project activities and budget with the support from UNDP and within a controlled framework. This provides an opportunity for the CMAA to confirm once again that it has the requisite skills and knowledge to lead the sector. UNDP country Office will display quality insurance activities while a UNDP project unit placed within CMAA will insure technical support and project management activities are carried out following the standards.

Programme progress and results will be discussed in the context of a Project Board whose members and roles will be defined as follows:

- **The Executive:** CMAA 1st Vice-President representing the project ownership who chairs the Board;
- **Senior supplier:** representing the interest of the parties concerned which provide funding (donors, UNDP) and technical expertise (UNDP) to the project. Their primary function is to provide guidance regarding the technical feasibility of the project;
- **Senior beneficiary** (optional): individual or group of individuals representing the interests of those who will ultimately benefit from the project (to be defined primary function is to ensure realization of project results from the perspective of project beneficiaries.

The Project Board is responsible for making consensus, management decisions for the project when guidance is required by the Project Team including recommendation for approval of project plans and revisions. Project Board decisions should be made in accordance to standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective competition.

The CMAA will be displaying the role of implementing partner and be in charge of the day-to-day implementation of the project as Executive with conditions laid down by the Board. The project should be implemented by CMAA staffs that have a direct role in the delivery of project activities. CMAA Secretary General will assume the role of Project Director and will be responsible for the day-today oversight, management and will have authority to run the project and for decision-making for the project. The Project Director prime responsibility is to ensure that the project produces the results (outputs) specified in the project document, to the required standard of quality and within the specific constraints of time and costs. The Project Director will ensure that the project team undertakes project activities and the delivery of project results as specified in the annual work plan.

The Project Director will delegate his/ her management role to a CMAA Deputy Secretary General, who will assume the role of Project Manager and who will be responsible for the day-to-day management, running of the project, decision-making of the project and report to the Project Director who will maintain overall oversight and responsibility.

The CMAA might also form a Project Steering Committee or Project Management Board led by the Project Director and inclusive of the CMAA staff members that have a primary role over the implementation of project activities. This Board/ Committee should meet on regular basis to discuss the implementation of the project, and make decisions. Such Board/ Committee will report to the CMAA Executive.

Staffing:

The complexity of the programme activities necessitates a highly competent core Programme Team which will report to the National Programme Manager and be accountable to UNDP for the manner in which they discharge the assigned functions in the case of those members recruited through UNDP.

The UNDP Project Management Unit will consist of:

- 1 Project Admin & Finance officer;
- 1 driver.

Within the Project Unit, Technical support will be provided by UNDP:

o 1 Chief Technical Advisor;

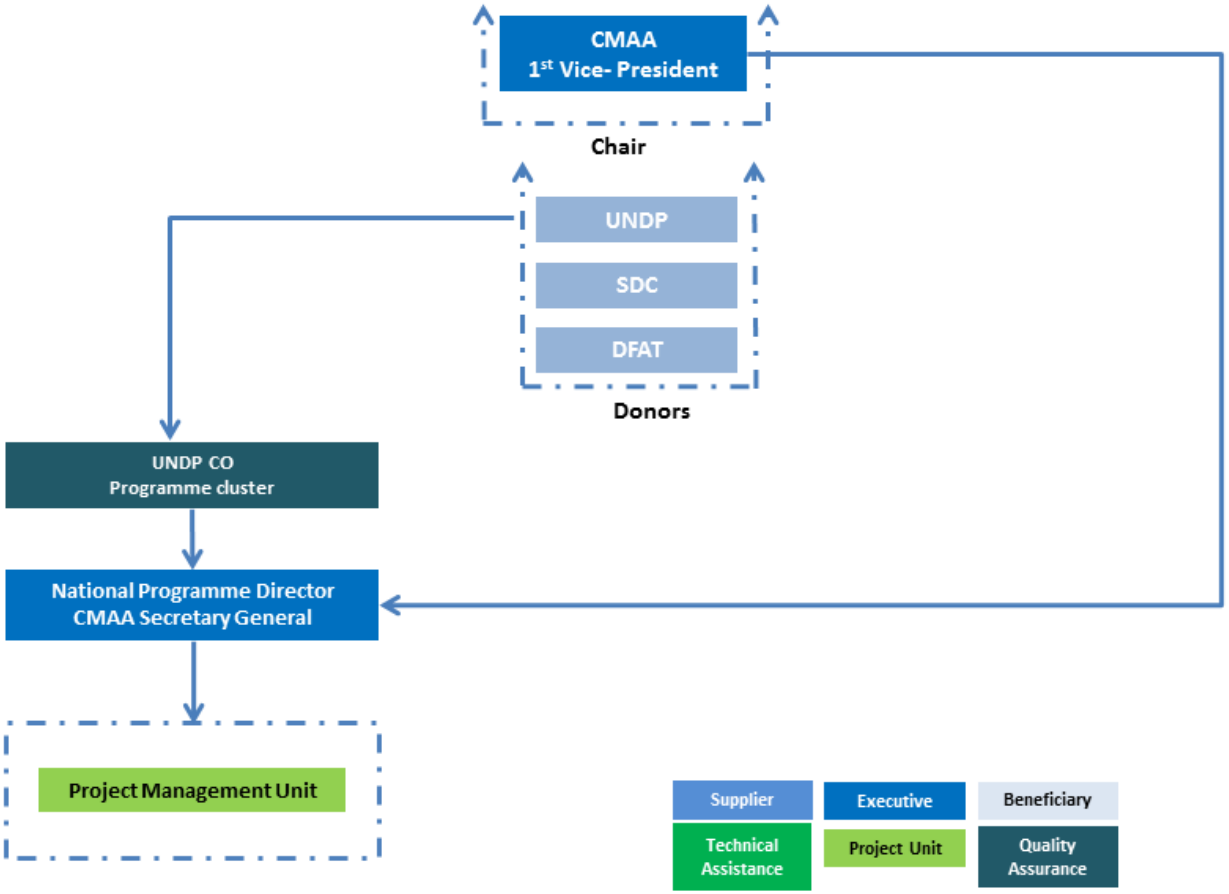
o 2 project technical specialists (one for KD1 and one for KD2 and KD3),

From CMAA side the Human resources to be deployed will be:

- 1 National Programme Director;
- 1 full-time Programme Manager;
- 1 Project Coordinator (Will be recruited by CMAA under project management budget).

The International Project advisor will be responsible for technically validating key deliverables single outputs and for advising the National Programme Director. The Programme Manager will be responsible for the day-to-day management and running of the programme. With the assistance from the admin and finance officer, s/he will be in charge of planning, budgeting, and managing programme activities, liaising with the UNDP country office as deemed necessary, training and mentoring national staff, recruiting and supervising resource persons, and regular reporting to UNDP, Government and any cost-sharing donors on programme progress and achievements. Besides the PMU and CMAA team, resource persons will be recruited as required and selected to contribute to the three key deliverables. In light of the capacity development developed in the past, CMAA will be mainly tasked with the execution of Key Deliverable 3 with minor technical assistance and to the execution of selected activities of Key Deliverables 1 and 2.

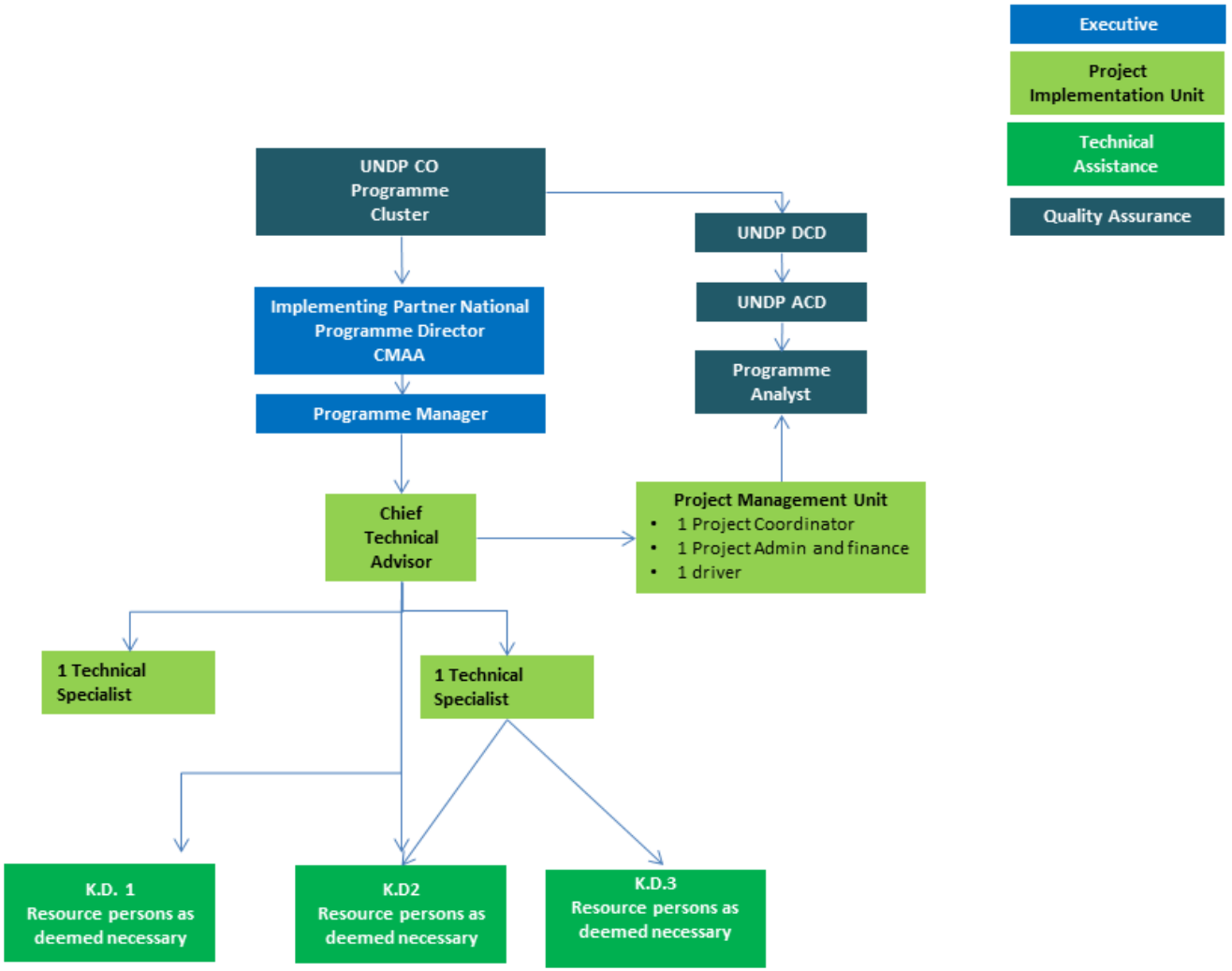
VIII.1. Project Board Composition



Note: Upon Project Board agreement, if necessary, the following stakeholders could be added into the project board :

- *NCDD-S and MoP as responsible parties*
- *MAFF and MRD as board members*

VIII.2. Project Unit Composition



Note: Since coordination of public investment and data collection at the subnational level might be required , the NCDD-S and MoP might be considered as responsible parties, with Project Board agreement

VIII.3. Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Project Mid-Term Evaluation		1.1	1/1.5	12/2017	CMAA all relevant Stakeholders involved in the Project Target Beneficiaries Representatives	30,000.00 US$ Project Resources
Project Final Evaluation		1.1	1/1.5	12/2019	CMAA all relevant Stakeholders involved in the Project Target Beneficiaries Representatives	30,000.00 US$ Project Resources

VIII. LEGAL CONTEXT

This document together with the CPAP signed by the Government and UNDP which is incorporated herein by reference, constitute together a Project Document as referred to in the Standard Basic Assistance Agreement (SBAA); as such all provisions of the CPAP apply to this document. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner", as such term is defined and used in the CPAP and this document.

Consistent with the Article III of the Standard Basic Assistance Agreement (SBAA), the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

a) 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;

b) assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

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 Implementing Partner's obligations under this Project Document [and the Project Cooperation Agreement between UNDP and the Implementing Partner].

The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document 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/further to this Project Document".

IX. ANNEXES

X.1.Project Quality Assurance Report

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

OVERALL PROJECT

EXEMPLARY (5) ◉◉◉◉◉	HIGHLY SATISFACTORY (4) ◉◉◉◉○	SATISFACTORY (3) ◉◉◉○○	NEEDS IMPROVEMENT (2) ◉◉○○○	INADEQUATE (1) ◉○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The 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 on how the project will contribute to higher level change as specified in the programme's theory of change, 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 related to the programme's theory of change. It has explicit assumptions that explain how the project intends to contribute to higher 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 programme's theory of change. The project document does not clearly specify why the project's strategy is the best approach at this point in time. *Note: Management Action or strong management justification must be given for a score of 1	③	2 1 **Evidence** ToC flow chart addresses high level of poverty reduction, resilience, institutional mechanism; and improve right, participation, benefits from resources of targeted group (Reference: Page 10 of Project Document that uploaded under PQA question number 1)

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): • **3:** The project responds to one of the three areas of development work[4] as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas[5]; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. *(all must be true to select this option)* • **2:** The project responds to one of the three areas of development work[1] as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. *(both must be true to select this option)* • **1:** While the project may respond to one of the three areas of development work[1] 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 RRF indicated clearly alignment to level of SP with measurement indicators (Reference: Pages 19-21 of Project Document that uploaded under PQA question number 1)	
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): • **3:** The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.) The project plans to solicit feedback from targeted groups regularly through project monitoring. Representatives of the targeted group/geographic areas will contribute to project decision-making, such as being included in the project's governance mechanism (i.e., project board.) *(all must be true to select this option)* • **2:** The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised, and are engaged in project design. The project document states clearly how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. Collecting feedback from targeted groups has been incorporated into the project's RRF/monitoring system, but representatives of the target group(s) may not be directly involved in the project's decision making. *(all must be true to select this option)* • **1:** The target groups/geographic areas do not prioritize excluded and/or marginalised populations, or they may not be specified. 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. *Note: Management Action must be taken for a score of 1	(3)	2
	1	
	Select (all) targeted groups: (drop-down) **Evidence** *The CMAA is strengthening, the poor is prioritized target group and especially for direct benefit from land release selection within target community (Reference: Uploaded Prodoc at PQA Q1, Project Strategy Page 8 targeting and page 13-16 for CMAA strengthening)*	
	(3)	2

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

[5] 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

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:** Knowledge and lessons learned backed by credible evidence from evaluation, analysis 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. *Note: Management Action or strong management justification must be given for a score of 1	1 **Evidence** *Highlighted by the CFR II and the NMAS mid-term reviews, some policies and issues brought to be addressed, to maximise human development impact). Result of CFRII sector review were emerged in this CFRIII Pordoc.*
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): • **3:** A participatory 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. *(all must be true to select this option)* • **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. *(all must be true to select this option)* • **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. *Note: Management Action or strong management justification must be given for a score of 1	3 | (2) 1 **Evidence** Found from CFRII sector review, gender issues were incorporated and continue addressing by this CFRIII. Environmental Screening Impact Assessment, ESIA will also define and inform management decision on how to better mainstream human rights especially gender in light of the identified risks and the probability that these happen related to women. Women is going to be engaged and consult during demining area prioritization and continue mainstreaming into related mine action strategies.(Reference: Pages 36-41 of Project Document that uploaded under PQA question number 1)
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): • **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. *(all must be true to select this option)* • **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	(3) | 2 1 **Evidence** UNDP has engaged in the mine sector over 10 years in Cambodia. And this project interventions will complement other DP (Include UNICEF MRE) and CSOs support to the field of capacity development for mine action sector. Partnership strategy elaborates CMAA coordination roles on mine action sector and TWG-MA, and contribution from other public and civil society mine actors such as RACF, CMAC, NPMEC, HALO Trust, MAG, CSHD.

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 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	Reference: Prodoc uploaded at PQA Q1, Page 15-16
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, specifically 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 assessed and identified 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 assessed and identified 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** *Risk Analysis and SES identified risks to human right, and the ESIA conducting will map mitigation pathway for the risks* (Reference: Pages 36-41 & 46-49 of Project Document that uploaded under PQA question number 1)
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 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 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** *Risk Analysis and SES identified risks and environmental impact, so future ESIA is taking place when project start to map impact and mitigation pathway. For example:* The pollution contain in Mine is beyond our control, so Risks through ESIA will be assessed and map mitigation approach (Reference: Pages 36-41 of Project Document that uploaded under PQA question number 1)

9. If the project is worth $500,000 or more, has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? Select N/A only if the project is worth less than $500,000. [if yes, upload the completed checklist]	(Yes)	No

MANAGEMENT & MONITORING

10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project): • **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. *(all must be true to select this option)* • **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. *(all must be true to select this option)* • **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. *Note: Management Action or strong management justification must be given for a score of 1	(3)	2
	1	
	Evidence *RRF clearly link to outputs and outcome of higher level of UNDP Cambodia CPD and UNDP Strategic Plan* (Reference: Pages 19-21 of Project Document that uploaded under PQA question number 1)	
11. Is there a comprehensive and costed M&E plan with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?	(Yes)	No
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): • **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. *(all must be true to select this option)*. • **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. *(all must be true to select this option)* • **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.	(3)	2
	1	
	Evidence *Project clearly indicated Governance Structure and project board composition*(Reference: Pages 31-32 of Project Document that uploaded under PQA question number 1)	

*Note: Management Action or strong management justification must be given for a score of 1	
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): • **3:** Project risks fully described in the project risk log, based on comprehensive analysis which references key assumptions made in the project's theory of change. Clear and complete plan in place to manage and mitigate each risk. *(both must be true to select this option)* • **2:** Project risks 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 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. *Note: Management Action must be taken for a score of 1	(3) 2 1 **Evidence** *Risks log indicated all associated risks with approach to identify mitigation partway of each single risk.*(Reference: Pages 46-49 of Project Document that uploaded under PQA question number 1)
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) No **Evidence** Project design benefits result of CRFII sector review, some highlighted by the CFR II and the NMAS mid-term reviews are using and addressing through CFRIII (Ref: Project Strategy Page 8-9). ToC is used to inform effective intervention to higher impact(Ref: Page 10, 17)
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) No **Evidence** Project will compliment to existing mine risk education, gender mainstreaming, and capacity development in mine action of CMAA, UNICEF, CSOs, and other development partners (Ref: Partnership, page 15)
16. Is the budget justified and supported with valid estimates?	(Yes) No **Evidence** The project's budget is informed by previous experience in working closely with CMAA Ref: Project MWP at page 24-27)
17. Is the Country Office fully recovering its costs involved with project implementation?	(Yes) No **Evidence** UNDP cost recovery and QA includes project monitoring costs are recovered by UNDP (Ref: Project MWP at page 24-27)
EFFECTIVE	
18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project): • **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	(3) 2 1 **Evidence** *CMAA is mandated for coordination of Mine actions in Cambodia. Capacity Assessment*

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. *Note: Management Action or strong management justification must be given for a score of 1	*conduced on CMAA to understand their capacity to handle project implementation as national institution and there is regular update at a time to decide for new project as National Implementation modality (NIM)* (Reference: Pages 50-58 of Project Document that uploaded under PQA question number 1 and HACT Micro-Assessment)
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? • 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** *Entire project is Targeted the Poor base on MPI available data to prioritize (contaminated areas and post-clearance)*
20. Does the project have explicit plans for evaluation or other lesson learning, timed to inform course corrections if needed during project implementation?	(Yes) | No **Evidence** Mid-term and final evaluation will be conducted (Ref: evaluation plan, page 33)
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. *Note: Management Action or strong management justification must be given for a score of "no"	(Yes) | No **Evidence** *Project is fit to GEN2. Gender issues were identified as potential risks. Targeted poor may allow us to reach women household head. Project is contributing to mainstream gender in mine action.* (Reference: Pages 36-41 of Project Document that uploaded under PQA question number 1)
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): • **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.	(3) | 2 1 **Evidence** *Multi-Years work plan indicated clearly activities to be achieved within 3 years project life.* .(Reference: Pages 24-27 of Project

• **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.	Document that uploaded under PQA question number 1)
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:** National partners have full ownership of the project and led the process of the development of the project jointly with UNDP. • **2:** The project has been developed by UNDP in close consultation with national partners. • **1:** The project has been developed by UNDP with limited or no engagement with national partners.	(3) 2 1 **Evidence** *Existing project with CMMA and senior has been engaged since the beginning of concept note and project designed*
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): • **4:** The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. • **3:** A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy. • **2:** A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment. • **1:** There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned. • **0:** Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.	(4) 2 3 1 0 **Evidence** *CMAA/national capacity development is indicated as indicator and project deliverable. CMAA sustainable role with better capable through strengthening during and expectation of ownership beyond 2018 when CFRIII end.*
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?	(Yes) No **Evidence** Project use NIM modality (Ref: Project Management, page 18)
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) No **Evidence** Sustainability and Scaling up (Ref: Page 16)

X.2. Social and Environmental Screening Template for projects $500,000 or more, including additional Social and Environmental Assessments or Management Plans as relevant.

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

Project Information

Project Information	
1. Project Title	Clearing for Results: Mine Action for Human Development
2. Project Number	
3. Location (Global/Region/Country)	Cambodia

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

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the Project mainstreams the human-rights based approach
ESIA will define and inform management decision on how to better mainstream human rights in light of the identified risks and the probability that these occur.
Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment
ESIA will define and inform management decision on how to better mainstream gender equality in light of the identified risks and the probability that these occur in deliverable KD1. For which concerns Key Deliverable 2 and 3 Gender will be mainstreamed by assuring the maximum level of disaggregation in the building of the performance indicator monitoring system and by following the principles set by the Gender Mainstreaming in Mine Action Plan.
Briefly describe in the space below how the Project mainstreams environmental sustainability
ESIA will define and inform management decision on how to better mainstream environmental sustainability in light of the identified risks and the probability that these occur.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.*	**QUESTION 3: What is the level of significance of the potential social and environmental risks?** *Note: Respond to Questions 4 and 5 below before proceeding to Question 6*			**QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?**
Risk Description	***Impact and Probability (1-5)***	***Significance (Low, Moderate, High)***	***Comments***	***Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.***
Risk 1: The Project could lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups.	I = 4 P = 2	Moderate		ESIA will define and inform management decision on mitigation measures
Risk 2: There is a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups.	I = 4 P = 2	Moderate		ESIA will define and inform management decision on mitigation measures
Risk 3: The Project could potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	I = 5 P = 3	High		ESIA will define and inform management decision on mitigation measures
Risk 4: There is a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them.	I = 5 P = 3	High		ESIA will define and inform management decision on mitigation measures
Risk 5: There is a risk that duty-bearers do not have the capacity to meet their obligations in the Project.	I = 5 P = 4	High		ESIA will define and inform management decision on mitigation measures
Risk 6: Is there a risk that rights-holders do not have the capacity to claim their rights	I = 5 P = 3	High		ESIA will define and inform management decision on mitigation measures
Risk 7: There is a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls	I = 3 P = 3	Moderate		ESIA will define and inform management decision on mitigation measures

Risk 8: The Project would potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits	I = 4 P = 3	Moderate		ESIA will define and inform management decision on mitigation measures
Risk 9: The Project would potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	I = 4 P = 3	Moderate		ESIA will define and inform management decision on mitigation measures
Risk 10: The Project could potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services	I = 4 P = 4	High		ESIA will define and inform management decision on mitigation measures
Risk 11: The Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods	I = 4 P = 4	High		ESIA will define and inform management decision on mitigation measures
Risk 12: The Project activities would pose risks to endangered species	I = 1 P = 2	Low		ESIA will define and inform management decision on mitigation measures
Risk 13: The Project involve the production and/or harvesting of fish populations or other aquatic species	I = 1 P = 2	Low		ESIA will define and inform management decision on mitigation measures
Risk 14: The Project would generate potential adverse transboundary or global environmental concerns	I = 1 P = 1	Low		ESIA will define and inform management decision on mitigation measures
Risk 15: The Project would result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area	I = 3 P = 2	Moderate		ESIA will define and inform management decision on mitigation measures
Risk 16: The potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change	I = 4 P = 3	Moderate		ESIA will define and inform management decision on mitigation measures
Risk 17: Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)	I = 4 P = 2	Moderate		ESIA will define and inform management decision on mitigation measures
Risk 18: The elements of Project construction, operation, or decommissioning would pose potential safety risks to local communities?	I = 3 P = 5	High		ESIA will define and inform management decision on mitigation measures
Risk 19: The Project would pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials	I = 3 P = 5	High		ESIA will define and inform management decision on mitigation measures

Risk 20: The failure of structural elements of the Project would pose risks to communities (e.g. collapse of buildings or infrastructure)	I = 3 P = 1	Low		ESIA will define and inform management decision on mitigation measures
Risk 21: The proposed Project would be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions	I = 4 P = 2	Moderate		ESIA will define and inform management decision on mitigation measures
Risk 22: The Project would pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning	I = 4 P = 5	High		ESIA will define and inform management decision on mitigation measures
Risk 23: The Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)	I = 4 P = 2	Moderate		ESIA will define and inform management decision on mitigation measures
Risk 24: The proposed Project will result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)	I = 4 P = 2	Moderate		ESIA will define and inform management decision on mitigation measures
Risk 25: The Project would possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)	I = 5 P = 2	Moderate		ESIA will define and inform management decision on mitigation measures
Risk 26: There is a risk that the Project would lead to forced evictions	I = 5 P = 2	Moderate		ESIA will define and inform management decision on mitigation measures
Risk 27: The proposed project would possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources	I = 5 P = 2	Moderate		ESIA will define and inform management decision on mitigation measures
Risk 28: The project would potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts	I = P =			ESIA will define and inform management decision on mitigation measures
Risk 29: The proposed project would potentially result in the generation of waste (both hazardous and non-hazardous)	I = P =			ESIA will define and inform management decision on mitigation measures
Risk 30: The proposed project will potentially involve the manufacture, trade, release,	I = P =			ESIA will define and inform management decision on mitigation measures

and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*				

	QUESTION 4: What is the overall Project risk categorization?		
	Select one (see SESP for guidance)		**Comments**
	Low Risk	☐	
	Moderate Risk	☐	
	High Risk	✓	
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
	Check all that apply		**Comments**
	Principle 1: Human Rights	✓	
	Principle 2: Gender Equality and Women's Empowerment	✓	
	1. Biodiversity Conservation and Natural Resource Management	✓	
	2. Climate Change Mitigation and Adaptation	☐	
	3. Community Health, Safety and Working Conditions	✓	
	4. Cultural Heritage	☐	
	5. Displacement and Resettlement	✓	
	6. Indigenous Peoples	☐	
	7. Pollution Prevention and Resource Efficiency	✓	

Final Sign Off

Signature	***Date***	***Description***
QA Assessor:		Sovannarith Hang, project coordinator

QA Approver:		Mr. Napoleon Navarro, Senior Policy Advisor
PAC Chair		Mr. Enrico Gaveglia, DCD

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
Principles 1: Human Rights	**Answer (Yes/No)**
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	Yes
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [6]	Yes
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	Yes
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	Yes
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	Yes
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
4. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	N/A
4. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being*	Yes
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*	Yes
1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas	No

[6] Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	Yes
1.4	Would Project activities pose risks to endangered species?	Yes
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	Yes
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	Yes
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? *For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.*	Yes
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant[7] greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	Yes
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	Yes
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	Yes
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	Yes
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	Yes
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	Yes

[7] In regards to CO_2, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	Yes
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	Yes
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	Yes
5.3	Is there a risk that the Project would lead to forced evictions?[8]	Yes
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.*	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		

[8] Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Yes
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	Yes
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*	Yes
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

X.3. Risk Analysis. Use the standard Risk Log template. Please refer to the Deliverable Description of the Risk Log for instructions

OFFLINE RISK LOG

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

Project Title: Mine Action for Human Development (MAfHD)	**Award ID:**	**Date:** 08th September 2015

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Risk 1: The Project could lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups.	07/09/2015	Operational	I = 4 P = 2	ESIA will define and inform management decision on mitigation measures				
2	Risk 2: There is a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups.	07/09/2015	Operational	I = 4 P = 2	ESIA will define and inform management decision on mitigation measures				
3	Risk 3: The Project could potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	07/09/2015	Operational	I = 5 P = 3	ESIA will define and inform management decision on mitigation measures				
4	Risk 4: There is a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them.	07/09/2015	Operational	I = 5 P = 3	ESIA will define and inform management decision on mitigation measures				
5	Risk 5: There is a risk that duty-bearers do not have the capacity to meet their obligations in the Project.	07/09/2015	Operational	I = 5 P = 4	ESIA will define and inform management decision on mitigation measures				
	Risk 6: Is there a risk that rights-holders do not have the capacity to claim their rights	07/09/2015	Political	I = 5 P = 3	ESIA will define and inform management decision on mitigation measures				

	Risk 7: There is a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls	07/09/2015	Operational	I = 3 P = 3	ESIA will define and inform management decision on mitigation measures				
	Risk 8: The Project would potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits	07/09/2015	Operational	I = 4 P = 3	ESIA will define and inform management decision on mitigation measures				
	Risk 9: The Project would potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	07/09/2015	Operational	I = 4 P = 3	ESIA will define and inform management decision on mitigation measures				
	Risk 10: The Project could potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services	07/09/2015	Operational	I = 4 P = 4	ESIA will define and inform management decision on mitigation measures				
	Risk 11: The Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods	07/09/2015	Operational	I = 4 P = 4	ESIA will define and inform management decision on mitigation measures				
	Risk 12: The Project activities would pose risks to endangered species	07/09/2015	Operational	I = 1 P = 2	ESIA will define and inform management decision on mitigation measures				
	Risk 13: The Project involve the production and/or harvesting of fish populations or other aquatic species	07/09/2015	Operational	I = 1 P = 2	ESIA will define and inform management decision on mitigation measures				
	Risk 14: The Project would generate potential adverse transboundary or global environmental concerns	07/09/2015	Operational	I = 1 P = 1	ESIA will define and inform management decision on mitigation measures				
	Risk 15: The Project would result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area	07/09/2015	Operational	I = 3 P = 2	ESIA will define and inform management decision on mitigation measures				

	Risk 16: The potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change	07/09/2015	Operational	I = 4 P = 3	ESIA will define and inform management decision on mitigation measures				
	Risk 17: Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)	07/09/2015	Operational	I = 4 P = 2	ESIA will define and inform management decision on mitigation measures				
	Risk 18: The elements of Project construction, operation, or decommissioning would pose potential safety risks to local communities?	07/09/2015	Operational	I = 3 P = 5	ESIA will define and inform management decision on mitigation measures				
	Risk 19: The Project would pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials	07/09/2015	Operational	I = 3 P = 5	ESIA will define and inform management decision on mitigation measures				
	Risk 20: The failure of structural elements of the Project would pose risks to communities (e.g. collapse of buildings or infrastructure)	07/09/2015	Operational	I = 3 P = 1	ESIA will define and inform management decision on mitigation measures				
	Risk 21: The proposed Project would be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions	07/09/2015	Operational	I = 4 P = 2	ESIA will define and inform management decision on mitigation measures				
	Risk 22: The Project would pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning	07/09/2015	Operational	I = 4 P = 5	ESIA will define and inform management decision on mitigation measures				
	Risk 23: The Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)	07/09/2015	Operational	I = 4 P = 2	ESIA will define and inform management decision on mitigation measures				
	Risk 24: The proposed Project will result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)	07/09/2015	Operational	I = 4 P = 2	ESIA will define and inform management decision on mitigation measures				

	Risk 25: The Project would possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)	07/09/2015	Operational	I = 5 P = 2	ESIA will define and inform management decision on mitigation measure				
	Risk 26: There is a risk that the Project would lead to forced evictions	07/09/2015	Operational	I = 5 P = 2	ESIA will define and inform management decision on mitigation measures				
	Risk 30: The proposed project would possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources	07/09/2015	Operational	I = 5 P = 2	ESIA will define and inform management decision on mitigation measures				
	Risk 28: Reduced security in all or parts of the country limits access to target provinces	08/09/2015	Political	P = 2 I = 5					
	Risk 29: Australian Dollar continues to fall in value against the US Dollar	08/09/2015	Financial	P = 3 I = 4	Readjust activities in AWP				
	Risk 30: Available/Pledged funding is reduced	08/09/2015	Financial	P = 2 I = 4	Readjust activities in MWP and AWP				
	Risk 31: Inflation increases cost per square metre	08/09/2015	Financial	P = 3 I = 3	Concentrate on achieving impact free villages with the reduced amount of cleared km2				
	Risk 32 Contractors are non-compliant with National Mine Action Standards leading to missed mines/ERW on released land	08/09/2015	Operational	P = 3 I = 4					

X.4. Capacity Assessment: Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)

Programme Title	**CLEARING FOR RESULTS PHASE III**	
Name of Institution	CAMBODIAN MINE ACTION AND VICTIM ASSISTANCE AUTHORITY (CMAA)	
Date of Assessment	09 SEPTEMBER 2015	
INDICATOR	**AREAS FOR ASSESSMENT**	**COMMENTS**
PART I. BACKGROUND INFORMATION		
1. History	Date of establishment of the organization	Established by Royal Decree on 04 September 2000.
2. Mandate and constituency	What is the current mandate or purpose of the organization? Who is the organization's primary constituency?	The Cambodian Mine Action Authority shall have the following roles: administering all demining and UXO's clearance activities and assistance to mine victims in the Kingdom of Cambodia. The Cambodian Mine Action Authority shall be designated as a sole national institution involved in mine action and assistance to mine victims. The Cambodian Mine Action Authority shall represent the Royal Government to sign on all agreements memorandum of understandings and contracts of the bilateral supports which involve demining and UXO's clearance and assistance to mine victims. The Cambodian Mine Action Authority shall have the following responsibilities: a. preparing policy guide lines for demining and UXO clearance and assistance to mine victims; b. preparing strategic medium and long term visions on demining and UXO clearance and assistance to mine victims; c. preparing strategic five year plan for mine and UXO clearance and assistance to mine victims in the Kingdom of Cambodia; d. coordinating all demining and UXO clearance and assistance to mine victims activities; e. following-up and monitoring the activities of demining and UXO's clearance and assistance to mine victims, so that national and non-government organization operators apply with the strategy and plan of the Royal Government; f. mobilizing technical and financial support within Cambodia and abroad; g. ordering to destroy anti-personnel land mine in the stockpile and UXO found; h. issuing the regulations, which related to the activities of mine action; i. issuing an accreditation to national and non-government organizations, which conduct demining activities in the Kingdom of Cambodia; j. having the rights to withhold the accreditation from nation and non-governmental organizations, which conduct demining activities in the Kingdom of Cambodia;

		k. administering the data base of all activities, which involved in mine and UXO action and assistance to mine victims; l. preparing policy guide lines on the management of land use on post clearance; m. administering the implementation of the law on the Prohibition of Use of Anti-personnel Land Mines and the treaty of the Ottawa Convention on the Prohibition of Use, Stockpiling. Production and Transfer of Anti-personnel mine and their Destruction; n. following-up, monitoring and advising on use of resources provided to the national and-governmental organizations by the Royal Government and the international community. www.cmma.gov.kh
3. Legal status	What is the organization's legal status? Has it met the legal requirements for operation in the programme country?	The CMAA legal status to operate as a government organisation in Cambodia is mandated under a Royal Decree. The CMAA has the following governance structure: - The Prime Minister - President - The Minister of the Ministry of Posts and Telecommunications – First Vice President - The Senior Minister in charge of special envoys – Second Vice President - A High Level Official - Secretary-General - Ministry of Foreign Affairs - Member - Ministry of Interior - Member - Ministry of Social Welfare, Labor, Training - and Youth Rehabilitation - Member - Ministry of Economics and Finance - Member - The Cambodian Development Council - Member - Ministry of Land Management Urbanization and Construction - Member - The Council of Demobilization of Armed Forces - Member - A High Level Official specializing in law – Member
4. Funding	What is the organization's main source (s) of funds?	The CMAA receives funding from government, the UNDP CFRII project, and other development partners.
5. Certification	Is the organization certified in accordance with any international standards or certification procedure?	There are no international standards or certification procedures for government national mine action authorities.
6. Proscribed organizations	Is the organization listed in any UN reference list of proscribed organizations?	UNDP has been working with the CMAA since its establishment in 2000 but in close partnership to implement the CFRI (2006-2010) DIM and CFRII (2011-2015) NIM projects. UNICEF also has a positive relationship with CMAA for MRE work. They are listed on the ATLAS Vendor Profile.
PART II. PROJECT MANAGEMENT CAPACITY		
2.1 Managerial Capacity		
1. Leadership Commitment	Are leaders of the organization ready and willing to implement the proposed project?	CMAA senior management have approved the project concept note.
2. Management experience and qualifications	Which managers in the organization would be assigned to work on the proposed project? What are their credentials and experience that relate to the proposed project?	Project Director: HE Prum Sophakmonkol, Secretary General, CMAA. Previously Project Manager since 2011 before promotion to SG in Nov 2014. Excellent experience and knowledge of the mine action sector and has

	Do these managers have experience implementing UNDP or other donor-funded projects?	represented CFRII well during his tenure as Project Manager and Project Director. Project Manager: HE Ly Panharith, Deputy Secretary General. He has some experience but has support and guidance from HE Prum Sophakmonkol.
3. Planning and budgeting	Does the organization apply a results-based management methodology? Are there measurable outputs or deliverables in the strategies, programmes and work plans? Are budgets commensurate with intended results? How do planners identify and accommodate risks?	The CMAA has successfully implemented the CFRII project with RBM methodology within the ProDoc. Results are significantly higher than planned due to CFRII leadership in maximising results. Yes, within the ProDoc to be finalised by UNDP. Yes, within the ProDoc to be finalised by UNDP. Risk log.
4. Supervision, review, and reporting	How do managers supervise the implementation of work plans? How do they measure progress against targets? How does the organization document its performance, e.g., in annual or periodic reports? How are the organization's plans and achievements presented to stakeholders? Does the organization hold regular programme or project review meetings? Are such meetings open to all stakeholders? Are the organization's activities subject to external evaluation? How does the organization learn and adapt from its experience?	1. Contractor quarterly reports. 2. CFRIII quarterly and annual reporting. 3. CFRII Project Board meetings twice a year and open to all project stakeholders. 4. Technical Working Group-Mine Action twice a year and open to all stakeholders of the mine action sector 5. Technical Reference Groups open to all stakeholders and held at a rate of at least one per months in 2015. 6. Annual external audit and UNDP spotcheck. 7. Mid-Term Review evaluation and final project evaluation.
5. Networking	What other organizations are critical for the successful functioning of this organization?	**within CMAA** a. Cabinet; b. TWG-MA secretariat ; c. Regulation and Monitoring Department; d. Socio-Economic and Planning Department; e. Victim Assistance Department; f. General Administration Department; g. Public Relations Department. **RGC** a. Mine Action Planning Units (MAPU); b. Technical Working Group – Mine Action (TWG-MA); c. The Council for the Development of Cambodia (CDC); d. Ministry of Women's Affairs (MoWA); e. Ministry of Social Affairs Veterans and Youth Rehabilitation (MoSVY); f. Disability Action Council (DAC) ; g. Ministry of Agriculture Forestry and Fisheries (MAFF); h. Ministry of Rural Development (MRD); i. National Committee for subnational Democratic Development Secretariat (NCDD-S); a. Ministry of Planning (MoP); b. Ministry of Economic and Finance (MEF). **Others** a. DFAT; b. EU;

		c. SDC; d. GIZ; e. Geneva International Centre for Humanitarian Demining (GICHD); f. Norwegian People's Aid (NPA); g. ADB.
	How does the organization conduct relations with these organizations?	The CMAA has a number of internal management meetings with the departments. External meetings include the TWG-MA, CFRII Project Board meetings, Technical Reference Groups, attending other government department meetings
	Is the organization a party to knowledge networks, coordinating bodies, and other fora?	CMAA attends a number of international fora related to mine action. These include presentations and discussions on new trends and expertise. Some of the international fora require the CMAA to report against its obligations within the Mine Ban Treaty.
1. Technical knowledge and skills	Do the skills and experience of the organization's technical professionals match those required for the project?	Under CFRII, the required technical professionals were available.
	Would these professionals be available to the project?	Any required technical professionals in the new project will be made available.
	Does the organization have the necessary technical infrastructure (e.g., laboratories, equipment, software, technical data bases, etc.) to support the implementation of the project?	The CMAA is the custodian of the national mine action database and the national mine victim database.
	How do staff members of the organization keep informed about the latest techniques and trends in their areas of expertise?	CMAA attends a number of international fora related to mine action. These include presentations and discussions on new trends and expertise.
	What external technical contacts and networks does the organization utilize?	CMAA attends a number of international fora related to mine action and has linkages to a number of other national authorities in other countries. CMAA has linkages with national and international mine action organisations, UN bodies such as UNDP, UNICEF, UNMAS, etc. CMAA is co-lead with UNDP for the Technical Working Group – Mine Action. CMAA has linkages with other government bodies within the Cambodian government.
	What professional associations does the organization and/or its professional staff belong to?	Unknown.
PART III. ADMINISTRATIVE AND FINANCIAL MANAGEMENT CAPACITIES		
3.1 Administrative capacity. *Ability to provide adequate logistic support and infrastructure*		
1. Facilities, infrastructure and equipment	Does the organization possess sufficient administrative facilities, infrastructure, equipment and budget to carry out its activities, particularly in relation to the requirements of the project?	The CMAA has an office building and has the necessary infrastructure in place. The budget has not yet been developed and is subject to negotiation with CMAA.
	Can the organization manage and maintain the administrative and technical equipment and infrastructure?	Government funded.
2. Recruitment and personnel management	Does the organization have the legal authority to enter into employment contracts with individuals?	As a government body, the CMAA has the authority to employ government employees, both permanent and on service contracts. It is also authorised to contract consultants as required.
	If not, what is the relationship of the organization with third parties in entering into employment contracts with individuals in terms of employee –	N/A

	employer relationship, payment of salaries, administration of entitlements, settlement of disputes and liabilities?	
	Does the organization have dedicated personnel capacity?	CMAA refuses to share detailed management structure.
	Do recruitment personnel have skills and experience that are appropriate to the requirements of the project?	CMAA refuses to share details of personnel.
	Does the organization have written recruitment procedures?	HR manual available which has been shared with UNDP Country Office but the CMAA refuse to share with the project.
	Is there evidence that the organization conducts recruitment objectively on the basis of competition, fairness, and transparency?	No evidence. CMAA refuse to share details of personnel documentation.
	Does the organization have a salary scale that would apply to project personnel? Would that scale inhibit the hiring of the best candidates? If the organization has a salary scale, how often is this salary scale revised and what would be the likely impact of these raises to the project costs?	Unknown as CMAA refuse to share such information. Given salaries are based on government salaries which are low I would state that the best candidates are probably not selected.
	Does the organization have established rules to deal with dispute cases effectively?	HR manual available which has been shared with UNDP Country Office but the CMAA refuse to share with the project.
	What is the staff well-being policy of the organization, in particular dealing with discrimination, grievances, harassment and abuse cases?	HR manual available which has been shared with UNDP Country Office but the CMAA refuse to share with the project.
	In case of dispute cases with its staff working in projects does the organization undertake full responsibility to investigate and settle such cases without infringement to UNDP?	HR manual available which has been shared with UNDP Country Office but the CMAA refuse to share with the project.
	Is the leave policy of the organization compatible with UNDP's leave policies and is this policy likely to impede project implementation activities?	All CMAA staff take all government public holidays. It is not likely to impact project implementation.
	Does the organization have personnel policies regarding death and disability?	HR manual available which has been shared with UNDP Country Office but the CMAA refuse to share with the project.
	Does the organization have personnel policies on health insurance and pension arrangements?	HR manual available which has been shared with UNDP Country Office but the CMAA refuse to share with the project.
3. Procurement and contracting	Does the organization have the legal authority to enter into contracts and agreements with other organizations?	Yes.
	Does the organization have access to legal counsel to ensure that contracts are enforceable, meet performance standards, and protect the interests of the organization and UNDP?	The legal recourse would be through the Prime Minister's Office.
	Does the organization have dedicated procurement capacity?	CMAA refuse to share details of personnel.
	Do procurement personnel have skills and experience that are appropriate to the requirements of the project?	Unknown as UNDP does not have access to personnel information such as CVs.
	Does the organization have written procurement procedures?	Yes.
	Number of staff involved in procurement?	CMAA refuse to share details of personnel documentation.

	Is there evidence that the organization conducts procurement on the basis of best value for money, transparency, and effective international competition?	Yes. UNDP observes the procurement process for land release contracts and has found no non-compliance in relation to value for money, transparency, and effective international competition.
	Number of procurement actions and their value in the past year?	There are a large number of procurement transactions in CFRII. However, significant procurement transaction for land release services between 2011 and 2015 has totalled around US$20 million.
	Is there a procurement plan for either the current, or next year?	Yes.
3.2 Financial Management Capacity		
1. Financial management organization and personnel	Does the organization have written rules and regulations for financial management that are consistent with international standards?	Unknown as I have no experience of required international standards. UNDP Country Office has indicated no issues with the CMAA Finance Manual.
	Does the organization have a dedicated finance unit?	Yes.
	Do finance managers and personnel have skills and experience that are appropriate to the requirements of the project?	CMAA refuse to share details of personnel.
	Is the existing financial management capacity adequate to meets the additional requirements of the project?	CMAA refuse to share details of personnel.
	Do finance personnel have experience managing donor resources?	CMAA refuse to share details of personnel
2. Financial position	Does the organization have a sustainable financial position?	Yes as they are primarily government funded.
	What is the maximum amount of money the organization has ever managed?	Over US$16 million under CFRII NIM project.
	If the proposed project is implemented by this organization, what percentage of the organization's total funding would the project comprise?	CMAA refuse to share financial/funding information.
3. Internal control	Does the organization maintain a bank account?	Yes.
	Does the organization have written rules and procedures on segregation of duties for receipt, handling and custody of funds?	Yes as detailed in the CMAA's Finance Manual.
	How does the organization ensure physical security of advances, cash and records?	Safe.
	Does the organization have clear written procedures and internal controls governing payments?	Yes as detailed in the CMAA's Finance Manual.
	How does the organization ensure that expenditures conform to their intended uses?	Please see attached finance manual.
	Does the organization have a policy requiring two signatures for payments over a defined limit?	The CMAA Project Bank Account is a current bearing bank account in USD, which is used to receive the fund from UNDP and others DP. This account may be used for payments of expenditure and transferring of funds to the Provincial subordinate's accounts, which are current accounts in each of 8 provinces with the Project activities. The authenticated specimen signatures of the authorized signatories are required to be submitted to the UNDP before any

		disbursements shall take place. If there are changes to authorized signatories, the IP and the Project Team has the responsibility of informing the UNDP of the changes, and must provide updated specimen signatures together with the relevant approvals for the change in authorized signatories. The Primary Signatories and Alternative Signatories to the Main CMAA Account consist of 1) Project Director, 2) Project Manager, and 3) Director of GA. The primary of eight subordinate accounts for the MAPU will be subjected to: 1) Chief of MAPU, and PMAC. Disbursement from the Main Project Account (CMAA Account) is done in term of transfer to the subordinate accounts. Disbursement from subordinate accounts may be either in the form of transfers or cheques. All bank transactions must be signed by signatory, preferably the one as primary signatories.
	Is there any evidence of non-compliance with financial rules and procedures?	Yes. Previous audit reports have highlighted some non-compliance, some of which have been addressed by CMAA and some remain outstanding (cash advances, FACE submission). UNDP spotcheck took place in late-2014 but the report has not been released to CMAA and the project team.
4. Accounting and financial reporting	Are accounts established and maintained in accordance with national standards or requirements?	The CMAA Project Bank Account is a current bearing bank account in USD, which is used to receive the fund from UNDP and others DP. This account may be used for payments of expenditure and transferring of funds to the Provincial subordinate's accounts, which are current accounts in each of 8 provinces with the Project activities.
	When and to whom does the organization provide its financial statements? Can the organization track and report separately on the receipt and use of funds from individual donor organizations?	As soon as the accounts for the last month of quarter are up-to-date, and are not later than 10 working days after the end of each quarter, the GAD prepares the Financial Quarterly-End Reports. This quarterly-end report is the main purpose of requesting the replenishment of the Main CMAA Project Bank Account. The financial quarterly reports consist of: ✓ Sources and Uses of Funds Statement ✓ Uses of Funds by Category and by Source of Funds ✓ Uses of Funds by Project Activity ✓ Contract Expenditure Report Goods, Works, Consultants' Services ✓ Funding Authorization and Certificate of Expenditures, FACE Form ✓ Quarterly Progress Report ✓ Quarterly Work Plan (with itemized cost estimates) Sources and Uses of Funds Statement – this report provides information of cash receipts by sources and expenditures by main disbursement categories for the period year to date and cumulatively (project life), comparing actual and planned expenditures, together with beginning and ending cash balances. Uses of Funds by Category and by Source of Funds – this report summarizes the uses of funds by category and broken down by source of financing for the period, year to date

		and cumulatively. Uses of Funds by Project Activity – this report summarizes the uses of funds by project component and activity for the period, year to date and cumulatively, comparing actual and planned expenditures. Contract Expenditure Reports (Goods, Works and Consultants' Services). This report summarizes project expenditures by components and sub-components (activities) consistent with those in the Project Annual Workplan and Budget **(Form No.34)**. Funding Authorization and Certificate of Expenditures, FACE Form – this is the form of request for advances shall be prepared in line with annual work plan and must be signed by PD. Also, the arrangement is recorded of expenditures occurs in the books of the CMAA. Then, the CMAA reports back expenditure through FACE form to UNDP on quarterly basic. The approval of request for advance to CMAA is subject to verification that at least 80% of the previous advance given needs to be spent and 100% of all earlier advances have been liquidated. The IP and Project Management are responsible for preparing and issuing the annual financial statement for the project. The following fundamental principles must apply to all interim and annual financial statement on projects: ✓ Disclosure of full accountability for all funds of the Government, UNDP, and other donors. ✓ Compliance with loan covenants and UNDP requirements for project management. ✓ Adequate disclosure of all material information. ✓ A fair presentation in all material aspects of the financial performance and status of the project, and where applicable of the IP. ✓ A clear statement on the accounting policies and standards adopted in preparing the financial statements. The format of the financial statements of the project must be agreed between the UNDP/Donors and IP.
	Is there any evidence of deficiencies in accounting or financial reporting? Does the organization have a system and procedures for asset management and inventory control?	Yes related to cash advances and FACE submission. UNDP spotcheck held in November 2014 but no report has been issued so presume no non-compliance. ▪ Controls are in place to safeguard assets, including: an inventory of the CMAA Project assets; assets are properly maintained; regular physical verification is carried out; assets are used for the intended purposes of the Project under which they have been acquired; and, logbooks are kept which record dates of travel, distance and purpose of the trip. ▪ Assets that are lost or damaged are reported to CMAA within the stipulated

		period. Further disposal of assets only takes place after prior authorization by CMAA.
5. Audit	Is the organization subject regularly to external audit?	The external audit is carried out by an independent audit company according to the Audit Plan of the UNDP/CMAA, which defines the objectives of the audit, the audited entity/ the Project and the timing of the audit. Its purpose is to assess the integrity of the fund utilization and the compliance with the approved plans and budgets.
	Is audit conducted in accordance with international audit standards?	Yes.
	Are audit findings public?	Don't know.
	If so, have the organization's financial audits produced any significant recommendations for strengthening of financial systems and procedures?	Yes.
	Have audits identified instances of non-compliance with rules and procedures or misuse of financial resources?	Yes.
	What has been done to carry out audit recommendations?	UNDP and CMAA produced management responses with actions carried out to rectify identified shortcomings/weaknesses.