



# Grant Assistance Report

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Project Number: 46009-002  
September 2014

## Proposed Grant Assistance Cambodia: Community-Based Disaster Risk Reduction (Financed by the Japan Fund for Poverty Reduction)

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Asian Development Bank

**CURRENCY EQUIVALENTS**

(as of 19 August 2014)

Currency Unit	-	riel/s (KR)
KR1.00	=	\$0.00024
\$1.00	=	KR4,060.00

**ABBREVIATIONS**

ADB	-	Asian Development Bank
CCA	-	climate change adaptation
DCDM	-	district committee for disaster management
CCDM	-	commune committee for disaster management
DMIS	-	disaster management information system
DRR	-	disaster risk reduction
GIM	-	grant implementation manual
JFPR	-	Japan Fund for Poverty Reduction
JICA	-	Japan International Cooperation Agency
MEF	-	Ministry of Economy and Finance
NCDDS	-	National Committee for Sub-National Democratic Development Secretariat
NCDM	-	National Committee for Disaster Management
NCDMS	-	National Committee for Disaster Management Secretariat
NGO	-	nongovernment organization
NSDP	-	National Strategic Development Plan
PCDM	-	provincial committee for disaster management

**NOTE**

In this report, "\$" refers to US dollar.

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## JAPAN FUND FOR POVERTY REDUCTION (JFPR)

### JFPR Grant Proposal

<b>I. Basic Data</b>	
<b>Name of Proposed Activity</b>	Community-Based Disaster Risk Reduction
<b>Country</b>	Cambodia
<b>Grant Amount Requested</b>	\$2,500,000
<b>Project Duration</b>	3 years, from 1 September 2014 to 31 August 2017
<b>Regional Grant</b>	<input type="radio"/> Yes / <input checked="" type="radio"/> No
<b>Grant Type</b>	<input checked="" type="radio"/> Project / <input type="radio"/> Capacity building

### II. Grant Development Objective(s) and Expected Key Performance Indicators

<p><b>Grant Development Objectives:</b> The development objective of the proposed grant is to improve the preparedness to respond to natural disasters in Cambodia.</p>
<p><b>Expected Key Performance Indicators :</b></p> <ol style="list-style-type: none"> <li>Losses from flooding reduced by 15% from the 2013 baseline (5-year average from 2009 to 2013) in the number of households affected by and the economic losses from floods in the target areas by 2020.</li> <li>By 2017, local government units (18 districts and 54 communes) have improved their disaster management capacities and thereby mainstreamed disaster preparedness, disaster risk reduction and climate change adaptation into the local development planning process.</li> </ol>

### III. Grant Categories of Expenditure, Amounts, and Percentage of Expenditures

Category	Amount of Grant Allocated in \$	Percentage of Expenditures
1. Block Grants (Community-Based Disaster Risk Reduction funds for infrastructure rehabilitation or construction)	882,700	35.3
2. Equipment	225,840	9.0
3. Training, Workshops, Seminars, and Conferences	276,300	11.1
4. Consulting Services	478,390	19.1
5. Grant Management	342,770	13.7
6. Surveys, Monitoring, and Auditing	147,000	5.9
7. Contingencies (5%)	147,000	5.9
<b>Subtotal JFPR Grant Financed</b>	<b>2,500,000</b>	<b>100.0</b>
<b>Government of Cambodia</b>	<b>441,00</b>	
<b>Total Estimated Costs</b>	<b>2,941,000</b>	
Incremental Costs	62,500	

## JAPAN FUND FOR POVERTY REDUCTION

### JFPR Grant Proposal Background Information

<b>A. Other Data</b>	
<b>Date of Submission of Application</b>	March 2014
<b>Project Officer (Name, Position)</b>	Chanthou Hem, Senior Project Officer, Cambodia Resident Mission
<b>Project Officer's Division, E-mail, Phone</b>	Southeast Asia Department, Cambodia Resident Mission <a href="mailto:chem@adb.org">chem@adb.org</a>
<b>Other Staff Who Will Need Access to Edit and/or Review the Report</b>	Januar Hakim, Peter Brimble, Sokunthea Sok, Sovathavy Hel, Phalla Song
<b>Sectors</b>	Public sector management; Agriculture, natural resource and rural development; and Water and other urban infrastructure and services.
<b>Subsector(s)</b>	Decentralization; rural flood protection; and urban flood protection.
<b>Themes</b>	Inclusive economic growth; environmentally sustainable growth; and effective gender mainstreaming (EGM)
<b>Subtheme(s)</b>	Knowledge, science, and technological capacities; disaster risk management; natural resources conservation; and global and institutional development
<b>Targeting Classification</b>	General Intervention (GI)
<b>Name of Associated ADB Financed Operation(s)</b>	Flood Damage Emergency Reconstruction Project (Loan 2852-CAM) Mainstreaming Climate Resilience into Development Planning (TA 8179-CAM) Tonle Sap Poverty Reduction and Smallholder Development Project (Loan 2599-CAM) Proposed Technical Assistance for Strengthening Coordination for Management of Disasters
<b>Executing Agency</b>	National Committee for Disaster Management Secretariat Contact Person: Ross Sovann, Deputy Secretary General St. 516, SK. Toul Sangke, Khan Russey Keo, Phnom Penh Email: <a href="mailto:ross.sovann@gmail.com">ross.sovann@gmail.com</a> Fax/Phone: +855 23 885 934 Mobile: +855 (0) 17 609 906, (0) 977 609 906, (0) 80 960 000
<b>Grant Implementing Agencies</b>	National Committee for Disaster Management Secretariat; provincial committees for disaster management from the six priority provinces.

## B. Details of the Proposed Grant

### 1. Description of the Components, Monitorable Deliverables and/or Outcomes, and Implementation Timetable

<b>Component A</b>	
Component Name	Institutional and technical capacity of priority districts on disaster risk reduction (DRR) and management improved.
Cost (\$)	\$267,180
Component Description	This component will develop the institutional and technical capacity of 18 priority districts from the six flood-affected provinces <sup>1</sup> on DRR and management to effectively manage disaster events in their districts and to provide timely support to communes concerning disaster management issues. The 18 districts (three districts severely affected by the 2011 and 2013 floods from each target province) will receive intensive capacity building activities and operational support. Other districts may receive benefit from attending the general training on DRR.
Monitorable Deliverables/Outputs	<ol style="list-style-type: none"> <li>1. District Committees for Disaster Management (DCDMs) effectively perform devolved disaster management coordination functions by 2017.</li> <li>2. Disaster preparedness, risk reduction, and climate change adaptation (CCA) integrated in district development and/or investment plans by 2017.</li> <li>3. At least 200 subnational government staff, including 90 women, trained in upcoming policies and regulations supporting DRR and CCA at district and commune levels by 2017.</li> </ol>
Implementation of Major Activities: Number of months for grant activities	<ol style="list-style-type: none"> <li>1. Review staffing, equipment and facility requirements for district committees for disaster management (3 months).</li> <li>2. Assess training needs, including the understanding on gender issues and training for district staff on disaster and climate change policies, i.e., community-based DRR strategy (3 months).</li> <li>3. Form multisector disaster response teams with female staff participation of at least 30% (8 months).</li> <li>4. Train district committees for disaster management in community-based DRR (6 months).</li> <li>5. Prepare and/or revise district-wide DRR and/or CCA plans (9 months).</li> <li>6. Organize district-wide simulation exercises with women's participation of at least 30% (12 months intermittent).</li> <li>7. Organize coordination meetings with commune committees for disaster management (CCDMs) and active nongovernment organizations (NGOs) on a quarterly basis.</li> <li>8. Support humanitarian relief operations to affected communities as required.</li> <li>9. Collect and share information to support disaster management (continuous throughout the project).</li> </ol>

<sup>1</sup> According to the Flood Damage Emergency Reconstruction Project loan approved by the Board in March 2012, the six provinces affected by floods are Battambang, Banteay Meanchey, Siem Reap, Kampong Thom, Kampong Cham, and Prey Veng.

<b>Component B</b>	
Component Name	Capacity of target communes for DRR, CCA, and disaster management enhanced
Cost (\$)	\$290,210
Component Description	<p>This component will improve the capacity for disaster management at the commune level through the provision of technical and operational support to the members of the commune council,<sup>2</sup> especially the CCDM.</p> <p>Fifty four communes (three communes severely affected by 2011 and 2013 floods from each of the 18 target districts) will be provided with intensive capacity building and operational support. Other communes may receive benefits from attending the general training on DRR. The list of priority districts and communes is provided in Appendix 10.</p> <p>By focusing interventions on the commune authorities, the project will encourage awareness and good practices in risk reduction and climate resilience in the local development planning process. Sustainability will be ensured through capacity building and financial resource allocation for the implementation of planned preparedness and risk reduction activities at the community level. Communes will also benefit from improved capacity of district committees for disaster management (DCDMs) and provincial committees for disaster management (PCDMs) through component 1 of this project and through parallel technical assistance (TA) activities.<sup>3</sup></p> <p>To complete the different DRR and CCA roles and functions of the CCDMs and to ensure efficient implementation of planned DRR and response activities, commune councils will be trained on basic community-based DRR; how to conduct hazard, vulnerability, and capacity assessments; establishment of early warning systems; evacuation and camp management; basic sanitation and health; awareness raising and behavior change communication; plan and budget preparation; emergency response; damage needs assessment; and other areas which may be useful for reducing disaster impacts on livelihoods, such as the climate change–agriculture and DRR interface.</p> <p>Communes will also be trained and equipped to manage disaster-related information generated from early warning systems, damage needs assessments, and regular updating of constituent and/or beneficiary lists.</p>
Monitorable Deliverables/Outputs	<ol style="list-style-type: none"> <li>1. CCDMs effectively perform devolved disaster management functions by 2017.</li> <li>2. Disaster preparedness, DRR, and CCA integrated in commune</li> </ol>

<sup>2</sup> Commune councils are elected through a system of proportional representation and serve 5-year terms.

<sup>3</sup> ADB. 2014. *Technical Assistance to the Kingdom of Cambodia: Strengthening Coordination for management of disasters*.

	<p>development and investment plans by 2016.</p> <p>3. At least 150 CCDM members, including 60 women, trained on relevant policies and regulations supporting DRR and/or CCA at commune level by 2016.</p>
Implementation of Major Activities: Number of months for grant activities	<ol style="list-style-type: none"> <li>1. Form and train CCDMs on DRR and CCA (10 months).</li> <li>2. Identify commune risk reduction and climate adaptation priorities (15 months).</li> <li>3. Prepare and/or revise commune DRR and CCA plans in priority communes (15 months).</li> <li>4. Organize commune-wide simulation exercises (ongoing).</li> <li>5. Coordinate with DRR and DRM teams, village chiefs, and NGOs (ongoing).</li> <li>6. Support humanitarian relief operations to affected communities (as required).</li> <li>7. Collect and share information to support disaster management (as required).</li> </ol>

<b>Component C</b>	
Component Name	Community-based disaster risk reduction and climate change adaptation actions implemented
Cost (\$)	\$1,432,750
Component Description	<p>This component will develop models that enable district administrations and councils and commune councils to perform disaster management and coordination functions and investments within the decentralized system.</p> <p>DCDMs and CCDMs will be able to demonstrate their knowledge gained from components 1 and 2 by managing and implementing community-based DRR infrastructure projects, not only to benefit the targeted community members but also for demonstration purposes. In each of the six target provinces, the three worst-affected districts of the 2011 and 2013 floods will be targeted for intervention. In each of the 18 target districts, the three worst-affected communes will be targeted. Therefore, there will be 18 priority districts and 54 priority communes. However, DRR funds will be provided to only 12 target districts (two per each province) and 24 (out of 54) target communes (two in each DRR target district) in the form of block grants. The number of districts and communes to be targeted for general intervention (18 districts, 54 communes) and for community-based DRR activities (12 districts, 24 communes) will allow the project to conduct a proper comparative evaluation of the benefits of project support to nonpriority district/communes and the priority districts and communes as well as within the priority districts and communes. Anticorruption measures are included in the block grant schemes (paras. 50-56). These DRR funds can be used for new projects or to top up any ongoing community projects with potential for additional DRR benefits.</p> <p>Subproject selection criteria will be developed and the subproject selection criteria will ensure that subprojects with significant or</p>

	<p>potential adverse environment impacts, land acquisition and involuntary resettlement impacts, and impacts on indigenous people will be excluded.</p> <p>Activities to be implemented at the village level will include small-scale mitigation infrastructure, climate and/or disaster adaptive livelihood activities, community early warning systems, establishment of safe evacuation routes and areas, community education campaigns, formation of village disaster teams, and simulation exercises. These activities will ensure that communities are able to take necessary actions to prepare and respond to future disaster emergencies. The poorest households will be encouraged to participate in the implementation of any labor-intensive interventions and in return receive additional income. Subproject selection criteria will be developed and will exclude subprojects with land acquisition and involuntary resettlement impacts.</p> <p>The guidelines, modalities, and processes used in this component will be documented (component D) to assist the government on how to scale-up successful models.</p>
<p>Monitorable Deliverables/Outputs</p>	<ol style="list-style-type: none"> <li>1. Guidelines on the use of DRR funds for the district and commune developed and district and commune staff and members of target DCDMs and CCDMs, among whom at least 30% are women, received training on the use of these guidelines by June 2015.</li> <li>2. 12 districts and 24 communes established DRR and CCA funds by 2014. At least 36 community risk reduction and/or climate-resilient infrastructure items rehabilitated and/or constructed by 2016.</li> </ol>
<p>Implementation of Major Activities: Number of months for grant activities</p>	<ol style="list-style-type: none"> <li>1. Conduct participatory village hazard and vulnerability capacity assessments including climate change vulnerabilities (6 months).</li> <li>2. Develop local educational curriculum on DRR and climate change (12 months intermittent).</li> <li>3. Establish DRR funds at the selected districts and communes and prepare necessary guidelines for the use of these funds and provide required trainings (9 months).</li> <li>4. Identify priority DRR activities for district investment plans and commune investment plan (6 months).</li> <li>5. Conduct feasibility study, prepare project design, organize project management committee, organize bidding, and monitor and implement the projects (ongoing).</li> <li>6. Identify and implement DRR and CCA activities at the community level (safe areas, early warning, livelihood adaptation, awareness raising activities) (ongoing).</li> <li>7. Organize gender-inclusive DRR and CCA support and/or user groups (ongoing).</li> <li>8. Organize public awareness campaigns on DRR and CCA for all target communes (ongoing).</li> </ol>



	9. Collect information to support disaster management (ongoing).
<b>Component D</b>	
Component Name	Effective project management and dissemination of best practices and innovative approaches
Cost (\$)	\$509,860
Component Description	This component will ensure that the project is completed within the budget in a timely manner, and that best practices and innovative approaches are documented and disseminated through trainings and workshops for replication by other districts and communes in Cambodia.
Monitorable Deliverables/Outputs	<ol style="list-style-type: none"> <li>1. Timely project completion within the budget.</li> <li>2. DRR activities with sex-disaggregated data are captured in national and subnational disaster management information system (DMIS) of the NCDMS by 2015.</li> <li>3. All related activities with sex-disaggregated data documented under District Commune Database by 2016.</li> <li>4. Best practices, innovative approaches, and interventions which have supported women's resilience and empowerment, are documented and disseminated by 2017.</li> </ol>
Implementation of Major Activities: Number of months for grant activities	<ol style="list-style-type: none"> <li>1. Conduct baseline survey (2months) and end-line survey (2 months) of DRR and climate-adaptation-related knowledge, practices, and existing capabilities.</li> <li>2. Support the effective functioning of the project steering committee (ongoing).</li> <li>3. Support the effective management and implementation of activities (ongoing).</li> <li>4. Establish and support the project performance monitoring system (ongoing).</li> <li>5. Establish system for documentation of project activities and milestones (12 months).</li> <li>6. Document traditional and/or indigenous DRR practices</li> <li>7. Gather good practices and innovative approaches on the ground (ongoing).</li> <li>8. Organize dissemination workshops at subnational and national level (ongoing).</li> <li>9. Update NCDM websites and create links with other DRR websites managed by NGO networks (ongoing).</li> </ol>

## 2. Financing Plan for Proposed Grant to Be Supported by JFPR

Funding Source	Amount (\$)
JFPR	2,500,000
Government <sup>a</sup>	441,000
Other Sources (Please identify)	
<b>Total</b>	<b>2,941,000<sup>b</sup></b>

<sup>a</sup> The government will provide (i) \$147,000 cash contribution in the form of staff allowance and/or salary supplement for counterpart staff, and (ii) \$294,000 in-kind contribution including office space and office utilities to the consultants during project implementation period.

<sup>b</sup> The total financing amount is inclusive of taxes and duties of \$0.17 million to be financed by the Asian Development Bank (ADB). The taxes and duties are within the reasonable threshold and do not represent an excessive share of the project cost.

### 3. Background

1. Cambodia experiences drought and flood incidents that impact a significant portion of its poor population<sup>4</sup> every year. In 2009, Typhoon Ketsana affected 11 of the 24 provinces and caused damage of \$39 million. In 2011, Cambodia experienced extensive and prolonged rains (from August to October) which resulted in unprecedented floods in 18 provinces. The floods had widespread impacts on public infrastructure and many communities, caused the death of 250 people, caused \$625 million in damages, and affected more than 1.5 million people.<sup>5</sup> In 2013, 20 provinces were hit by another even more severe flood, which caused the death of 168 people, with an initial estimated damage loss of \$356 million and about 1.7 million people affected. As global climate conditions continue to change, Cambodia will experience increasingly unpredictable floods and droughts that may overwhelm the country's limited capacity and resources.

2. The National Committee for Disaster Management (NCDM), established in 1995, is the country's main disaster management agency tasked to facilitate the interministerial responses to emergency and disaster events. As part of its ongoing investment in disaster response and rehabilitation, the Asian Development Bank (ADB) commissioned an institutional review and capacity assessment of the NCDM. The assessment involved a review of the policies, structure, performance, and outputs of the NCDM through individual interviews with NCDM staff, line ministries, development partners, and nongovernment organizations (NGOs), as well as secondary data and observations of coordination meetings over a 6-month period.

3. The review begins with a critical examination of existing disaster management policy, legislation, and institutional arrangements as these provide the foundation for disaster management in the country and define the parameters that directly affect the NCDM's ability to perform its mandated roles and responsibilities. Overall, the review finds limitation in the practice of disaster risk management in the country as key legal and policy instruments, i.e., the National Policy for Emergency Management and a proposed disaster management law, are still being developed and have yet to be approved. While some general policies do exist, they were primarily designed for and focused on ensuring coordinated disaster relief and response. At the subnational or provincial level, policy formulation is nonexistent as it depends almost entirely on the national level (i.e., the NCDM secretariat) for policy initiatives. There are several policy-related issues and challenges facing the NCDM, which include the lack of adequate fiscal resources; lack of capacity to formulate legislation, policies, and strategies; an immediate need to mainstream DRR into national development plans; the inability of the NCDM secretariat to translate policies and strategies into operational plans and implement them; and the need for integrating DRR into national climate change adaptation policy and programs.

4. The review extends to disaster management structures and coordination mechanisms. Findings indicate that NCDM operations are severely challenged, with nonfunctional organizational structures largely attributed to the lack of financial resources. At the national level, NCDM meetings do not occur regularly as mandated and for the past several years government ministries and stakeholders have only met as a result of emergencies and disasters. The NCDM's secretariat is yet to be strengthened. Neither the NCDM general secretariat nor any of its operational departments have developed annual action or operating plans, nor been provided

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<sup>4</sup> About 90% of Cambodia's poor people live in rural areas and are dependent on small-scale agricultural production for livelihood.

<sup>5</sup> ADB CDTA 45283, Mainstreaming Climate Resilience into Development Planning

with annual operating budgets. At the subnational level, the disaster management committees have also been given the responsibility to lead disaster management efforts at their respective administrative levels without being provided with adequate resources. Conditions at the subnational level are actually more challenging, considering that they are front-line agencies that have to address the direct effects and impact of emergencies and disaster events. Their operations are also constrained by the lack of clear cut guidelines and standard operating procedures covering their roles and responsibilities in relation to each other (i.e., provincial, district, and commune committees for disaster management, which are committees for disaster management at the respective levels), with the NCDM, and with the different local and international organizations that usually respond to emergencies and disasters.

5. To address the issues, the assessment proposed five key areas for intervention:
  - (i) Develop capacities for policy development, which requires the establishment of a policy and planning unit within the general secretariat and the mobilization of an interim external stakeholder advisory group to assist and support NCDM policy making efforts.
  - (ii) Enhance the mechanisms and capacities for disaster management coordination, which calls for the proper functioning of dormant national and interministerial structures and building NCDM capacities to facilitate its activities. It also calls for the review and development of a national disaster assessment system through the formulation of specific assessment guidelines and standard operating procedures, development of standard forms and methodologies, and the installation of an information system for coordinating relief and response.
  - (iii) Enhance the general secretariat organizational management capacities, which involves the initial facilitation, and subsequent institutionalization, of an internal strategic planning process involving revisiting the organizational vision, mission, and goals; formulating long-term and annual action plans; reorganizing internal structures if necessary; reviewing staffing requirements and deployment; formulating annual organizational and departmental action plans; and installing a system for monitoring, evaluating, and reporting organizational performance.
  - (iv) Establish a disaster management information system (DMIS), which is an ongoing intervention between several organizations and will therefore require joint programming between (a) the United Nations Development Programme (UNDP)–World Bank team responsible for the Ketsana Emergency Reconstruction and Rehabilitation Project, and (b) ADB.
  - (v) Strengthen capacities of subnational disaster management committees, which involves the conduct of a national audit of disaster preparedness and response capacities of subnational disaster management committees, and the determination of performance standards for well-functioning and effective subnational disaster management committees, followed by provision of support packages for each level.

6. The NCDM senior management has recognized and accepted the results of the study and is committed to overcoming these weaknesses. They have therefore requested ADB to support reestablishing links with key sector agencies and to effectively involve the different stakeholders in strengthening the country's disaster management system. The National Committee for Sub-National Democratic Development Secretariat (NCDDS), whose mandate is to develop and support decentralization and deconcentration in Cambodia, has agreed to participate in addressing disaster coordination issues, especially at the subnational level.

7. The current National Strategic Development Plan, 2009–2013 recognizes DRR and its correlation to poverty in the country.<sup>6</sup> Strengthening community resilience to disasters should be a priority agenda as this contributes to poverty alleviation and to the general improvement in quality of life, which are the primary objectives of the government. The introduction of hazards and vulnerability assessments, early warning systems, emergency response plans, and community preparedness and recovery plans will enable local communities to directly address their specific vulnerabilities and address primary contributors to poverty in the country.

8. The proposed project is aligned with the Midterm Review of ADB's Strategy 2020; the Southeast Asia Department's Climate Change Implementation Plan; and various sector assessments, strategies, and road maps prepared as background to the new country partnership strategy, 2014–2018.<sup>7</sup> The Project supports ADB's Cambodia country partnership strategy, 2011–2013, which aims to reduce poverty and promote inclusive growth with an integrated approach to rural development, targeting the areas where most poor reside.<sup>8</sup> At the same time, it will also be consistent with social protection measures, community-based development, and public sector capacity development. The proposed project will complement the planned institutional strengthening related to disaster risk management conducted under the approved CDTA Strengthening Coordination for the Management of Disasters<sup>9</sup> by institutionalizing community-based DRR and coordination through localized structures at the district and commune levels. The Design and Monitoring Framework (DMF) is in Appendix 1.

9. The multilevel capacity building nature of the proposed project falls under the theme of public sector management, which forms the base for improved operations of projects in all ADB Cambodia priority sectors.<sup>10</sup> In addition, as part of ADB's support to the government's decentralization agenda, ADB commits to working with emerging or existing government decentralization structures.

#### **4. Innovation and Knowledge Sharing**

10. The project will build capacity of the primary points of contact for vulnerable communities. Most community-based DRR projects implemented by development agencies have targeted implementation in selected villages in selected provinces. Aside from the dispersed interventions, these villages are not able to sustain their activities after development projects are completed and NGOs have pulled out. The project improves on this strategy by transferring the leadership of DRR activities to the communes and increasing the support capacity at the district level.

11. Communes are the lowest administrative level of government to which authority and resources are formally devolved. Capacity building of communes and districts in integrating DRR in development planning will result in poverty-responsive local development plans that can be implemented over time. Technical support and coordination will remain through partnerships with development organizations and sector support and alignment with provincial departments.

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<sup>6</sup> The National Strategic Development Plan is the overarching document that details the country's development goals and directs national strategies and policy.

<sup>7</sup> ADB. 2008. *Strategy 2020: The Long-Term Strategic Framework of the Asian Development Bank, 2008–2020*. Manila.

<sup>8</sup> ADB. 2011. *Country Partnership Strategy: Cambodia, 2011-2013*. Manila.

<sup>9</sup> Footnote 3, pp. 4.

<sup>10</sup> These sectors are (i) transport; (ii) water supply, sanitation, and urban development; (iii) agriculture and natural resources; (iv) education and training; and (v) finance.

12. The project will also create an environment for communities to have more control in identifying, planning, and sourcing support for their DRR activities by embedding DRR planning in the existing development planning and investment process. This will better enable implementation of DRR activities across all villages, and at the same time build a wider support network for the most vulnerable communities.

13. Implementation will be in the provinces of Battambang, Banteay Meanchey, Siem Reap, Kampong Thom, Kampong Cham, and Prey Veng. A comprehensive package of infrastructure rehabilitation and capacity building for disaster management will be provided to the six provinces affected by the most recent floods. Integration with climate change and climate-resilience programs will be explored to ensure that investments and activities are complementary.<sup>11</sup>

## 5. Sustainability

14. The commune and district development planning process is part of the government's reform program on decentralization and deconcentration aimed at encouraging inclusive governance towards the long-term goal of poverty reduction. Cambodia first held commune elections in 2002, which enabled devolution of functions of development planning and annual budget management to the commune level. This also allowed communes to initiate local projects funded through the commune/*sangkat*<sup>12</sup> fund or other donors.

15. By integrating DRR into the district and commune development and investment plans, DRR will be established as a component of all subsequent development and investment projects at the district and commune levels.

16. At the end of the project, the district and commune councils will have the capacity to conduct inclusive assessments of vulnerabilities and needs of their constituent communes and villages, design priority actions, seek funding, and implement DRR and response. Project implementation guidelines regarding DRR infrastructure projects will be established and initial funding will be made available during the course of the project through a block grant scheme for demonstrations purposes. The fund management mechanism similar to the commune/*sangkat* and commune funds may be used. It is envisioned that DRR activities will eventually be funded through budget allocations or other fund transfers to the districts or communes.

## 6. Participatory Approach

17. A mapping of current actions on disaster management was conducted as part of the project preparation process. An ADB consultant interviewed development organizations (United Nations agencies, NGOs, and donor agencies) specializing in or implementing humanitarian response, DRR, or disaster recovery projects.<sup>13</sup> In addition to current work in disaster management, the respondents provided feedback on their engagement with the NCDM and line ministries and identified areas where the country's disaster coordination could be improved. These organizations have also identified technical areas where their expertise may be tapped

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<sup>11</sup> ADB. 2012. *Technical Assistance to the Kingdom of Cambodia: Mainstreaming Climate Resilience into Development Planning*. Manila.

<sup>12</sup> Commune and Sangkat have the same administrative functions. The Province is divided into Municipalities and Districts. The Municipality is divided into Sangkats. The District is divided into Communes and Sangkats.

<sup>13</sup> ADB produced a comprehensive accompanying report mapping the different disaster-related initiatives in the country and identifying disaster programming gaps and opportunities, which is available on request.

for capacity building activities at the national and subnational level through direct engagement with the project, or independently.

18. The project design incorporated the results of the institutional capacity assessment of the NCDM and its subnational units. Interviews were conducted with NCDM staff from all departments and staff from line ministries, the NCDDS, and the Ministry of Economy and Finance (MEF). Among the areas discussed were cross-sector communication and individual or joint action on disaster management. The results of the assessment were presented to the NCDM in March 2013, and the proposed project activities were considered as being responsive to the issues raised. A joint consultation meeting between government agencies, development partners, and NGOs was held in April 2013 to review the proposed actions, seek collaboration, harness synergies, and avoid potential duplication.

<b>Primary beneficiaries and other affected groups and relevant description</b>	<b>Other key stakeholders and brief description</b>
Primary project beneficiaries will be the district and commune councils and administrations, villages, and community members who will receive training and resources to implement DRR in their communities.	Development organizations, NGOs, and provincial departments will be able to inform development of commune plans as well as provide technical and financial support to aligned priorities.  The PCDMs will have a clear work plan for supporting commune and district activities. Capable communes and/or CCDMs may be called upon to assist PCDMs in capacity building and response activities in other areas.

CCDM = commune committee for disaster management, DRR = disaster risk reduction, NGO = nongovernment organization, PCDM = provincial committee for disaster management

Source: Asian Development Bank

## 7. Coordination

19. The concept paper and draft grant proposal have been shared with officials of the Embassy of Japan. In addition, the embassy will be kept informed of the status of project implementation and invited to participate in key project events and activities. Prior to the drafting of the grant proposal, discussions were held with the World Bank, other development partners, and related NGOs, all of which indicated strong support for the project design. Further coordination will be held during the project inception and implementation phases.

20. During the project design, the Embassy of Japan and the Japan International Cooperation Agency (JICA) were consulted and expressed strong support for the project. They requested that the project emphasize involvement of Civil Society Organizations (CSOs) and coordination with all stakeholders during its design and implementation. Comments have been incorporated in the revised grant proposal, particularly from consultations with CSOs and development partners specializing in disaster management and DRR and who will be consulted and coordinated with during project implementation. ADB's Cambodia Resident Mission and the JICA office in Cambodia have already established a coordination mechanism to ensure complementarity and that no overlaps occur. The first coordination meeting was held on 13 July 2013 to share country program and project information. Coordination at the project level will be further enhanced through regular exchange of project information.

21. Coordination with the Embassy of Japan, represented by Tamamitsu Shinichi (first secretary of the Economy and Economic Cooperation Section of the embassy in Phnom Penh), and the JICA office, represented by Uchida Togo (project formulation advisor of the JICA office

in Phnom Penh), was carried out during the designing of this project. Two separate meetings were held with T. Shinichi and U. Togo on 12 April 2013.

22. T. Shinichi found the project well-prepared in terms of clear objective. He suggested that the participation of CSOs be strengthened in the designing of the project and in the implementation stage. He also stated that there is a proposal from the Ministry of Water Resources and Meteorology (MoWRAM) for funding from JICA to conduct disaster risk assessment. Hazard mapping is one of the main activities. The proposal is being considered by JICA. If it is funded, MoWRAM and the NCDM should coordinate with each other to avoid any duplication of resources.

23. U. Togo expressed his strong support for the project and emphasized that the project should closely coordinate with all stakeholders to avoid overlaps. He confirmed that JICA received a proposal from the MoWRAM to conduct disaster risk assessment. While JICA will take time to consider this proposal, he wanted to make sure that there will not be overlap, particularly on the hazard mapping.

## **8. Visibility**

24. The officials from the Embassy of Japan will be invited to participate in key project events and activities. The contribution by Japan (JPFR financing) will be acknowledged in project reports and documentation and to the media. The JFPR logo and the Japanese official development assistance logo will be used in the project website and publications, including press releases, local print and electronic media, training programs, banners, equipment, and workshops, and all will explicitly acknowledge Japan as the source of funding wherever appropriate. The involvement of Japanese NGOs and business organizations in community-based DRR actions will be explored, as will opportunities for demonstrating Japanese know-how and technologies relevant to disaster risk. For example, disaster risk management and climate change experts working for JICA projects in Cambodia will be actively involved in various capacity strengthening programs such as training seminars and workshops. In particular, the project will collaborate closely with JICA projects in the flood rehabilitation area and in related rural infrastructure investments. Representatives of the Embassy of Japan and JICA will be invited to join the review missions. Their comments provided during the review mission will be taken into account and will form the basis for the technical assistance (TA) implementation and to avoid duplication with other ongoing or planned projects.

## **9. Detailed Cost Table**

25. Refer to Appendix 2 for the summary cost estimates, Appendix 3 for the detailed cost estimates, and Appendix 4 for the fund flow arrangement. Communication of the provincial teams from the NCDMS and NCDMS is constrained by the general lack of transportation. To ensure continuity after the project ends, the provincial teams should be equipped with motorcycles. The project will therefore provide motorcycles for the subnational project staff to support monitoring and implementation at the district and commune levels. It will not be economical to rent motorcycles over a 3-year period, and follow-up activities are needed after the project is complete. At the end of the project these motorcycles will be handed over to the respective agencies.

## C. Link to ADB Strategy and ADB-Financed Operations

### 1. Link to ADB Strategy

26. The ADB country partnership strategy aligns itself with the government's goal of reducing poverty to 19.5% by 2015, as stated in the updated National Strategic Development Plan, 2009–2013. ADB programs are designed with an integrated approach to rural development, targeting the areas where most poor people reside. The strategy also targets social protection measures, community-based development, and public sector capacity development. ADB's Cambodia country partnership strategy focuses on five priority areas—(i) transport; (ii) water supply, sanitation, and urban development; (iii) agriculture and natural resources; (iv) education and training; and (v) finance—along with four important crosscutting themes: (i) environment and climate change, (ii) decentralization, (iii) urban–rural links, and (iv) regional cooperation. It follows six principles: (i) alignment with government policies, (ii) consistency with ADB's Strategy 2020, (iii) responsiveness to growth challenges, (iv) building on lessons from ADB operations, (v) working within the resources available and ADB strengths, and (vi) collaborating with development partners and other stakeholders. The proposed project is categorized under economic growth, social development, environmental sustainability, gender equity, and capacity development.

27. The proposed project supports these objectives as groups most affected by floods and other disasters are poor, rural communities. It will also enhance the resilience of the rural infrastructure built under ADB rural infrastructure projects, in particular the Flood Damage Emergency Reconstruction Project.

Document	Document Number	Date of Last Discussion	Objective(s)
National Strategic Development Plan 2009-2013 (Updated)		2010	The main development objective of the NSDP is reducing poverty to 19.5% by 2015. Its rectangular strategy includes (i) increasing anticorruption efforts; (ii) introducing legal reforms; (iii) reforming public administration, including public financial management, and decentralization and deconcentration; and (iv) reforming the armed forces. The project will facilitate standard operating procedures, and provide training and tools to improve performance and accountability within the NCDM structure.
ADB Country Partnership Strategy, 2011–2013		July 2011	The CPS aims to help reduce poverty and promote inclusive growth with an integrated approach to rural development, targeting the areas where most poor people reside. The proposed project prioritizes capacity building in six flood-prone provinces.
National Program for Sub-National Democratic Development, 2011–2013			These reforms aim to build democratic subnational structures and institutions. The project will build capacity at national and subnational level and facilitate communication and joint action between the NCDM and line ministries.

ADB = Asian Development Bank, CPS = country partnership strategy, NCDM = National Committee for Disaster Management Secretariat, NSDP = national strategic development plan



## 2. Link to Specific ADB-Financed Operation

<b>Project Name</b>	Flood Damage Emergency Reconstruction Project
<b>Project Number</b>	Loan 2852/Grant 0285
<b>Date of Board Approval</b>	March 2012
<b>Loan Amount (\$ million)</b>	\$55 million
<b>Project Name</b>	Mainstreaming Climate Resilience into Development Planning
<b>Project Number</b>	TA 8179
<b>Date of Board Approval</b>	1 October 2012
<b>Grant Amount (\$ million)</b>	\$7 million
<b>Project Name</b>	Tonle Sap Poverty Reduction and Smallholder Development Project
<b>Project Number</b>	Loan 2599/Grant 0186-CAM
<b>Date of Board Approval</b>	8 December 2009
<b>Loan Amount (\$ million)</b>	\$55.6 million

<b>Project Name</b>	Strengthening Coordination for Management of Disasters
<b>Project Number</b>	TA 8669-CAM
<b>Date of Board Approval</b>	17 June 2014
<b>Grant Amount (\$ million)</b>	\$2 million

## 3. State the Above-Mentioned Projects' Development Objectives

28. The Flood Damage Emergency Reconstruction Project is being implemented to restore key infrastructure damaged by the 2011 floods in six severely flood-affected provinces (Battambang, Banteay Meanchey, Kampong Cham, Kampong Thom, Prey Veng, and Siem Reap) with the following key activities: national and provincial road restoration, rural roads restoration, irrigation and flood control, and project and flood management. The project commissioned the institutional review and capacity assessment of the National Committee for Disaster Management, which provided inputs to the formulation of the proposed project. The target provinces of the Flood Damage Emergency Reconstruction Project will be the target provinces of this proposed project. The Flood Damage Emergency Reconstruction Project will focus on civil work construction and rehabilitation of major infrastructure, and the proposed grant will complement capacity building and small DRR investment activities. The intended outcome of the Flood Damage Emergency Reconstruction Project is the restoration of critical public and social infrastructure assets to their original standards or better. The impact is to assist in the economic and social recovery from the 2011 floods in target provinces through restoration of road networks and irrigation facilities.

29. The Mainstreaming Climate Resilience into Development Planning TA project, approved in October 2012, aims at building and sustaining institutional and technical capacity to integrate climate change adaptation concerns into development planning. The civil society support mechanism will fund community-based adaptation activities and strengthen the capacity of civil society organizations and NGOs to mainstream climate resilience into their operations. Climate change adaptation knowledge and practices in various sectors collected and disseminated under the TA will have strong linkage with this proposed grant. The two projects will jointly promote synergies between climate change adaptation and DRR, and set up a common framework for the monitoring and evaluation of the two projects, particularly at the outcome and impact level.

30. The Tonle Sap Poverty Reduction and Smallholder Development Project aims at increasing agricultural productivity and access to markets in four provinces of Cambodia

(Banteay Meanchey, Kampong Cham, Kampong Thom, and Siem Reap). The project is fostering community-driven development through direct investments (of about \$17 million) in agriculture productivity improvement, rural infrastructure, and capacity development in 196 communes in the four provinces. The proposed grant will build the capacity of the provincial project teams to be able to provide guidance and supervision on DRR infrastructure projects at the district or commune level.

31. The JFPR Strengthening Coordination for Management of Disasters TA project will strengthen the policy environment for effective disaster management and build the capacity of national and provincial disaster management institutions. In coordination with the TA project and the proposed grant, DRR infrastructure projects will be constructed and rehabilitated for demonstration purposes through commune and (pilot) district and/or commune block grant schemes. To be able to implement the proposed grant activities, the Strengthening Coordination for Management of Disasters TA project needs to secure the required consultants and complete the trainings on DRR and disaster management to the training pool and the provincial committee for disaster management (PCDM) staff. It is required to ensure that the provincial contingency plans are developed in priority provinces, and that the national guidelines on how to mainstream DRR and CCA into the subnational planning process are developed and approved by the NCDM and NCDSDS within the first 9 months of the TA commencement.

#### 4. List the Project's Main Components

##### a. Flood Damage Emergency Reconstruction Project

No.	Component Name	Brief Description
1.	National and provincial road restoration	1.1 Repair damaged roads and bridges in Prey Veng province. 1.2 Repair and upgrade 72 km of provincial roads in Banteay Meanchey, Battambang, and Kampong Cham provinces
2.	Rural roads restoration	2.1 Restore 450 km of flood-damaged rural roads in five provinces: Banteay Meanchey, Kampong Cham, Kampong Thom, Prey Veng, and Siem Reap. 2.2 Reconstruct civil works in three stages to facilitate immediate access and protect against future flood damage.
3.	Irrigation and flood control	3.1 Repair 26 flood-damaged irrigation schemes covering about 25,000 hectares in five provinces: Battambang, Kampong Cham, Kampong Thom, Prey Veng, and Siem Reap
4.	Project and flood management	1.1 Support MEF to undertake overall oversight and management of the project. 1.2 Support capacity development in flood and disaster management through providing consulting services to the National Committee for Disaster Management Secretariat.

##### b. Mainstreaming Climate Resilience into Development Planning

No.	Component Name	Brief Description
1.	Civil society funds	The civil society support mechanism will be established to fund community-based adaptation activities and strengthen the capacity of civil society organizations and nongovernment organizations to mainstream climate resilience into their operations
2.	Climate change adaptation knowledge management	The technical assistance will generate and disseminate knowledge for climate change adaptation in various sectors

**c. Tonle Sap Poverty Reduction and Smallholder Development Project**

<b>No.</b>	<b>Component Name</b>	<b>Brief Description</b>
1.	Community-driven development	<p>The project will foster community-driven development through direct investments (of about \$17 million) in agriculture productivity improvement, rural infrastructure, rural livelihoods improvement, agriculture extensions, and capacity development in 196 communes.</p> <p>There will be no overlap of activities between the Tonle Sap Poverty Reduction and Smallholder Development Project and this project since the former will focus on agriculture support infrastructure subprojects while community-based DRR will focus on DRR projects. The NCDDS, which is the executing agency for the Tonle Sap Poverty Reduction and Smallholder Development Project, will be the implementing agency for community-based DRR and will ensure good coordination at the commune level to ensure complementarity between the two projects wherever the communes overlap.</p>
2.	Capacity development for provincial disaster management	The expected outcome of this component is improved capacity for disaster management at the subnational level. This component will produce fully staffed and functional provincial committees for disaster management with communication lines to provincial departments.

**5. Rationale for Grant Funding Versus ADB Lending**

32. The proposed project has lower resource requirements than the minimum level of loan financing generally agreed by ADB and the Government of Cambodia, and is closely linked to the emergency response to the 2011 floods. The project's investment towards supporting community-based DRR and strengthening local structures will reduce the impact of floods and other emergencies in the most vulnerable areas of the country. The project contributes to the government's decentralization process, and will strengthen the existing structures to eventually be absorbed in DRR and disaster response.

**D. Implementation of the Proposed Grant**

<b>1. Provide the Name of the Implementing Agency</b>	1. National Committee for Disaster Management Secretariat 2. National Committee for Sub-National Democratic Development Secretariat
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**a. Executing and Implementing Agencies**

33. The NCDMS will be the executing agency and implementing agency for components A, B, and D of this project. The NCDDS will be the implementing agency for components C for this project. The NCDMS and NCDDS will cooperate closely to ensure the smooth integration of all DRR activities into the decentralized management process. The clear distribution of work and separate funds between the two agencies will minimize the risks of delay in implementation that possibly resulted from poor coordination.

34. The NCDMS will work with the MEF to ensure that counterpart funds will be released in a timely manner and with the Ministry of Planning to ensure that the planning and reporting process developed and supported by the proposed grant at the national and subnational level is consistent with government procedures.

35. A project steering committee comprising senior representatives of the Ministry of Interior, Ministry of Planning, MEF, Ministry of Environment, Ministry of Water Resources and Meteorology, and the NCDDS will be established within 3 months after the project becomes effective. The NCDM will chair the steering committee meetings, to be held quarterly, to resolve policy issues and provide project direction. Representatives from development partners and NGO DRR networks will participate as observers. This committee will also be used for the proposed Strengthening Coordination for Management of Disasters TA project to ensure good collaboration and coordination between the two projects. Implementing arrangements is in Appendix 5.

#### **b. Procurement including Consulting Services**

36. All procurement under the JFPR grant will be conducted by the NCDMS and NCDDS in accordance with ADB's Procurement Guidelines (2013, as amended from time to time). Consultants will be recruited by ADB in accordance with ADB's Guidelines on the Use of Consultants (2013, as amended from time to time) to provide the services for implementation, management, and progress monitoring of the JFPR grant. Local service providers, NGOs, and consultants will be contracted by the NCDDS in accordance with ADB's Guidelines on the Use of Consultants.

#### **c. Disbursement Procedure**

37. Payments for eligible expenditures arising from JFPR-funded activities, specifically the use of the imprest account and statement of expenditure procedure, will be done in accordance with standard procedures for disbursements as reflected in ADB's *Loan Disbursement Handbook* (2012, as amended from time to time), except where agreed otherwise with the government.

#### **d. Reporting**

38. The implementing agencies, with the support from consultants, will prepare an inception report, quarterly progress reports, annual reports, a project completion report, draft final and final reports, and financial reports, the form and content of which will be agreed with ADB. These reports will be submitted to the executing agency for review and comments. The final version of the report will be submitted by the executing agency to ADB.

#### **e. Monitoring and Evaluation**

39. All investment funded by the JFPR grant will be audited by an independent auditor with adequate knowledge of and experience in international accounting practices and acceptable to ADB. The audit report must be submitted to ADB not later than 6 months after the end of the fiscal year or project closing date (whichever is earlier). The report should include certified copies of audited accounts and financial statements and the report of the auditors relating to said statements, including the auditor's opinion on the use of JFPR funds, the operation of any imprest account, and the application of any statement of expenditure procedure authorized

under the JFPR project. ADB will finance the annual audits, through the JFPR grant, using an independent audit company acceptable to ADB.

40. The design and monitoring framework (Appendix 1) presents the preliminary targets and indicators that will guide monitoring and evaluation of project performance. Progress towards the achievement of these indicators will be monitored and evaluated closely by the executing agency and implementing agencies and reported to ADB in the quarterly, annual, midterm, and project completion reports. These indicators are subject to change during project implementation. Revised indicators will be finalized upon submission of the midterm report.

41. Within ADB, a project officer will be assigned to administer the project, monitor progress of project implementation, and undertake periodic review missions. Prior to procurement, subprojects will be categorized for environment, involuntary resettlement, and indigenous peoples by the NCDMS and NCDMS using ADB's categorization check lists to ensure that subprojects are category C (para. 49). Overall administration of the project and project status reports will be the responsibility of the ADB Cambodia Resident Mission. The Summary Poverty Reduction and Social Strategy is in Appendix 9. Terms of reference for government staff and for consultants are in Appendixes 8 and 9, respectively.

#### **f. Accounting, Auditing, and Public Disclosure**

42. The NCDMS will maintain, or cause to be maintained, separate books and records by funding source for all expenditures incurred on the project. The NCDMS will prepare consolidated project financial statements in accordance with the government's accounting laws and regulations which are consistent with international accounting principles and practices.

43. The NCDMS will cause the detailed consolidated project financial statements to be audited in accordance with International Standards on Auditing and with the government's audit regulations, by an independent auditor acceptable to ADB. The audited project financial statements will be submitted in English to ADB within 6 months of the end of the fiscal year by the NCDMS.

44. The NCDMS will also cause the entity-level financial statements to be audited in accordance with International Standards on Auditing and with the government's audit regulations, by an independent auditor acceptable to ADB. The audited entity-level financial statements, together with the auditors' report and management letter, will be submitted in English to ADB within 1 month after their approval by the competent authority.

45. The annual audit report for the project accounts will include an audit management letter and audit opinions which cover (i) whether the project financial statements present a true and fair view or are presented fairly, in all material respects, in accordance with the applicable financial reporting framework; (ii) whether loan and grant proceeds were used only for the purposes of the project or not; (iii) the level of compliance with each financial covenant contained in the legal agreements for the project; (iv) use of the imprest fund procedure; and (v) the use of the statement of expenditure procedure certifying to the eligibility of those expenditures claimed under statement of expenditure procedures, and proper use of the statement of expenditure and imprest procedures in accordance with ADB's *Loan Disbursement Handbook* and the project documents. Compliance with financial reporting and auditing requirements will be monitored by review missions and during normal program supervision, and followed up regularly with all concerned, including the external auditor.

46. The government, NCDMS, and NCDDS have been made aware of ADB's policy on delayed submission, and the requirements for satisfactory and acceptable quality of the audited project financial statements.<sup>14</sup> ADB reserves the right to require a change in the auditor (in a manner consistent with the constitution of the borrower), or for additional support to be provided to the auditor, if the audits required are not conducted in a manner satisfactory to ADB or if the audits are substantially delayed. ADB reserves the right to verify the project's financial accounts to confirm that the share of ADB's financing is used in accordance with ADB's policies and procedures.

47. Public disclosure of the project financial statements, including the audit report on the project financial statements, will be guided by ADB's Public Communications Policy (2011).<sup>15</sup> After review, ADB will disclose the project financial statements for the project and the opinion of the auditors on the financial statements within 30 days of the date of their receipt by posting them on ADB's website. The audit management letter will not be disclosed.

### **g. Implementation Schedule**

48. The project will be implemented over 3 years starting in the third quarter of 2014 and ending in the second quarter of 2017.

## **2. Risks Affecting Grant Implementation**

<b>Type of Risk</b>	<b>Brief Description</b>	<b>Measure to Mitigate the Risk</b>
Governance	Problems of corruption	The standard operational procedures, financial management, and procurement manuals for externally financed projects and programs adopted by the government under Sub Decree 14 of 2007 had been further developed and adopted through the Sub-decree 74 of May 2012. These manuals set out a harmonized framework for the operation of overseas development aid, particularly for projects financed the World Bank and ADB in Cambodia. A supplemental manual will be developed, based on this harmonized framework, to meet the specific needs of the project.
Lack of required qualified staff	Subnational technical capacity for development planning and	Work with the government to ensure that the staff nominated to implement

<sup>14</sup> ADB policy on delayed submission of audited project financial statements:

- (i) When audited project financial statements are not received by the due date, ADB will write to the executing agency advising that (a) the audit documents are overdue; and (b) if they are not received within the next 6 months, requests for new contract awards and disbursement such as new replenishment of imprest accounts, processing of new reimbursement, and issuance of new commitment letters will not be processed.
- (ii) When audited project financial statements have not been received within 6 months after the due date, ADB will withhold processing of requests for new contract awards and disbursement such as new replenishment of imprest accounts, processing of new reimbursement, and issuance of new commitment letters. ADB will (a) inform the executing agency of ADB's actions, and (b) advise that the loan may be suspended if the audit documents are not received within the next 6 months.
- (iii) When audited project financial statements have not been received within 12 months after the due date, ADB may suspend the loan.

<sup>15</sup> Available from <http://www.adb.org/documents/pcp-2011?ref=site/disclosure/publications>

Type of Risk	Brief Description	Measure to Mitigate the Risk
	community-based DRR are not at the level required.	the project are well-suited to their proposed terms of reference and receive adequate training. The government was requested that a support mechanism is found to ensure low staff turnover.
Delay in fielding the consultants	Recruitment of consultants faces serious delays that may affect project implementation.	ADB will work with the executing and implementing agencies to advance the consultant recruitment process.

ADB = Asian Development Bank, DRR = disaster risk reduction.

49. The project is categorized C for environment, involuntary resettlement, and indigenous peoples. Components A and B involve only capacity building and training while component D will improve project management. Components A, B, and D will have no environmental, involuntary resettlement, or indigenous peoples impacts. Only component C includes small civil works. For component C, subproject selection criteria will be developed and these will ensure that subprojects with significant or potential adverse environment, land acquisition, and involuntary resettlement impacts,<sup>16</sup> and impacts on indigenous peoples,<sup>17</sup> are excluded.

**a. Anticorruption Measures within the District and Commune Block Grant Schemes**

50. On a number of ADB-funded projects in Cambodia, funding has been provided to the communes and *sangkats* in the form of block grants. These grants have been entirely managed by the commune councils, the lowest elected administrative body of the government of Cambodia, to support community-based rural infrastructure subprojects identified by commune residents during their annual planning cycle and included in the commune investment plan. Each commune council is required to open a bank account at a local commercial bank, with two signatories, and into this account the block grant funds are transferred directly from the NCDDDS based on a memorandum of understanding between the NCDDDS and commune councils highlighting the subprojects to be supported and roles and responsibilities involved. This direct transfer of the funds from the national level to the commune bank account is an important anticorruption feature of the procedure since it avoids the time-consuming process of funds transfers through the national treasury (provincial and/or district administrative financial) systems and also safeguards against the possibility of misdirection or misuse of the funds before their transfer to the commune accounts. The block grant mechanism also enables the regular replenishment of the commune account as needed based upon the submission of requests from the commune councils with their projected cash flow requirements based upon their contract awards.

51. The NCDDDS has developed a comprehensive set of financial management procedures that have to be strictly followed by the commune councils for the use of the block grant funds. These are described in the project implementation manual which has been developed and refined over many years by the NCDDDS. The manual has been developed primarily to support infrastructure subprojects, but a number of projects have adapted this procedure to cater for

<sup>16</sup> Subprojects which result in involuntary restrictions on land use or access to legally designated parks and protected areas will also be rejected.

<sup>17</sup> Subprojects will be rejected if they have impacts on (i) commercial development of cultural resources or knowledge of indigenous peoples; (ii) physical displacement from traditional or customary lands; (iii) commercial development of natural resources; (iv) establishing legal recognition of rights to lands and territories; or (v) acquisition of land traditionally owned, customarily used, occupied, or claimed by indigenous peoples.

livelihood-related subprojects. The commune councils which have benefitted from the project block grant funding have received substantial training in project implementation manual procedures and are required to comply with a set of strict financial reporting requirements involving close monitoring of the utilization of the block grants at provincial level through the Planning and Investment Division. Commune councils have also been trained in formal bidding procedures compliance with application of transparent procedures. The requirement for advertising of the bidding opportunities at the commune level has allowed for competition for winning the bids and reduced the risk of collusion between bidders.

52. The latest financial management procedure for the commune block grants (similar to the proposed DRR fund commune block grants) can be referred to the Guidelines for Utilization of the Commune Development Fund for Livelihood Improvement activities developed by the NCDDDS under the ADB-financed Tonle Sap Poverty Reduction and Smallholder Development Project. The guidelines aim to provide instructions to all target commune/*sangkat* councils under the Tonle Sap Poverty Reduction and Smallholder Development Project and stakeholders for the preparation, implementation, and management of the livelihood improvement activities using the Commune Development Fund to follow the decentralization policy and allow transparency, accountability, and participation without discrimination. A list of priority districts and communes is in Appendix 10.

53. Community members are engaged in project identification, implementation, and monitoring of subprojects. During project preparation, community representatives were required to join the project management committee to ensure that the subprojects progressed as planned and quality assets would be produced and accordingly the progress payments could be made to the contractors. Project beneficiaries and other community members can report any irregularities occurring in the block grants to the commune councils and districts councils. They can also report directly to the executing and implementing agencies at the national level and also ADB.

54. For procurement activities at the commune level, ADB shall conduct prior review of the first set of bidding and bid evaluation reports from each province. Upon ADB's no-objection to the first set of bidding documents, all other communes from that province will be allowed to carry out the bidding process, and post-review checks will be conducted by ADB of all the bidding documents. ADB normally conducts two review missions per year into projects, and commune subprojects are randomly checked to ensure that the project budgets are properly managed. Annual audit is also extended to the commune level.

55. There is clear evidence from the projects that have supported the block grant approach that the communes and *sangkats* that have been provided with this type of funding have achieved a substantial improvement in management capacity and in their ability to responsibly manage the financial resources at their disposal. This has involved the management of funds that have been several orders of magnitude greater than the funds which they receive on an annual basis through the normal government commune and *sangkat* funding procedure.

56. Similarly, the block grant system will be established at the district level. The NCDDDS will ensure that all required project implementation manuals and technical guidelines, including the Guidelines for Utilization of the District Block Grant, are prepared to be reviewed and endorsed by ADB and adequate trainings are provided to the district councils to enable them to perform project management functions effectively. No fund disbursement for the district block grants will be made before the existence of the ADB-endorsed Guidelines for Utilization of the District Block Grant and adequate trainings have been provided to the district councils. The success of



the district block grant system introduced under this project will help the Government of Cambodia to scale up a national strategy for the delivery of budgets to district councils.

### 3. Incremental ADB Costs

Component	Incremental Bank Cost
Amount requested	\$62,500
Justification	The proposed grant is unusually complex and would need additional resources beyond those provided by the regular administration budget. Intermittent consultant inputs are required for (i) assisting in facilitating community participation or nongovernment organization collaboration; (ii) assisting in project review missions, project administration, and the project completion review; (iii) formulating policy recommendations; and (iv) strategizing community preparation. Various workshops will also be needed to facilitate and ensure smooth project start up.
Type of work to be rendered by ADB	Oversee preparation of the grant implementation manual; conduct the baseline and end line surveys; conduct the grant inception, midterm, and completion reviews; conduct training and capacity development and project evaluation; and disseminate project information and lessons learned.

### 4. Monitoring and Evaluation

Key Performance Indicator	Reporting Mechanism	Plan and Timetable for M&E <sup>a</sup>
District committees for disaster management (DCDMs) perform devolved disaster management functions	Project progress report and NCDM/PCDM training reports	Quarterly and annual progress report from NCDM
Disaster preparedness, risk reduction, and climate change adaptation integrated in district development and investment plans	Baseline and end-line knowledge, attitude and practice ( KAP) surveys	Independent assessment conducted in years 1 and 3
At least 200 subnational government staff, including 90 women, trained on policies and regulations supporting DRR/CCA at district and commune level	Project progress report	Quarterly and annual progress report from NCDM
Commune committees for disaster management (CCDMs) perform devolved disaster management functions	Project progress and assessment report	Quarterly and annual progress report from NCDM Final evaluation report
Disaster preparedness, risk reduction, and CCA integrated in commune development and investment plans	Project progress and assessment report	Quarterly and annual progress report from NCDM Final evaluation report
At least 150 CCDM members, including 60 women, trained on policies and regulations supporting DRR/CCA at commune level	Project progress and training report	Quarterly and annual progress report from NCDM Training report
Guidelines on the use of DRR and CCA funds for the district and commune developed and district and commune staff, members of target	Project progress report	Quarterly and annual progress report from NCDM

<b>Key Performance Indicator</b>	<b>Reporting Mechanism</b>	<b>Plan and Timetable for M&amp;E<sup>a</sup></b>
DCDMs and CCDMs, among whom at least 30% are women, received trainings on the use of these guidelines.		
12 districts and 24 communes established DRR and CCA funds. At least 36 community risk reduction or climate-resilient infrastructure items rehabilitated and/or constructed	Project progress report	Quarterly and annual progress report from NCDM
Timely project completion within the budget. DRR activities with sex-disaggregated data are captured in national and subnational DMIS of the NCDMS.	NCDMS/NCDDS annual report	Annual progress report from NCDM and the report from NCDDS
All related activities with sex-disaggregated data documented under District Commune Database	Documentation materials from implementing partners	Quarterly and annual progress report from NCDM  Training report
Best practices and innovative approaches including some interventions which have supported women's resilience and empowerment, are documented and disseminated through trainings and workshops for replication.	Project progress report	Quarterly and annual progress report from NCDMS

CCA = climate change adaptation, CCDMS= commune committee for disaster management, DCDM = district committee for disaster management, DRR = disaster risk reduction, KAP = knowledge, attitude, and practice, NCDDS = National Democratic Development Secretariat, NCDM = National Committee for Disaster Management, PCDM = provincial committee for disaster management.

<sup>a</sup> ADB will conduct at least two review missions a year to monitor the project progress.

## 5. Estimated Disbursement Schedule

<b>Fiscal Year (FY)</b>	<b>Amount (\$)</b>
FY2014	\$200,000
FY2015	\$600,000
FY2016	\$1,000,000
FY2017	\$700,000
<b>Total Disbursements<sup>a</sup></b>	<b>\$2,500,000</b>

<sup>a</sup> This amount is not inclusive of the government contribution.

**Appendixes**

1. Design and Monitoring Framework
2. Summary Cost Table
3. Detailed Cost Estimates
4. Fund Flow Arrangement
5. Implementation Arrangements
6. Procurement Plan
7. Summary Poverty Reduction and Social Strategy
8. Terms of Reference for Government Staff
9. Terms of Reference for Consultants
10. List of Priority Districts and Communes
11. Grant Implementation Manual

## DESIGN AND MONITORING FRAMEWORK

Design Summary	Performance and Target Indicators	Data Sources and Reporting Mechanisms	Assumptions and Risks
<b>Impact</b> Improved preparedness to respond to natural disasters in Cambodia	By 2020: Losses from flooding reduced by 15% from the 2013 baseline <sup>a</sup> (5-year average from 2009 to 2013) in the number of households affected by and the economic losses from floods in target communes	Database from NCDM's disaster management information system  Baseline and end-line reports to be generated under this project	<b>Assumption</b> Government is committed to integrating DRR in local development planning  <b>Risk</b> Major disaster events overwhelm local capacity
<b>Outcome</b> Improved disaster management and response capacity at the district and commune level to address natural disasters	By 2017: 18 districts and 54 communes have improved their disaster management and response capacity and mainstreamed disaster preparedness, risk reduction, and CCA into local development planning process <sup>b</sup>	Grant completion report  NCDMS annual report  Project progress report from implementing partners	<b>Assumption</b> Decentralized planning processes are functional  <b>Risk</b> Subnational technical capacity for development planning and community-based DRR are not at the level required
<b>Outputs</b> 1. Institutional and technical capacity of priority districts on DRR and management improved	By 2017: DCDMs effectively perform devolved disaster management functions.  Disaster preparedness, risk reduction, and climate change adaptation integrated in district development and investment plans.  At least 200 subnational government staff, including 90 women, trained on upcoming policies and regulations supporting DRR and CCA at the district and commune level	Project progress report and NCDM/PCDM training reports  Baseline and end-line knowledge, attitude and practice (KAP) surveys  Project progress report/training report	<b>Assumptions</b> National government remains committed to decentralization process  Targeted communities and local leaders are committed to participate in community-based DRR and CCA actions  Qualified and motivated government staff are assigned for the project  <b>Risks</b> Problems of corruption
2. Capacity of target communes for DRR, CCA, and disaster management enhanced	By 2017: CCDMs perform effectively devolved disaster management functions.  Disaster preparedness, risk reduction, and CCA integrated in commune development and investment plans.  At least 150 CCDM members, including 60 women, trained on upcoming policies and regulations supporting DRR/CCA at commune level.	TA progress report and NCDM/PCDM training reports  Assessment report, project progress report  Project progress report	Trained staff might be reassigned to other functions
3. Community-based DRR and CCA activities implemented	By 2016: Guidelines on the use of DRR and CCA funds for the district	Project progress report	

Design Summary	Performance and Target Indicators	Data Sources and Reporting Mechanisms	Assumptions and Risks																
	<p>and commune developed and district and commune staff, members of target DCDMs and CCDMs, among whom at least 30% are women, received trainings on the use of these guidelines.</p> <p>12 districts and 24 communes established DRR and CCA funds. At least 36 community risk reduction or climate-resilient infrastructure items rehabilitated and/or constructed</p>	<p>NCDM, NCDMS annual reports</p>																	
<p>4. Effective project management and dissemination of best practices and innovative approaches</p>	<p>By 2017: Timely project completion within the budget.</p> <p>DRR activities with sex-disaggregated data are captured in national and subnational DMIS of the NCDMS.</p> <p>All related activities with sex-disaggregated data documented under District Commune Database.</p> <p>Best practices and innovative approaches, including some interventions which have supported women's resilience and empowerment, are documented and disseminated through trainings and workshops for replication.</p>	<p>NCDMS/NCDMS annual report</p> <p>Project progress report</p> <p>Documentation materials from implementing partners</p> <p>Project progress report</p>																	
<p><b>Activities with Milestones:</b></p> <p><b>Output 1. Institutional and technical capacity of priority districts on disaster risk reduction and management improved</b></p> <p>1.1 Review staffing and equipment and facilities for DCDMs, by December 2014</p> <p>1.2 Assess training needs including the understanding on gender issues and train district staff on disaster and climate change policies, (i.e., community-based DRR strategy), by May 2015</p> <p>1.3 Form multisector DRTs with female staff participation of at least 30%, by 2014</p> <p>1.4 Train DCDMs in community-based DRR (standardized tools for village hazard and vulnerability capacity assessments, early warning, behavior change communication, etc.), by March 2015</p> <p>1.5 Prepare and/or revise district-wide DRR and/or CCA plans, by June 2015</p> <p>1.6 Organize district-wide simulation exercises with women's participation of at least 30%, 2014–2017</p> <p>1.7 Organize coordination meetings with CCDMs and active NGOs, 2014–2017</p> <p>1.8 Support humanitarian relief operations of affected communes, 2014–2017</p> <p>1.9 Collect and share information to support disaster management, 2014–2017</p> <p><b>Output 2. Capacity of target communes for disaster risk reduction and management enhanced</b></p> <p>2.1 Form and train CCDMs on DRR and CCA, by July 2015</p> <p>2.2 Identify commune risk reduction and CCA priorities, by December 2015</p>			<p><b>Inputs:</b></p> <ul style="list-style-type: none"> <li>• JFPR: \$2.500 million</li> <li>• Government: \$0.441 million</li> </ul> <p><b>Inputs</b></p> <table border="1" data-bbox="1122 1438 1474 1743"> <thead> <tr> <th>ITEM</th> <th>AMOUNT</th> </tr> </thead> <tbody> <tr> <td>Civil Works</td> <td>882,700</td> </tr> <tr> <td>Equipment</td> <td>225,840</td> </tr> <tr> <td>Training, workshop, seminars, and conferences</td> <td>276,300</td> </tr> <tr> <td>Consultants</td> <td>478,390</td> </tr> <tr> <td>Grant management</td> <td>342,770</td> </tr> <tr> <td>Surveys, monitoring and auditing</td> <td>147,000</td> </tr> <tr> <td>Contingencies</td> <td>147,000</td> </tr> </tbody> </table> <p><b>Government</b></p> <p>The government will provide counterpart funds of up to 15% of the total cost: (i) \$147,000 in-cash contribution in the form of staff allowance/salary</p>	ITEM	AMOUNT	Civil Works	882,700	Equipment	225,840	Training, workshop, seminars, and conferences	276,300	Consultants	478,390	Grant management	342,770	Surveys, monitoring and auditing	147,000	Contingencies	147,000
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Design Summary	Performance and Target Indicators	Data Sources and Reporting Mechanisms	Assumptions and Risks
<p>2.3 Prepare and/or revise communes' DRR and/or CCA plans in target communes, by 2015</p> <p>2.4 Organize commune-wide simulation exercises, 2014–2017</p> <p><b>Activities with Milestones:</b></p> <p>2.5 Coordinate with DRR and/or DRM teams, village chiefs, and NGOs, 2014–2017</p> <p>2.6 Support humanitarian relief operations to affected communities, 2014–2017</p> <p>2.7 Collect and share information to support disaster management, 2014–2017</p> <p><b>Output 3. Community-based disaster risk reduction and climate change adaptation activities implemented</b></p> <p>3.1 Conduct participatory village hazard and vulnerability capacity assessments including climate change vulnerabilities with women's participation of at least 30%, March 2015</p> <p>3.2 Develop local educational curriculum on DRR and climate change, 2015–2016</p> <p>3.3 Establish DRR funds in selected communes and prepared necessary guidelines for the use of these funds and provide required trainings, by June 2015</p> <p>3.4 Identify priority DRR and CCA activities for district investment plans and commune investment plans, by March 2015</p> <p>3.5 Conduct feasibility study, prepare project design, organize project management committee, organize bidding and monitoring and implementing of the projects, 2014–2017</p> <p>3.6 Identify and implement DRR activities at the community level (safe areas; early warning; water, sanitation, and hygiene; livelihood adaptation; awareness raising activities), 2014–2017</p> <p>3.7 Organize gender-inclusive DRR and CCA support and user groups, 2014–2017</p> <p>3.8 Organize public awareness campaigns on DRR and CCA, 2014–2017</p> <p>3.9 Collect information to support disaster management, 2014–2017</p> <p><b>Output 4. Effective project management dissemination of best practices and innovative approaches</b></p> <p>4.1 Conduct baseline survey (December 2014) and end-line survey (June 2017) of DRR- and CCA-related knowledge, practices, and existing capabilities</p> <p>4.2 Support the effective functioning of the project steering committee</p> <p>4.3 Support the effective management and implementation of grant activities</p> <p>4.4 Establish and support the project performance monitoring system</p> <p>4.5 Establish system for documentation of project activities and milestones, July 2015</p> <p>4.6 Document traditional and/or indigenous DRR practices, 2014–2017</p> <p>4.7 Gather good practices and innovative approaches on the ground, 2014–2017</p> <p>4.8 Organize dissemination workshops at subnational and national level, 2015–2017</p> <p>4.9 Update NCDM websites and create links with other DRR websites managed by NGO network, 2014–2017</p>			<p>supplement for counterpart staff; and (ii) \$294,000 in-kind contribution including office space, and office utilities to the consultants during project implementation period</p>

CCA = climate change adaptation, CCDM = commune committee for disaster management, DCDM = district committee for disaster management, DRR = disaster risk reduction, KAP= knowledge, attitude, and practice, NCDMS = National Committee for Disaster Management Secretariat, NGO = nongovernment organization, PCDM = provincial committee for disaster management.

Source: Asian Development Bank.

<sup>a</sup> To be established in quarter 2 of year 1 as part of output 4

<sup>b</sup> In the absence of a comprehensive baseline study, the ADB commissioned Institutional Review and Capacity Assessment of the NCDM (ADB 2013) will serve as a baseline.

Endorsed by:

Eric Sidgwick  
Country Director, CARM  
Date: 25 August 2014

Approved by:

James Nugent  
Director General, SERD  
Date:

**SUMMARY COST TABLE**

Inputs Expenditure Category	Grant Components				Total <sup>a</sup> (\$)	Percent
	Component A Capacity Development for District Disaster Management	Component B Capacity Development for District Disaster Management	Component C Community-Based Disaster Risk Reduction Actions	Component D Effective Project Management and Dissemination of Best Practices/ Innovative Approaches		
1. Block Grants (DRR infrastructure rehabilitation or construction for demonstrations)			882,700		882,700	35.3
2. Equipment	62,340	109,180	22,200	32,120	225,840	9.0
3. Training, Workshops, Seminars, and Conferences	79,200	84,000	44,100	69,000	276,300	11.1
4. Consulting Services	36,000	58,800	259,590	124,000	478,390	19.1
5. Grant Management	89,640	38,230	91,860	123,040	342,770	13.7
6. Surveys, Monitoring, and Auditing			58,800	88,200	147,000	5.9
7. Contingencies			73,500	73,500	147,000	5.9
<b>Subtotal JFPR Grant Financed</b>	<b>267,180</b>	<b>290,210</b>	<b>1,432,750</b>	<b>509,860</b>	<b>2,500,000</b>	<b>100.0</b>
Government Contribution			161,000 <sup>b</sup>	280,000	441,000 <sup>c</sup>	15.0
<b>Total Estimated Costs</b>	<b>267,180</b>	<b>290,210</b>	<b>1,593,750</b>	<b>789,860</b>	<b>2,941,000</b>	<b>100.0</b>
ADB Incremental Costs					62,500	2.5

ADB = Asian Development Bank, DRR = disaster risk reduction , JFPR = Japan Fund for Poverty Reduction .

<sup>a</sup> The costs includes taxes and duties of \$0.17 million (or 6.8% of the total cost) to be financed by the JFPR; taxes and duties (i) apply only to ADB-financed expenditures, and (ii) are material and relevant to the success of the project.

<sup>b</sup> The government contribution will provide (i) \$67,000 for category 3.5.1: Management Coordination Component 3: staff; and (ii) \$80,000 for category 4.4.1: Management Coordination Component 4.

<sup>c</sup> The government will provide (i) \$147,000 in-cash contribution in the form of staff allowance and/or salary supplement for counterpart staff, and (ii) \$294,000 in-kind contribution including office space and office utilities to the consultants during project implementation period.

Source: Asian Development Bank.

## DETAILED COST ESTIMATES

(\$)

Item	Unit	Quantity Units	Cost			JFPR <sup>a</sup>	Contribution Government <sup>b</sup>
			Cost Per Unit	Total	Amount	Method of Procurement	
<b>Component A. Capacity Development for District Disaster Management</b>			<b>Subtotal</b>	<b>267,180</b>	<b>267,180</b>		<b>0</b>
<b>1.1</b>	<b>Equipment and Supplies</b>			<b>62,340</b>	<b>62,340</b>	Shopping	0
1.1.1	Computers and Printers	District	18	2,000	36,000		0
1.1.2	Office Supplies	District	18	1,463	26,334		0
<b>1.2</b>	<b>Training, Workshops, and Seminars</b>			<b>79,200</b>	<b>79,200</b>		0
1.2.1	Trainings (2 days of 50 trainees per training; \$40 per trainee)	Events	6	4,000	24,000		0
1.2.2	Workshops (1 day of 170 participants per event; \$30 per person)	Events	2	5,100	10,200		0
1.2.3	Simulation exercises (1 day of 200 participants per event; \$12.5 per person)	Events	18	2,500	45,000		0
<b>1.3</b>	<b>Consulting Services</b>			<b>36,000</b>	<b>36,000</b>	CQS	0
1.3.1	ICT Software and ICT training (3 day of 36 trainees per training; \$125 per person)	District	18	2,000	36,000		0
<b>1.4</b>	<b>Management and Coordination of this Component</b>			<b>89,640</b>	<b>89,640</b>		0
1.4.1	Staff Travel and Per diem	District	18	2,880	51,840		0
1.4.2	Operational Costs	District	18	2,100	37,800		0
<b>Component B. Capacity Development for District Disaster Management</b>			<b>Subtotal</b>	<b>290,210</b>	<b>290,210</b>		<b>0</b>
<b>2.1</b>	<b>Equipment and Supplies</b>			<b>109,180</b>	<b>109,180</b>	Shopping	0
2.1.1	Computers and Printers (including solar panels for communes with no access to electricity)	Communes	24	3,375	81,000		0



Item		Unit	Quantity Units	Cost			JFPR <sup>a</sup>	Contribution Government <sup>b</sup>
				Cost Per Unit	Total	Amount	Method of Procurement	
2.1.2	Office Supplies	Communes	54	522	28,180	28,180		0
<b>2.2</b>	<b>Training, Workshops, and Seminars</b>				<b>84,000</b>	<b>84,000</b>	Shopping	0
2.2.1	Trainings (1 day of 100 trainees per training; \$40 per trainee)	Events	6	4,000	24,000	24,000		0
2.2.2	Workshops (1 day of 200 participants per event; \$20 per person)	Events	6	4,000	24,000	24,000		0
2.2.3	Simulation exercises (1 day of 150 participants per event; \$10 per person)	Events	24	1,500	36,000	36,000		0
<b>2.3</b>	<b>Consulting Services</b>				<b>58,800</b>	<b>58,800</b>	ICS	<b>0</b>
2.3.1	ICT software and training (2 months of ICT training per trainee; \$363 per person)	Communes	54	1089	58,800	58,800		0
<b>2.4</b>	<b>Management and Coordination of this Component</b>				<b>38,230</b>	<b>38,230</b>		<b>0</b>
2.4.1	Travel and Per Diem							
2.4.2	Operational Costs	Communes	54	708	38,230	38,230		0
<b>Component C. Community Based Disaster Risk Reduction Actions</b>				<b>Subtotal</b>	<b>1,593,750</b>	<b>1,432,750</b>		<b>161,000</b>
<b>3.1</b>	<b>Block Grants</b>				<b>882,700</b>	<b>882,700</b>	Shopping	<b>0</b>
3.1.1	District Disaster Risk Reduction Funds (12 districts)	Districts	12	33,558	402,700	402,700		0
3.1.2	Commune Disaster Risk Reduction Funds (24 communes)	Communes	24	20,000	480,000	480,000		0
<b>3.2</b>	<b>Equipment and Supplies</b>				<b>22,200</b>	<b>22,200</b>	Shopping	<b>0</b>
3.2.1	Computers and Printers (five computers and printers)	Sets	5	1,400	7,000	7,000		0
3.2.2	Office Supplies	Lump sum	1	5,000	5,000	5,000		0
3.2.3	Motorcycles	Motorcycles	6	1,700	10,200	10,200		0

Item	Unit	Cost			JFPR <sup>a</sup>		Contribution
		Quantity Units	Cost Per Unit	Total	Amount	Method of Procurement	Government <sup>b</sup>
<b>3.3</b>	<b>Training, Workshops, and Seminars</b>			<b>44,100</b>	<b>44,100</b>		<b>0</b>
3.3.1	Trainings (3 days of 70 trainees per training; \$60 per trainee)	Events	3	8,500	25,500	25,500	0
3.3.2	Workshops (1 day of 100 participants per event; \$30 per person)	Events	6	3,100	18,600	18,600	0
<b>3.4</b>	<b>Consulting Services</b>			<b>259,590</b>	<b>259,590</b>	ICS/ CQS	<b>0</b>
3.4.1	National DRR Project Management Advisor	Person-months	30	3,200	96,000	96,000	0
3.4.2	District DRR Mainstreaming and Capacity Building Advisors	Person-months	144	1,034	148,890	148,890	0
3.4.3	Software and ICT training (for 115 trainees of \$125 per person)	Lump sum	1	14,700	14,700	14,700	0
<b>3.5</b>	<b>Management and Coordination of this Component</b>			<b>252,860</b>	<b>91,860</b>		<b>161,000</b>
3.5.1	Component 3 – Staff	Staff	6	11,167	67,000		67,000
3.5.2	Travel and Per Diem	Staff	6	9,000.00	54,000	54,000	0
3.5.3	Operational Costs	Months	36	3,663	131,860	37,860	94,000
<b>3.6</b>	<b>Surveys, Monitoring, and Auditing</b>			<b>58,800</b>	<b>58,800</b>		<b>0</b>
3.6.1	Surveys	Lump sum	1	30,000	30,000	30,000	0
3.6.2	Monitoring	Lump sum		28,800	28,800	28,800	0
<b>3.7</b>	<b>Contingency</b>			<b>73,500</b>	<b>73,500</b>		<b>0</b>
<b>Component D. Effective Project Management and Dissemination of Best Practices/ Innovative Approaches</b>				<b>Subtotal</b>	<b>789,860</b>	<b>509,860</b>	<b>280,000</b>
<b>4.1</b>	<b>Equipment and Supplies</b>			<b>32,120</b>	<b>32,120</b>	Shopping	<b>0</b>
4.1.1	Computers and Printers (eight computers and printers)	Sets	8	1,250	10,000	10,000	0
4.1.2	Office Supplies	Lump sum	1	8,520	8,520	8,520	0

Item		Unit	Quantity Units	Cost			JFPR <sup>a</sup>	Contribution Government <sup>b</sup>
				Cost Per Unit	Total	Amount	Method of Procurement	
4.1.3	Motorcycles	Motorcycles	8	1,700	13,600	13,600		0
<b>4.2</b>	<b>Training, Workshops, and Seminars</b>				<b>69,000</b>	<b>69,000</b>		<b>0</b>
4.2.1	Trainings	Events	6	5,500	33,000	33,000		0
4.2.2	Workshops	Events	6	6,000	36,000	36,000		0
<b>4.3</b>	<b>Consulting Services (e.g., for management and monitoring/assessments)</b>				<b>124,004</b>	<b>124,004</b>	ICS / CQS	<b>0</b>
4.3.1	Special Studies	Events	2	22,000	44,000	44,000		0
4.3.2	National Disaster Management Advisor	Person months	12	3,200	38,400	38,400		0
4.3.3	National Finance and Administration Advisor	Person months	12	1,383	16,600	16,600		0
4.3.4	ICT Software and ICT Training (for 200 trainees of \$125 per person)	Lump sum	1	25,000	25,000	25,000		0
<b>4.4</b>	<b>Management and Coordination of this Component</b>				<b>403,040</b>	<b>123,040</b>		<b>280,000</b>
4.4.1	Component 4 – Staff	Staff	10	8,000	80,000			80,000
4.4.2	Travel and Per Diem	Staff	10	7,500	75,000	75,000		0
4.4.3	Operational Costs	Lump sum	36	6,890	248,040	48,040		200,000
<b>4.5</b>	<b>Surveys, Monitoring, and Auditing</b>				<b>88,200</b>	<b>88,200</b>	CQS	<b>0</b>
4.5.1	Surveys (Baseline and end-line survey)	Events	2	30,000	60,000	60,000		0
4.5.2	Monitoring	Lump sum	1	15,000	15,000	15,000		0
4.5.3	Auditing	Lump sum		13,200	13,200	13,200		0
<b>4.6</b>	<b>Contingency</b>				<b>73,500</b>	<b>73,500</b>		<b>0</b>
	<b>Components A–D = Subtotal</b>				<b>2,941,000</b>	<b>2,500,000</b>		<b>441,000</b>
	<b>Total Grant Costs</b>				<b>2,941,000</b>	<b>2,500,000</b>		<b>441,000</b>

Item	Unit	Quantity Units	Cost		Contribution	
			Cost Per Unit	Total	JFPR <sup>a</sup>	Government <sup>b</sup>
					Amount	Method of Procurement
<b>Incremental Cost Details</b>						
ADB-Supervised Short-Term Consultancy Contracts (2.5% of total)	Lump sum			62,500	62,500	
<b>Total Incremental Costs</b>				<b>62,500</b>	<b>62,500</b>	
<b>Japan Fund for Poverty Reduction</b>					<b>2,562,500</b>	

CQS = consultant's qualifications selection, ICS = individual consultant selection, JFPR = Japan Fund for Poverty Reduction

<sup>a</sup> The costs includes taxes and duties of \$0.17 million (or 6.8% of the total cost) to be financed by the JFPR; taxes and duties (i) apply only to ADB-financed expenditures, and (ii) are material and relevant to the success of the project.

<sup>b</sup> The government will provide (i) \$147,000 in-cash contribution for category 3.5.1: Management and Coordination component 3 and Category 4.4.1: Management and Coordination Component 4 in the form of staff allowance and/or salary supplement for counterpart staff; and (ii) \$294,000 in-kind contribution for category 3.5.3: Operational Costs for component 3 and 4.4.3. Operational Costs Component D includes office space, and office utilities for the consultants during project implementation period.

Source: Asian Development Bank.

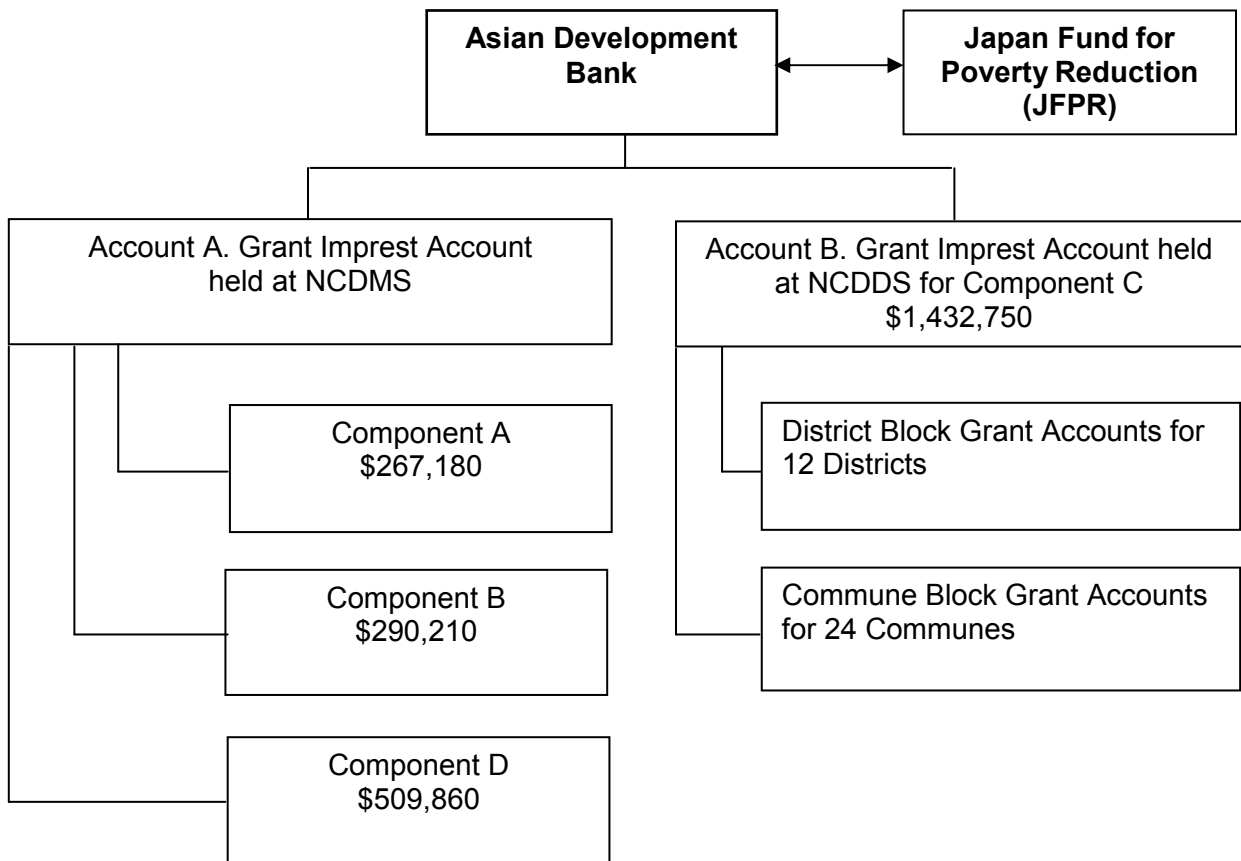
## FUND FLOW ARRANGEMENT

1. The Japan Fund for Poverty reduction (JFPR) grant funds will be disbursed in accordance with the Asian Development Bank (ADB) *Loan Disbursement Handbook* (2012, as amended from time to time). Two JFPR imprest accounts (account A and account B) will be opened and maintained by the National Committee for Disaster Management Secretariat (NCDMS) and the National Committee for Sub-National Democratic Development Secretariat (NCDDS), at a bank endorsed by the Ministry of Economy and Finance (MEF), to facilitate day-to-day expenditures. imprest Account A will be managed by the NCDMS for the funds under components A, B and D; imprest account B will be managed by the NCDDS for the funds under component C. The ceiling of imprest account A will be \$100,000, and the ceiling for imprest account B will be \$140,000. The currency of the imprest accounts will be US dollars.
2. The NCDMS and the MEF will be kept informed by the NCDDS of all transactions and receive copies of all financial statements and audit reports. The imprest accounts are to be used exclusively for ADB's share of eligible expenditures. The NCDMS and NCDDS will establish each imprest account and be accountable and responsible for proper use of advances to the imprest account.
3. The NCDMS and NCDDS may request initial and additional advance to the imprest account based on an estimate of expenditure sheet setting out the estimated expenditure to be financed through the account for the forthcoming 6 months. Supporting documents should be submitted to ADB or retained by the NCDMS and NCDDS in accordance with ADB's *Loan Disbursement Handbook* when liquidating or replenishing the imprest account.
4. The statement of expenditure (SOE) procedure may be used for reimbursement of eligible expenditures or liquidation of advance to the imprest accounts. The ceiling of the SOE procedure is the equivalent of \$10,000 per individual payment. Supporting documents and records for the expenditures claimed under the SOE should be maintained and made readily available for review by ADB's disbursement and review missions, upon ADB's request for submission of supporting documents on a sampling basis, and for independent audit. Reimbursement and liquidation of individual payments in excess of the SOE ceiling should be supported by full documentation when submitting the withdrawal application to ADB.
5. Under component C, 12 districts and 24 communes will receive funding from the project in the form of block grants. These priority districts and communes will open bank accounts at a commercial bank endorsed by the MEF to manage the community-based disaster risk reduction (DRR) and climate change adaptation (CCA) activities in their areas. The NCDDS will develop a comprehensive district block grant administration manual to be reviewed and endorsed by ADB before allowing the district councils to use it.<sup>1</sup>
6. The target commune councils will be responsible for and accountable to their constituencies in the efficient and effective utilization of the commune block grants in order to achieve the project objective and impact. All expenditures from the commune block grants are subject to independent audits by the auditor appointed by the MEF acceptable to ADB.
7. Detailed implementation arrangements, such as the flow, replenishment, and administrative procedures, will be detailed in the grant implementation manual (GIM), and the schematic fund flow for the JFPR project is shown in Figure 1.

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<sup>1</sup> The detail block grant procedure is available in the GIM

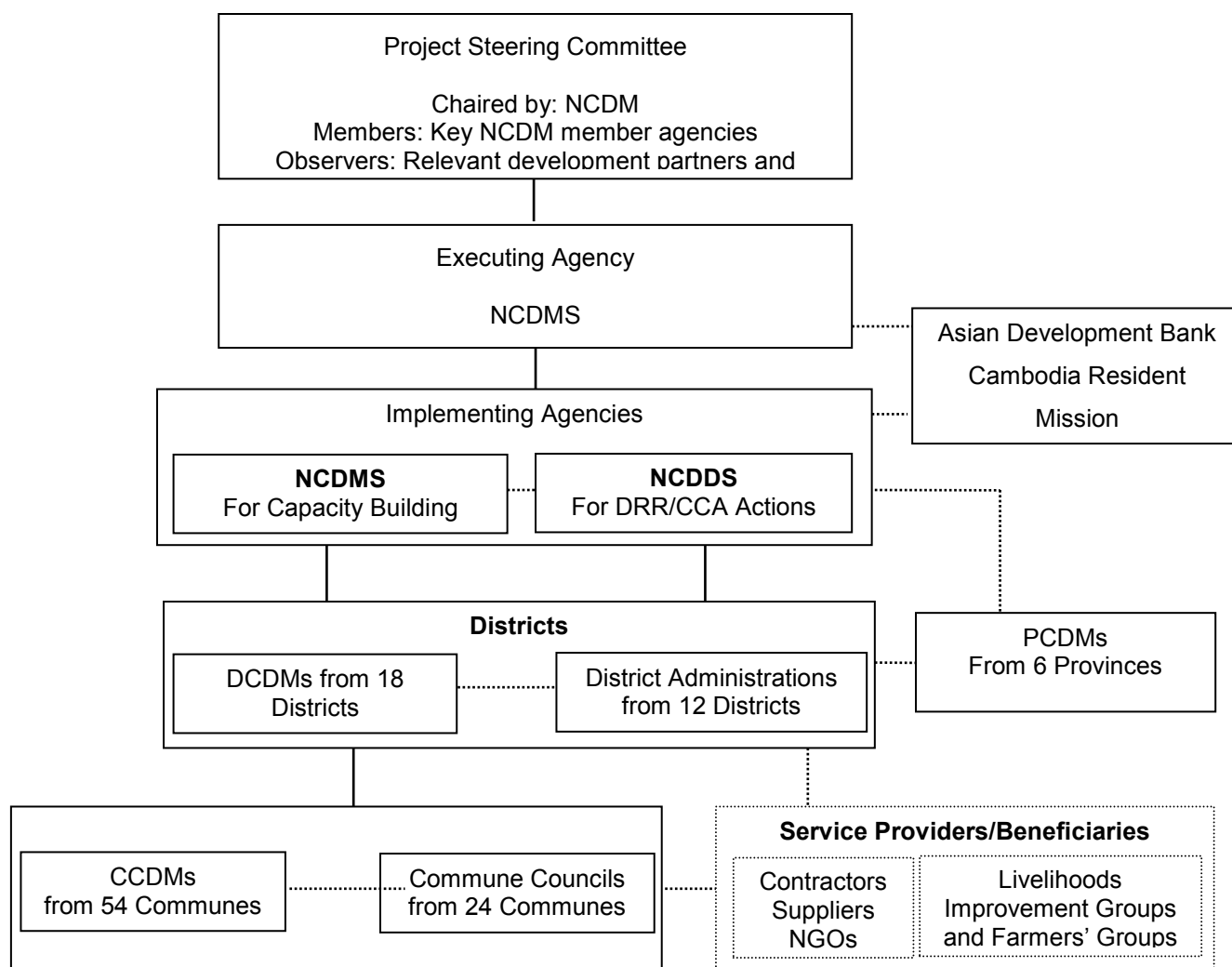
**Figure 1. Fund Flow Arrangements**



NCDDSS = National Committee for Sub-National Democratic Development Secretariat NCDDSS, NCDMS = National Committee for Disaster Management Secretariat

Source: Asian Development Bank.

### Implementation Arrangements



Notes:  
 — : Command line  
 - - - : Coordination line

CCA = climate change adaptation, CCDM = commune committee for disaster management, DCDM = district committee for disaster management, DRR = disaster risk reduction, NCDDS = Sub-National Democratic Development Secretariat, NCDM = National Committee for Disaster Management, NCDMS = National Committee for Disaster Management Secretariat, NGO = nongovernment organization, PCDM = provincial committee for disaster management, PSC = Project Steering Committee.

Source: Asian Development Bank.

1. A project steering committee comprising senior representatives of the Ministry of Interior, Ministry of Planning, Ministry of Economy and Finance, Ministry of Environment, Ministry of Water Resources and Meteorology, and National Committee for Sub-National Democratic Development Secretariat (NCDDS) will be established within 3 months after the project becomes effective. The National Committee for Disaster Management (NCDM) will chair the steering committee meetings, to be held quarterly, basis to resolve policy issues and provide project direction. Representatives from development partners and nongovernment organization disaster risk reduction (DRR) networks will participate as observers. This project steering

committee will also be used for the proposed Strengthening Coordination for Management of Disasters technical assistance (TA) project to ensure good collaboration and coordination between the two projects.

2. The NCDMS will be the executing agency and implementing agency for components A, B, and D of this project, and the NCDDS will be the implementing agency for component C for this project. The NCDMS and NCDDS will cooperate closely to ensure the smooth integration of all DRR activities into the decentralized management process. The NCDMS and NCDDS are responsible for recruiting qualified staff, with female staff being specifically encouraged, for the positions and tasks as specified in the terms of references provided in Appendix 8. The clear distribution of work and separate funds between the two agencies will minimize the risks of delay in implementation that may result from coordination issues.

3. The NCDMS will work with the Ministry of Economy and Finance to ensure that counterpart funds are released in a timely manner, and with the Ministry of Planning to ensure that the planning and reporting process developed and supported by the proposed grant at the national and subnational level is consistent with government procedures.

4. To assist the NCDMS and NCDDS in implementing the project activities, in addition to the TA inputs provided under the TA Strengthening Coordination for management of disasters, the project will require an estimated 198 person-months of national consultant inputs, to be engaged through the individual consultant selection process by the NCDMS and NCDDS in accordance with ADB's Guidelines on the Use of Consultants (2013, as amended from time to time). The detailed terms of reference of the consultants are given in Appendix 9. Advanced actions will be used for the recruitment of the consultants.



## Procurement Plan

<b>Project Name: Community-Based Disaster Risk Reduction</b>	
<b>Grant Amount \$:</b> \$2.500 million JFPR \$ 0.441 million financed by Government of Cambodia	Executing Agencies: National Committee for Disaster Management Secretariat (NCDMS)
<b>Date of first Procurement</b> 1 May 2014	<b>Date of this Procurement Plan</b> 22 January 2014

### I. Process Thresholds, Review, and 18-Month Procurement Plan

#### A. Procurement Method and Thresholds

1. The following methods and thresholds will apply to the project in the procurement of goods and works:

Method	Threshold	Comments
Shopping for Works	Up to \$100,000	Post (First set of bidding and bid evaluation report, irrespective of value, shall be prior reviewed. Subsequently, subject to satisfactory review of the first package)
Shopping for Goods	Up to \$100,000	Post (First set of bidding and bid evaluation report, irrespective of value, shall be prior reviewed. Subsequently, subject to satisfactory review of the first package)
Shopping for Small Scale Civil Works through District's PIM <sup>a</sup>	Up to \$35,000	Post (First set of bidding and bid evaluation report, irrespective of value, shall be prior reviewed. Subsequently, subject to satisfactory review of the first package)
Shopping for Works through Commune/Sangkat PIM	Up to \$25,000	Post (First set of bidding and bid evaluation report, irrespective of value, shall be prior reviewed. Subsequently, subject to satisfactory review of the first package)

PIM = Project Implementation Manual.

<sup>a</sup> A PIM will be developed by the National Committee for Sub-National Democratic Development Secretariat and submitted to the Asian Development Bank for review and endorsement. At the commune level, shopping for small scale civil works will follow the existing PIM issued by Government in 2009.

2. The following methods and thresholds will apply to the project in the procurement of services:

Recruitment of Consulting Firms		
Procurement Method	Prior or Post Review	Comments

Recruitment of Consulting Firms		
Procurement Method	Prior or Post Review	Comments
Consultant's Qualification Selection	Prior	
Individual Consultant Selection	Prior	

**B. Goods and Works Contracts Estimated to Cost More Than \$1 Million**

3. Not Applicable.

**C. Consulting Services Contracts and International and National Service Providers as Project Advisors Estimated to Cost More than \$100,000**

4. Not Applicable.

**D. Goods and Works Contracts Estimated to Cost Less than \$1 Million and Consulting Services Contracts Less than \$100,000**

5. The following table groups smaller-value goods and works contracts for which procurement activity is either ongoing or expected to commence within the next 18 months.

General Description	Value of Contracts (\$, cumulative)	Number of Contracts	Procurement/ Recruitment Method	Comments
Small-scale civil works (under district DRR/CCA funds)	400,000	Estimated 12 contracts	Shopping for works through district PIM	Q3 2015, districts with support from NCDD
Small-scale civil works (under commune DRR/CCA funds) 10,200	480,000	Estimated 24 contracts	Shopping for works through commune/sangkat PIM	Q2 2015, communes with support from NCDD
Supply of 14 motorcycles	23,800	Two contracts	Shopping	Q4 2014, NCDMS and NCDD
Computers and printers (13 computers, printers)	17,000	Two contracts	Shopping	Q4 2014, NCDMS and NCDD
ICT training for 18 districts	36,000	One contract	CQS	Q1 2015, NCDMS
ICT training for 54 communes	58,800	One contract	CQS	Q2 2015, NCDMS
Baseline survey	30,000	One contract	CQS	Q4 2014, NCDMS
Project impact assessment	30,000	One contract	CQS	Q1 2017, NCDMS
Consultants	100,000	Multiple contracts	ICS	Q3-4 2014, NCDD

CCA = climate change adaptation, CQS = consultant's qualification selection, DRR = disaster risk reduction, ICT = information and communication technology, ICS = individual consultant selection, NCDDDS = Sub-National Committee for Democratic Development Secretariat, NCDMS = National Committee for Disaster Management Secretariat, PIM = Project Implementation Manual, Q = Quarter

## II. Project Procurement Plan

6. The following tables provide an indicative list of all procurement (goods and works, and consulting services) over the life of the project.

<b>Goods and Works</b>					
<b>General Description</b>	<b>Estimated Value (\$, cumulative)</b>	<b>Estimated Number of Contracts</b>	<b>Procurement Method</b>	<b>Domestic Preference Applicable</b>	<b>Comments</b>
Small-scale civil works (under district DRR/CCA funds)	400,000	Estimated 12 contracts	Shopping for works through district PIM		Q3 2015, districts with support from NCDDDS
Small-scale civil works (under commune DRR/CCA funds)	480,000	Estimated 24 contracts	Shopping for works through commune/sangkat PIM		Q2 2015, communes with support from NCDDDS
Supply of 14 motorcycles	23,800	Two contracts	Shopping		Q4 2014 NCDMS and NCDDDS
Computers and printers (13 computers and printers)	17,000	Two contracts	Shopping		Q4 2014 NCDMS and NCDDDS

CCA = climate change adaptation, DRR = disaster risk reduction, NCDDDS = Sub- National Democratic Development Secretariat , NCDMS = National Committee for Disaster Management.

<b>Consultants</b>					
<b>General Description</b>	<b>Estimated Value (\$, cumulative)</b>	<b>Estimated Number of Contracts</b>	<b>Recruitment Method</b>	<b>Type of Proposal</b>	<b>Comments</b>
ICT training for 18 districts	36,000	One contract	CQS	BTP	Q1 2015 NCDMS
ICT training for 54 communes	58,800	One contract	CQS	BTP	Q2 2015 NCDMS
Baseline survey	30,000	One contract	CQS	BTP	Q4 2014 NCDMS
Project impact assessment	30,000	One contract	CQS	BTP	Q1 2017 NCDMS
Consultants	320,000	Multiple contracts	ICS		Q3–Q4 2014 NCDMS and NCDDDS

BTP = biodata technical proposal, CQS = consultant qualification selection, ICS = individual consultant selection, ICT = information and communication technology, NCDDDS = National Democratic Development Secretariat, NCDMS = National Committee for Disaster Management Secretariat.

### **III. National Competitive Bidding Annex**

#### **A. General**

7. The procedures to be followed for national competitive bidding shall be those set forth for the national competitive bidding method in the government's Procurement Manual of May 2012 issued under Sub Decree Number 74 ANKR.BK dated 22 May 2012 with the clarifications and modifications described in the following paragraphs required for compliance with the provisions of the procurement guidelines.

#### **B. Application**

8. Contract packages subject to national competitive bidding procedures will be those identified as such in the project procurement plan. Any changes to the mode of procurement from those provided in the procurement plan shall be made through updating of the procurement plan, and only with prior approval of the Asian Development Bank (ADB).

#### **C. Eligibility**

9. Bidders shall not be declared ineligible or prohibited from bidding on the basis of barring procedures or sanction lists, except individuals and firms sanctioned by ADB, without prior approval of ADB.

#### **D. Advertising**

10. Bidding of national competitive bidding contracts estimated at \$500,000 or more for goods and related services or \$1,000,000 or more for civil works shall be advertised on ADB's website via the posting of the procurement plan.

#### **E. Anticorruption**

11. Definitions of corrupt, fraudulent, collusive, and coercive practices shall reflect the latest ADB Board-approved Anticorruption Policy definitions of these terms and related additional provisions.

#### **F. Rejection of all Bids and Rebidding**

12. Bids shall not be rejected and new bids solicited without ADB's prior concurrence.

#### **G. Bidding Documents**

13. The bidding documents provided with the government's procurement manual shall be used to the extent possible. The first draft English-language version of the procurement documents shall be submitted for ADB review and approval, regardless of the estimated contract amount, in accordance with agreed review procedures (post and prior review). The ADB-approved procurement documents will then be used as a model for all procurement financed by ADB for the project, and need not be subjected to further review unless specified in the procurement plan.

## **H. Member Country Restrictions**

14. Bidders must be nationals of member countries of ADB, and offered goods, works, and services must be produced in and supplied from member countries of ADB.

## SUMMARY POVERTY REDUCTION AND SOCIAL STRATEGY

Country:	Cambodia	Project Title:	Community-Based Disaster Risk Reduction
Lending/Financing Modality:	Grant	Department/Division:	Southeast Asia Department/Cambodia Resident Mission

### I. POVERTY IMPACT AND SOCIAL DIMENSIONS

Targeting classification: Targeted intervention—geographic.

#### A. Links to the National Poverty Reduction Strategy and Country Partnership Strategy

Cambodia's National Strategic Development Plan (NSDP) Update, 2009–2013 recognizes disaster risk reduction (DRR) and its correlation to poverty. Strengthening community resilience to disasters contributes to the reduction of poverty and vulnerability, the primary objective of all development efforts of the government. Hazard and vulnerability assessments, early warning systems, emergency response plans, community preparedness and recovery plans enable local communities to directly address their specific vulnerabilities and cope with a primary contributor to poverty in the country.

The Asian Development Bank (ADB) country partnership strategy (CPS), 2011–2013 is aligned with the NSDP goal of inclusive growth and poverty reduction. Since Cambodia's population is overwhelmingly rural, ADB programs are designed with an integrated approach to rural development, targeting the areas where most poor people reside. The CPS outlines ADB support for operations in five priority areas: (i) transport; (ii) water supply, sanitation, and urban development; (iii) agriculture and natural resources; (iv) education and training; and (v) finance. The CPS also includes four crosscutting themes that are increasingly important to Cambodia's development: environment and climate change, decentralization, urban–rural linkages, and regional cooperation. The proposed project supports ADB's poverty reduction efforts as those most affected by floods and other disasters are poor, rural communities. Interventions will enhance the resilience of rural infrastructure built under ADB projects, in particular the Flood Damage Emergency Reconstruction Project.

#### B. Poverty and Social Analysis

**1. Key issues and potential beneficiaries.** While there has been progress in reducing income poverty in Cambodia (from 48% of the population in 2007 to just under 20% in 2011), a large share of the population remains vulnerable, with incomes very close to the poverty line. For the poor and vulnerable, small shocks can cause a major setback. Poor and vulnerable households are disproportionately affected by disasters, and often are forced to go into debt to cope with loss of livelihoods when disasters occur. Although floods have existed for a long time, the poor are not able to prepare themselves better. This is because of a lack of awareness, early warning systems, and resources to cope with the disasters. The beneficiaries will be from the most vulnerable communities, which are known to be prone to floods. The poorest families will be engaged in community-based disaster risk reduction (DRR) actions and livelihood diversification and improvement activities.

**2. Impact channels and expected systemic changes.** The project will reduce vulnerability to disasters by improving and sustaining disaster management capacity at the district and commune level. Appropriate policy will be developed to mainstream DRR and climate change adaptation (CCA) into the local development planning process. Local communities will be engaged in the planning process and will participate in managing and implementing DRR projects. These will contribute to the expected impact of reduced negative impacts of floods and other disasters to the most vulnerable communities in Cambodia. The adopted guidelines will also be used by other districts and communes in Cambodia.

**3. Focus of the PPTA or due diligence.** Under the Flood Damage Emergency Reconstruction Project, consultants prepared an institutional review and capacity assessment of the National Committee for Disaster Management (NCDM) and carried out consultations to contribute to the design of the project. The assessment results highlight the lack of solid policy foundation and budgetary resources to support the NCDM's disaster coordination functions in Cambodia; the weakness of the NCDM's structure and its lack of capacity to formulate relevant legislation, policies, and strategies; and its inability to translate policies and strategies into operational plans and implementation at all levels. To address these issues, the assessment identified five key areas for intervention: (i) develop capacities for policy formulation and enforcement; (ii) enhance mechanisms and capacities for disaster management coordination at all levels, (iii) enhance the NCDM Secretariat's organizational management capacities to perform mandated functions, (iv) establish a disaster management information system, and (v) strengthen capacities of subnational disaster management committees. These form the basis for this initiative and the ADB financed technical assistance project for Strengthening Coordination for the Management of Disasters.

**4. Other social and poverty issues.** None.

**5. Design features.** The project will target the most vulnerable communities in six provinces of Cambodia that were seriously hit by the 2011 floods. Poor households will be targeted for jobs on any labor-intensive community-based DRR initiatives using the Ministry of Planning's ID-Poor targeting system. Component A (improved institutional and technical capacity of priority districts on disaster management and DRR and CCA) will develop the

institutional and technical capacity of 18 priority districts from the six flood-affected provinces<sup>1</sup> on DRR and management to effectively manage disaster events in their districts and to provide timely support to communes concerning disaster management issues. Component B (enhanced capacity of priority communes for disaster management and DRR and CCA) will improve capacity for disaster management at the commune level through the provision of technical and operational support to the members of commune councils,<sup>2</sup> especially the commune committees for disaster management (CCDMs). Component C (community-based DRR and CCA actions implemented) will develop models that enable district administrations and commune councils to perform disaster management and coordination functions and investments within the decentralized system. The district and commune committees for disaster management will be able to demonstrate their knowledge gained from components 1 and 2 by managing and implementing community-based DRR infrastructure projects, not only to benefit the targeted community members but also for demonstration purposes.

## II. PARTICIPATION AND EMPOWERING THE POOR

**1. Participatory approaches and proposed project activities.** The design process involved extensive involvement of national, provincial, and district agencies, and communes and other stakeholders on issue identification, options and/or alternatives analysis, activity prioritization, and implementation arrangements. This was done through a reconnaissance mission; roundtable dialogue with development partners; focus group discussions; project visioning, scoping, and team-building workshops with various stakeholders at the district level; and a design validation workshop in Phnom Penh with participants from the government, nongovernment organizations (NGOs), and development partners. Local partner NGOs will be involved in project implementation and broad participation of household beneficiaries will be adopted at every step, particularly using the local planning process, to ensure interventions respond to local needs, build on existing capability, mobilize local resources, encourage self-reliance, and generate a sustainable result.

**2. Actions to ensure civil society participation.** NGOs, including Japanese NGOs, were involved during the project design process. They will be involved in implementation as service providers or local project partners.

**3. How project ensures adequate participation of civil society in implementation.** Component C will involve participation from NGOs. They will participate in implementing various community-based DRR projects through a competitive bidding process to be organized at the district and commune levels. They will also act in partnership with the district administrations and commune councils to increase the project benefits by bringing in additional resources.

**4. What forms of civil society organization participation is envisaged during project implementation?**

Information gathering and sharing  Consultation  Collaboration  Partnership

**5. Will a project-level participation plan be prepared to strengthen participation of civil society as interest holders for affected persons, particularly the poor and vulnerable?**  Yes. The project implementation manual (PIM) for the commune will be reviewed and for the district will be prepared in year 1 of the project as part of component C.  No.

## III. GENDER AND DEVELOPMENT

**Gender mainstreaming category:** Effective gender mainstreaming

**A. Key issues.** Women and men are affected differently by natural disasters because of their different roles and responsibilities in the family and in the community. Women are often severely affected by the damage and disruption to basic services and community infrastructure because of their family responsibilities. In addition, when there is displacement as a result of crises, women and girls are more at risk of sexual abuse and violence. These concerns are recognized and incorporated in the project design and will be implemented through the project's gender action plan (GAP), which will be prepared during the project inception period.

**B. Key actions.**

Gender action plan  Other actions or measure  No action or measure

A GAP will be developed during the inception period to ensure that women and men participate equally in the project and derive equitable benefits. Women's knowledge on disaster management and DRR and CCA will be increased, and will be included in the grant implementation manual (GIM). The executing agency will (i) assign a gender focal point to ensure GAP implementation and monitoring, (ii) ensure sex-disaggregated data collection, (iii) provide orientation on GAP implementation and monitoring requirements to the grant implementation staff very early in project implementation, (iv) include gender issues in training on disaster management and DRR and CCA, (v) prepare regular reports on the GAP progress, and (vi) document good practices and innovative approaches regarding the benefits and efficiency of gender-sensitive policies and programs.

## IV. ADDRESSING SOCIAL SAFEGUARD ISSUES

**A. Involuntary Resettlement**

**Safeguard Category:**  A  B  C  FI

**1. Key impacts.** No Impact. Components A and B will involve capacity development, and Component D will improve project management; none of the three components involve land acquisition or involuntary resettlement. For component C, community-based DRR actions will include the rehabilitation or construction of DRR infrastructure for demonstration. Rehabilitation works will be within existing community structures and any new construction will be on vacant government land. For Component C, subproject selection criteria will be developed, and this will ensure that

<sup>1</sup> As covered by the Flood Damage Emergency Reconstruction Project approved by the Board in March 2012.

<sup>2</sup> Commune councils are elected through a system of proportional representation and serve 5-year terms.

subprojects with land acquisition and involuntary resettlement impacts are excluded.	
2. Strategy to address the impacts. N/A	
3. Plan or other Actions.	
<input type="checkbox"/> Resettlement plan	<input type="checkbox"/> Combined resettlement and indigenous peoples plan
<input type="checkbox"/> Resettlement framework	<input type="checkbox"/> Combined resettlement framework and indigenous peoples planning framework
<input type="checkbox"/> Environmental and social management system arrangement	<input type="checkbox"/> Social impact matrix
<input checked="" type="checkbox"/> No action	
<b>B. Indigenous Peoples</b>	<b>Safeguard Category:</b> <input type="checkbox"/> A <input type="checkbox"/> B <input checked="" type="checkbox"/> C <input type="checkbox"/> FI
1. <b>Key impacts.</b> Capacity development, improved project management, and DRR actions will benefit all households in the project areas. The beneficiary dignity, human rights, livelihood systems, culture, or resources will not be adversely affected by the project. Is broad community support triggered? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
2. <b>Strategy to address the impacts.</b> NA	
3. <b>Plan or other actions.</b>	
<input type="checkbox"/> Indigenous peoples plan	<input type="checkbox"/> Combined resettlement plan and indigenous peoples plan
<input type="checkbox"/> Indigenous peoples planning framework	<input type="checkbox"/> Combined resettlement framework and indigenous peoples planning framework
<input type="checkbox"/> Environmental and social management system arrangement	<input type="checkbox"/> Indigenous peoples plan elements integrated in project with a summary
<input type="checkbox"/> Social impact matrix	
<input checked="" type="checkbox"/> No action	
<b>V. ADDRESSING OTHER SOCIAL RISKS</b>	
<b>A. Risks in the Labor Market</b>	
1. Relevance of project for labor market. <input type="checkbox"/> Unemployment <input type="checkbox"/> Underemployment <input type="checkbox"/> Retrenchment <input type="checkbox"/> Core labor standards	
2. Labor market impact. No Impact	
<b>B. Affordability.</b> Not applicable	
<b>C. Communicable Diseases and Other Social Risks</b>	
1. Indicate the respective risks, if any, and rate the impact as high (H), medium (M), low (L), or not applicable (NA):	
<input type="checkbox"/> Communicable diseases	<input type="checkbox"/> Human trafficking
<input type="checkbox"/> Others (please specify) _____	
2. Describe the related risks of the project on people in project area. NA	
<b>VI. MONITORING AND EVALUATION</b>	
1. <b>Targets and indicators.</b> By 2020, losses from flooding reduced by 15% from the 2013 baseline <sup>3</sup> (5-year average from 2009 to 2013) in the number of households affected by and the economic losses from floods. By 2016, (i) a draft law on disaster management and other relevant disaster management and DRR strategies will be developed by the NCDM and submitted for approval by the Council of Ministers; (ii) there will be a fully functional disaster management capacity (i.e., timely, coordinated, and sustained actions); <sup>4</sup> and (iii) funds will be identified and allocated in annual government budgets for disaster management (the baseline for 2012 and before is zero).	
2. <b>Required human resources.</b> The executing agency will monitor and evaluate project performance; the implementing agencies will supervise monitoring and evaluation of work programs and preparation of consolidated monitoring reports. Beneficiary households, NGOs, and concerned local government units will also periodically monitor and evaluate project processes and results. They will do this through quarterly meetings to be organized at the district and commune level to ensure improvement of project performance. Implementing agencies will nominate their staff to be gender focal points to support the preparation and implementation of the GAP.	
3. <b>Information in GIM.</b> The GIM has been prepared in consultation with the executing and implementing agencies and is submitted as a supplementary appendix of the grant assistance report. The GIM describes the essential administrative and management requirements, including review, monitoring, and reporting, to implement the grant assistance on time, within budget, and in accordance with government and ADB policies and procedures.	
4. <b>Monitoring tools.</b> The following monitoring tools will be employed: (i) baseline and end-line survey and assessment of the current status of forest management, livelihood systems, and corresponding institutional support, and current status of sanitation and nutrition; (ii) participation of local people; (iii) review missions including extensive midterm review; and (iv) regular monitoring and reporting of grant assistance activities and performance with regard to performance indicators and financial progress.	

Source: Asian Development Bank

<sup>3</sup> To be established in quarter 2 of year 1.

<sup>4</sup> In the absence of a comprehensive baseline study, ADB commissioned an institutional review and capacity assessment of the NCDM, which will serve as a baseline.



## TERMS OF REFERENCE FOR GOVERNMENT STAFF

### A. Terms of Reference for National Committee for Disaster Management Secretariat Counterpart Staff

#### 1. Project Director

1. The National Committee for Disaster Management Secretariat (NCDMS) will have a senior and experienced NCDMS civil servant<sup>1</sup> as the national project director with a background in the management of disaster and rural development projects and programs. The project director will be responsible for managing and coordinating the technical assistance (TA) project with the authorities delegated by the senior minister as provided by the standard operating procedures. The national project director will report to his senior officials in the NCDMS. The tasks in the terms of reference include the following:

- (i) Oversee the work of the project manager for the NCDMS executing agency functions for the TA Strengthening Coordination for Management of Disasters (SCMD) and the grant Community-Based Disaster Risk Reduction (CBRR) to ensure that the TA and the grant implementation is in line with government policies, guidelines (including the standard operating procedures), and the evolving framework for subnational governance, and follows the provisions of the Asian Development Bank (ADB) financing agreement. Liaise with ADB concerning all aspects of TA implementation and compliance with the financing agreements.
- (ii) In consultation with ADB, authorize TA and grant staff recruitment.
- (iii) Provide the chair of the steering committee with regular progress reports, including information on physical and financial progress made with the capacity development TA Strengthening Coordination for Management of Disasters and the grant Community-Based Disaster Risk Reduction and issues outstanding and actions recommended, and obtain the steering committee's concurrence with the project's policy agenda and actions plans.
- (iv) Ensure national interministerial coordination with the other ADB disaster-related projects and those of other agencies operating in the project provinces, and ensure development synergies in the priority areas.
- (v) Oversee coordination with all National Committee for Disaster Management (NCDM) member line ministries in all policy and major operational matters related to the TA and grant implementation and propose revisions to the arrangements if necessary.
- (vi) Coordinate with the National Committee for Sub-National Democratic Development Secretariat (NCDDS) and the Ministry of Economy and Finance (MEF) in the appointment of an independent auditor, acceptable to the financiers (within 90 days of loan and/or grant effectiveness) and with terms of reference acceptable to the financiers.
- (vii) Respond to the audit findings and provide the results of the audit, and the NCDMS's response, to the steering committee and ADB.

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<sup>1</sup> With multidepartment supervision roles to be able to coordinate internally and externally.

## 2. Project Manager

2. The NCDMS will have one senior experienced NCDM civil servant as the project manager, who will work full-time as part of the project management team of the grant Community-Based Disaster Risk Reduction. He or she will report to the project director and will ensure that all procurement and disbursement activities are carried out in accordance with ADB's Procurement Guidelines (2013, as amended from time to time) and the government standard operating procedures (May 2012, update from time to time) and ADB's *Loan Disbursement Handbook* (2012, as amended from time to time).

3. The project manager will manage the grant activities in accordance with the financing agreement, the grant annual work plan, and relevant systems and procedures required by the financiers and MEF. He or she will also be responsible for planning, monitoring and evaluation, and reporting. The project manager will be accountable to the NCDMS and the project director. In particular, the project manager will undertake the following tasks:

### a. General Management and Coordination

- (i) Manage and coordinate the implementation of the grant CBDR.
- (ii) Oversee the work of the NCDMS staff assigned to the grant to ensure that all aspects of grant implementation are in line with the agreed actions, government policies, guidelines, and the evolving framework for subnational government and follow the provisions of the ADB financing agreements.
- (iii) Manage the grant's administrative, financial management, and procurement systems and the NCDMS executing agency administrative and financial management systems.
- (iv) Supervise and coordinate the management and administration of the staff in the NCDMS assigned to the grant.
- (v) Coordinate with the SCMD TA manager, NCDMS community-based DRR grant manager, and NCDMS and NCDMS assigned staff to implement the community-based DRR activities to ensure good coordination and support between the two projects.
- (vi) Coordinate with other ADB and development partner projects related to disaster management and DRR in the priority areas to ensure good complementarity and synergy.
- (vii) Prepare and process all legal documents, contracts, and agreement of project activities in a timely manner.
- (viii) Maintain all administrative and personnel documents and grant and consultant contracts.
- (ix) Supervise the project's financial management functions in line with the government's requirements and systems and ADB financing agreements.
- (x) Prepare regular reports on the performance of the NCDMS's financial management progress, problems faced, and solutions for submission to the project director.
- (xi) Provide the project director with regular status reports, including information on progress made, issues outstanding, and actions recommended.
- (xii) Ensure the implementation of the gender action plan and that sex-disaggregated data are collected and reported.

### b. Finance and Grant Administration

- (i) Oversee the staff in finance administration and procurement under the grant CBDR in accordance with the financing agreements, ADB's Procurement Guidelines (2013, as amended from time to time), government standard operating procedures (2012, updated from time to time), and relevant systems and procedures required by the financiers, the NCDMS, and MEF.
- (ii) Provide training and refresher training to NCDMS finance and procurement staff working for community-based DRR.
- (iii) Coordinate and ensure timely and accurate consolidation of the annual work plan budget of grant CBDR.
- (iv) Ensure that the financial managements systems and internal controls are in place and strictly enforced for transparency and accountability of use of public funds under the projects.
- (v) Address all financial management and procurement issues when they arise.
- (vi) Ensure timely transfer of funds to all project parties at the national and subnational levels for project implementation.
- (vii) Coordinate the management of cash flow of the project financing.
- (viii) Ensure that the NCDMS team undertakes the following detailed financial management tasks: (a) open and operate the NCDMS's imprest account, following ADB procedures, (b) disburse funds to departments and agencies according to agreed actions, and (iii) in a timely manner prepare withdrawal applications and liquidation requests for ADB for reimbursement and liquidation.
- (ix) Ensure smooth harmonization between the monitoring and evaluation and financial systems.
- (x) Coordinate and oversee the work of the staff in order to deliver adequate and timely financial services, provide financial information, and prepare withdrawal applications.
- (xi) Supervise the functioning of the physical and financial reporting systems and procedures at the national and subnational levels.
- (xii) Ensure the financial managements systems, fund flow procedures, and procedures for the use of imprest advances to enable funds to flow as required.
- (xiii) Supervise timely accounts reconciliation at all levels and manage cash flow to facilitate smooth flow of funds to all concerned departments and agencies.
- (xiv) Regularly monitor the execution of the grant Annual Workplan and Budget under the NCDM supervision structure.
- (xv) Ensure sound project auditing and financial management.
- (xvi) Ensure that auditors' recommendations are implemented once endorsed by the NCDMS and other project parties.

### **c. Procurement**

- (i) Ensure that the procurement processes and procedures are in place and strictly enforced according to the procurement guidelines of the financier.
- (ii) Supervise the preparation of an annual updated procurement plan and regular progress reports against the procurement plan.
- (iii) Supervise major procurements by the NCDMS of goods and services.
- (iv) Ensure timely and effective implementation of the consolidated project procurement plan.
- (v) Supervise the preparation of procurement packages, documents, and processes at the national level following approved procurement guidelines.
- (vi) Supervise the preparation of official documents related to procurement.

- (vii) Monitor procurement and implementation progress at the national and subnational level.
- (viii) Provide instruction and capacity building to project staff on procurement-related matters.
- (ix) Participate in monitoring and evaluations activity, handover of equipment and materials, and construction.
- (x) Supervise staff to prepare and update the contracts register and inventory list.
- (xi) Coordinate with ADB and MEF on procurement-related matters.
- (xii) Coordinate with the procurement officers at the national and subnational levels.

**d. Planning, Monitoring and Evaluation, and Reporting**

- (i) Oversee the implementation of the project's planning system and the consolidation of the Annual Workplan and Budget from the departments and agencies, and ensure that the Annual Workplan and Budget (AWPB) incorporate the lessons learned from past TA project experience of ADB and development partners as well as from this grant.
- (ii) Oversee the design, establishment, and implementation of the grant monitoring and evaluation system and the associated progress and other reporting to the NCDMS and ADB and establish and maintain the project implementation database.
- (iii) Ensure that the grant implementation and management team can provide the administrative and secretarial support required by the joint steering committee.
- (iv) Ensure the implementation of the gender action plan and that sex-disaggregated data are collected and reported.
- (v) Coordinate with the MEF and NCDMS in all major operational matters related to the grant implementation.
- (vi) Develop and manage the capacity building program for the relevant departments and agencies at national and subnational levels.
- (vii) Manage the communication network, including the website and use of print and broadcasting media, reporting of project progress, and publication of best practices.
- (viii) Report to the project steering committee through the national project directors at the NCDMS and NCDMS.

**3. District and Commune Capacity Building Coordinator (Coordination of Components A and B)**

4. The NCDMS will have one senior and experienced staff member with a background in disaster management and DRR policy development and capacity strengthening, and the management and coordination of training programs. The coordinator will report to the project manager. The tasks in the terms of reference are as follows:

- (i) Coordinate with relevant departments of the NCDMS, NCDMS, and NCDMS member line ministries to get the district committees for disaster management (DCDMs) and commune committees for disaster management (CCDMs) effectively performing devolved disaster management functions.
- (ii) Coordinate with relevant departments of the NCDMS, NCDMS, and NCDMS member line ministries to have disaster preparedness, DRR, and climate change adaptation (CCA) effectively integrated in commune and district development and investment plans.
- (iii) With relevant departments of the NCDMS and the TA consultant team, organize trainings for at least 200 subnational government staff, including 90 women, on

- upcoming policies and regulations supporting DRR and/or CCA at the district and commune level.
- (iv) Oversee all the capacity building and training activities at the districts on the project design documentation covering training needs assessment, preparation of training modules, and a capacity building and training schedule.
  - (v) With the TA team, identify organizations and/or individuals who the project can contract or cooperate with to deliver the capacity building and training at the district and commune level.
  - (vi) Observe the quality of training delivered by service providers in each training session and provide feedback to the NCDMS project manager on where improvements in delivery methods and content are necessary.
  - (vii) Document all project-financed training activities including details of the training content, the numbers and types of participants, and the gender balance and report this to the project manager on a monthly basis.
  - (viii) Undertake other tasks assigned by the project manager.

#### **4. Community-Based Disaster Risk Reduction and Knowledge Products Coordinator (Coordination of Components C and D)**

5. The NCDMS will have one senior and experienced staff member with a background in disaster management and DRR policy development and capacity strengthening, coordination of training programs, and knowledge product management. The coordinator will report to the project manager. The tasks in the terms of reference are as follows:

- (i) Liaise with the NCDMS in the development of the guidelines on the use of DRR funds for the district and commune and members of target DCDMs and CCDMs, and ensure that women represent at least 30% of participants in the training courses.
- (ii) Assist the NCDMS in its effort to support the priority districts (12 districts, 24 communes) to establish DRR funds.
- (iii) Liaise with the NCDMS in the capacity building and training activities on management of community-based DRR and/or CCA funds
- (iv) Coordinate with the NCDMS national DRR coordinator and the six project DRR coordinators in the execution of the district and commune DRR funds in the 12 priority districts and 24 priority communes.
- (v) Advise the TA management team and the consultants on putting a system in place for timely TA completion within the budget.
- (vi) Make sure that DRR activities with sex-disaggregated data are captured in national and subnational disaster management information systems of the NCDM.
- (vii) Ensure that all related activities with sex-disaggregated data are documented under district commune databases.
- (viii) Ensure best practices and innovative approaches, including some interventions which have supported women's resilience and empowerment, are documented and disseminated.
- (ix) Coordinate with the TA Strengthening Coordination for Management of Disasters other development partners, nongovernment organizations (NGOs), and other ADB-financed projects related to disaster to ensure that all innovative approaches and best practices in disaster management are documented and disseminated (website, print materials, workshops).
- (x) Undertake other tasks assigned by the project manager.

## 5. Finance Officer

6. The NCMDS will have one senior and experienced staff member with a background in project management and accounting for overseeing the project's accounting at the NCDMS office. The officer will report to the project manager. The tasks in the terms of reference are as follows:

- (i) Maintain financial records and financial system of all operations in community-based DRR, which conform to the accounting standard and best practices of the financial management manual.
- (ii) Perform monthly reports and prepare cash and bank reconciliation reports for the project manager. Provide update of fund disbursement and of possible need for adjustment.
- (iii) Prepare documentation for funds transfer from the NCDMS project management team.
- (iv) Ensure sufficient and timely disbursements of cash to project activities as per requests.
- (v) Coordinate with all national staff and consultants to ensure that procurements and payments have been properly approved and authorized.
- (vi) Coordinate with ADB to ensure that the flow of documents and reports disbursement are running smoothly and on time.
- (vii) Ensure timely payment of bills with prior approval by the NCDMS project manager.
- (viii) Ensure that the same system of financial recording and reporting are in place at all levels and these are in line with financier-approved system and procedures. Visit the target project province, district, and communes when necessary.
- (ix) Assist the TA manager in performing control checks and audit of the operation.
- (x) Ensure that all expenditures are properly recorded in the ledger and are properly authorized on the appropriate vouchers and accompanied by appropriate original receipts. Report discrepancies to the project manager and make corrections as advised.
- (xi) Review all records from provinces and submit to the TA manager for final check before being forwarded to the community-based DRR project manager.
- (xii) Undertake other tasks assigned by the project manager.

## 6. Contract Administration Officer

7. The NCMDS will have one staff member with a background in administration and contract management. The officer will report to the community-based DRR project manager. The tasks in the terms of reference are as follows:

- (i) Draft and implement contracts in accordance with the approved formats.
- (ii) Following approval of the Annual Workplan and Budget, perform the initial review of contracts and amendments prior to submission to the TA manager for review and approval; manage all community-based DRR procurement activities; and update and maintain the inventory of property and equipment financed through the community-based DRR project.
- (iii) Ensure regular monitoring and evaluation of the AWPB and prepare progress reports for submission to the project manager.
- (iv) Ensure transparent management of the Strengthening Coordination for Management of Disasters inventory, personnel contracts, procurement, and bidding activities and file all data and contract documents between the NCDMS and implementing agencies.

- (v) Ensure a smooth flow of information within community-based DRR and between community-based DRR and the grant SCMD and with other departments and agencies at the national and subnational levels regarding contract implementation.
- (vi) Ensure that employment contracts are prepared correctly between the SCMD and the respective staff, and staff files and records are maintained correctly, including leave, recruitment, staff selection, and performance appraisal information.
- (vii) Ensure that the monitoring and evaluation of the AWPB within community-based DRR is carried out in accordance with established guidelines and procedures and provide any support required.
- (viii) Review periodic monitoring reports received and prepare quarterly and annual progress reports for submission to the project manager in accordance with reporting guidelines and procedures.
- (ix) Undertake other tasks assigned by the project manager.

#### **7. Provincial Community-Based Disaster Risk Reduction Coordinator (six positions)**

8. The project will have six provincial community-based DRR coordinators (one based in each target province) to provide coordinated support to the provincial management committee, the NCDMS, and the NCDDS in the execution of community-based DRR initiatives. They will report to the chair of the PCDM and the NCDDS project manager. The coordinators will work closely with the provincial disaster management and DRR advisors (consultant) to do the following:

- (i) Coordinate all project activities within the province and provide a general oversight of the activities of the various service providers implementing project-financed activities.
- (ii) Manage activities for capacity development at the district and commune levels, such training of the DCDMs and CCDMs and project orientation training for the staff of provincial and district administrative units.
- (iii) Participate in activities related to policy and institutional reform at subnational level supported by the project and or by the NCDMS and NCDDS.
- (iv) Liaise with other projects and programs to ensure that all disaster management and DRR actions at commune and district and province levels are complementary.
- (v) Participate in the technical meetings and policy guidance meetings.
- (vi) Ensure the implementation of the gender action plan and that sex-disaggregated data are collected and reported.
- (vii) Provide the NCDM with timely consolidated provincial AWPB, regular financial statements and reports, and quarterly progress reports, based on the information provided by the DCDMs and CCDMs and from the contracts managed at provincial level (if any).
- (viii) Undertake other tasks as required by the NCDMS.

### **B. Terms of Reference for National Committee for Sub-National Democratic Development Secretariat Staff**

#### **1. Project Director**

9. The NCDDS will have a senior and experienced NCDDS civil servant as the project director with a background in the management of decentralization and deconcentration reforms and rural development projects and/or programs.<sup>1</sup> The project director will be responsible for managing and coordinating the project with authorities delegated by the NCDDS as provided by the standard operating procedures. The project director will guide the NCDDS team in implementing this grant. The NCDDS project director will report to the head of the NCDDS for activity progress and financial compilation. He or she will need to share this information with the NCDMS to incorporate into a single project report to be submitted to the project steering committee, project financiers, or related project stakeholders. The tasks in the terms of reference are as follows:

- (i) Oversee the work of the project manager for the NCDDS functions to ensure that the project implementation is in line with government policies, guidelines, including the standard operating procedures and the evolving framework for subnational government and follows the provisions of the ADB financing agreements.
- (ii) Ensure that the NCDDS and the subnational project agencies implement the gender action plan.
- (iii) Proactively maintain the communications with the NCDDS and Ministry of Agriculture Forestry and Fisheries leadership and relevant project stakeholders.
- (iv) Liaise with the NCDDS, MEF, and ADB concerning all aspects of project implementation and compliance with the financing agreements.
- (v) Provide the NCDMS with regular progress reports, including information on physical and financial progress made, issues outstanding, and actions recommended.
- (vi) Oversee the coordination with the MEF, NCDMS, and other NCDM member line ministries in all policy and major operational matters related to the project implementation, e.g., flow of funds to districts and commune councils and propose revisions to the arrangements if necessary.
- (vii) Coordinate with the NCDMS and MEF on the appointment of an independent auditor, acceptable to the financiers (within 90 days of loan and/or grant effectiveness) and with terms of reference acceptable to the financiers.
- (viii) Respond to the audit findings and provide the results of the audit to the steering committee and ADB and the MEF.

## **2. Project Manager**

10. The NCDDS will recruit one senior and experienced person to act as the project manager responsible for the implementation of the project activities under the responsibility of the NCDDS, with a background in the management of decentralization and deconcentration programs for support to subnational structures, systems, and procedures. The project manager will be responsible for managing and coordinating the project and will report to the national project director of the NCDDS and will ensure that all procurement and disbursement activities are carried out in accordance with ADB's Procurement Guidelines (2013, as amended from time to time) and the government standard operating procedures. The project manager will manage the grant activities in accordance with the financing agreement, the grant annual work plan, and relevant systems and procedures required by the financiers and the MEF. He or she will also be responsible for planning, monitoring and evaluation, and reporting. In particular, the project manager will undertake the following tasks:

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<sup>1</sup> The project director will preferably be the project director leading the ADB-financed Tonlesap Poverty Reduction and Smallholder Development Project (TSSD) as to minimize overlap of resources, and for fast-tracking the replication of lessons learned under this CBDR grant.



### **a. General Management and Coordination**

- (i) Assist the project director to supervise and coordinate the management and implementation of the grant CBDR.
- (ii) On a day-to-day basis, oversee the work of the NCDMS staff assigned to the grant to ensure that all aspects of grant implementation are in line with the agreed actions, government policies, guidelines, and the evolving framework for subnational government, and follow the provisions of the ADB financing agreements.
- (iii) Manage the grant's administrative, financial management, and procurement systems and the NCDMS executing agency administrative and financial management systems.
- (iv) Supervise and coordinate the management and administration of the staff in the NCDMS assigned to the grant.
- (v) Coordinate with the SCMD TA manager, NCDDS community-based DRR grant manager, and the NCDMS and NCDDS assigned staff to implement the community-based DRR activities to ensure there is good coordination and support between the two projects.
- (vi) Coordinate with other ADB and development partner projects related to disaster management and DRR in the priority areas to ensure good complementarity and synergy.
- (vii) Prepare and process all legal documents, contracts, and agreement of project activities in a timely manner.
- (viii) Maintain all administrative and personnel documents and grant and consultant contracts.
- (ix) Support the organization of the project steering committee meetings regularly and on demand.
- (x) Supervise the projects' financial management functions in line with the government's requirements and systems and ADB financing agreements.
- (xi) Participate in the technical, policy guidance, and other meetings.
- (xii) Participate in the follow-up supervision missions.
- (xiii) Prepare regular reports on the performance of the NCDMS's financial management, covering progress, problems faced, and solutions, for submission to the project director.
- (xiv) Provide the project director with regular status reports, including information on progress made, issues outstanding, and actions recommended.
- (xv) Ensure the implementation of the gender action plan and that sex-disaggregated data are collected and reported.
- (xvi) Undertake other tasks assigned by the project director.

### **b. Finance and Grant Administration**

- (i) Oversee the staff in finance, administration, and procurement under grant community-based DRR in accordance with the financing agreements, ADB's Procurement Guidelines (2013, as amended from time to time), and government standard operating procedures and relevant systems and procedures required by the financiers, the NCDDS, and MEF.
- (ii) Provide training and refresher training to NCDDS finance and procurement staff working under the grant CBDR.

- (iii) Coordinate and ensure timely and accurate consolidation of AWPB of grant CBDR.
- (iv) Ensure that the financial managements systems and internal controls are in place and strictly enforced for transparency and accountability of use of public funds under the projects.
- (v) Address all financial management and procurement issues when they arise.
- (vi) Ensure timely transfer of funds to all project parties at the national and subnational levels for project implementation.
- (vii) Coordinate the management of cash flow of the project financing.
- (viii) Ensure that the NCDDS team can undertake the following detailed financial management tasks: (a) open and operate the NCDDS imprest account, following ADB-approved procedures; (b) disburse funds to relevant departments and agencies including the district councils and commune councils according to agreed actions; (iii) prepare in a timely manner the withdrawal applications and liquidation requests to ADB for reimbursement and liquidation.
- (ix) Ensure smooth harmonization between the monitoring and evaluation and financial systems.
- (x) Coordinate and oversee the work of the staff in order to deliver adequate and timely financial services, provide financial information, and prepare withdrawal applications.
- (xi) Supervise the functioning of the physical and financial reporting systems and procedures at the national and subnational levels.
- (xii) Ensure that the financial managements systems, fund flow procedures, and procedures for the use of advances to enable funds to flow as required.
- (xiii) Supervise timely accounts reconciliation at all levels and manage cash flow to facilitate smooth flow of funds to all concerned departments and agencies.
- (xiv) Regularly monitor the execution of the grant AWPB under the NCDDS supervision structure.
- (xv) Take the lead in project auditing and good financial management.
- (xvi) Ensure that auditors' recommendations are implemented once they have been endorsed by the NCDDS, NCDMS, and other project parties.

### **c. Procurement**

- (i) Ensure that the procurement processes and procedures are in place and strictly enforced in according with the procurement guidelines of the financier.
- (ii) Supervise the preparation of an annual updated procurement plan and regular progress reports against the procurement plan.
- (iii) Supervise major procurements by the NCDDS of goods and services.
- (iv) Ensure timely and effective implementation of the consolidated project procurement plan.
- (v) Supervise the preparation of procurement packages, documents, and processes at the national level following approved procurement guidelines.
- (vi) Supervise the preparation of official documents related to procurement.
- (vii) Monitor and follow up procurement implementation progress at national and subnational level.
- (viii) Provide instruction and capacity strengthening to project staff on procurement matters.
- (ix) Participate in monitoring and evaluation activities, handover of equipment and materials, and construction.
- (x) Supervise the staff to prepare and update the contracts register and inventory list.

- (xi) Coordinate with ADB and the MEF on procurement matters.
- (xii) Coordinate with the procurement officers at the national and subnational levels.

#### **d. Planning, Monitoring and Evaluation, and Reporting**

- (i) Oversee the implementation of the project's planning system and the consolidation of the AWPB from the departments and agencies, and ensure that the AWPB incorporate the lessons learned from past TA project experience of ADB and development partners as well as from this grant.
- (ii) Oversee the design, establishment, and implementation of the grant monitoring and evaluation system and the associated progress and other reporting to the NCDDDS, NCDMS, and ADB, and establish and maintain the project implementation database.
- (iii) Ensure that the grant implementation and management team can provide the administrative and secretarial support required by the joint steering committee.
- (iv) Ensure the implementation of the gender action plan and that sex-disaggregated data are collected and reported.
- (v) Coordinate with the MEF and NCDMS in all major operational matters related to the grant implementation.
- (vi) Develop and manage the capacity strengthening program for the relevant departments and agencies at national and subnational levels.
- (vii) Manage the communication network, including the website and use of print and broadcasting media, reporting of project progress, and publication of best practices.
- (viii) Report to the steering committee through the national project directors at the NCDDDS and NCDMS.

### **3. Community-Based Disaster Risk Reduction and Knowledge Products Coordinator (Coordination of Components C and D)**

11. The NCDDDS will have one senior and experienced staff member with a background in disaster management and DRR policy development and capacity strengthening, coordination of training programs, and knowledge product management. The coordinator will report to the project manager. The tasks in the terms of reference are as follows:

- (i) Liaise with the NCDMS in the development of the guidelines on the use of DRR funds for district and commune staff and members of target DCDMs and CCDMs, and make sure that women represent at least 30% of participants in the training courses.
- (ii) In liaison with the NCDMS and NCDDDS team, provide support to the priority districts (12 districts, 24 communes) in the establishment of DRR and CCA funds.
- (iii) Liaise with the NCDMS in the capacity strengthening and training activities in management of community-based DRR and CCA funds, and ensure the gender mainstreaming aspect is included in the trainings and materials.
- (iv) Coordinate with the NCDMS national DRR coordinator and the six project DRR coordinators in the execution of the district and commune DRR funds in the 12 priority districts and 24 priority communes.
- (v) Advise the project management team and the consultants on putting a system in place for timely project completion within the budget.
- (vi) Ensure that DRR activities with sex-disaggregated data are captured in national and subnational DMIS systems of the NCDM.

- (vii) Ensure that all related activities with sex-disaggregated data are documented under district and/or commune databases.
- (viii) Ensure best practices and innovative approaches, including some interventions which have supported women's resilience and empowerment, are documented and disseminated.
- (ix) Coordinate with the TA SCMD, other development partners, NGOs, and other ADB-financed projects related to disaster to ensure that all innovative approaches and best practices in disaster management are documented and disseminated (website, print materials, workshops).
- (x) Undertake other tasks assigned by the project manager.

#### **4. Contract Administration and Finance Officer**

12. The NCDDS will have one senior and experienced staff member with a background in project management and finance for overseeing the project's accounting at the NCDDS office. The officer will report to the project manager. In particular, the officer will perform the following tasks:

##### **a. Contract Administration Functions**

- (i) Draft and implement contracts in accordance with the approved formats.
- (ii) Following approval of the AWPB, perform the initial review of contracts and amendments prior to submission to the project manager for review and approval; manage all CBDR procurement activities and update and maintain the inventory of CBDR-financed property and equipment.
- (iii) Ensure regular monitoring and evaluation of the AWPB and prepare progress reports for submission to the project manager.
- (iv) Ensure transparent management of CBDR's inventory, personnel contracts, procurement, and bidding activities and file all data and contract documents between the NCDDS and implementing agencies.
- (v) Ensure a smooth flow of information within the CBDR and between the CBDR and TA SCMD and with other departments and agencies at the national and subnational levels regarding contract implementation.
- (vi) Ensure that employment contracts are prepared correctly between the CBDR and the respective staff, and the maintenance of files and records of staff, including leave, recruitment, staff selection, and performance appraisal.
- (vii) Ensure that the monitoring and evaluation of the AWPB within the CBDR is carried out in accordance with established guidelines and procedures and provide any support required.
- (viii) Review periodic monitoring reports and prepare quarterly and annual progress reports for submission to the project manager in accordance with reporting guidelines and procedures.

##### **b. Finance Functions**

- (i) Ensure that the financial management systems, fund flow procedures, and procedures for the use of advances enable funds to flow as and when required.
- (ii) Ensure that the NCDDS can undertake the following detailed financial management tasks: (a) open and operate the project's imprest account, following standard operating procedures and ADB's *Loan Disbursement Handbook*; (b) disburse funds to the district councils and commune councils in line with the financing agreement, the agreed actions, and the project AWPBs; (c) prepare in

a timely way the withdrawal applications for further process by the MEF, and their onward transmission to ADB for reimbursement; the withdrawal applications will be based on the financial statements and requests for reimbursement from the districts and the communes; and (d) review and consolidate the annual financial statements for onward transmission to the NCDMS.

- (iii) Maintain financial records and financial system of all operations under the NCDDDS responsibilities, which conform to the accounting standard and best practices of the financial management manual.
- (iv) Perform monthly reports and prepare cash and bank reconciliation reports for the project manager. Provide update of fund disbursement and of possible need for adjustment.
- (v) Prepare documentation for funds transfer from the NCDDDS project management team.
- (vi) Ensure sufficient and timely disbursements of cash to project activities as per request.
- (vii) Coordinate with all national staff and TA projects to ensure that procurements and payments have been properly approved and authorized.
- (viii) Coordinate with ADB to ensure that the flow of documents and reports disbursement are running smoothly.
- (ix) Ensure timely payment of bills with prior approval by the project manager.
- (x) Ensure that the same system of financial recording and reporting are in place at all levels and are in line with financier-approved systems and procedures. Visit the target project provinces, districts, and communes when necessary.
- (xi) Assist the project manager in performing control checks and audit of the operation.
- (xii) Ensure that all expenditures are properly recorded and that all expenditures are properly authorized on the appropriate vouchers and accompanied by appropriate original receipts. Report discrepancies to the project manager and make corrections as advised.
- (xiii) Review all records from provinces and submit to the project manager for final check before onward submission to the SCMD TA manager.
- (xiv) Undertake other tasks assigned by the project manager.

## **5. Planning, Monitoring and Evaluation, and Reporting Officer**

13. The NCDDDS will have one senior and experienced staff responsible for project planning, monitoring and evaluation, and reporting. He or she will report to the project manager. The tasks in the terms of reference are as follows:

- (i) Design and manage the project's planning, budgeting, and reporting functions in line with government procedures and the requirements of the ADB financing agreements.
- (ii) Within 6 months of effectiveness, design a monitoring and evaluation system for the NCDDDS (including suitable indicators for the base line, midterm, and project completion reviews), satisfactory to the cofinanciers. Prepare the terms of reference and draft contract documents.
- (iii) Prepare the AWPB based on the consolidated reports from the districts and communes for submission to the NCDMS for review and subsequent approval by 15 December of the previous year.
- (iv) Develop a work plan and schedule for monitoring and evaluation of specific implementation contracts in accordance with approved criteria.

- (v) Provide support and training to relevant staff of the implementing agencies and subnational implementing agencies to ensure that the design and implementation of project-financed implementation contracts address monitoring and evaluation concerns.
- (vi) Mainstream the monitoring and evaluation practices of the technical staff, particularly the qualitative aspects, e.g., impact assessment, comparison of farmers' practices and new technologies, and satisfaction of the services provided.
- (vii) Review periodic monitoring reports received from districts and communes and prepare specific progress reports for submission to the project manager in accordance with reporting guidelines and procedures.
- (viii) Review and consolidate the 6-monthly districts progress reports for incorporation into the NCDDS report to produce the NCDDS's 6-monthly progress reports by 31 July and annual progress reports by 31 January for the use of the NCDMS for further reporting.
- (ix) Provide training in planning and in budgeting and reporting systems and procedures to staff of the districts and communes.
- (x) Provide the project manager with regular status reports, including information on progress made, issues outstanding, and action recommended.
- (xi) Ensure the implementation of gender action plan and that sex-disaggregated data are collected and reported.
- (xii) Undertake other tasks assigned by the project director.

## OUTLINE TERMS OF REFERENCE FOR CONSULTANTS

### A. General

1. Cambodia experiences drought and flood incidents that impact a significant portion of its poor population<sup>1</sup> every year. In 2009, Typhoon Ketsana affected 11 of the 24 provinces and caused damage of \$39 million.<sup>2</sup> In 2011, Cambodia suffered extensive and prolonged rains (from August to October) which resulted in unprecedented floods in 18 of the 24 provinces. The floods had widespread impacts on public infrastructure and many communities, causing the death of 250 people and \$625 million in damages, and affecting more than 1.5 million people. In 2013, 20 provinces of Cambodia were again hit by a worse flood which caused the death of 168 people, with an initial estimated loss of about \$500 million in damages and affecting about 1.8 million people. As global climate conditions continue to change, Cambodia will experience increasingly unpredictable flood and drought occurrences that may overwhelm the country's limited capacity and resources.

2. The National Committee for Disaster Management (NCDM) was established in 1995 as the country's main disaster management agency to facilitate the interministerial responses to emergency and disaster events.<sup>3</sup> To address the existing issues and structural weaknesses of the country's disaster management capacity, two projects will be implemented: (i) the Strengthening Coordination for Management of Disasters technical assistance (TA) project to address disaster management issues at the national (policy) level, NCDM secretariat (NCDMS), and provincial level; and (ii) the Community-Based Disaster Risk Reduction grant project that will complement the planned institutional strengthening by institutionalizing community-based disaster risk reduction (DRR) and coordination through localized structures at the district and commune levels.

3. The consultant inputs will be utilized in coordination with proposed Strengthening Coordination for Management of Disasters TA project to strengthen the capacity of the government to implement the two projects in order to address the disaster management and coordination issues, including (i) developing capacities for policy formulation, (ii) enhancing mechanisms and capacities for disaster management coordination at all levels, (iii) enhancing the NCDMS's organizational management capacities to perform mandated functions, (iv) establishing a disaster management information system, and (v) strengthening the capacities of subnational disaster management committees. The TA will require an estimated 198 person-months of national consultant inputs, to be engaged through the individual consultant selection process in accordance with ADB's Guidelines on the Use of Consultants (2013, as amended from time to time).

### B. Detailed Terms of Reference

4. **Team leader and disaster risk reduction specialist** (12 person-months, full-time national consultant to be engaged in year 3 after the completion of the Strengthening Coordination for Management of Disasters TA project and to be based at the NCDM).

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<sup>1</sup> Around 80% of Cambodia's poor people live in rural areas and are dependent on small-scale agricultural production for livelihood.

<sup>2</sup> G. Lixin. 2010. *The World Bank: Ketsana Emergency Reconstruction and Rehabilitation Project to Kingdom of Cambodia*, Washington DC.

<sup>3</sup> Government of Cambodia. 1997. *National Policy for Emergency Management*. Phnom Penh.

5. The consultant will preferably have 7 years of experience in disaster management and DRR-related work with a master's or higher degree in climate change, environmental management, natural resource management, or a related discipline. The specialist will have experience as team leader and in assisting government institutions, preferably in Cambodia. The ability to work with governments (at the national and local levels), development partners, and civil society in building sustainable capacity to address disaster management and DRR and to report effectively in strategic consultations and in written reports is also required. Specific duties include the following:

- (i) Manage the consulting team and take overall responsibility for ensuring production and delivery of quality outputs (inception report, progress reports, and final report) of the two Asian Development Bank (ADB)-financed projects.
- (ii) Coordinate the team's technical outputs, including baseline identification, assessment of vulnerabilities and impacts, climate change scenarios, and the selection and monitoring of the effectiveness of adaptation and mitigation measures, including economic analysis.
- (iii) Undertake consultations with key stakeholders—including line ministries, the private sector, and vulnerable communities—to validate DRR actions (e.g., waste management, water conservation, flood control, DRR, biodiversity protection, and climate proofing of infrastructure).
- (iv) Prepare a knowledge collection and monitoring plan, including objectives, roles and responsibilities, and communication and dissemination plan.
- (v) Support the NCDM in developing and implementing a knowledge management and communication strategy for the NCDM and National Committee for Sub-National Democratic Development Secretariat (NCDDS).
- (vi) Participate in review missions to assess the performance of the projects.
- (vii) Ensure the implementation of the gender action plan and that gender performance indicators in the design and monitoring framework are achieved.
- (viii) Ensure effective implementation of selected DRR measures, with due consideration to environmental and social safeguards, national agency and subnational regulations, and other compliance requirements.
- (ix) Coordinate awareness raising and capacity strengthening activities, such as
  - (a) preparing DRR action plans and operational guidelines for integrating;
  - (b) mainstreaming DRR concerns into local development plans of the NCDM and NCDDS;
  - (c) coordinating with the consultants, the NCDM, and NCDDS to ensure smooth implantation of the grant project;
  - (d) developing training materials such as guidebooks on adaptation (e.g., mainstreaming DRR in the local planning process);
  - (e) contributing to the workshop and training to present and discuss mainstreaming DRR at national and subnational levels, together with the NCDM and NCDDS;
  - (f) implementing an awareness raising campaign on DRR, and organizing seminars and workshops; and
  - (g) disseminating the TA and the grant project findings and project achievements in various local, national, regional, and international forums on climate change and by using public meetings and focus group discussions with community leaders and the media.

6. **Administration, finance, and procurement specialist** (12 person-months, full-time national consultant to be engaged in year 3 after the completion of the Strengthening Coordination for Management of Disasters TA project and to be based at the NCDM).



7. The TA will have a national long-term consultant to work as an administration, financial and procurement specialist. The specialist will preferably have 5 years of experience in administration, finance, and procurement with a bachelor's or higher degree in business administration or a related discipline. Experience in working with ADB or World Bank-financed projects will be an advantage. The ability to work with governments (at the national and local levels) is also required. The specialist is to be based at the NCDM office in Phnom Penh. He or she will work with the NCDM assigned staff to report to the project director and project manager and will carry out the following tasks:

- (i) Establish and maintain a program filing system, including recording and managing all incoming and outgoing correspondence.
- (ii) Draft correspondence on administrative and program matters and review official correspondence, documents, and reports for project manager and other staff.
- (iii) Assist preparation of program events including workshops, meetings, and training courses, including preparation of background documents, and provide secretarial support to such events as required.
- (iv) Assist the NCDM in managing grant inventory, personnel contracts, and procurement and bidding activities.
- (v) Translate from English to Khmer and vice versa and ensure that all translated document are accurate and have consistent usage of the terminology both in Khmer and English.
- (vi) Ensure quality check and proofreading of translations, ensuring that no typographical errors are left in the final text.
- (vii) Ensure all cash and bank payments are operated in compliance with ADB and government procedures.
- (viii) Ensure all payments and related transactions are kept up to date on a computerized accounting system.
- (ix) Ensure the filing system for all vouchers and documents is maintained properly.
- (x) Manage receipts, expenditures, and cash according to the regulations of the government and donors.
- (xi) Follow up with donors to request funds for projects in time.
- (xii) Assist the program manager to ensure the government and external financing for the project will be used and accounted for in accordance with the government regulations and ADB financing agreements.
- (xiii) Assist the project director and the program manager to respond to the audit reports and associated management letters.
- (xiv) Assist the program director and the program manager on how to address any financial management and procurement issues.
- (xv) Manage project procurement by implementing all policies and procedures related to procurement activities and ensuring that ADB procurement guidelines are followed in all transactions.
- (xvi) Undertake project procurement activities, such as reviewing technical specifications for goods and works, and researching the market for procurement bid lists.
- (xvii) Update the procurement plan on a regular basis.
- (xviii) Participate in project technical committees or component team meetings in order to ensure timely implementation progress and a focus on procurement-related activities.
- (xix) Undertake other procurement-related duties as required by the Project Management Unit.
- (xx) Perform other duties as requested by ADB and the government.

- (xxi) Advise the project manager and the procurement staff on the project's procurement functions in line with the government's requirements and systems and ADB financing agreements to ensure that the procurement processes and procedures are adhered to.
- (xxii) Assist the project director and the project manager from the NCDM and NCDDS and their financial and administration staff to respond to the audit reports and associated management letters.
- (xxiii) Provide financial management and procurement support, contract management, technical back up, and on-the-job training to the staff of the NCDM, provincial committees for disaster management (PCDMs), district committees for disaster management (DCDMs), and commune committees for disaster management (CCDMs) in respect of the detailed financial management and procurement tasks.
- (xxiv) Provide the project director, the project manager, and the team leader with regular progress reports, including information on progress made, issues outstanding, and action recommended.
- (xxv) Coach and assist the project director and project manager and the NCDMS and NCDDS finance and procurement staff in preparation of disbursement and procurement documents.

8. **Disaster risk reduction project specialist** (30 person-months, full-time national consultant to be engaged over the 3 years and to be based at the NCDDS).

9. The consultant will preferably have 7 years of experience in disaster management and DRR-related work with a master's or higher degree in climate change, environmental management, natural resource management, or a related discipline. The specialist will have experience as a project management advisor relevant to decentralization and deconcentration and in assisting government institutions, preferably in Cambodia. The ability to work with governments (at the national and local levels), development partners, and civil society in building sustainable capacity to address disaster management and DRR and to report effectively in strategic consultations and in written reports is also required. Specific duties include the following:

- (i) Coordinate with the consulting team engaged under the Strengthening Coordination for Management of Disasters TA project and take overall responsibility for advising and assisting the NCDMS in the production and delivery of quality outputs (quarterly progress reports, and final report) of the ADB-financed community-based DRR project.
- (ii) Coordinate the consulting team engaged under the Strengthening Coordination for Management of Disasters TA project, including baseline identification, assessment of vulnerabilities and impacts, climate change scenarios, and the selection and monitoring of the effectiveness of adaptation and mitigation measures, including economic analysis.
- (iii) Participate in consultations with key stakeholders—including line ministries, the private sector, and vulnerable communities including women—to validate DRR actions (e.g., waste management, water conservation, flood control, DRR, biodiversity protection, and climate proofing of infrastructure).
- (iv) Prepare a knowledge collection and monitoring plan, including objectives, roles and responsibilities, and communication and dissemination plan.
- (v) Support the NCDDS in developing and implementing a knowledge management and communication strategy for the NCDDS.
- (vi) Participate in review missions to assess the performance of the projects.

- (vii) Ensure effective implementation of selected DRR measures, with due consideration to environmental and social safeguards, national agency and subnational regulations, and other compliance requirements. Categorize all subprojects in component C using ADB's categorization check list, ensuring that subprojects with impacts on environment, involuntary resettlement, and indigenous peoples are excluded. Provide all categorization check lists to ADB prior to civil works bidding.
- (viii) Ensure that best practices and innovative approaches, including interventions which have supported women's resilience and empowerment, are documented and disseminated.
- (ix) Coordinate awareness raising and capacity strengthening activities, such as
  - (a) preparing DRR action plans and operational guidelines for integrating;
  - (b) mainstreaming DRR concerns into local development plans of the NCDM and NCDDDS;
  - (c) coordinating with other consultants, the NCDMS, and NCDDDS to ensure smooth implantation of the grant project;
  - (d) developing training materials such as guidebooks on DRR and climate change adaptation (CCA) and ensuring gender issues are included;
  - (e) contributing to the workshop and training to present and discuss mainstreaming DRR at national and subnational level, together with the NCDMS and NCDDDS;
  - (f) implementing an awareness raising campaign on DRR, and organizing seminars and workshops; and
  - (g) disseminating TA and grant project findings and project achievements in various local, national, regional, and international forums on climate change and by using public meetings and focus group discussions with community leaders and the media.

10. **District and commune disaster risk reduction mainstreaming and capacity building advisors** (six positions with a total of 144 person-months of national consultants to be engaged over 3 years of the Strengthening Coordination for Management of Disasters) to be based in each priority province under the supervision of the NCDDDS.

11. In each province, the project will have a national long-term provincial disaster management and DRR advisor working within the Provincial Planning Division (under instruction of the NCDDDS) and a PCDM reporting to the chair of the NCDMS. The consultant will preferably have 5 years of experience in handling disaster management and DRR projects with a bachelor's or higher degree in business administration, rural development, or a related discipline. Experience in working with ADB or World Bank-financed projects will be an advantage. The ability to work with governments (at the national and local levels) is also required. The specialist is to be based at the NCDM office in Phnom Penh. He or she will work with the NCDM assigned staff to report to the TA director and manager and will carry out the following tasks:

- (i) Coordinate all project activities within the province and provide a general oversight of the activities of the various service providers implementing project-financed activities.
- (ii) Manage capacity development at district and commune levels, e.g., initial training of the DCDM and CCDM and project orientation training for the staff of the relevant provincial and district administrative units.
- (iii) Participate in activities related to policy and reform at subnational level supported by the project.

- (iv) Liaise with other projects and programs to ensure that all disaster management and DRR action at commune and district and province levels are complementary.
- (v) Participate in the technical meetings and policy guidance meetings.
- (vi) Provide the NCDDs with regular financial statements and reports and quarterly progress reports, based on the information provided by the DCDMs and CCDMs.
- (vii) Assist in implementation of the gender action plan and ensure that sex-disaggregated data are collected and reported.
- (viii) Undertake other tasks as required by the NCDMS.

**LIST OF PRIORITY DISTRICTS AND COMMUNES**

<b>Province</b>	<b>District</b>	<b>Commune</b>
1. Battambang	1. Thma Koul	1. Anlong Run
		2. Ta Pung
		3. Ta Meun
	2. Bavel	4. Bavel
		5. Prey Khpos
		6. Ampil Pram Daeum
	3. Sankhae	7. Kampong Preang
		8. Kampong Preah
		9. Ta Pon
2. Banteay Meanchey	4. Ou Chrov	10. Ou Bei Choan
		11. Changha
		12. Khuttasat
	5. Mongkol Borei	13. Rohat Tuek
		14. Ba Trang
		15. Koy Maeng
	6. Preah Netr Preah	16. Rohal
		17. Phnom Liep
		18. Prasat
3. Kampong Cham	7. Kaoh Soutin	37. Kampong Reab
		38. Kaoh Soutin
		39. PeaM Prathnuah
	8. Kampong Siem	40. Kaoh Tontuem
		41. Kaoh Roka
		42. Kien Chrey
	9. Kang Meas	43. Angkor Ban
		44. Sour Kong
		45. Khchau
4. Kampong Thom	10. Kampong Svay	28. Kampong Svay
		29. Kampong Kou
		30. Prey Kuy
	11. Prasat Sambour	31. Koul
		32. Chhuk
		33. Tang Krasau
	12. Sandan	34. Sandan
		35. Mean Chey
		36. Chheu Teal
5. Prey Veng	13. Peam Chor	46. Angkor Angk
		47. Kampong Prasat
		48. Kaoh Sampov
	14. Preash Sdach	49. Reathor
		50. Boeng Daol
		51. Preas Sdach
	15. Pea Reang	52. Prey Sralet
		53. Mesa Prachan
		54. Kanhcham
6. Siem Reap	16. Puok	19. Lvea
		20. Keo Poar
		21. Doun Keo
	17. Kralanh	22. Ta An
		23. Sranal
		24. Sambuor
	18. Chi Kraeng	25. Chi Kraeng
		26. Lveang Ruessei
		27. Spean Tnaot



# Grant Implementation Manual

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Project Number: 46009-002  
September 2014

## Proposed Grant Assistance Cambodia: Community-Based Disaster Risk Reduction (Financed by the Japan Fund for Poverty Reduction)

The Grant implementation manual is an active document, progressively updated and revised as necessary, particularly following any changes in Grant costs, scope, or implementation arrangements. This document, however, may not reflect the latest Grant changes. This manual shall be read along with the Grant Assistance Report and Letter of Agreement. In case of discrepancy, the Letter of Agreement shall prevail.

Asian Development Bank

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## APPENDIXES

1. Design and Monitoring Framework
2. Detailed Cost Estimates
3. Job Descriptions of Counterpart Staff
4. Terms of Reference for Consultants
5. Implementation Schedule
6. Procurement Plan
7. List of Priority Districts and Communes



## LIST OF ADDRESSES AND PERSONNEL CONCERNED

### A. ADB Cambodia Resident Mission

Division Director: Mr. Eric Sidgwick  
[esidgwick@adb.org](mailto:esidgwick@adb.org)

Project Implementation Officer: Mr. Chanthou Hem  
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### B. Executing Agency

The National Committee for  
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 Russey Keo, Phnom Penh  
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### C. Implementation Agency

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The National Committee for Sub-  
 National Democratic  
 Development Secretariat  
 (NCDDS)

H.E. Ngan Chamroeun, Deputy Executive Head of  
 NCDDS  
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 Chamkar Morn, Phnom Penh

**CURRENCY EQUIVALENTS**

(as of 19 August 2014)

Currency Unit - riel (KR)

KR1.00 = \$0.00024

\$1.00 = KR4,060

**ABBREVIATIONS**

ADB	–	Asian Development Bank
CCA	–	Climate Change Adaptation
DCDM	–	District Committee for Disaster Management
CCDM	–	Commune Committee for Disaster Management
DM	–	Disaster Management
DRR	–	Disaster Risk Reduction
NGO	–	nongovernment organization
GIM	–	Grant Implementation Manual
JFPR	–	Japan Fund for Poverty Reduction
JICA	–	Japan International Cooperation Agency
MEF	–	Ministry of Economy and Finance
NCDDS	–	National Committee for Sub-National Democratic Development Secretariat
NCDM	–	National Committee for Disaster Management
NCDMS	–	National Committee for Disaster Management Secretariat
NGO	–	nongovernment organization
PCDM	–	Provincial Committee for Disaster Management
SOE	–	statement of expenditure
UNDP	–	United Nations Development Programme

**NOTES**

- (i) The fiscal year of the Government of Cambodia ends on 31 December.
- (ii) In this report, "\$" refers to US dollars.

**GRANT PROCESSING HISTORY**

Grant Appraisal Mission	–	17-31 December 2013
Staff Review Committee Meeting	–	
Submission of Grant Proposal	–	
Government of Japan Approval	–	
ADB Board Circulation	–	September 2014
ADB Board Approval	–	
JFPR Letter of Agreement Signing	–	
Grant Effectiveness	–	
Grant Closing Date	–	31 October 2017

31 August 2017 is the closing date for withdrawals from the grant account. Goods must have been delivered and services rendered on or before this date to be eligible for payment by the ADB. No payments from the grant can be made after the grant closing date. The grant account may still be kept open up to three months beyond the closing date in order allow the executing agency time to collect and submit documentation and invoices pertaining to expenditure incurred before the closing date.

## I. GRANT DESCRIPTION

### A. Grant Area and Location

1. The grant will provide assistance related to disaster management and disaster risk reduction to priority districts and communes from 6 flood prone provinces namely Battambang, Banteay Meanchey, Kampong Cham, Kampong Thom, Prey Veng, and Siem Reap that were seriously affected during the 2011 and 2013 floods.

### B. Grant Objectives

2. The Development Objective of the proposed grant is to reduce the negative impact of floods and other disasters on the most vulnerable communities in Cambodia.

3. Key Performance Indicators are (i) a reduction in losses to life and livelihood by 15% from the 2013 baseline (5-year average from 2009 to 2013) in the number of households affected by and the economic losses from floods in the target areas by 2020 and (ii) by 2017, local government units (districts and communes) have improved their disaster management capacities and thereby mainstreamed Disaster Preparedness, Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA) into local development planning process. An overview of the project's expected impact, outcome, outputs, and activities is in Appendix 1.

### C. Grant Components

#### **Component A. Improved Institutional and Technical Capacity of Priority Districts on Disaster Management and Disaster Risk Reduction (DRR), and Climate Change Adaptation (CCA)**

4. This component will develop the institutional and technical capacity of 18 priority districts from the 6 flood-affected target provinces<sup>1</sup> on disaster risk reduction and management to effectively manage disaster events in their districts and to provide timely support to communes concerning disaster management issues. The 18 districts (three districts severely affected by the 2011 floods from each target province) will receive intensive capacity building activities and operational support. Other districts may be invited to attend the general training on DRR.

5. Key activities include: (i) review of the District Committees for Disaster Management (DCDM) structures, training needs assessment and provision of necessary training and facilities to enable improved performance of disaster management functions; (ii) in partnership with the NCDM on the relevant policy frameworks for disaster management at the district level, prepare guidelines on integration of disaster preparedness, risk reduction and climate change adaptation into the local planning process at the district level and train district staff including women on these guidelines; and (iii) organize DRR awareness raising events and DRR gender inclusive multi-stakeholder workshops.

6. Deliverables are (i) District Committees for Disaster Management (DCDM) effectively performs devolved DM functions by 2017 and (ii) Disaster preparedness, risk reduction and climate change adaptation integrated in district development/ investment plans by 2017; (iii) At least 200 sub-national government staff, including 90 women, trained on up-coming policies and regulations supporting DRR/CCA at district and commune levels by 2017.

#### **Component B: Enhanced Capacity of Priority Communes on Disaster Management and Disaster Risk Reduction and Climate Change Adaptation.**

This component will improve capacity for disaster management at the commune level through

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<sup>1</sup> As covered by the FDERP approved by the Board in March 2012.

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the provision of technical and operational support to the members of the Commune Council<sup>2</sup>, especially the Commune Committee for Disaster Management (CCDM).

Fifty four (54) communes (three communes severely affected by 2011 and 2013 floods from each of 18 target districts) will be provided intensive capacity building and operational support. Other communes may be invited to attend general training on DRR and CCA. The list of priority districts and communes is provided in Appendix 7. By focusing interventions on the commune authorities, the project will encourage awareness and good practices in risk reduction and climate resilience in the local development planning process. Sustainability will be ensured through capacity building and financial resource allocation for the implementation of planned preparedness and risk reduction activities at the community level. Communes will also benefit from the improved capacity of DCDMs and PCDMs through Component 1 of this project and through parallel TA activities<sup>3</sup>.

7. To complete the different DRR roles and functions of the CCDMs and to ensure efficient implementation of planned DRR and response activities, Commune Councils will be trained on basic CBDRR, how to conduct Hazard, Vulnerability and Capacity Assessment, establishment of early warning systems, evacuation and camp management, basic sanitation and health, awareness raising and behavior change communication, plan and budget preparation, emergency response, damage needs assessment and other areas which may be useful for reducing disaster impacts on livelihoods, such as the climate change-agriculture and DRR interface. Communes will also be trained and equipped to manage the disaster related information generated from early warning systems, damage needs assessments and regular updating of constituent/beneficiary lists.

8. Key activities under this component include: (i) review of the CCDM structures, assess their training needs and provide them with necessary trainings and facilities to perform their Disaster Management functions; (ii) in partnership with the PCDMs on the relevant policy frameworks for DM at the commune level, prepare guidelines on integration of disaster preparedness, risk reduction and CCA into the commune development planning process and train members of CCDMs; and (iii) organize simulation exercises and DRR awareness raising events with NGOs and community participation and (iv) establish data collection and management mechanisms to inform all disaster related interventions.

9. Deliverables: (i) CCDMs performs effectively devolved DM functions by May 2017; (ii) Disaster preparedness, DRR and CCA integrated in commune development/ investment plans by 2016; (iii) At least 150 CCDM members, including 60 women, trained on up-coming policies and regulations supporting DRR/CCA at commune level by 2016.

### **Component C. Community-Based Disaster Risk Reduction and Climate Change Adaptation Actions Implemented**

10. This component will develop models that enable district administrations/councils and commune councils to perform disaster management and coordination functions and investments within the decentralized system.

11. DCDMs and CCDMs will be able to demonstrate their knowledge gained from Components 1 and 2 by managing and implementing community based DRR and CCA infrastructure projects not only to benefit the targeted community members but also for demonstration purposes to other districts and communes. In each of the 6 target provinces, 3 worst affected districts by the 2011 and 2013 floods will be targeted for interventions. In each of the 18 target districts, 3 worst affected communes will be targeted for interventions. Therefore there will be 18 target districts and 54 target communes. List of priority districts and communes is provided in Appendix 7.

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<sup>2</sup> Commune Councils are elected through a system of proportional representation and serve five-year term.

<sup>3</sup> Approved TA on Strengthening Coordination for Management of Disasters

However, DRR funds will be provided to only 12 districts (two per each province) and 24 communes (out of 54, 2 in each DRR target districts) in the form of block grants. The number of districts and communes to be targeted for the general intervention (18 districts; 54 communes) and for community based DRR and CCA activities (12 districts; 24 communes) will allow the project to conduct a proper comparative evaluation of the benefits of project support to between the non-target district/ communes, with target districts/communes and within target districts/communes. Anticorruption measure in the block grant schemes is detailed in Section D.2. These DRR funds can be used for new DRR projects or to top up any on-going community projects with potential for additional DRR and CCA benefits.

12. Subproject selection criteria will be developed and the subproject selection criteria will ensure that subprojects with significant or potential adverse environment impacts, land acquisition and involuntary resettlement impacts, and impacts on indigenous people will be excluded. Activities to be implemented at the village level will include but will not be limited to; small scale mitigation infrastructure, climate/disaster adaptive livelihood activities, community early warning systems, establishing safe evacuation routes and areas, community education campaigns, formation of village disaster teams and simulation exercises. These activities will ensure that communities are able to take the necessary actions to prepare and respond to future disaster emergencies. The poorest households will be encouraged to participate in the implementation of any labor intensive interventions and in return receive additional incomes. Subproject selection criteria will be developed, and will exclude subprojects with land acquisition and involuntary resettlement impacts. The guidelines, modalities and processes used in this component will be documented (see Component 4) to assist the Government on how to scale up successful models.

13. Major activities for this component are: (i) completion Village Hazard and Vulnerability Capacity Assessments for each village, using standardized tools developed at the national level (ii) with the community participation, identify DRR and CCA projects, conduct feasibility studies, prepare project designs, organize project management committees, and organize the bidding and monitoring and implementing of the DRR and CCA projects. (iii) Implement risk reduction, preparedness and livelihood adaptation activities.

14. Prior to procurement, subprojects will be categorized for environment, involuntary resettlement, and indigenous peoples by NCDMS and NCDMS using ADB's categorization checklists to ensure that subprojects are Category C (see para 15).

15. The Project is categorized as C for environment, involuntary resettlement and indigenous peoples. Components A and B involve only capacity building and training while Component D will improve project management. Components A, B, and D will have no environmental impacts, involuntary resettlement or indigenous peoples impacts. Only Component C includes small civil works. For Component C, a subproject selection criteria will be developed and the subproject selection criteria will ensure that subprojects with significant or potential adverse environment impacts, land acquisition and involuntary resettlement impacts<sup>4</sup> and impacts on indigenous people<sup>5</sup> will be excluded.

16. Deliverables: (i) Guidelines on the use of DRR and CCA funds for the district and commune developed and district and commune staff, members of target DCDMs and CCDMs, among whom at least 30% are women, received training on the use of these guidelines by June 2015; and (ii) Established mechanisms for DRR and CCA funds in 12 districts, 24 communes.

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<sup>4</sup> Subprojects which result in involuntary restrictions on land use or access to legally designated parks and protected areas will also be rejected.

<sup>5</sup> Subprojects will be rejected if it has impacts on (i) commercial development of cultural resources or knowledge of IPs, (ii) physical displacement from traditional or customary lands, (iii) commercial development of natural resources; (iv) establishing legal recognition of rights to lands and territories, or (v) acquisition of land traditionally owned, customarily used, occupied, or claimed by IPs.

4

At least 36 community risk reduction/climate resilient infrastructures rehabilitated and/or constructed by 2016.

**Component D. Effective Project Management and dissemination of best practices and innovative approaches**

17. This component will ensure that the project is completed within the budget in a timely manner, and that best practices and innovative approaches are documented for replication to other districts and communes in Cambodia. Key activities under this component involve: (i) review available information and identify most appropriate venues for documentation and dissemination, (ii) organize public awareness and dissemination events (iii) collect and share traditional and/or indigenous DRR practices; (iv) monitor and report against progress of national CBDRR priorities.

18. Deliverables: (i) Timely project completion within the budget DRR activities with sex-disaggregated data are captured in national and sub-national Disaster management Information Systems (DMIS) system of the NCDMS by 2015. (ii) All related activities with sex-disaggregated data documented under District Commune Database and (iii) Best practices and innovative approaches including some interventions which have supported women's resilience and empowerment, are documented and disseminated by 2017.

## II. COSTS and FINANCING

### A. Cost Estimates

19. The total cost of the project is estimated at \$2,941,000 equivalent including contingencies, of which \$2,500,000 will be financed on a grant basis from the Japan Fund for Poverty Reduction (JFPR). The remaining \$441,000 equivalent will be provided by the Government of Cambodia of which (i) \$147,000 will be in-cash contribution in the form of staff allowance/salary supplement for counterpart staff to be paid directly to the EA and IA and (ii) \$294,000 will be in-kind contribution including office space, and office utilities to the consultants during project implementation period.

20. Summary and detailed cost estimates are shown in Appendix 2 and funds flow arrangements are in Appendix 3.

### B. Financing Plan

**Table 2. Financing Plan – Improving Market Access for the Poor in Central Cambodia**

Funding Source	Amount (\$)
JFPR	2,500,000
Government (of Cambodia) <sup>a</sup>	441,000
Other Sources	
<b>Total</b>	<b>2,941,000<sup>b</sup></b>

<sup>a</sup> The Government will provide (i) \$147,000 in-cash contribution in the form of staff allowance/salary supplement for counterpart staff and (ii) \$294,000 in-kind contribution including office space, and office utilities to the consultants during project implementation period.

<sup>b</sup> The total financing amount is inclusive of taxes and duties of 0.17 million to be financed by ADB. The taxes and duties (i) are within the reasonable threshold and do not represent an excessive share of the project cost.

### C. Allocation of Grant Proceeds (to be financed by JFPR)

**Table 3. Allocation of grant proceeds by expenditure category**

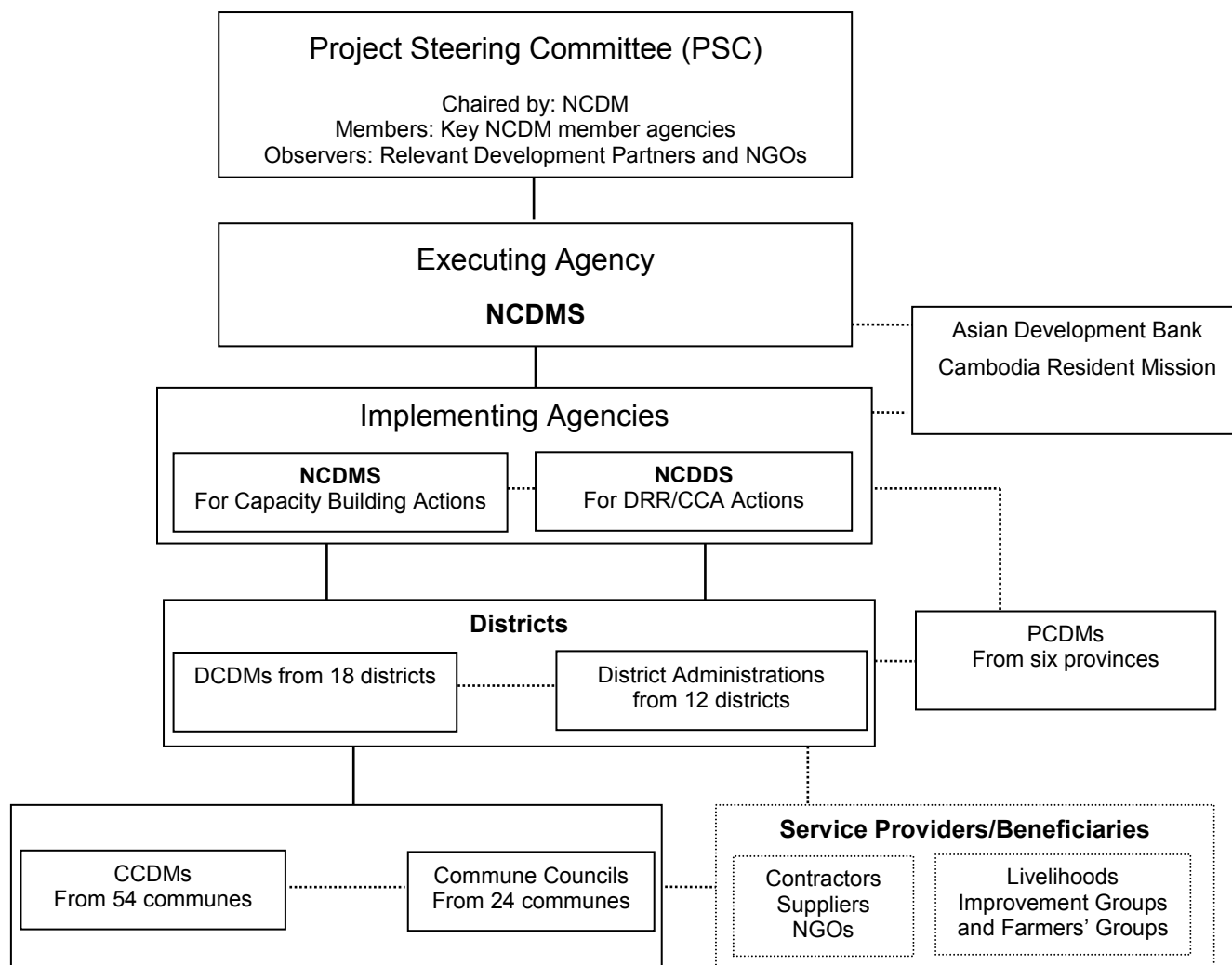
Category	Amount of Grant Allocated in \$	Percentage of Expenditures
1. Block Grants (Community-Based Disaster Risk Reduction funds for infrastructure rehabilitation or construction)	882,700	35.3
2. Equipment and Supplies	225,840	9.0
3. Training, Workshops, Seminars, and Public Campaigns	276,300	11.1
4. Consulting Services	478,390	19.1
5. Grant Management	342,770	13.7
6. Surveys, Monitoring, and Auditing	147,000	5.9
7. Contingencies	147,000	5.9
<b>Subtotal JFPR Grant Financed</b>	<b>2,500,000</b>	<b>100.0</b>
<b>Government of Cambodia</b>	<b>441,000</b>	
<b>Total Estimated Costs</b>	<b>2,941,000</b>	
<b>Incremental Costs</b>	<b>62,500</b>	

### III. IMPLEMENTATION ARRANGEMENTS

#### A. Executing Agency.

21. The project's executing agency is the National Committee for Disaster Management Secretariat (NCDMS) where the project coordination team will be based. The government counterpart staff requirement and their Terms of References are provided in Appendix 4

#### B. Grant Organization and Management



#### Notes:

- : Command line
- .- : Coordination line

CCA = climate change adaptation, CCDM = commune committee for disaster management, DCDM = district committee for disaster management, DRR = disaster risk reduction, NCDM = National Committee for Disaster Management, NCDMS = National Committee for Disaster Management Secretariat, NGO = nongovernment organization, PCDM = provincial committee for disaster management.

Source: Asian Development Bank

22. A Project Steering Committee comprising senior representatives of Ministry of Interior, Ministry of Planning, Ministry of Economy and Finance (MEF), Ministry of Environment; Ministry of Water Resources and Meteorology; and the National Committee for Sub-National Democratic Development Secretariat (NCDDS) will be established within 3 months after the Project



becomes effective. NCDM will chair the steering committee meetings on a quarterly basis to resolve policy issues and provide project direction. Representatives from Development Partners and NGO DRR networks will participate as observers. This Project Steering Committee will also be used for the proposed TA Strengthening Coordination for Management of Disasters to ensure a good collaboration and coordination between the two projects.

23. The NCDMS will be the Executing Agency (EA) and implementing agency for components A, B and D of this project while NCDDS will be the implementing agency for components C for this project. NCDMS and NCDDS will cooperate closely to ensure the smooth integration of all DRR activities into the decentralized management process. NCDMS and the NCDDS are responsible for recruiting their qualified staff, with women staff being specifically encouraged, for the positions and tasks as specified in the terms of references provided in Appendix 4. The clear distribution of work and separate fund between the two agencies will minimize the risks of delay in implementation that maybe resulted from coordination issue.

24. The NCDMS will work with the Ministry of Economy and Finance (MEF) to ensure that counterpart funds will be released in a timely manner and with the Ministry of Planning to ensure that the planning and reporting process developed and supported by the proposed grant at the national and subnational level is consistent with the government procedures.

25. To assist the NCDMS and NCDDS in implementing the Project activities, in addition to the TA inputs provided under the TA Strengthening Coordination for Management of Disasters, the Project will require an estimated 198 person-months of national consultant inputs, to be engaged through individual consultant section (ICS) process by the NCDMS and NCDDS in accordance with ADB's Guidelines on the Use of Consultants (2013, as amended from time to time). The detailed TORs of the consultants are given in Appendix 5. Advanced actions will be used for the recruitment of the consultants.

#### **IV. IMPLEMENTATION SCHEDULE**

26. The project will be implemented over a three-year period, beginning in quarter 3 of 2014 and will be completed in quarter 3, 2017. The implementation schedule is in Appendix 6.

#### **V. PROCUREMENT**

27. All project procurement to be financed by the JFPR grant will be conducted in accordance with ADB's *Procurement Guidelines* (2013 as amended from time to time) and government standard operating procedures developed for externally funded projects. In case of any inconsistency between ADB's guidelines and government procedures, ADB's guidelines shall prevail. The indicative procurement plan is in Appendix 7.

##### **A. Goods and Civil Works**

28. Goods and civil works costing less than \$50,000 shall be procured using shopping procedures. There will be no procurement of works through neither the national competitive bidding (NCB) procedures nor international competitive bidding envisaged under the project since the amount will be below \$50,000.

29. For procurement activities at the commune level, ADB shall conduct prior review to the first set of bidding and bid evaluation report from each province. Upon ADB's no objection to the first set of bidding document, all other communes from that province will be allowed to carry out the bidding process and post checks will be conducted by ADB to all the bidding documents.

30. Similarly, the block grant system will be established at the district level. NCDDS will ensure that all required project administration manual and technical guidelines are prepared and

adequate trainings will be provided to the district councils in order enable them to perform project management functions effectively.

## B. Consulting Services

31. Individual consultants (table 4) will be recruited by the executing agency and the implementing agencies in accordance with ADB's *Guidelines on the Use of Consultants* (2013 as amended from time to time) to assist the project coordination team and project implementation team with project planning, management, construction design, and supervision and implementation of the grant activities. Individual consultants will work closely with counterpart staff to enhance on-the-job training and capacity building. Consulting firms will be recruited by the executing agency following consultants' qualifications selection method: (i) one firm to provide ICT training to the 18 DCDMs and 54 CCDMs; (ii) one firm to conduct the baseline survey; (iii) one firm to conduct the end-line survey; and (iv) an audit firm

**Table 4: Consulting services estimates and outline terms of reference for consultants**

Component	Expertise	Consultant	Person-months
Component A, B, D	a. National Team Leader and Disaster Risk Reduction Specialist	1	12
	b. National Administration, Finance and Procurement Specialist	1	12
Component C.	a. National Disaster Risk Reduction Project Specialist	1	30
	b. National District and Commune DRR Mainstreaming and Capacity Building Advisors	6	144

## VI. FINANCIAL MANAGEMENT

32. The standard operational procedures; financial management and procurement manuals (SOP/FMM/PM) for externally financed projects/program adopted by the Government under Sub Degree 14 of 2007 had been further developed adopted through the Sub Degree 74 of May 2012. These manuals set out a harmonized framework for the operation of overseas development aid particularly for WB & ADB financed projects in Cambodia. A supplemental manual will be developed, based on this harmonized framework, to meet the specific needs of the Project

33. The Financial Management Assessment (FMA) carried for the Ketsana Emergency Reconstruction and Rehabilitation Project (KERRP) in 2010 considered that the KERRP was implemented in a high risk environment. NCDMS was engaged as one of the IAs for KERRP. A number of key risks were identified for KERRP: (i) Lack of a comprehensive budget formulation and less than satisfactory execution, (ii) The project management may lack sufficient financial management capacity to perform the necessary FM functions; and (iii) Funds may not be used in an efficient and economical way and exclusively for purposes intended due to the emergency nature of the activities to be implemented. A number of risk mitigation measures were proposed: (i) Budgets will be prepared annually and reviewed bi-annually. Financial budgets will be linked to physical outputs through the annual operating plan. The interim financial reports (IFRs) will be used to monitor the reasons for actual versus budget variances; (ii) a finance officer with experience of externally funded projects will be appointed by the government for the project and an FM consultant will be hired to provide support to the Government appointed finance officer and overall financial management functions of the project; and (iii) an independent audit of the project's transactions will be carried out on an annual basis with a requirement for an interim

audit being built into the Terms of References. Based on the findings of FMA the proposed grant has been designed with risk mitigation measures. NCDMS is proposed as implementing agency for component A, B and D mostly related to capacity building and knowledge products management, part of their mandated functions that have been carried on for many years and the component C, the major component of the project which will involve community-based disaster risk reduction action will be implemented by the experienced and capable partner NCDMS. In addition, the NCDMS has agreed to mobilize the team that has been implementing the KERRP to implement this project. The NCDMS will nominate the counterpart financial officer who has experience in managing financial transaction of the project. NCDMS financial management capacity will be strengthened under the TA Strengthening Coordination for Management of Disasters. The financial management assessment has been conducted and as per the FMA questionnaires proved that NCDMS has proper internal control system and accounting system are in place. The government has agreed to set aside an amount of \$147,000 (in cash) to pay salary supplements to the government counterpart staff to motivate their active participation in the project.

34. The assessment of the NCDDDS was undertaken to evaluate its capacity to manage decentralized reforms. The report concluded that internal control is being established and operationalized in the secretariat, and that accounting and external audit functions are well established, and, with procurement, operate to a satisfactory degree<sup>6</sup> NCDDDS have demonstrated capacity for implementation of ADB projects implemented block grant procedures such as Loan 1953-CAM: Commune Council Development Project, Loan 2287-CAM: Decentralized Public Service and Financial Management Sector Development Program, Loan 2599/Grant 0186-CAM: Tonle Sap Poverty Reduction & Smallholders Development.

35. On a number of ADB funded projects in Cambodia, funding has been provided to the Communes/Sangkats<sup>7</sup> in the form of Block Grants. These grants have been entirely managed by the Commune Councils, the lowest elected administrative body of the government of Cambodia, to support community-based rural infrastructure sub-projects which identified by commune residents during their annual planning cycle and included in the Commune Investment Plan (CIP). Each Commune Council is required to open a bank account at a local commercial bank, with two signatories, and into this account the Block Grant funds are transferred directly from NCDDDS based on a memorandum of understanding between NCDDDS and CCs highlighting the subprojects to be supported and roles and responsibilities involved. This direct transfer of the funds from national level to the commune bank account is an important anti-corruption feature of the procedure since it avoids the time consuming process of fund transfers through the national treasury (provincial/district administrative financial) systems and also safeguards against the possibility of misdirection or misuse of the funds before their transfer to the commune accounts. The Block Grant mechanism also enables the regular replenishment of the commune account as needed based upon the submission of requests from the Commune Council with their projected cash flow requirements based upon their contract awards.

36. The NCDDDS have developed a comprehensive set of financial management procedures that have to be strictly followed by the Commune Councils for the use of the Block Grants funds. These are described in the Project Implementation Manual (PIM) which has been developed and refined over many years by NCDDDS. The PIM has been developed primarily to support infrastructure sub-projects but a number of Projects have adapted this procedure to cater for

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<sup>6</sup> ADB. 2012.Cambodia.Loan2886/2887: Decentralized Public Service and Financial Management Sector Development Program

<sup>7</sup> Commune and Sangkat have the same administrative functions. The Province is divided into Municipalities and Districts. The Municipality is divided into Sangkats. The District is divided into Communes and Sangkats

livelihood related sub-projects. The Commune Councils, which have benefitted from the Project Block Grant funding, have received substantial training in the PIM procedures and are required to comply with a set of strict financial reporting requirements involving close monitoring of the utilization of the Block Grants at provincial level through the Planning and Investment Division. Commune Councils have also been trained in formal bidding procedures compliance with application of transparent procedures. The requirement for advertising of the bidding opportunities at the commune level has allowed for competition for winning the bids and reduced the risk of collusion between bidders.

37. The latest financial management procedure for the Commune Block Grants similarly to the proposed disaster risk reduction fund (commune block grants) can be referred to the Guidelines for Utilization of the Commune Development Fund (CDF) for the Livelihood Improvement activities developed by NCDD under the ADB financed Tonle Sap Poverty Reduction and Smallholder Development Project (TSSD) which aim to provide instructions to all target Commune Councils/*Sangkats* (C/S) under TSSD and stakeholders for the preparation, implementation and management of the livelihood improvement activities using the CDF to follow the decentralization policy, transparency, accountability and people participation without discrimination.

38. Community members are engaged in the project identification, implementation and monitoring of subprojects. During project preparation their representatives were required to join in the project management committee to ensure that the subprojects progress as planned and the quality assets will be produced and accordingly the progress payments can be made to the contractors. Project beneficiaries and other community members can report any irregularities occurred in the block grants to the commune councils and districts councils. They can also report directly to the EA and IA at the national level and also ADB.

39. For procurement activities at the commune level, ADB shall conduct prior review to the first set of bidding and bid evaluation report from each province. Upon ADB's no objection to the first set of bidding document, all other communes from that province will be allowed to carry out the bidding process and post checks will be conducted by ADB to all the bidding documents. ADB normally conducts two review missions per year into the projects and commune subprojects are randomly checked to ensure that project budget are properly managed. Annual audit is also extended to the commune level.

40. There is clear evidence from the Projects that have supported the Block Grant approach that the Communes/*Sangkats* that have been provided with this type of funding have achieved a substantial improvement in management capacity and in their ability to responsibly manage the financial resources which have been at their disposal. This has involved the management of funds that have been several orders of magnitude greater than the funds which they receive on an annual basis through the normal government Commune/*Sangkat* funding procedure.

41. Similarly, the block grant system will be established at the district level. NCDD will ensure that all required project implementation manual and technical guidelines, including the Guidelines for Utilization of the District Block Grant are prepared to be reviewed and endorsed by ADB and adequate trainings will be provided to the district councils in order enable them to perform project management functions effectively. No fund disbursement for the district block grants will be made before the existence of the ADB endorsed Guidelines for Utilization of the District Block Grant and adequate trainings are provided to the district councils. The success of district block grant system introduced under this project will help the government of Cambodia to scale up as a national strategy in delivery of budgets to the district councils.

## VII. DISBURSEMENT PROCEDURES

### A. Imprest Account

42. The JFPR grant funds will be disbursed in accordance with ADB's Loan Disbursement Handbook (2012, as amended from time to time) Two JFPR imprest accounts (Account A and Account B), will be opened and maintained by the NCDMS and the NCDDS, at a bank endorsed by the Ministry of Economy and Finance (MEF), to facilitate day-to-day expenditures. imprest Account A will be managed by NCDMS for the funds under component A, B and D while imprest Account B will be managed by NCDDS for the funds under component C. The ceiling of imprest Account A will be \$100,000, and the ceiling for imprest Account B will be \$140,000. The currency of the imprest accounts will be US\$.

43. The NCDMS and the MEF will be kept informed by the NCDDS about all transactions, and receive copies of all financial statements and audit reports. The initial imprest account will be based on the first six-month activity plan and related budget, and afterwards based on the approved annual work plan and budget. The imprest accounts are to be used exclusively for ADB's share of eligible expenditures. NCDMS and NCDDS establish each imprest account is accountable and responsible for proper use of advances to the imprest account.

44. NCDMS and NCDDS may request for initial and additional advance to the imprest account based on an Estimate of Expenditure Sheet setting out the estimated expenditure to be financed through the account for the forthcoming six (6) months. Supporting documents should be submitted to ADB or retained by NCDMS and NCDDS in accordance with ADB's Loan Disbursement Handbook when liquidating or replenishing the imprest account.

45. The SOE procedure may be used for reimbursement of eligible expenditures or liquidation of advance to the imprest accounts. The ceiling of the SOE procedure is the equivalent of \$10,000 per individual payment. Supporting documents and records for the expenditures claimed under the SOE should be maintained and made readily available for review by ADB's disbursement and review missions, upon ADB's request for submission of supporting documents on a sampling basis, and for independent audit. Reimbursement and liquidation of individual payments in excess of the SOE ceiling should be supported by full documentation when submitting the withdrawal application to ADB.

### B. Block Grant

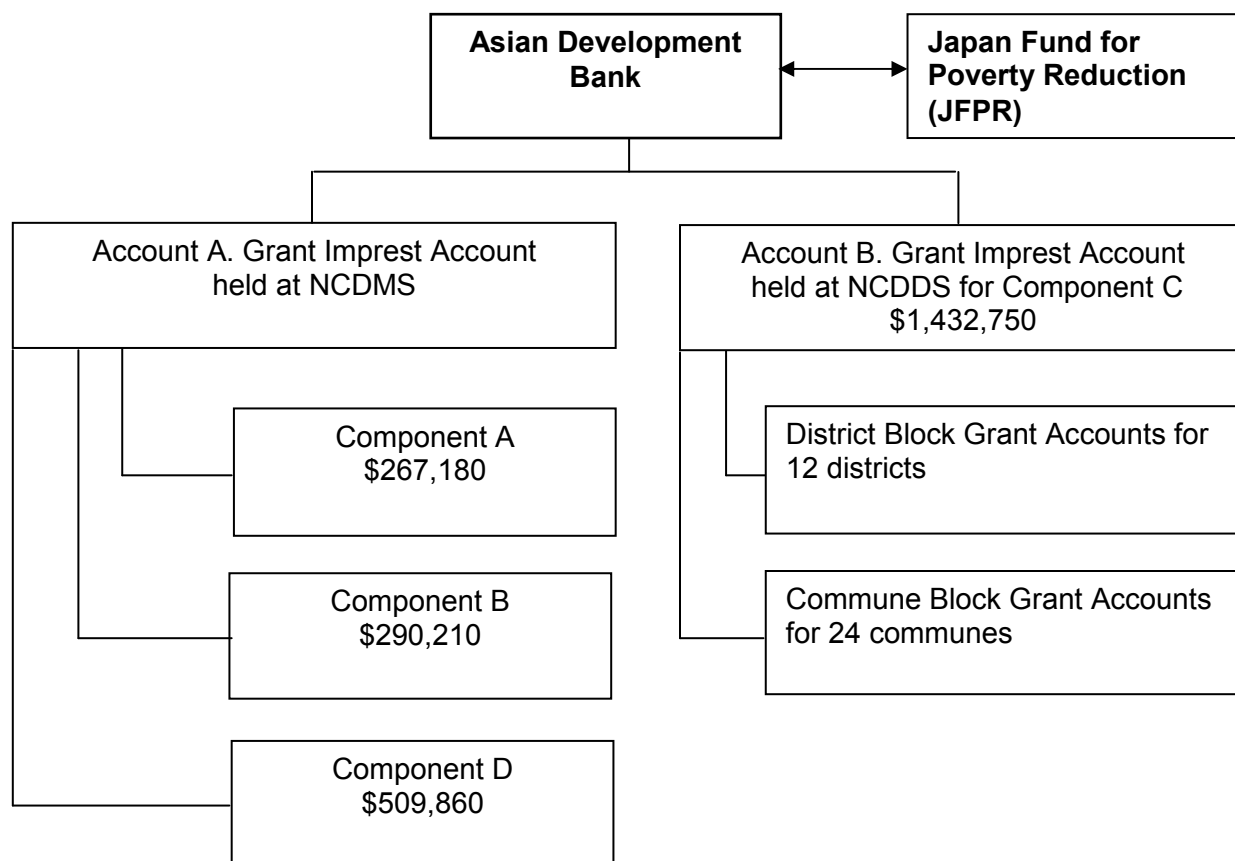
46. Under the Component C, 12 districts and 24 communes will receive the funding from the Project in the form of block grants. These priority districts and communes will open bank accounts at a commercial bank endorsed by MEF acceptable to ADB to manage the community-based DRR and CCA activities in their areas. The NCDDS will develop a comprehensive district block grant administration manual to be reviewed and endorsed by ADB before allowing the district councils to use it.

47. Procurement, disbursement and accounting of the commune block grants will follow the Decision No. 001 SSR/NCDD on Promulgating of the Second Revision of the C/S Fund Project Implementation Manual by NCDD dated 14 January 2009, Sub-Decree No. 16 dated 25 February 2002 on the Establishment of the C/S Fund, Sub-Decree No. 26 dated 02 April 2002 on the C/S Financial Management System, and Guideline No. 881 MEF dated 29 April 2005 on the C/S procurement tasks, Prakas #329 dated 25 April 2002 on C/S financial forms and chart of budget account, Prakas #938 dated 31 December 2002 on C/S accounting and payment system. These procedures have agreed by the World Bank and ADB to channel funds to commune councils for many years in the form of block grants. In the case that the above procedures cannot cover full requirement to implement the commune block grant, the NCDD will adjust the Commune Development Fund (CDF) Guidelines developed by Tonle Sap Poverty

Reduction and Smallholder Development Project (TSSD) or to use NCDDS's Finance and Administration Manual during the interim.

48. The target CCs will be responsible and accountable to their constituencies in the efficient and effective utilization of the commune block grants in order to achieve the Project objective and impact. All expenditures from the commune block grants are subject to independent audits by the auditor appointed by MEF acceptable to ADB.

49. The schematic fund flow for the JFPR Project is shown in Figure 1.



NCDDS = National Committee for Sub-National Democratic Development Secretariat NCDDS, NCDMS = National Committee for Disaster Management Secretariat

Source: Asian Development Bank.

### C. Statement of Expenditure (SOE)

50. The statement of expenditure procedures will be used for reimbursement of eligible expenditures for the JFPR Project and to liquidate advances provided into the imprest account, in accordance with ADB's *Loan Disbursement Handbook* dated July 2012, as amended from time to time. Any individual payment to be reimbursed or liquidated under the SOE procedure shall not exceed \$10,000, and for payment and transactions in excess of \$10,000 equivalent, supporting documents should be submitted.

51. Disbursement procedures including instructions on establishment and operation of the imprest account, SOE procedures, preparing withdrawal applications and financial reporting, and sample forms are available from ADB website via <https://fms.adb.org/gfis/download.jsp>.

## VIII. REPORTING REQUIREMENTS

### A. Quarterly Progress Reports

52. The NCDMS will consolidate all project activity reports prepared by the NCDMS project team, the NCDDS project team, consultants, and contractors into quarterly reports containing gender-disaggregated data. Quarterly reports will be endorsed by the NCDMS project director and submitted to ADB no more than 30 days after the end of each project quarter. Quarterly reports will be in English

### B. Accounting, Auditing and Public Disclosure

53. The NCDMS will maintain, or cause to be maintained, separate books and records by funding source for all expenditures incurred on the project. The NCDMS will prepare consolidated project financial statements in accordance with the government's accounting laws and regulations which are consistent with international accounting principles and practices.

54. The NCDMS will cause the detailed consolidated project financial statements to be audited in accordance with International Standards on Auditing and with the Government's audit regulations, by an independent auditor acceptable to ADB. The audited project financial statements will be submitted in the English language to ADB within six months of the end of the fiscal year by the NCDMS.

55. The NCDMS will also cause the entity-level financial statements to be audited in accordance with International Standards on Auditing and with the Government's audit regulations, by an independent auditor acceptable to ADB. The audited entity-level financial statements, together with the auditors' report and management letter, will be submitted in the English language to ADB within one month after their approval by the competent authority.

56. The annual audit report for the project accounts will include an audit management letter and audit opinions which cover (i) whether the project financial statements present a true and fair view or are presented fairly, in all material respects, in accordance with the applicable financial reporting framework; (ii) whether loan and grant proceeds were used only for the purposes of the project or not; (iii) the level of compliance for each financial covenant contained in the legal agreements for the project; (iv) use of the imprest fund procedure; and (v) the use of the statement of expenditure procedure certifying to the eligibility of those expenditures claimed under SOE procedures, and proper use of the SOE and imprest procedures in accordance with ADB's Loan Disbursement Handbook and the project documents. Compliance with financial reporting and auditing requirements will be monitored by review missions and during normal program supervision, and followed up regularly with all concerned, including the external auditor.

57. The Government, NCDMS and NCDDS have been made aware of ADB's policy on delayed submission, and the requirements for satisfactory and acceptable quality of the audited project financial statements.<sup>8</sup> ADB reserves the right to require a change in the auditor (in a

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<sup>8</sup> ADB Policy on delayed submission of audited project financial statements:

- When audited project financial statements are not received by the due date, ADB will write to the executing agency advising that (i) the audit documents are overdue; and (ii) if they are not received within the next six months, requests for new contract awards and disbursement such as new replenishment of imprest accounts, processing of new reimbursement, and issuance of new commitment letters will not be processed.
- When audited project financial statements have not been received within 6 months after the due date, ADB will withhold processing of requests for new contract awards and disbursement such as new replenishment of imprest accounts, processing of new reimbursement, and issuance of new commitment letters. ADB will (i) inform the executing agency of ADB's actions; and (ii) advise that the loan may be suspended if the audit documents are not received within the next six months.
- When audited project financial statements have not been received within 12 months after the due date, ADB may suspend the loan.

manner consistent with the constitution of the borrower), or for additional support to be provided to the auditor, if the audits required are not conducted in a manner satisfactory to ADB, or if the audits are substantially delayed. ADB reserves the right to verify the project's financial accounts to confirm that the share of ADB's financing is used in accordance with ADB's policies and procedures.

58. Public disclosure of the project financial statements, including the audit report on the project financial statements, will be guided by ADB's Public Communications Policy (2011)<sup>9</sup>. After review, ADB will disclose the project financial statements for the project and the opinion of the auditors on the financial statements within 30 days of the date of their receipt by posting them on ADB's website. The Audit Management Letter will not be disclosed.

### C. Benefit Monitoring and Evaluation Reports

Key Performance Indicator	Reporting Mechanism	Plan and Timetable for M&E <sup>a</sup>
District Committees for Disaster management (DCDM) performs devolved DM functions.	Project progress report and NCDM/PCDM training reports	Quarterly and annual progress report from NCDM
Disaster preparedness, risk reduction and climate change adaptation integrated in district development/ Investment plans.	Baseline and end-line knowledge, attitude and practice (KAP) surveys	Independent assessment conducted in Year 1 and year 3
At least 200 sub-national government staff, including 90 women, trained on policies and regulations supporting DRR/CCA at district and commune level.	Project progress report	Quarterly and annual progress report from NCDM
At least 40 awareness raising, and gender inclusive multi-stakeholder workshops conducted at the sub-national level.	Project progress report/training report	Quarterly and annual progress report from NCDM
Commune Committees for Disaster management (CCDM) performs devolved DM functions.	Project progress and assessment report	Quarterly and annual progress report from NCDM Final evaluation report
At least 150 CCDM members, including 60 women, trained on policies and regulations supporting DRR/CCA at commune level.	Project progress and training report	Quarterly and annual progress report from NCDM and training report
Disaster preparedness, risk reduction and CCA integrated in commune development/investment plans.	Project progress and assessment report	Quarterly and annual progress report from NCDM Final evaluation report
At least 150 CCDM members, including 60 women, trained policies and regulations supporting DRR/CCA at commune level.	Project progress and training report	Quarterly and annual progress report from NCDM Training report
At least 54 simulation exercises, 54 DRR awareness raising organized with NGOs and community	Project progress report	Quarterly and annual progress report from NCDM

<sup>9</sup> Available from <http://www.adb.org/documents/pcp-2011?ref=site/disclosure/publications>



participation.		
12 districts, 24 communes established DRR funds	Project progress report	Quarterly and annual progress report from NCDM
Guidelines on the use of DRR funds for the district and commune developed and district and commune staff, members of target DCDMs and CCDMs received trainings on the use of these guidelines.	Project progress report	Quarterly and annual progress report from NCDM and the report from NCDDS
Disaster management Teams are trained and lead all disaster management activities.	Project progress and training report	Quarterly and annual progress report from NCDM Training report
Community risk reduction/climate resilient infrastructures rehabilitated and/or constructed.	Project progress report and ADB review mission reports	Quarterly and annual progress report from NCDM
DRR activities are captured in national and sub-national DMIS system	Project progress and assessment report	Quarterly and annual progress report from NCDM Final evaluation report
All related activities are documented under NCDDS's District Commune Database	Project progress and assessment report	Quarterly and annual progress report from NCDM Final evaluation report
Best practices and innovative approaches are documented and disseminated.	Project progress and assessment report	Quarterly and annual progress report from NCDM Final evaluation report

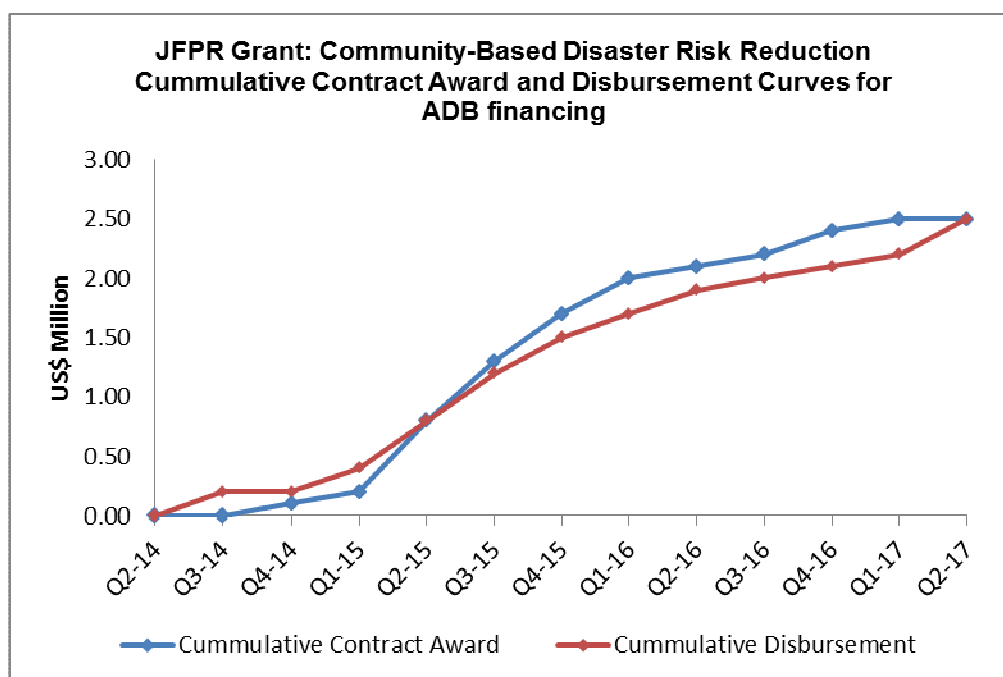
<sup>a</sup> ADB will conduct at least two review missions a year to monitor the project progress.

## IX. GRANT MONITORING AND EVALUATION

### A. Contract Awards/Commitments and Disbursement Projections

<b>JFPR Grant Communit-Based Disaster Risk Reduction</b>													
<b>Cummulative Contract Award and Disbursment Projections for ADB Financing</b>													
Projection in Million US\$	2014			2015				2016				2017	
	II Qtr	III Qtr	IV Qtr	I Qtr	II Qtr	III Qtr	IV Qtr	I Qtr	II Qtr	III Qtr	IV Qtr	I Qtr	II Qtr
Cummulative Contract Award	0.00	0.00	0.10	0.20	0.80	1.30	1.70	2.00	2.10	2.20	2.40	2.50	2.50
Cummulative Disbursement	0.00	0.20	0.20	0.40	0.80	1.20	1.50	1.70	1.90	2.00	2.10	2.20	2.50

<b>Yearly Contract Award and Disbursment Projections for ADB Financing</b>																	
Projection in Million US\$	2014				2015					2016					2017		
	II Qtr	III Qtr	IV Qtr	Total	I Qtr	II Qtr	III Qtr	IV Qtr	Total	I Qtr	II Qtr	III Qtr	IV Qtr	Total	I Qtr	II Qtr	Total
Contract Award	0.00	0.00	0.10	<b>0.10</b>	0.10	0.60	0.50	0.40	<b>1.60</b>	0.30	0.10	0.10	0.20	<b>0.70</b>	0.10	0.00	<b>0.10</b>
Cummulative Disbursement	0.00	0.20	0.00	<b>0.20</b>	0.20	0.40	0.40	0.30	<b>1.30</b>	0.20	0.20	0.10	0.10	<b>0.60</b>	0.10	0.30	<b>0.40</b>



### B. Grant Reviews

59. As part of routine project administration, ADB will conduct a project performance review mission together with the EA twice yearly. Project review missions will review (i) progress towards achieving project outputs and outcomes; (ii) disbursement and contract awards; (iii) compliance with ADB safeguard policies; (iv) community participation; (v) performance of the EA and project consultants; (vi) coordination with project stakeholders; and (vii) compliance with grant covenants. ADB and the EA will together identify problems and constraints to project implementation and agree on remedial measures. Findings of project review missions will be agreed by ADB and the EA and recorded in an Aide Memoire.

### **C. Midterm and Final Review**

60. A midterm evaluation performed by the project's counterpart staff together with ADB will (i) review the project scope, design, and implementation arrangements; (ii) identify changes in scope or implementing arrangements since project appraisal; (iii) assess the project's progress toward meeting its stated objectives; (iv) identify problems and suggest ways to overcome them during the final 15 months of the project; and determine compliance with the JFPR Letter of Agreement. The government project completion report (PCR) will be prepared by the project implementation teams following the ADB standard format. Following submission of the government PCR and handover of all project assets, an ADB Completion Report and independent impact assessment comparing baseline and end of project conditions will be prepared by an independent individual consultant recruited by ADB.

### **X. STAKEHOLDER COMMUNICATION PLAN**

61. The project will establish a Stakeholder Communications Plan that will ensure stakeholders and participants at all levels are adequately informed of the project activities. The EA will establish a website as the primary portal for dissemination of project related information. The website will include the JPFR Grant Assistance Report, Grant Implementation Manual, Progress Reports, bi-annual work plans and procurement plans, among other project-related documents and links. Efforts will be made to publish documents in both the English and Khmer languages.

62. The EA will facilitate information exchange at all levels and sharing of lessons among the multi-sector Project Steering Committee. Project beneficiaries, selected from communities participating in the project and broader community of stakeholders, will be included in the project's planning, monitoring and evaluation activities. Twice yearly project planning and review meetings will be conducted to review and agree on semi-annual work plans among the various project stakeholders.

63. The Embassy of Japan will be invited to participate in key project events and activities. The contribution by Japan (JPFR financing) will be acknowledged in project reports/documentation and to the media. The JFPR logo and the Japan Japanese Official Development Assistance (ODA) logo will be used in the project web site and publications, including press releases, local print and electronic media, training programs, banners, equipment, and workshops, and all will explicitly acknowledge Japan as the source of funding wherever appropriate. The involvement of Japanese NGOs and business organizations in community-based disaster risk reduction actions will be explored. Opportunities for demonstrating Japanese knowhow and technologies relevant to disaster risk will be explored. For example, disaster risk management and climate change experts working for JICA projects in the Cambodia will be actively involved in various capacity strengthening programs such as training seminars and workshops. In particular, the project would collaborate closely with JICA projects in the flood rehabilitation area and in related rural infrastructure investments. For the review missions, representatives of Japanese Embassy and JICA will be invited to join. Their comments provided during the review mission will be taken into account and will form the basis for the TA implementation and to avoid duplication with other ongoing or planned projects.

### **XI. ANTICORRUPTION**

64. ADB's *Anticorruption Policy* (1998, as amended to date) was explained to and discussed with the government. Consistent with its commitment to good governance, accountability, and transparency, ADB reserves the right to investigate, directly or through its agents, any alleged corrupt, fraudulent, collusive, or coercive practices relating to the Project. To support these efforts, relevant provisions of ADB's *Anticorruption Policy* are included in the grant regulations and the bidding documents for the Project. In particular, all contracts financed by ADB in connection with

the Project shall include provisions specifying the right of ADB to audit and examine the records and accounts of the EA and all contractors, suppliers, and other service providers as they relate to the project.

65. The project incorporates several other measures in addition to the standard ADB requirements to deter corruption and increase transparency. The project will (i) build capacity in the EA to understand and comply with ADB and government procedures as outlined in the grant implementation manual and (ii) widely publicize in communities in the project area the existence of ADB's Office of Anticorruption and Integrity as the initial point of contact for allegations of fraud, corruption, and abuse in ADB-financed projects. A project website will be developed to disclose information about project matters, including procurement. To encourage more stakeholder vigilance as well as ensure greater accountability, a task force will be set up in the EA to receive and resolve grievances or act upon stakeholders' reports of irregularities. The task force will (i) review and address stakeholders' grievances against the project in relation to the project itself, any service provider, or any person responsible for carrying out the project and (ii) set the threshold criteria and procedures for handling such grievances, proactively responding to them, and providing the stakeholders with notice of the mechanism. An example of grievance redress procedures for the associated Rural Roads Improvement Project (2670-CAM) is available at [http://www.adb.org/Documents/Resettlement\\_Plans/CAM/42334/42334-01-cam-rf.pdf](http://www.adb.org/Documents/Resettlement_Plans/CAM/42334/42334-01-cam-rf.pdf)

66. On a number of ADB funded projects in Cambodia, funding has been provided to the Communes/Sangkats in the form of Block Grants. These grants have been entirely managed by the Commune Councils, the lowest elected administrative body of the government of Cambodia, to support community-based rural infrastructure sub-projects which identified by commune residents during their annual planning cycle and included in the Commune Investment Plan (CIP). Each Commune Council is required to open a bank account at a local commercial bank, with two signatories, and into this account the Block Grant funds are transferred directly from NCDDS based on a memorandum of understanding between NCDDS and CCs highlighting the subprojects to be supported and roles and responsibilities involved. This direct transfer of the funds from national level to the commune bank account is an important anti-corruption feature of the procedure since it avoids the time consuming process of fund transfers through the national treasury (provincial/district administrative financial) systems and also safeguards against the possibility of misdirection or misuse of the funds before their transfer to the commune accounts. The Block Grant mechanism also enables the regular replenishment of the commune account as needed based upon the submission of requests from the Commune Council with their projected cash flow requirements based upon their contract awards.

67. The NCDDS have developed a comprehensive set of financial management procedures that have to be strictly followed by the Commune Councils for the use of the Block Grants funds. These are described in the Project Implementation Manual (PIM) which has been developed and refined over many years by NCDDS. The PIM has been developed primarily to support infrastructure sub-projects but a number of Projects have adapted this procedure to cater for livelihood sub-projects. The Commune Councils, which have benefitted from the Project Block Grant funding, have received substantial training in the PIM procedures and are required to comply with a set of strict financial reporting requirements involving close monitoring of the utilization of the Block Grants at provincial level through the Planning and Investment Division. Commune Councils have also been trained in formal bidding procedures compliance with application of transparent procedures. The requirement for advertising of the bidding opportunities at the commune level has allowed for competition for winning the bids and reduced the risk of collusion between bidders.

68. Community members are engaged in the project identification, implementation and monitoring of subprojects. During project preparation their representatives were required to join in the project management committee to ensure that the subprojects progress as planned and

the quality assets will be produced and accordingly the progress payments can be made to the contractors.

69. Before all the communes in one province are allowed to implement the project, ADB normally carries out a prior check on the first bidding document in one commune. Upon ADB's no objection to the first bidding document, all other communes will be able to carry out the bidding process and post checks will be conducted by ADB to all the bidding documents. ADB normally conducts two review missions per year into the projects and commune subprojects are randomly checked to ensure that project budget are properly managed. Annual audit is also extended to the commune level.

70. There is clear evidence from the Projects that have supported the Block Grant approach that the Communes/Sangkats that have been provided with this type of funding have achieved a substantial improvement in management capacity and in their ability to responsibility manage the financial resources which have been at their disposal. This has involved the management of funds that have been several orders of magnitude greater than the funds which they receive on an annual basis through the normal government C/S funding procedure.

71. Similarly, the block grant system will be established at the district level. NCDDS will ensure the required project administration manual and technical guidelines are prepared and adequate trainings will be provided to the district councils in order enable them to perform project management functions effectively. The success of district block grant system introduced under this project will help the government of Cambodia to scale up as a national strategy in delivery of budgets to the district councils.

## **XII. ACCOUNTABILITY MECHANISM**

72. People who are, or may in the future be, adversely affected by the project may address complaints to ADB, or request the review of ADB's compliance under the accountability Mechanism. For further information on the Accountability Mechanism, see <http://compliance.adb.org>

## **XIII. GRANT COVENANTS**

73. The EA shall carry out the JFPR project with due diligence and efficiency, and shall cause the project to be carried out with concerned stakeholders in accordance with the arrangement described in the Letter of Agreement dated xxxx .

## **XIV. RECORD OF GIM CHANGES**

74. After ADB Board approval of the project changes in implementation arrangements are subject to agreement and approval pursuant to relevant Government and ADB administrative procedures and upon such approval they will be subsequently incorporated into the GIM. All revisions/updates to the GIM should be recorded chronologically in this section.

## DESIGN AND MONITORING FRAMEWORK

Design Summary	Performance and Target Indicators	Data Sources and Reporting Mechanisms	Assumptions and Risks
<p><b>Impact</b> Improved preparedness to respond to natural disasters in Cambodia</p>	<p>By 2020: Losses from flooding reduced by 15% from the 2013 baseline<sup>a</sup> (5-year average from 2009 to 2013) in the number of households affected by and the economic losses from floods in target communes</p>	<p>Database from NCDM's disaster management information system</p> <p>Baseline and end-line reports to be generated under this project</p>	<p><b>Assumption</b> Government is committed to integrating DRR in local development planning</p> <p><b>Risk</b> Major disaster events overwhelm local capacity</p>
<p><b>Outcome</b> Improved disaster management and response capacity at the district and commune level to address natural disasters</p>	<p>By 2017: 18 districts and 54 communes have improved their disaster management and response capacity and mainstreamed disaster preparedness, risk reduction, and CCA into local development planning process<sup>b</sup></p>	<p>Grant completion report</p> <p>NCDMS annual report</p> <p>Project progress report from implementing partners</p>	<p><b>Assumption</b> Decentralized planning processes are functional</p> <p><b>Risk</b> Subnational technical capacity for development planning and community-based DRR are not at the level required</p>
<p><b>Outputs</b> 1. Institutional and technical capacity of priority districts on DRR and management improved</p>	<p>By 2017: DCDMs effectively perform devolved disaster management functions.</p> <p>Disaster preparedness, risk reduction, and climate change adaptation integrated in district development and investment plans.</p> <p>At least 200 subnational government staff, including 90 women, trained on upcoming policies and regulations supporting DRR and CCA at the district and commune level</p>	<p>Project progress report and NCDM/PCDM training reports</p> <p>Baseline and end-line knowledge, attitude and practice (KAP) surveys</p> <p>Project progress report/training report</p>	<p><b>Assumptions</b> National government remains committed to decentralization process</p> <p>Targeted communities and local leaders are committed to participate in community-based DRR and CCA actions</p> <p>Qualified and motivated government staff are assigned for the project</p> <p><b>Risks</b> Problems of corruption</p>
<p>2. Capacity of target communes for DRR, CCA, and disaster management enhanced</p>	<p>By 2017: CCDMs perform effectively devolved disaster management functions.</p> <p>Disaster preparedness, risk reduction, and CCA integrated in commune development and investment plans.</p> <p>At least 150 CCDM members, including 60 women, trained on upcoming policies and regulations supporting DRR/CCA at commune level.</p>	<p>TA progress report and NCDM/PCDM training reports</p> <p>Assessment report, project progress report</p> <p>Project progress report</p>	<p>Trained staff might be reassigned to other functions</p>
<p>3. Community-based DRR and CCA activities implemented</p>	<p>By 2016: Guidelines on the use of DRR and CCA funds for the district</p>	<p>Project progress report</p>	

Design Summary	Performance and Target Indicators	Data Sources and Reporting Mechanisms	Assumptions and Risks																
	<p>and commune developed and district and commune staff, members of target DCDMs and CCDMs, among whom at least 30% are women, received trainings on the use of these guidelines.</p> <p>12 districts and 24 communes established DRR and CCA funds. At least 36 community risk reduction or climate-resilient infrastructure items rehabilitated and/or constructed</p>	NCDM, NCDDS annual reports																	
<p>4. Effective project management and dissemination of best practices and innovative approaches</p>	<p>By 2017: Timely project completion within the budget.</p> <p>DRR activities with sex-disaggregated data are captured in national and subnational DMIS of the NCDMS.</p> <p>All related activities with sex-disaggregated data documented under District Commune Database.</p> <p>Best practices and innovative approaches, including some interventions which have supported women's resilience and empowerment, are documented and disseminated through trainings and workshops for replication.</p>	<p>NCDM/NCDDS annual report</p> <p>Project progress report</p> <p>Documentation materials from implementing partners</p> <p>Project progress report</p>																	
<p><b>Activities with Milestones:</b></p> <p><b>Output 1. Institutional and technical capacity of priority districts on disaster risk reduction and management improved</b></p> <ol style="list-style-type: none"> <li>1.1 Review staffing and equipment and facilities for DCDMs, by December 2014</li> <li>1.2 Assess training needs including the understanding on gender issues and train district staff on disaster and climate change policies, (i.e., community-based DRR strategy), by May 2015</li> <li>1.3 Form multisector DRTs with female staff participation of at least 30%, by 2014</li> <li>1.4 Train DCDMs in community-based DRR (standardized tools for village hazard and vulnerability capacity assessments, early warning, behavior change communication, etc.), by March 2015</li> <li>1.5 Prepare and/or revise district-wide DRR and/or CCA plans, by June 2015</li> <li>1.6 Organize district-wide simulation exercises with women's participation of at least 30%, 2014–2017</li> <li>1.7 Organize coordination meetings with CCDMs and active NGOs, 2014–2017</li> <li>1.8 Support humanitarian relief operations of affected communes, 2014–2017</li> <li>1.9 Collect and share information to support disaster management, 2014–2017</li> </ol> <p><b>Output 2. Capacity of target communes for disaster risk reduction and management enhanced</b></p> <ol style="list-style-type: none"> <li>2.1 Form and train CCDMs on DRR and CCA, by July 2015</li> <li>2.2 Identify commune risk reduction and CCA priorities, by December 2015</li> <li>2.3 Prepare and/or revise communes' DRR and/or CCA plans in target communes, by 2015</li> </ol>			<p><b>Inputs:</b></p> <ul style="list-style-type: none"> <li>• JFPR: \$2.500 million</li> <li>• Government: \$0.441 million</li> </ul> <p><b>Inputs</b></p> <table border="1" data-bbox="1122 1417 1474 1722"> <thead> <tr> <th>ITEM</th> <th>AMOUNT</th> </tr> </thead> <tbody> <tr> <td>Civil Works</td> <td>882,700</td> </tr> <tr> <td>Equipment</td> <td>225,840</td> </tr> <tr> <td>Training, workshop, seminars, and conferences</td> <td>276,300</td> </tr> <tr> <td>Consultants</td> <td>478,390</td> </tr> <tr> <td>Grant management</td> <td>342,770</td> </tr> <tr> <td>Surveys, monitoring and auditing</td> <td>147,000</td> </tr> <tr> <td>Contingencies</td> <td>147,000</td> </tr> </tbody> </table> <p><b>Government</b></p> <p>The government will provide counterpart funds of up to 15% of the total cost: (i) \$147,000 in-cash contribution in the form of staff allowance/salary supplement for counterpart staff; and (ii) \$294,000 in-kind</p>	ITEM	AMOUNT	Civil Works	882,700	Equipment	225,840	Training, workshop, seminars, and conferences	276,300	Consultants	478,390	Grant management	342,770	Surveys, monitoring and auditing	147,000	Contingencies	147,000
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Design Summary	Performance and Target Indicators	Data Sources and Reporting Mechanisms	Assumptions and Risks
<p>2.4 Organize commune-wide simulation exercises, 2014–2017</p> <p>2.5 Coordinate with DRR and/or DRM teams, village chiefs, and NGOs, 2014–2017</p> <p>2.6 Support humanitarian relief operations to affected communities, 2014–2017</p> <p>2.7 Collect and share information to support disaster management, 2014–2017</p> <p><b>Output 3. Community-based disaster risk reduction and climate change adaptation activities implemented</b></p> <p>3.1 Conduct participatory village hazard and vulnerability capacity assessments including climate change vulnerabilities with women’s participation of at least 30%, March 2015</p> <p>3.2 Develop local educational curriculum on DRR and climate change, 2015–2016</p> <p>3.3 Establish DRR funds in selected communes and prepared necessary guidelines for the use of these funds and provide required trainings, by June 2015</p> <p>3.4 Identify priority DRR and CCA activities for district investment plans and commune investment plans, by March 2015</p> <p>3.5 Conduct feasibility study, prepare project design, organize project management committee, organize bidding and monitoring and implementing of the projects, 2014–2017</p> <p>3.6 Identify and implement DRR activities at the community level (safe areas; early warning; water, sanitation, and hygiene; livelihood adaptation; awareness raising activities), 2014–2017</p> <p>3.7 Organize gender-inclusive DRR and CCA support and user groups, 2014–2017</p> <p>3.8 Organize public awareness campaigns on DRR and CCA, 2014–2017</p> <p>3.9 Collect information to support disaster management, 2014–2017</p> <p><b>Output 4. Effective project management dissemination of best practices and innovative approaches</b></p> <p>4.1 Conduct baseline survey (December 2014) and end-line survey (June 2017) of DRR- and CCA-related knowledge, practices, and existing capabilities</p> <p>4.2 Support the effective functioning of the project steering committee</p> <p>4.3 Support the effective management and implementation of grant activities</p> <p>4.4 Establish and support the project performance monitoring system</p> <p>4.5 Establish system for documentation of project activities and milestones, July 2015</p> <p>4.6 Document traditional and/or indigenous DRR practices, 2014–2017</p> <p>4.7 Gather good practices and innovative approaches on the ground, 2014–2017</p> <p>4.8 Organize dissemination workshops at subnational and national level, 2015–2017</p> <p>4.9 Update NCDM websites and create links with other DRR websites managed by NGO network, 2014–2017</p>			<p>contribution including office space, and office utilities to the consultants during project implementation period</p>

CCA = climate change adaptation, CCDM = commune committee for disaster management, DCDM = district committee for disaster management, DRR = disaster risk reduction, NCDMS = National Committee for Disaster Management Secretariat, NGO = nongovernment organization, PCDM = provincial committee for disaster management.

Source: Asian Development Bank.

<sup>a</sup> To be established in quarter 2 of year 1 as part of output 4

<sup>b</sup> In the absence of a comprehensive baseline study, the ADB commissioned Institutional Review and Capacity Assessment of the NCDM (ADB 2013) will serve as a baseline.



**SUMMARY COST ESTIMATES**  
(\$)

<div style="display: flex; align-items: center;"> <div style="text-align: right; margin-right: 10px;">                     → Grant Components                 </div> <div style="text-align: left;">                     ↓ Inputs Expenditure Category                 </div> </div>	Component A Capacity Development for District Disaster Management	Component B Capacity Development for District Disaster Management	Component C Community Based Disaster Risk Reduction Actions	Component D Effective Project Management	Total <sup>a</sup> (\$)	Percent (%)
1. Block Grants (DRR infrastructure rehabilitation or construction for demonstrations)			882,700		882,700	35.3%
2. Equipment	62,340	109,180	22,200	32,120	225,840	9.0%
3. Training, Workshops, Seminars, and Conferences	79,200	84,000	44,100	69,000	276,300	11.1%
4. Consulting Services	36,000	58,800	259,590	124,000	478,390	19.1%
5. Grant Management	89,640	38,230	91,860	123,040	342,770	13.7%
6. Surveys, Monitoring, and Auditing			58,800	88,200	147,000	5.9%
7. Contingencies			73,500	73,500	147,000	5.9%
<b>Subtotal Grant Financed (JFPR)</b>	<b>267,180</b>	<b>290,210</b>	<b>1,432,750</b>	<b>509,860</b>	<b>2,500,000</b>	<b>100%</b>
Government Contribution			161,000 <sup>b</sup>	280,000	441,000 <sup>c</sup>	15%
<b>Total Estimated Costs</b>	<b>267,180</b>	<b>290,210</b>	<b>1,593,750</b>	<b>789,860</b>	<b>2,941,000</b>	<b>100%</b>
ADB Incremental Costs					62,500	2.5%

JFPR = Japan Fund for Poverty Reduction

<sup>a</sup> The costs includes taxes and duties of \$ 0.17 million (or 6.8% of the total cost) to be financed by the JFPR; taxes and duties (i) apply only to ADB-Financed expenditures, and (ii) are material and relevant to the success of the project.

<sup>b</sup> The Government contribution will provide (i) \$67,000 for category 3.5.1: Management Coordination Component 3: staff and (ii) \$80,000 for category 4.4.1: Management Coordination Component 4.

<sup>c</sup> The Government will provide (i) \$147,000 in-cash contribution in the form of staff allowance/salary supplement for counterpart staff and (ii) \$294,000 in-kind contribution including office space, and office utilities to the consultants during project implementation period.

Source(s): Asian Development Bank.

**DETAILED COST ESTIMATES**  
**(\$)**

Supplies and Services Rendered		Cost			Contribution		
		Unit	Quantity Units	Cost Per Unit	Total	JFPR <sup>a</sup> Amount Method of Procurement	Government <sup>b</sup>
<b>Component A. Capacity Development for District Disaster Management</b>				<b>Subtotal</b>	<b>267,180</b>	<b>267,180</b>	<b>0</b>
<b>1.1</b>	<b>Equipment and Supplies</b>			<b>62,340</b>	<b>62,340</b>	<b>Shopping</b>	<b>0</b>
1.1.1	Computers and Printers	District	18	2,000	36,000		0
1.1.2	Office supplies	District	18	1,463	26,334		0
<b>1.2</b>	<b>Training, Workshops, and Seminars</b>			<b>79,200</b>	<b>79,200</b>		<b>0</b>
1.2.1	Trainings (2 days of 50 trainees per training; \$40 per trainee)	Events	6	4,000	24,000		0
1.2.2	Workshops (1 day of 170 participants per event; \$30 per person)	Events	2	5,100	10,200		0
1.2.3	Simulation exercises (1 day of 200 participants per event; \$12.5 per person)	Events	18	2,500	45,000		0
<b>1.3</b>	<b>Consulting Services</b>			<b>36,000</b>	<b>36,000</b>	<b>CQS</b>	<b>0</b>
1.3.1	ICT Software and ICT training (3 day of 36 trainees per training; \$125 per person)	District	18	2,000	36,000		0
<b>1.4</b>	<b>Management and Coordination of this Component</b>			<b>89,640</b>	<b>89,640</b>		<b>0</b>
1.4.1	Staff Travel and Per diem	District	18	2,880	51,840		0
1.4.2	Operational Costs	District	18	2,100	37,800		0
<b>Component B. Capacity Development for District Disaster Management</b>				<b>Subtotal</b>	<b>290,210</b>	<b>290,210</b>	<b>0</b>
<b>2.1</b>	<b>Equipment and Supplies</b>			<b>109,180</b>	<b>109,180</b>	<b>Shopping</b>	<b>0</b>
2.1.1	Computers and Printers (including solar panels for communes with no	Communes	24	3,375	81,000		0

		Cost			Contribution		
Supplies and Services Rendered					JFPR <sup>a</sup>	Government <sup>b</sup>	
	Unit	Quantity Units	Cost Per Unit	Total	Amount	Method of Procurement	
	access to electricity)						
2.1.2	Office supplies	Communes	54	522	28,180	28,180	0
<b>2.2</b>	<b>Training, Workshops, and Seminars</b>			<b>84,000</b>	<b>84,000</b>	Shopping	0
2.2.1	Trainings (1 day of 100 trainees per training; \$40 per trainee)	Events	6	4,000	24,000	24,000	0
2.2.2	Workshops (1 day of 200 participants per event; \$20 per person)	Events	6	4,000	24,000	24,000	0
2.2.3	Simulation exercises (1 day of 150 participants per event; \$10 per person)	Events	24	1,500	36,000	36,000	0
<b>2.3</b>	<b>Consulting Services</b>			<b>58,800</b>	<b>58,800</b>	CQS	<b>0</b>
2.3.1	ICT software and training (2 month of ICT training per trainee; \$363 per person)	Communes	54	1089	58,800	58,800	0
<b>2.4</b>	<b>Management and Coordination of this Component</b>			<b>38,230</b>	<b>38,230</b>		<b>0</b>
2.4.1	Travel and Per diem						
2.4.2	Operational Costs	Communes	54	708	38,230	38,230	0
<b>Component C. Community Based Disaster Risk Reduction Actions</b>				<b>Subtotal</b>	<b>1,593,750</b>	<b>1,432,750</b>	<b>161,000</b>
<b>3.1</b>	<b>Block Grant</b>			<b>882,700</b>	<b>882,700</b>	Shopping	0
3.1.1	District Disaster Risk Reduction Funds (12 district)	Districts	12	33,558 <sup>10</sup>	402,700	402,700	0
3.1.2	Commune Disaster Risk Reduction Funds (24 communes)	Communes	24	20,000	480,000	480,000	0

<sup>10</sup> District Community based DRR project is set at \$3,100 per district and \$2,558 or 8% is estimated for project design and supervision.

		Cost			Contribution		
Supplies and Services Rendered				Total	JFPR <sup>a</sup>	Government <sup>b</sup>	
	Unit	Quantity Units	Cost Per Unit	Total	Amount	Method of Procurement	
<b>3.2</b>	<b>Equipment and Supplies</b>			<b>22,200</b>	<b>22,200</b>	Shopping	<b>0</b>
3.2.1	Computers and Printers (5 computer and printers)	Sets	5	1,400	7,000		0
3.2.2	Office supplies	lump sum	1	5,000	5,000		0
3.2.3	Motorcycles	Motorcycles	6	1,700	10,200		0
<b>3.3</b>	<b>Training, Workshops, and Seminars</b>			<b>44,100</b>	<b>44,100</b>		<b>0</b>
3.3.1	Trainings (3 days of 70 trainees per training; \$60 per trainee)	Events	3	8,500	25,500		0
3.3.2	Workshops (1 day of 100 participants per event; \$30 per person)	Events	6	3,100	18,600		0
<b>3.4</b>	<b>Consulting Services</b>			<b>259,590</b>	<b>259,590</b>	ICS	<b>0</b>
3.4.1	National DRR Project Management Advisor	Person months	30	3,200	96,000		0
3.4.2	District DRR Mainstreaming and capacity building advisors	person months	144	1,034	148,890		0
3.4.3	Software and ICT training (for 115 trainees of \$125 per person)	Lump sum	1	14,700	14,700		0
<b>3.5</b>	<b>Management and Coordination of this Component</b>			<b>252,860</b>	<b>91,860</b>		<b>161,000</b>
3.5.1	Component 3 – Staff	staff	6	11,167	67,000		67,000
3.5.2	Travel and Per diem	staff	6	9,000.00	54,000		0
3.5.3	Operational Costs	Months	36	3,663	131,860		94,000
<b>3.6</b>	<b>Surveys, Monitoring and Auditing</b>			<b>58,800</b>	<b>58,800</b>		<b>0</b>
3.6.1	Surveys	Lump sum	1	30,000	30,000		0
3.6.2	Monitoring	Lump sum		28,800	28,800		0
<b>3.7</b>	<b>Contingency</b>			<b>73,500</b>	<b>73,500</b>		<b>0</b>

Supplies and Services Rendered	Cost				Contribution	
	Unit	Quantity Units	Cost Per Unit	Total	JFPR <sup>a</sup>	Government <sup>b</sup>
					Amount	Method of Procurement
<b>Component D. Effective Project Management and Dissemination of Best Practices/ Innovative Approaches</b>			<b>Subtotal</b>	<b>789,860</b>	<b>509,860</b>	<b>280,000</b>
<b>4.1 Equipment and Supplies</b>				<b>32,120</b>	<b>32,120</b>	<b>0</b>
4.1.1 Computers and Printers (8 computers and printers)	Sets	8	1,250	10,000	10,000	0
4.1.2 Office supplies	lump sum	1	8,540	8,520	8,520	0
4.1.3 Motorcycles	Motorcycles	8	1,700	13,600	13,600	0
<b>4.2 Training, Workshops, and Seminars</b>				<b>69,000</b>	<b>69,000</b>	<b>0</b>
4.2.1 Trainings	Events	6	5,500	33,000	33,000	0
4.2.2 Workshops	Events	6	6,000	36,000	36,000	0
<b>4.3 Consulting Services (e.g. for management and monitoring/assessments)</b>				<b>124,000</b>	<b>124,000</b>	<b>0</b>
4.3.1 Special studies	Events	2	22,000	44,000	44,000	0
4.3.2 National Disaster Management Advisor	Person months	12	3,200	38,400	38,400	0
4.3.3 National Finance and Administration Advisor	Person months	12	1,383	16,600	16,600	0
4.3.4 ICT Software and ICT training (for 200 trainees of \$125 per person)	Lump sum	1	25,000	25,000	25,000	0
<b>4.4 Management and Coordination of this Component</b>				<b>403,040</b>	<b>123,040</b>	<b>280,000</b>
4.4.1 Component 3 – Staff	staff	10	8,000	80,000		80,000
4.4.2 Travel and Per diem	staff	10	7500	75,000	75,000	0
4.4.3 Operational Costs	Lump sum	36	6,890	248,040	48,040	200,000
<b>4.5 Surveys, Monitoring, and Auditing</b>				<b>88,200</b>	<b>88,200</b>	<b>0</b>
4.6.1 Surveys (Baseline and end-line survey)	Events	2	30,000	60,000	60,000	0

		Cost			Contribution		
Supplies and Services Rendered					JFPR <sup>a</sup>	Government <sup>b</sup>	
	Unit	Quantity Units	Cost Per Unit	Total	Amount	Method of Procurement	
4.6.2	Monitoring	Lump sum	1	15,000	15,000	15,000	0
4.6.3	Auditing	Lump sum		13,200	13,200	13,200	0
<b>4.6</b>	<b>Contingency</b>			<b>73,500</b>	<b>73,500</b>		<b>0</b>
<b>Components A to D = Subtotal</b>			<b>Subtotal</b>	<b>2,941,000</b>	<b>2,500,000</b>		<b>441,000</b>
<b>TOTAL Grant Costs</b>			<b>Total</b>	<b>2,941,000</b>	<b>2,500,000</b>		<b>441,000</b>
<b>Incremental Cost Details</b>							
	ADB supervised short term consultancy (2.5% of total)	Lump Sup		62,500	62,500		
<b>TOTAL Incremental Costs</b>				<b>62,500</b>	<b>62,500</b>		

JFPR = Japan Fund for Poverty Deduction

2,562,500

Source(s): Asian Development Bank.

<sup>a</sup> The costs includes taxes and duties of \$ 0.17 million (or 6.8% of the total cost) to be financed by the JFPR; taxes and duties (i) apply only to ADB-Financed expenditures, and (ii) are material and relevant to the success of the project.

<sup>b</sup> The Government will provide (i) \$147,000 in-cash contribution for category 3.5.1: Management and Coordination component 3 and Category 4.4.1: Management and Coordination Component 4 in the form of staff allowance/salary supplement for counterpart staff and (ii) \$294,000 in-kind contribution for category 3.5.3: Operational Costs for component 3 and 4.4.3. Operational Costs Component D include office space, and office utilities to the consultants during project implementation period.

## TERMS OF REFERENCE FOR GOVERNMENT STAFF

### A. Terms of Reference for National Committee for Disaster Management Secretariat Counterpart Staff

#### 1. Project Director

1. The National Committee for Disaster Management Secretariat (NCDMS) will have a senior and experienced NCDMS civil servant<sup>1</sup> as the national project director with a background in the management of disaster and rural development projects and programs. The project director will be responsible for managing and coordinating the technical assistance (TA) project with the authorities delegated by the senior minister as provided by the standard operating procedures. The national project director will report to his senior officials in the NCDMS. The tasks in the terms of reference include the following:

- (i) Oversee the work of the project manager for the NCDMS executing agency functions for the TA Strengthening Coordination for Management of Disasters (SCMD) and the grant Community-Based Disaster Risk Reduction (CBRR) to ensure that the TA and the grant implementation is in line with government policies, guidelines (including the standard operating procedures), and the evolving framework for subnational governance, and follows the provisions of the Asian Development Bank (ADB) financing agreement. Liaise with ADB concerning all aspects of TA implementation and compliance with the financing agreements.
- (ii) In consultation with ADB, authorize TA and grant staff recruitment.
- (iii) Provide the chair of the steering committee with regular progress reports, including information on physical and financial progress made with the capacity development TA Strengthening Coordination for Management of Disasters and the grant Community-Based Disaster Risk Reduction and issues outstanding and actions recommended, and obtain the steering committee's concurrence with the project's policy agenda and actions plans.
- (iv) Ensure national interministerial coordination with the other ADB disaster-related projects and those of other agencies operating in the project provinces, and ensure development synergies in the priority areas.
- (v) Oversee coordination with all National Committee for Disaster Management (NCDM) member line ministries in all policy and major operational matters related to the TA and grant implementation and propose revisions to the arrangements if necessary.
- (vi) Coordinate with the National Committee for Sub-National Democratic Development Secretariat (NCDDS) and the Ministry of Economy and Finance (MEF) in the appointment of an independent auditor, acceptable to the financiers (within 90 days of loan and/or grant effectiveness) and with terms of reference acceptable to the financiers.
- (vii) Respond to the audit findings and provide the results of the audit, and the NCDMS's response, to the steering committee and ADB.

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<sup>1</sup> With multidepartment supervision roles to be able to coordinate internally and externally.

## 2. Project Manager

2. The NCDMS will have one senior experienced NCDM civil servant as the project manager, who will work full-time as part of the project management team of the grant Community-Based Disaster Risk Reduction. He or she will report to the project director and will ensure that all procurement and disbursement activities are carried out in accordance with ADB's Procurement Guidelines (2013, as amended from time to time) and the government standard operating procedures (May 2012, update from time to time) and ADB's *Loan Disbursement Handbook* (2012, as amended from time to time).

3. The project manager will manage the grant activities in accordance with the financing agreement, the grant annual work plan, and relevant systems and procedures required by the financiers and MEF. He or she will also be responsible for planning, monitoring and evaluation, and reporting. The project manager will be accountable to the NCDMS and the project director. In particular, the project manager will undertake the following tasks:

### a. General Management and Coordination

- (i) Manage and coordinate the implementation of the grant CBDR.
- (ii) Oversee the work of the NCDMS staff assigned to the grant to ensure that all aspects of grant implementation are in line with the agreed actions, government policies, guidelines, and the evolving framework for subnational government and follow the provisions of the ADB financing agreements.
- (iii) Manage the grant's administrative, financial management, and procurement systems and the NCDMS executing agency administrative and financial management systems.
- (iv) Supervise and coordinate the management and administration of the staff in the NCDMS assigned to the grant.
- (v) Coordinate with the SCMD TA manager, NCDMS community-based DRR grant manager, and NCDMS and NCDMS assigned staff to implement the community-based DRR activities to ensure good coordination and support between the two projects.
- (vi) Coordinate with other ADB and development partner projects related to disaster management and DRR in the priority areas to ensure good complementarity and synergy.
- (vii) Prepare and process all legal documents, contracts, and agreement of project activities in a timely manner.
- (viii) Maintain all administrative and personnel documents and grant and consultant contracts.
- (ix) Supervise the project's financial management functions in line with the government's requirements and systems and ADB financing agreements.
- (x) Prepare regular reports on the performance of the NCDMS's financial management progress, problems faced, and solutions for submission to the project director.
- (xi) Provide the project director with regular status reports, including information on progress made, issues outstanding, and actions recommended.
- (xii) Ensure the implementation of the gender action plan and that sex-disaggregated data are collected and reported.



## **b. Finance and Grant Administration**

- (i) Oversee the staff in finance administration and procurement under the grant CBDR in accordance with the financing agreements, ADB's Procurement Guidelines (2013, as amended from time to time), government standard operating procedures (2012, updated from time to time), and relevant systems and procedures required by the financiers, the NCDMS, and MEF.
- (ii) Provide training and refresher training to NCDMS finance and procurement staff working for community-based DRR.
- (iii) Coordinate and ensure timely and accurate consolidation of the annual work plan budget of grant CBDR.
- (iv) Ensure that the financial managements systems and internal controls are in place and strictly enforced for transparency and accountability of use of public funds under the projects.
- (v) Address all financial management and procurement issues when they arise.
- (vi) Ensure timely transfer of funds to all project parties at the national and subnational levels for project implementation.
- (vii) Coordinate the management of cash flow of the project financing.
- (viii) Ensure that the NCDMS team undertakes the following detailed financial management tasks: (a) open and operate the NCDMS's imprest account, following ADB procedures, (b) disburse funds to departments and agencies according to agreed actions, and (iii) in a timely manner prepare withdrawal applications and liquidation requests for ADB for reimbursement and liquidation.
- (ix) Ensure smooth harmonization between the monitoring and evaluation and financial systems.
- (x) Coordinate and oversee the work of the staff in order to deliver adequate and timely financial services, provide financial information, and prepare withdrawal applications.
- (xi) Supervise the functioning of the physical and financial reporting systems and procedures at the national and subnational levels.
- (xii) Ensure the financial managements systems, fund flow procedures, and procedures for the use of imprest advances to enable funds to flow as required.
- (xiii) Supervise timely accounts reconciliation at all levels and manage cash flow to facilitate smooth flow of funds to all concerned departments and agencies.
- (xiv) Regularly monitor the execution of the grant Annual Workplan and Budget under the NCDM supervision structure.
- (xv) Ensure sound project auditing and financial management.
- (xvi) Ensure that auditors' recommendations are implemented once endorsed by the NCDMS and other project parties.

## **c. Procurement**

- (i) Ensure that the procurement processes and procedures are in place and strictly enforced according to the procurement guidelines of the financier.
- (ii) Supervise the preparation of an annual updated procurement plan and regular progress reports against the procurement plan.
- (iii) Supervise major procurements by the NCDMS of goods and services.
- (iv) Ensure timely and effective implementation of the consolidated project procurement plan.
- (v) Supervise the preparation of procurement packages, documents, and processes at the national level following approved procurement guidelines.

- (vi) Supervise the preparation of official documents related to procurement.
- (vii) Monitor procurement and implementation progress at the national and subnational level.
- (viii) Provide instruction and capacity building to project staff on procurement-related matters.
- (ix) Participate in monitoring and evaluations activity, handover of equipment and materials, and construction.
- (x) Supervise staff to prepare and update the contracts register and inventory list.
- (xi) Coordinate with ADB and MEF on procurement-related matters.
- (xii) Coordinate with the procurement officers at the national and subnational levels.

**d. Planning, Monitoring and Evaluation, and Reporting**

- (i) Oversee the implementation of the project's planning system and the consolidation of the Annual Workplan and Budget from the departments and agencies, and ensure that the Annual Workplan and Budget (AWPB) incorporate the lessons learned from past TA project experience of ADB and development partners as well as from this grant.
- (ii) Oversee the design, establishment, and implementation of the grant monitoring and evaluation system and the associated progress and other reporting to the NCDMS and ADB and establish and maintain the project implementation database.
- (iii) Ensure that the grant implementation and management team can provide the administrative and secretarial support required by the joint steering committee.
- (iv) Ensure the implementation of the gender action plan and that sex-disaggregated data are collected and reported.
- (v) Coordinate with the MEF and NCDMS in all major operational matters related to the grant implementation.
- (vi) Develop and manage the capacity building program for the relevant departments and agencies at national and subnational levels.
- (vii) Manage the communication network, including the website and use of print and broadcasting media, reporting of project progress, and publication of best practices.
- (viii) Report to the project steering committee through the national project directors at the NCDMS and NCDMS.

**3. District and Commune Capacity Building Coordinator (Coordination of Components A and B)**

4. The NCDMS will have one senior and experienced staff member with a background in disaster management and DRR policy development and capacity strengthening, and the management and coordination of training programs. The coordinator will report to the project manager. The tasks in the terms of reference are as follows:

- (i) Coordinate with relevant departments of the NCDMS, NCDMS, and NCDM member line ministries to get the district committees for disaster management (DCDMs) and commune committees for disaster management (CCDMs) effectively performing devolved disaster management functions.
- (ii) Coordinate with relevant departments of the NCDMS, NCDMS, and NCDM member line ministries to have disaster preparedness, DRR, and climate change adaptation (CCA) effectively integrated in commune and district development and investment plans.

- (iii) With relevant departments of the NCDMS and the TA consultant team, organize trainings for at least 200 subnational government staff, including 90 women, on upcoming policies and regulations supporting DRR and/or CCA at the district and commune level.
- (iv) Oversee all the capacity building and training activities at the districts on the project design documentation covering training needs assessment, preparation of training modules, and a capacity building and training schedule.
- (v) With the TA team, identify organizations and/or individuals who the project can contract or cooperate with to deliver the capacity building and training at the district and commune level.
- (vi) Observe the quality of training delivered by service providers in each training session and provide feedback to the NCDMS project manager on where improvements in delivery methods and content are necessary.
- (vii) Document all project-financed training activities including details of the training content, the numbers and types of participants, and the gender balance and report this to the project manager on a monthly basis.
- (viii) Undertake other tasks assigned by the project manager.

#### **4. Community-Based Disaster Risk Reduction and Knowledge Products Coordinator (Coordination of Components C and D)**

5. The NCDMS will have one senior and experienced staff member with a background in disaster management and DRR policy development and capacity strengthening, coordination of training programs, and knowledge product management. The coordinator will report to the project manager. The tasks in the terms of reference are as follows:

- (i) Liaise with the NCDDDS in the development of the guidelines on the use of DRR funds for the district and commune and members of target DCDMs and CCDMs, and ensure that women represent at least 30% of participants in the training courses.
- (ii) Assist the NCDDDS in its effort to support the priority districts (12 districts, 24 communes) to establish DRR funds.
- (iii) Liaise with the NCDDDS in the capacity building and training activities on management of community-based DRR and/or CCA funds
- (iv) Coordinate with the NCDDDS national DRR coordinator and the six project DRR coordinators in the execution of the district and commune DRR funds in the 12 priority districts and 24 priority communes.
- (v) Advise the TA management team and the consultants on putting a system in place for timely TA completion within the budget.
- (vi) Make sure that DRR activities with sex-disaggregated data are captured in national and subnational disaster management information systems of the NCDM.
- (vii) Ensure that all related activities with sex-disaggregated data are documented under district commune databases.
- (viii) Ensure best practices and innovative approaches, including some interventions which have supported women's resilience and empowerment, are documented and disseminated.
- (ix) Coordinate with the TA Strengthening Coordination for Management of Diasters other development partners, nongovernment organizations (NGOs), and other ADB-financed projects related to disaster to ensure that all innovative approaches and best practices in disaster management are documented and disseminated (website, print materials, workshops).

- (x) Undertake other tasks assigned by the project manager.

## **5. Finance Officer**

6. The NCMDS will have one senior and experienced staff member with a background in project management and accounting for overseeing the project's accounting at the NCDMS office. The officer will report to the project manager. The tasks in the terms of reference are as follows:

- (i) Maintain financial records and financial system of all operations in community-based DRR, which conform to the accounting standard and best practices of the financial management manual.
- (ii) Perform monthly reports and prepare cash and bank reconciliation reports for the project manager. Provide update of fund disbursement and of possible need for adjustment.
- (iii) Prepare documentation for funds transfer from the NCDMS project management team.
- (iv) Ensure sufficient and timely disbursements of cash to project activities as per requests.
- (v) Coordinate with all national staff and consultants to ensure that procurements and payments have been properly approved and authorized.
- (vi) Coordinate with ADB to ensure that the flow of documents and reports disbursement are running smoothly and on time.
- (vii) Ensure timely payment of bills with prior approval by the NCDMS project manager.
- (viii) Ensure that the same system of financial recording and reporting are in place at all levels and these are in line with financier-approved system and procedures. Visit the target project province, district, and communes when necessary.
- (ix) Assist the TA manager in performing control checks and audit of the operation.
- (x) Ensure that all expenditures are properly recorded in the ledger and are properly authorized on the appropriate vouchers and accompanied by appropriate original receipts. Report discrepancies to the project manager and make corrections as advised.
- (xi) Review all records from provinces and submit to the TA manager for final check before being forwarded to the community-based DRR project manager.
- (xii) Undertake other tasks assigned by the project manager.

## **6. Contract Administration Officer**

7. The NCMDS will have one staff member with a background in administration and contract management. The officer will report to the community-based DRR project manager. The tasks in the terms of reference are as follows:

- (i) Draft and implement contracts in accordance with the approved formats.
- (ii) Following approval of the Annual Workplan and Budget, perform the initial review of contracts and amendments prior to submission to the TA manager for review and approval; manage all community-based DRR procurement activities; and update and maintain the inventory of property and equipment financed through the community-based DRR project.
- (iii) Ensure regular monitoring and evaluation of the AWPB and prepare progress reports for submission to the project manager.
- (iv) Ensure transparent management of the Strengthening Coordination for Management of Disasters inventory, personnel contracts, procurement, and

- bidding activities and file all data and contract documents between the NCDMS and implementing agencies.
- (v) Ensure a smooth flow of information within community-based DRR and between community-based DRR and the grant SCMD and with other departments and agencies at the national and subnational levels regarding contract implementation.
  - (vi) Ensure that employment contracts are prepared correctly between the SCMD and the respective staff, and staff files and records are maintained correctly, including leave, recruitment, staff selection, and performance appraisal information.
  - (vii) Ensure that the monitoring and evaluation of the AWPB within community-based DRR is carried out in accordance with established guidelines and procedures and provide any support required.
  - (viii) Review periodic monitoring reports received and prepare quarterly and annual progress reports for submission to the project manager in accordance with reporting guidelines and procedures.
  - (ix) Undertake other tasks assigned by the project manager.

#### **7. Provincial Community-Based Disaster Risk Reduction Coordinator (six positions)**

8. The project will have six provincial community-based DRR coordinators (one based in each target province) to provide coordinated support to the provincial management committee, the NCDMS, and the NCDDS in the execution of community-based DRR initiatives. They will report to the chair of the PCDM and the NCDDS project manager. The coordinators will work closely with the provincial disaster management and DRR advisors (consultant) to do the following:

- (i) Coordinate all project activities within the province and provide a general oversight of the activities of the various service providers implementing project-financed activities.
- (ii) Manage activities for capacity development at the district and commune levels, such training of the DCDMs and CCDMs and project orientation training for the staff of provincial and district administrative units.
- (iii) Participate in activities related to policy and institutional reform at subnational level supported by the project and or by the NCDMS and NCDDS.
- (iv) Liaise with other projects and programs to ensure that all disaster management and DRR actions at commune and district and province levels are complementary.
- (v) Participate in the technical meetings and policy guidance meetings.
- (vi) Ensure the implementation of the gender action plan and that sex-disaggregated data are collected and reported.
- (vii) Provide the NCDM with timely consolidated provincial AWPB, regular financial statements and reports, and quarterly progress reports, based on the information provided by the DCDMs and CCDMs and from the contracts managed at provincial level (if any).
- (viii) Undertake other tasks as required by the NCDMS.

## **B. Terms of Reference for National Committee for Sub-National Democratic Development Secretariat Staff**

### **1. Project Director**

9. The NCDDS will have a senior and experienced NCDDS civil servant as the project director with a background in the management of decentralization and deconcentration reforms and rural development projects and/or programs.<sup>1</sup> The project director will be responsible for managing and coordinating the project with authorities delegated by the NCDDS as provided by the standard operating procedures. The project director will guide the NCDDS team in implementing this grant. The NCDDS project director will report to the head of the NCDDS for activity progress and financial compilation. He or she will need to share this information with the NCDMS to incorporate into a single project report to be submitted to the project steering committee, project financiers, or related project stakeholders. The tasks in the terms of reference are as follows:

- (i) Oversee the work of the project manager for the NCDDS functions to ensure that the project implementation is in line with government policies, guidelines, including the standard operating procedures and the evolving framework for subnational government and follows the provisions of the ADB financing agreements.
- (ii) Ensure that the NCDDS and the subnational project agencies implement the gender action plan.
- (iii) Proactively maintain the communications with the NCDDS and MAFF leadership and relevant project stakeholders.
- (iv) Liaise with the NCDDS, MEF, and ADB concerning all aspects of project implementation and compliance with the financing agreements.
- (v) Provide the NCDMS with regular progress reports, including information on physical and financial progress made, issues outstanding, and actions recommended.
- (vi) Oversee the coordination with the MEF, NCDMS, and other NCDM member line ministries in all policy and major operational matters related to the project implementation, e.g., flow of funds to districts and commune councils and propose revisions to the arrangements if necessary.
- (vii) Coordinate with the NCDMS and MEF on the appointment of an independent auditor, acceptable to the financiers (within 90 days of loan and/or grant effectiveness) and with terms of reference acceptable to the financiers.
- (viii) Respond to the audit findings and provide the results of the audit to the steering committee and ADB and the MEF.

### **2. Project Manager**

10. The NCDDS will recruit one senior and experienced person to act as the project manager responsible for the implementation of the project activities under the responsibility of the NCDDS, with a background in the management of decentralization and deconcentration programs for support to subnational structures, systems, and procedures. The project manager will be responsible for managing and coordinating the project and will report to the national

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<sup>1</sup> The project director will preferably be the project director leading the ADB-financed Tonlesap Poverty Reduction and Smallholder Development Project (TSSD) as to minimize overlap of resources, and for fast-tracking the replication of lessons learned under this CBDR grant.

project director of the NCDDS and will ensure that all procurement and disbursement activities are carried out in accordance with ADB's Procurement Guidelines (2013, as amended from time to time) and the government standard operating procedures. The project manager will manage the grant activities in accordance with the financing agreement, the grant annual work plan, and relevant systems and procedures required by the financiers and the MEF. He or she will also be responsible for planning, monitoring and evaluation, and reporting. In particular, the project manager will undertake the following tasks:

**a. General Management and Coordination**

- (i) Assist the project director to supervise and coordinate the management and implementation of the grant CBDR.
- (ii) On a day-to-day basis, oversee the work of the NCDMS staff assigned to the grant to ensure that all aspects of grant implementation are in line with the agreed actions, government policies, guidelines, and the evolving framework for subnational government, and follow the provisions of the ADB financing agreements.
- (iii) Manage the grant's administrative, financial management, and procurement systems and the NCDMS executing agency administrative and financial management systems.
- (iv) Supervise and coordinate the management and administration of the staff in the NCDMS assigned to the grant.
- (v) Coordinate with the SCMD TA manager, NCDDS community-based DRR grant manager, and the NCDMS and NCDDS assigned staff to implement the community-based DRR activities to ensure there is good coordination and support between the two projects.
- (vi) Coordinate with other ADB and development partner projects related to disaster management and DRR in the priority areas to ensure good complementarity and synergy.
- (vii) Prepare and process all legal documents, contracts, and agreement of project activities in a timely manner.
- (viii) Maintain all administrative and personnel documents and grant and consultant contracts.
- (ix) Support the organization of the project steering committee meetings regularly and on demand.
- (x) Supervise the projects' financial management functions in line with the government's requirements and systems and ADB financing agreements.
- (xi) Participate in the technical, policy guidance, and other meetings.
- (xii) Participate in the follow-up supervision missions.
- (xiii) Prepare regular reports on the performance of the NCDMS's financial management, covering progress, problems faced, and solutions, for submission to the project director.
- (xiv) Provide the project director with regular status reports, including information on progress made, issues outstanding, and actions recommended.
- (xv) Ensure the implementation of the gender action plan and that sex-disaggregated data are collected and reported.
- (xvi) Undertake other tasks assigned by the project director.

## **b. Finance and Grant Administration**

- (i) Oversee the staff in finance, administration, and procurement under grant community-based DRR in accordance with the financing agreements, ADB's Procurement Guidelines (2013, as amended from time to time), and government standard operating procedures and relevant systems and procedures required by the financiers, the NCDDS, and MEF.
- (ii) Provide training and refresher training to NCDDS finance and procurement staff working under the grant CBDR.
- (iii) Coordinate and ensure timely and accurate consolidation of AWPB of grant CBDR.
- (iv) Ensure that the financial managements systems and internal controls are in place and strictly enforced for transparency and accountability of use of public funds under the projects.
- (v) Address all financial management and procurement issues when they arise.
- (vi) Ensure timely transfer of funds to all project parties at the national and subnational levels for project implementation.
- (vii) Coordinate the management of cash flow of the project financing.
- (viii) Ensure that the NCDDS team can undertake the following detailed financial management tasks: (a) open and operate the NCDDS imprest account, following ADB-approved procedures; (b) disburse funds to relevant departments and agencies including the district councils and commune councils according to agreed actions; (iii) prepare in a timely manner the withdrawal applications and liquidation requests to ADB for reimbursement and liquidation.
- (ix) Ensure smooth harmonization between the monitoring and evaluation and financial systems.
- (x) Coordinate and oversee the work of the staff in order to deliver adequate and timely financial services, provide financial information, and prepare withdrawal applications.
- (xi) Supervise the functioning of the physical and financial reporting systems and procedures at the national and subnational levels.
- (xii) Ensure that the financial managements systems, fund flow procedures, and procedures for the use of advances to enable funds to flow as required.
- (xiii) Supervise timely accounts reconciliation at all levels and manage cash flow to facilitate smooth flow of funds to all concerned departments and agencies.
- (xiv) Regularly monitor the execution of the grant AWPB under the NCDDS supervision structure.
- (xv) Take the lead in project auditing and good financial management.
- (xvi) Ensure that auditors' recommendations are implemented once they have been endorsed by the NCDDS, NCDMS, and other project parties.

## **c. Procurement**

- (i) Ensure that the procurement processes and procedures are in place and strictly enforced in according with the procurement guidelines of the financier.
- (ii) Supervise the preparation of an annual updated procurement plan and regular progress reports against the procurement plan.
- (iii) Supervise major procurements by the NCDDS of goods and services.
- (iv) Ensure timely and effective implementation of the consolidated project procurement plan.
- (v) Supervise the preparation of procurement packages, documents, and processes at the national level following approved procurement guidelines.



- (vi) Supervise the preparation of official documents related to procurement.
- (vii) Monitor and follow up procurement implementation progress at national and subnational level.
- (viii) Provide instruction and capacity strengthening to project staff on procurement matters.
- (ix) Participate in monitoring and evaluation activities, handover of equipment and materials, and construction.
- (x) Supervise the staff to prepare and update the contracts register and inventory list.
- (xi) Coordinate with ADB and the MEF on procurement matters.
- (xii) Coordinate with the procurement officers at the national and subnational levels.

#### **d. Planning, Monitoring and Evaluation, and Reporting**

- (i) Oversee the implementation of the project's planning system and the consolidation of the AWPB from the departments and agencies, and ensure that the AWPB incorporate the lessons learned from past TA project experience of ADB and development partners as well as from this grant.
- (ii) Oversee the design, establishment, and implementation of the grant monitoring and evaluation system and the associated progress and other reporting to the NCDDS, NCDMS, and ADB, and establish and maintain the project implementation database.
- (iii) Ensure that the grant implementation and management team can provide the administrative and secretarial support required by the joint steering committee.
- (iv) Ensure the implementation of the gender action plan and that sex-disaggregated data are collected and reported.
- (v) Coordinate with the MEF and NCDMS in all major operational matters related to the grant implementation.
- (vi) Develop and manage the capacity strengthening program for the relevant departments and agencies at national and subnational levels.
- (vii) Manage the communication network, including the website and use of print and broadcasting media, reporting of project progress, and publication of best practices.
- (viii) Report to the steering committee through the national project directors at the NCDDS and NCDMS.

### **3. Community-Based Disaster Risk Reduction and Knowledge Products Coordinator (Coordination of Components C and D)**

11. The NCDDS will have one senior and experienced staff member with a background in disaster management and DRR policy development and capacity strengthening, coordination of training programs, and knowledge product management. The coordinator will report to the project manager. The tasks in the terms of reference are as follows:

- (i) Liaise with the NCDMS in the development of the guidelines on the use of DRR funds for district and commune staff and members of target DCDMs and CCDMs, and make sure that women represent at least 30% of participants in the training courses.
- (ii) In liaison with the NCDMS and NCDDS team, provide support to the priority districts (12 districts, 24 communes) in the establishment of DRR and CCA funds.

- (iii) Liaise with the NCDMS in the capacity strengthening and training activities in management of community-based DRR and CCA funds, and ensure the gender mainstreaming aspect is included in the trainings and materials.
- (iv) Coordinate with the NCDMS national DRR coordinator and the six project DRR coordinators in the execution of the district and commune DRR funds in the 12 priority districts and 24 priority communes.
- (v) Advise the project management team and the consultants on putting a system in place for timely project completion within the budget.
- (vi) Ensure that DRR activities with sex-disaggregated data are captured in national and subnational DMIS systems of the NCDM.
- (vii) Ensure that all related activities with sex-disaggregated data are documented under district and/or commune databases.
- (viii) Ensure best practices and innovative approaches, including some interventions which have supported women's resilience and empowerment, are documented and disseminated.
- (ix) Coordinate with the TA SCMD, other development partners, NGOs, and other ADB-financed projects related to disaster to ensure that all innovative approaches and best practices in disaster management are documented and disseminated (website, print materials, workshops).
- (x) Undertake other tasks assigned by the project manager.

#### **4. Contract Administration and Finance Officer**

12. The NCDDS will have one senior and experienced staff member with a background in project management and finance for overseeing the project's accounting at the NCDDS office. The officer will report to the project manager. In particular, the officer will perform the following tasks:

##### **a. Contract Administration Functions**

- (i) Draft and implement contracts in accordance with the approved formats.
- (ii) Following approval of the AWPB, perform the initial review of contracts and amendments prior to submission to the project manager for review and approval; manage all CBDR procurement activities and update and maintain the inventory of CBDR-financed property and equipment.
- (iii) Ensure regular monitoring and evaluation of the AWPB and prepare progress reports for submission to the project manager.
- (iv) Ensure transparent management of CBDR's inventory, personnel contracts, procurement, and bidding activities and file all data and contract documents between the NCDDS and implementing agencies.
- (v) Ensure a smooth flow of information within the CBDR and between the CBDR and TA SCMD and with other departments and agencies at the national and subnational levels regarding contract implementation.
- (vi) Ensure that employment contracts are prepared correctly between the CBDR and the respective staff, and the maintenance of files and records of staff, including leave, recruitment, staff selection, and performance appraisal.
- (vii) Ensure that the monitoring and evaluation of the AWPB within the CBDR is carried out in accordance with established guidelines and procedures and provide any support required.
- (viii) Review periodic monitoring reports and prepare quarterly and annual progress reports for submission to the project manager in accordance with reporting guidelines and procedures.

## **b. Finance Functions**

- (i) Ensure that the financial management systems, fund flow procedures, and procedures for the use of advances enable funds to flow as and when required.
- (ii) Ensure that the NCDDDS can undertake the following detailed financial management tasks: (a) open and operate the project's imprest account, following standard operating procedures and ADB's *Loan Disbursement Handbook*; (b) disburse funds to the district councils and commune councils in line with the financing agreement, the agreed actions, and the project AWPBs; (c) prepare in a timely way the withdrawal applications for further process by the MEF, and their onward transmission to ADB for reimbursement; the withdrawal applications will be based on the financial statements and requests for reimbursement from the districts and the communes; and (d) review and consolidate the annual financial statements for onward transmission to the NCDMS.
- (iii) Maintain financial records and financial system of all operations under the NCDDDS responsibilities, which conform to the accounting standard and best practices of the financial management manual.
- (iv) Perform monthly reports and prepare cash and bank reconciliation reports for the project manager. Provide update of fund disbursement and of possible need for adjustment.
- (v) Prepare documentation for funds transfer from the NCDDDS project management team.
- (vi) Ensure sufficient and timely disbursements of cash to project activities as per request.
- (vii) Coordinate with all national staff and TA projects to ensure that procurements and payments have been properly approved and authorized.
- (viii) Coordinate with ADB to ensure that the flow of documents and reports disbursement are running smoothly.
- (ix) Ensure timely payment of bills with prior approval by the project manager.
- (x) Ensure that the same system of financial recording and reporting are in place at all levels and are in line with financier-approved systems and procedures. Visit the target project provinces, districts, and communes when necessary.
- (xi) Assist the project manager in performing control checks and audit of the operation.
- (xii) Ensure that all expenditures are properly recorded and that all expenditures are properly authorized on the appropriate vouchers and accompanied by appropriate original receipts. Report discrepancies to the project manager and make corrections as advised.
- (xiii) Review all records from provinces and submit to the project manager for final check before onward submission to the SCMD TA manager.
- (xiv) Undertake other tasks assigned by the project manager.

## **5. Planning, Monitoring and Evaluation, and Reporting Officer**

13. The NCDDDS will have one senior and experienced staff responsible for project planning, monitoring and evaluation, and reporting. He or she will report to the project manager. The tasks in the terms of reference are as follows:

- (i) Design and manage the project's planning, budgeting, and reporting functions in line with government procedures and the requirements of the ADB financing agreements.

- (ii) Within 6 months of effectiveness, design a monitoring and evaluation system for the NCDDS (including suitable indicators for the base line, midterm, and project completion reviews), satisfactory to the cofinanciers. Prepare the terms of reference and draft contract documents.
- (iii) Prepare the AWPB based on the consolidated reports from the districts and communes for submission to the NCDMS for review and subsequent approval by 15 December of the previous year.
- (iv) Develop a work plan and schedule for monitoring and evaluation of specific implementation contracts in accordance with approved criteria.
- (v) Provide support and training to relevant staff of the implementing agencies and subnational implementing agencies to ensure that the design and implementation of project-financed implementation contracts address monitoring and evaluation concerns.
- (vi) Mainstream the monitoring and evaluation practices of the technical staff, particularly the qualitative aspects, e.g., impact assessment, comparison of farmers' practices and new technologies, and satisfaction of the services provided.
- (vii) Review periodic monitoring reports received from districts and communes and prepare specific progress reports for submission to the project manager in accordance with reporting guidelines and procedures.
- (viii) Review and consolidate the 6-monthly districts progress reports for incorporation into the NCDDS report to produce the NCDDS's 6-monthly progress reports by 31 July and annual progress reports by 31 January for the use of the NCDMS for further reporting.
- (ix) Provide training in planning and in budgeting and reporting systems and procedures to staff of the districts and communes.
- (x) Provide the project manager with regular status reports, including information on progress made, issues outstanding, and action recommended.
- (xi) Ensure the implementation of gender action plan and that sex-disaggregated data are collected and reported.
- (xii) Undertake other tasks assigned by the project director.

## OUTLINE TERMS OF REFERENCE FOR CONSULTANTS

### A. General

1. Cambodia experiences drought and flood incidents that impact a significant portion of its poor population<sup>13</sup> every year. In 2009, Typhoon Ketsana affected 11 of the 24 provinces and caused damage of \$39 million. In 2011, Cambodia suffered extensive and prolonged rains (from August to October) which resulted in unprecedented floods in 18 of the 24 provinces. The floods had widespread impacts on public infrastructure and many communities, causing the death of 250 people and \$625 million in damages, and affecting more than 1.5 million people. In 2013, 20 provinces of Cambodia were again hit by a worse flood which caused the death of 168 people, with an initial estimated loss of about \$500 million in damages and affecting about 1.8 million people. As global climate conditions continue to change, Cambodia will experience increasingly unpredictable flood and drought occurrences that may overwhelm the country's limited capacity and resources.

2. The National Committee for Disaster Management (NCDM) was established in 1995 as the country's main disaster management agency to facilitate the interministerial responses to emergency and disaster events.<sup>14</sup> To address the existing issues and structural weaknesses of the country's disaster management capacity, two projects will be implemented: (i) the Strengthening Coordination for Management of Disasters technical assistance (TA) project to address disaster management issues at the national (policy) level, NCDM secretariat (NCDMS), and provincial level; and (ii) the Community-Based Disaster Risk Reduction grant project that will complement the planned institutional strengthening by institutionalizing community-based disaster risk reduction (DRR) and coordination through localized structures at the district and commune levels.

3. The consultant inputs will be utilized in coordination with proposed Strengthening Coordination for Management of Disasters TA project to strengthen the capacity of the government to implement the two projects in order to address the disaster management and coordination issues, including (i) developing capacities for policy formulation, (ii) enhancing mechanisms and capacities for disaster management coordination at all levels, (iii) enhancing the NCDMS's organizational management capacities to perform mandated functions, (iv) establishing a disaster management information system, and (v) strengthening the capacities of subnational disaster management committees. The TA will require an estimated 198 person-months of national consultant inputs, to be engaged through the individual consultant section process in accordance with ADB's Guidelines on the Use of Consultants (2013, as amended from time to time).

### B. Detailed Terms of Reference

4. **Team leader and disaster risk reduction specialist** (12 person-months, full-time national consultant to be engaged in year 3 after the completion of the Strengthening Coordination for Management of Disasters TA project and to be based at the NCDM).

5. The consultant will preferably have 7 years of experience in disaster management and DRR-related work with a master's or higher degree in climate change, environmental management, natural resource management, or a related discipline. The specialist will have experience as team leader and in assisting government institutions, preferably in Cambodia. The ability to work with governments (at the national and local levels), development partners, and civil society in building sustainable capacity to address disaster management and DRR and to report effectively in strategic consultations and in written reports is also required. Specific duties include the following:

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<sup>13</sup> Around 80% of Cambodia's poor people live in rural areas and are dependent on small-scale agricultural production for livelihood.

<sup>14</sup> National Policy for Emergency Management (NPEM) draft.

- (i) Manage the consulting team and take overall responsibility for ensuring production and delivery of quality outputs (inception report, progress reports, and final report) of the two Asian Development Bank (ADB)-financed projects.
- (ii) Coordinate the team's technical outputs, including baseline identification, assessment of vulnerabilities and impacts, climate change scenarios, and the selection and monitoring of the effectiveness of adaptation and mitigation measures, including economic analysis.
- (iii) Undertake consultations with key stakeholders—including line ministries, the private sector, and vulnerable communities—to validate DRR actions (e.g., waste management, water conservation, flood control, DRR, biodiversity protection, and climate proofing of infrastructure).
- (iv) Prepare a knowledge collection and monitoring plan, including objectives, roles and responsibilities, and communication and dissemination plan.
- (v) Support the NCDM in developing and implementing a knowledge management and communication strategy for the NCDM and National Committee for Sub-National Democratic Development Secretariat (NCDDS).
- (vi) Participate in review missions to assess the performance of the projects.
- (vii) Ensure the implementation of the gender action plan and that gender performance indicators in the design and monitoring framework are achieved.
- (viii) Ensure effective implementation of selected DRR measures, with due consideration to environmental and social safeguards, national agency and subnational regulations, and other compliance requirements.
- (ix) Coordinate awareness raising and capacity strengthening activities, such as
  - (a) preparing DRR action plans and operational guidelines for integrating;
  - (b) mainstreaming DRR concerns into local development plans of the NCDM and NCDDS;
  - (c) coordinating with the consultants, the NCDM, and NCDDS to ensure smooth implantation of the grant project;
  - (d) developing training materials such as guidebooks on adaptation (e.g., mainstreaming DRR in the local planning process);
  - (e) contributing to the workshop and training to present and discuss mainstreaming DRR at national and subnational levels, together with the NCDM and NCDDS;
  - (f) implementing an awareness raising campaign on DRR, and organizing seminars and workshops; and
  - (g) disseminating the TA and the grant project findings and project achievements in various local, national, regional, and international forums on climate change and by using public meetings and focus group discussions with community leaders and the media.

6. **Administration, finance, and procurement specialist** (12 person-months, full-time national consultant to be engaged in year 3 after the completion of the Strengthening Coordination for Management of Disasters TA project and to be based at the NCDM).

7. The TA will have a national long-term consultant to work as an administration, financial and procurement specialist. The specialist will preferably have 5 years of experience in administration, finance, and procurement with a bachelor's or higher degree in business administration or a related discipline. Experience in working with ADB or World Bank-financed projects will be an advantage. The ability to work with governments (at the national and local levels) is also required. The specialist is to be based at the NCDM office in Phnom Penh. He or she will work with the NCDM assigned staff to report to the project director and project manager and will carry out the following tasks:

- (i) Establish and maintain a program filing system, including recording and managing all incoming and outgoing correspondence.
- (ii) Draft correspondence on administrative and program matters and review official correspondence, documents, and reports for project manager and other staff.

- (iii) Assist preparation of program events including workshops, meetings, and training courses, including preparation of background documents, and provide secretarial support to such events as required.
- (iv) Assist the NCDM in managing grant inventory, personnel contracts, and procurement and bidding activities.
- (v) Translate from English to Khmer and vice versa and ensure that all translated document are accurate and have consistent usage of the terminology both in Khmer and English.
- (vi) Ensure quality check and proofreading of translations, ensuring that no typographical errors are left in the final text.
- (vii) Ensure all cash and bank payments are operated in compliance with ADB and government procedures.
- (viii) Ensure all payments and related transactions are kept up to date on a computerized accounting system.
- (ix) Ensure the filling system for all vouchers and documents is maintained properly.
- (x) Manage receipts, expenditures, and cash according to the regulations of the government and donors.
- (xi) Follow up with donors to request funds for projects in time.
- (xii) Assist the program manager to ensure the government and external financing for the project will be used and accounted for in accordance with the government regulations and ADB financing agreements.
- (xiii) Assist the project director and the program manager to respond to the audit reports and associated management letters.
- (xiv) Assist the program director and the program manager on how to address any financial management and procurement issues.
- (xv) Manage project procurement by implementing all policies and procedures related to procurement activities and ensuring that ADB procurement guidelines are followed in all transactions.
- (xvi) Undertake project procurement activities, such as reviewing technical specifications for goods and works, and researching the market for procurement bid lists.
- (xvii) Update the procurement plan on a regular basis.
- (xviii) Participate in project technical committees or component team meetings in order to ensure timely implementation progress and a focus on procurement-related activities.
- (xix) Undertake other procurement-related duties as required by the Project Management Unit.
- (xx) Perform other duties as requested by ADB and the government.
- (xxi) Advise the project manager and the procurement staff on the project's procurement functions in line with the government's requirements and systems and ADB financing agreements to ensure that the procurement processes and procedures are adhered to.
- (xxii) Assist the project director and the project manager from the NCDM and NCDDS and their financial and administration staff to respond to the audit reports and associated management letters.
- (xxiii) Provide financial management and procurement support, contract management, technical back up, and on-the-job training to the staff of the NCDM, provincial committees for disaster management (PCDMs), district committees for disaster management (DCDMs), and commune committees for disaster management (CCDMs) in respect of the detailed financial management and procurement tasks.
- (xxiv) Provide the project director, the project manager, and the team leader with regular progress reports, including information on progress made, issues outstanding, and action recommended.
- (xxv) Coach and assist the project director and project manager and the NCDMS and NCDDS finance and procurement staff in preparation of disbursement and procurement documents.

8. **Disaster risk reduction project specialist** (30 person-months, full-time national consultant to be engaged over the 3 years and to be based at the NCDDS).

9. The consultant will preferably have 7 years of experience in disaster management and DRR-related work with a master's or higher degree in climate change, environmental management, natural resource management, or a related discipline. The specialist will have experience as a project management advisor relevant to decentralization and deconcentration and in assisting government institutions, preferably in Cambodia. The ability to work with governments (at the national and local levels), development partners, and civil society in building sustainable capacity to address disaster management and DRR and to report effectively in strategic consultations and in written reports is also required. Specific duties include the following:

- (i) Coordinate with the consulting team engaged under the Strengthening Coordination for Management of Disasters TA project and take overall responsibility for advising and assisting the NCDMS in the production and delivery of quality outputs (quarterly progress reports, and final report) of the ADB-financed community-based DRR project.
- (ii) Coordinate the consulting team engaged under the Strengthening Coordination for Management of Disasters TA project, including baseline identification, assessment of vulnerabilities and impacts, climate change scenarios, and the selection and monitoring of the effectiveness of adaptation and mitigation measures, including economic analysis.
- (iii) Participate in consultations with key stakeholders—including line ministries, the private sector, and vulnerable communities including women—to validate DRR actions (e.g., waste management, water conservation, flood control, DRR, biodiversity protection, and climate proofing of infrastructure).
- (iv) Prepare a knowledge collection and monitoring plan, including objectives, roles and responsibilities, and communication and dissemination plan.
- (v) Support the NCDDDS in developing and implementing a knowledge management and communication strategy for the NCDDDS.
- (vi) Participate in review missions to assess the performance of the projects.
- (vii) Ensure effective implementation of selected DRR measures, with due consideration to environmental and social safeguards, national agency and subnational regulations, and other compliance requirements. Categorize all subprojects in component C using ADB's categorization check list, ensuring that subprojects with impacts on environment, involuntary resettlement, and indigenous peoples are excluded. Provide all categorization check lists to ADB prior to civil works bidding.
- (viii) Ensure that best practices and innovative approaches, including interventions which have supported women's resilience and empowerment, are documented and disseminated.
- (ix) Coordinate awareness raising and capacity strengthening activities, such as
  - (a) preparing DRR action plans and operational guidelines for integrating;
  - (b) mainstreaming DRR concerns into local development plans of the NCDM and NCDDDS;
  - (c) coordinating with other consultants, the NCDMS, and NCDDDS to ensure smooth implantation of the grant project;
  - (d) developing training materials such as guidebooks on DRR and climate change adaptation (CCA) and ensuring gender issues are included;
  - (e) contributing to the workshop and training to present and discuss mainstreaming DRR at national and subnational level, together with the NCDMS and NCDDDS;
  - (f) implementing an awareness raising campaign on DRR, and organizing seminars and workshops; and
  - (g) disseminating TA and grant project findings and project achievements in various local, national, regional, and international forums on climate change and by using public meetings and focus group discussions with community leaders and the media.

10. **District and commune disaster risk reduction mainstreaming and capacity building advisors** (six positions with a total of 144 person-months of national consultants to be engaged over 3 years of the Strengthening Coordination for Management of Disasters) to be based in each priority province under the supervision of the NCDDDS.



11. In each province, the project will have a national long-term provincial disaster management and DRR advisor working within the Provincial Planning Division (under instruction of the NCDDS) and a PCDM reporting to the chair of the NCDMS project manager. The consultant will preferably have 5 years of experience in handling disaster management and DRR projects with a bachelor's or higher degree in business administration, rural development, or a related discipline. Experience in working with ADB or World Bank-financed projects will be an advantage. The ability to work with governments (at the national and local levels) is also required. The specialist is to be based at the NCDM office in Phnom Penh. He or she will work with the NCDM assigned staff to report to the TA director and manager and will carry out the following tasks:

- (i) Coordinate all project activities within the province and provide a general oversight of the activities of the various service providers implementing project-financed activities.
- (ii) Manage capacity development at district and commune levels, e.g., initial training of the DCDM and CCDM and project orientation training for the staff of the relevant provincial and district administrative units.
- (iii) Participate in activities related to policy and reform at subnational level supported by the project.
- (iv) Liaise with other projects and programs to ensure that all disaster management and DRR action at commune and district and province levels are complementary.
- (v) Participate in the technical meetings and policy guidance meetings.
- (vi) Provide the NCDDS with regular financial statements and reports and quarterly progress reports, based on the information provided by the DCDMs and CCDMs.
- (vii) Assist in implementation of the gender action plan and ensure that sex-disaggregated data are collected and reported.
- (viii) Undertake other tasks as required by the NCDMS.

## IMPLEMENTATION SCHEDULE

Activities	2014	2015	2016	2017
<b>Output 1. Institutional and technical capacity of priority districts on disaster risk reduction and management improved.</b>				
1.10 Review staffing and equipments and facilities for DCDMs				
1.11 Assess training needs including the understanding on gender issues and train district staff on disaster and climate change policies i.e. (CBDRR strategy)				
1.12 Form multi-sectoral disaster response teams (DRT) with women staff participation of at least 30%				
1.13 Train DCDMs in CBDRR (standardized tools for HVCA/CVCA, CIP, early warning, behavior change communication, DANA, WASH etc.)				
1.14 Prepare and/or revise district-wide DRR/climate change adaptation plans. (Y1)				
1.15 Organize district wide simulation exercises with women's participation of at least 30%				
1.16 Organize coordination meetings with CCDMs and active NGOs				
1.17 Support humanitarian relief operations of affected communes				
1.18 Collect and share information to support disaster management				
<b>Output 2. Capacity of target communes for disaster risk reduction and management enhanced.</b>				
2.8 Form and train CCDMs on DRR and climate change adaptation				
2.9 Identify commune risk reduction and climate adaptation priorities				
2.10 Prepare and/or revise communes DRR /CCA plans in target communes				
2.11 Organize commune wide simulation exercises				
2.12 Coordinate with DRR/DRM teams, village chiefs and NGOs				
2.13 Support to humanitarian relief operations to affected communities				
2.14 Collect and share information to support disaster management.				
<b>Output 3. Community Based Disaster Risk Reduction and Climate Change Adaptation activities implemented.</b>				
3.10 Conduct Participatory Village Hazard and Vulnerability Capacity Assessments (HVCA) including climate change vulnerabilities with women participations of at least 30%				
3.11 Develop local educational curriculum on DRR and climate change				
3.12 Establish DRR funds at the selected communes and prepared necessary guidelines for the use of these funds and provide required trainings				
3.13 Identify priority DRR activities for DIP and CIP				
3.14 Conduct feasibility study, prepare project design, organize project management committee, organize bidding and monitoring and implementing the projects				
3.15 Identify and implement DRR activities at the community level (safe areas, early warning, WASH, livelihood adaptation, awareness raising activities)				
3.16 Organize gender inclusive DRR/CCA support/user groups				
3.17 Organize public awareness campaigns on DRR/CCA for target communes				



## Procurement Plan

<b>Project Name: Community-Based Disaster Risk Reduction</b>	
<b>Grant Amount \$:</b> \$2.500 million JFPR \$ 0.441 million financed by Government of Cambodia	Executing Agencies: National Committee for Disaster Management Secretariat (NCDMS)
<b>Date of first Procurement</b> 1 May 2014	<b>Date of this Procurement Plan</b> 22 January 2014

### I. Process Thresholds, Review, and 18-Month Procurement Plan

#### A. Procurement Method and Thresholds

1. The following methods and thresholds will apply to the project in the procurement of goods and works:

Method	Threshold	Comments
Shopping for Works	Up to \$100,000	Post (First set of bidding and bid evaluation report, irrespective of value, shall be prior reviewed. Subsequently, subject to satisfactory review of the first package)
Shopping for Goods	Up to \$100,000	Post (First set of bidding and bid evaluation report, irrespective of value, shall be prior reviewed. Subsequently, subject to satisfactory review of the first package)
Shopping for Small Scale Civil Works through District's PIM <sup>a</sup>	Up to \$35,000	Post (First set of bidding and bid evaluation report, irrespective of value, shall be prior reviewed. Subsequently, subject to satisfactory review of the first package)
Shopping for Works through Commune/Sangkat PIM	Up to \$25,000	Post (First set of bidding and bid evaluation report, irrespective of value, shall be prior reviewed. Subsequently, subject to satisfactory review of the first package)

PIM = Project Implementation Manual.

<sup>a</sup> A PIM will be developed by the National Committee for Sub-National Democratic Development Secretariat and submitted to the Asian Development Bank for review and endorsement. At the commune level, shopping of small scale civil work will follow the existing PIM issued by Government in 2009.

2. The following methods and thresholds will apply to the project in the procurement of services:

Recruitment of Consulting Firms		
Procurement Method	Prior or Post Review	Comments
Consultant's Qualification Selection	Prior	
Individual Consultant Selection	Prior	

**B. Goods and Works Contracts Estimated to Cost More Than \$1 Million**

3. Not Applicable.

**C. Consulting Services Contracts and International and National Service Providers as Project Advisors Estimated to Cost More than \$100,000**

4. Not Applicable.

**D. Goods and Works Contracts Estimated to Cost Less than \$1 Million and Consulting Services Contracts Less than \$100,000**

5. The following table groups smaller-value goods and works contracts for which procurement activity is either ongoing or expected to commence within the next 18 months.

<b>General Description</b>	<b>Value of Contracts (\$, cumulative)</b>	<b>Number of Contracts</b>	<b>Procurement/ Recruitment Method</b>	<b>Comments</b>
Small-scale civil works (under district DRR/CCA funds)	400,000	Estimated 12 contracts	Shopping for works through district PIM	Q3 2015, districts with support from NCDDDS
Small-scale civil works (under commune DRR/CCA funds) 10,200	480,000	Estimated 24 contracts	Shopping for works through commune/ <i>sangkat</i> PIM	Q2 2015, communes with support from NCDDDS
Supply of 14 motorcycles	23,800	Two contracts	Shopping	Q4 2014, NCDMS and NCDDDS
Computers and printers (13 computers, printers)	17,000	Two contracts	Shopping	Q4 2014, NCDMS and NCDDDS
ICT training for 18 districts	36,000	One contract	CQS	Q1 2015, NCDMS
ICT training for 54 communes	58,800	One contract	CQS	Q2 2015, NCDMS
Baseline survey	30,000	One contract	CQS	Q4 2014, NCDMS
Project impact assessment	30,000	One contract	CQS	Q1 2017, NCDMS
Consultants	100,000	Multiple contracts	ICS	Q3–4 2014, NCDDDS

CCA = climate change adaptation, DRR = disaster risk reduction, ICT = information and communication technology, NCDMS = National Committee for Disaster Management Secretariat, NCDDDS = National Committee for Democratic Development Secretariat, CQS = consultant's qualification selection, ICS = individual consultant selection, PIM = Project Implementation Manual, Q = Quarter

## II. Project Procurement Plan

6. The following tables provide an indicative list of all procurement (goods and works, and consulting services) over the life of the project.

<b>Goods and Works</b>					
<b>General Description</b>	<b>Estimated Value (\$, cumulative)</b>	<b>Estimated Number of Contracts</b>	<b>Procurement Method</b>	<b>Domestic Preference Applicable</b>	<b>Comments</b>
Small-scale civil works (under district DRR/CCA funds)	400,000	Estimated 12 contracts	Shopping for works through district PIM		Q3 2015, districts with support from NCDDS
Small-scale civil works (under commune DRR/CCA funds)	480,000	Estimated 24 contracts	Shopping for works through commune/sangkat PIM		Q2 2015, communes with support from NCDDS
Supply of 14 motorcycles	23,800	Two contracts	Shopping		Q4 2014 NCDMS and NCDDS
Computers and printers (13 computers and printers)	17,000	Two contracts	Shopping		Q4 2014 NCDMS and NCDDS

CCA = climate change adaptation, DRR = disaster risk reduction, NCDDS = National Democratic Development Secretariat, NCDMS = National Committee for Disaster Management.

<b>Consultants</b>					
<b>General Description</b>	<b>Estimated Value (\$, cumulative)</b>	<b>Estimated Number of Contracts</b>	<b>Recruitment Method</b>	<b>Type of Proposal</b>	<b>Comments</b>
ICT training for 18 districts	36,000	One contract	CQS	BTP	Q1 2015 NCDMS
ICT training for 54 communes	58,800	One contract	CQS	BTP	Q2 2015 NCDMS
Baseline survey	30,000	One contract	CQS	BTP	Q4 2014 NCDMS
Project impact assessment	30,000	One contract	CQS	BTP	Q1 2017 NCDMS
Consultants	320,000	Multiple contracts	ICS		Q3–Q4 2014 NCDMS and NCDDS

BTP = biodata technical proposal, CQS = consultant qualification selection, ICS = individual consultant selection, ICT = information and communication technology, NCDDS = National Democratic Development Secretariat, NCDMS = National Committee for Disaster Management Secretariat.

### **III. National Competitive Bidding Annex**

#### **A. General**

7. The procedures to be followed for national competitive bidding shall be those set forth for the national competitive bidding method in the government's Procurement Manual of May 2012 issued under Sub Decree Number 74 ANKR.BK dated 22 May 2012 with the clarifications and modifications described in the following paragraphs required for compliance with the provisions of the procurement guidelines.

#### **B. Application**

8. Contract packages subject to national competitive bidding procedures will be those identified as such in the project procurement plan. Any changes to the mode of procurement from those provided in the procurement plan shall be made through updating of the procurement plan, and only with prior approval of the Asian Development Bank (ADB).

#### **C. Eligibility**

9. Bidders shall not be declared ineligible or prohibited from bidding on the basis of barring procedures or sanction lists, except individuals and firms sanctioned by ADB, without prior approval of ADB.

#### **D. Advertising**

10. Bidding of national competitive bidding contracts estimated at \$500,000 or more for goods and related services or \$1,000,000 or more for civil works shall be advertised on ADB's website via the posting of the procurement plan.

#### **E. Anticorruption**

11. Definitions of corrupt, fraudulent, collusive, and coercive practices shall reflect the latest ADB Board-approved Anticorruption Policy definitions of these terms and related additional provisions.

#### **F. Rejection of all Bids and Rebidding**

12. Bids shall not be rejected and new bids solicited without ADB's prior concurrence.

#### **G. Bidding Documents**

13. The bidding documents provided with the government's procurement manual shall be used to the extent possible. The first draft English-language version of the procurement documents shall be submitted for ADB review and approval, regardless of the estimated contract amount, in accordance with agreed review procedures (post and prior review). The ADB-approved procurement documents will then be used as a model for all procurement financed by ADB for the project, and need not be subjected to further review unless specified in the procurement plan.

#### **H. Member Country Restrictions**

14. Bidders must be nationals of member countries of ADB, and offered goods, works, and services must be produced in and supplied from member countries of ADB.

## LIST OF PRIORITY DISTRICTS AND COMMUNES

Province	District	Commune
1. Battambang	1. Thma Koul	1. Anlong Run
		2. Ta Pung
		3. Ta Meun
	2. Bavel	4. Bavel
		5. Prey Khpos
		6. Ampil Pram Daeum
	3. Sankhae	7. Kampong Preang
		8. Kampong Preah
		9. Ta Pon
2. Banteay Meanchey	4. Ou Chrov	10. Ou Bei Choan
		11. Changha
		12. Khuttasat
	5. Mongkol Borei	13. Rohat Tuek
		14. Ba Trang
		15. Koy Maeng
6. Preah Netr Preah	16. Rohal	
	17. Phnom Liep	
	18. Prasat	
3. Kampong Cham	7. Kaoh Soutin	37. Kampong Reab
		38. Kaoh Soutin
		39. PeaM Prathnuah
	8. Kampong Siem	40. Kaoh Tontuem
		41. Kaoh Roka
	9. Kang Meas	42. Kien Chrey
		43. Angkor Ban
		44. Sour Kong
4. Kampong Thom	10. Kampong Svay	45. Khchau
		28. Kampong Svay
		29. Kampong Kou
	11. Prasat Sambour	30. Prey Kuy
		31. Koul
		32. Chhuk
	12. Sandan	33. Tang Krasau
		34. Sandan
		35. Mean Chey
36. Chheu Teal		
5. Prey Veng	13. Peam Chor	46. Angkor Angk
		47. Kampong Prasat
		48. Kaoh Sampov
	14. Preash Sdach	49. Reathor
		50. Boeng Daol
		51. Preas Sdach
15. Pea Reang	52. Prey Sralet	
	53. Mesa Prachan	
	54. Kanhcham	
6. Siem Reap	16. Puok	19. Lvea
		20. Keo Poar
		21. Doun Keo
	17. Kralanh	22. Ta An
		23. Sranal
		24. Sambuor
	18. Chi Kraeng	25. Chi Kraeng
		26. Lveang Ruessei
		27. Spean Tnaot