

**INTEGRATED SAFEGUARDS DATA SHEET
APPRAISAL STAGE**

Report No.: ISDSA13618

Date ISDS Prepared/Updated: 24-Jun-2015

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I. BASIC INFORMATION

1. Basic Project Data

Country:	Cambodia	Project ID:	P146160
Project Name:	Voice and Action: Social Accountability for Improved Service Delivery (P146160)		
Task Team Leader(s):	Janelle Plummer		
Estimated Appraisal Date:	31-Aug-2015	Estimated Board Date:	15-Oct-2015
Managing Unit:	GSURR	Lending Instrument:	Investment Project Financing
Sector(s):	Sub-national government administration (40%), Primary education (30%), Health (30%)		
Theme(s):	Decentralization (20%), Other social development (20%), Education for all (20%), Health system performance (20%), Rural services and infrastructure (20%)		
Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?			No
Financing (In USD Million)			
Total Project Cost:	5.00	Total Bank Financing:	0.00
Financing Gap:	0.00		
Financing Source			Amount
Borrower			0.00
Japan Social Development Fund			5.00
Total			5.00
Environmental Category:	C - Not Required		
Is this a Repeater project?	No		

2. Project Development Objective(s)

The PDO is to support the improvement of service delivery in schools, health centers and communes, for rural households in selected districts. This will be achieved by local government and service

providers engaging with communities in the ISAF process (access to information, open budgets, citizen monitoring) to improve performance and responsiveness.

3. Project Description

The proposed grant will support the development and implementation of an innovative approach to social accountability to improve local level services and functions in Cambodia. The Social Accountability Framework, which the proposed grant will implement and test, links together demand side activity (that will be carried out by civil society) and supply side activity (that will be carried out by national and local government) around three substantive strategies that have the possibility of transforming local governance processes:

- Access to information on rights, standards, targets and performance. Entirely new information flows to communities will be executed by government through “information for citizens” (I4C) packs generated nationally and locally. Public display materials on rights and standards, together with guidelines are all complete. The simplification of templates to post performance information is complete and the instructions for districts to generate data locally are in place. Then ISAF, rightly, allocates the task of information generation and display to government but the awareness building to civil society. The grant will finance all the I4C awareness building activities for citizens (men, women and youth) to access and use information. It will also finance local level capacity building facilitating joint state – non-state capacity development and dialogue.
- Open local budgets. The ISAF intends that budgets and expenditures in communes/districts, schools and health centers will be systematically published and posted by government. In 2014, the processes were developed and tested by government to start roll-out in 2015. The grant will facilitate the processes of budget literacy and strengthening inquiry of these budgets and expenditures with regards to service delivery needs.
- Citizen monitoring and action plans. Citizen monitoring builds on the previous stages that have informed and empowered citizens with information on service standards and rights, and introduces a facilitated citizen monitoring mechanism to obtain grass-roots feedback from women, children, youth as well as men and village leadership, in three areas –health centers, schools and communes. The citizen monitoring process in the ISAF is a community scorecard, which will result in a Joint Accountability Action Plan. The grant will finance local NGO partners to facilitate these processes including the development of a cadre of 4-6 community accountability facilitators in each commune (60% women).

Component A: Access to Information and Budgets, Citizen Monitoring

Component A of the proposed Voice and Action Project aims to provide support to local civil society to implement the defined information, budget and citizen monitoring activities in 59 districts in ten target provinces. The IAs will initiate the proposed grant with local CSO and CBO partners through community engagement and mobilization strategies that emphasize the roles of women, and children/youth and pays attention to ethnic minorities where applicable. Local staff and CSO partners will lead activities which support: (i) the awareness building of Information for Citizens (I4C) – promoting the understanding and use of local information sets to empower citizens, and promoting budget literacy in relation to communes, health centers and schools; (ii) the citizen monitoring, a facilitated process of participatory monitoring on communes, health centers and schools, to be undertaken through a community scorecard process; and (iii) action planning with councilors, service providers and line ministry officials through the development and dissemination of results and joint accountability action plans (JAAPs) for community, service provider, commune and district department action. Implementation of these activities becomes an integral part of the commune/

district calendar and service delivery planning and budgeting cycles.

For effective engagement, citizens require information on government policy, on standards of service and governance they can expect, on budgets and annual expenditures, on targets for services being provided, and on the actual performance achieved. Information for citizen packs provides this information for sectors of priority interest to citizens at the local level (i.e. communes, health services delivered by local health centers and primary schools). The I4Cs present data in a simplified way which is easy for citizens to understand and which facilitates discussion and action on performance and service delivery improvement. Community Accountability Facilitators (CAFs) supported and mentored by local CSO partners, ensure that I4C data is publicly posted in each service center in each target commune. They review and validate the data included in I4C packs and conduct outreach activities at village and commune level to help community members understand and use the information.

Armed with the awareness built and the information contained in the I4C packs, citizens are then invited to participate in a process of assessing local services and planning actions for improvement. In the context of a well-defined process (based on a community scorecard methodology), service providers and service users each conduct their own assessment of the performance of priority local services (i.e. health centers, primary schools, communes), and prioritize actions for improvement. Service user and providers then come together in an interface meeting to share their respective assessments and to agree a common set of priority actions. In a final multi-sector interface meeting, priorities from these sectors are agreed in a commune-level Joint Accountability Action Plan (JAAP). Local stakeholders can jointly expand the sector focus from this core set.

The process is linked in with the Government cycle of decision-making and budgeting. JAAPs are subsequently disseminated at village and district level (and presented at the District Integration Workshop). A joint JAAP Committee (comprised of local officials, service providers and community representatives) supports and monitors the implementation of the JAAP. Each step of the citizen monitoring and joint action-planning process is guided and facilitated by local CSO partners and CAFs, using tried and tested techniques to ensure constructive dialogue, manage conflict and promote equitable participation and democratic decision-making. Underpinning these processes, is the capacity development of all concerned stakeholders and, in particular, a cadre of Community Accountability Facilitators.

Component B: Capacity Building and Facilitation

The I-SAF, which the proposed grants will implement, recognizes that in order to successfully implement the activities outlined under Component A, there is a need to strengthen the capacity and skills of all stakeholders involved in the process – from implementing partners, to local officials, community leaders and ordinary citizens. Component B aims to enhance the capacity and empowerment of local level (state and non-state) stakeholders to support and implement processes of social accountability. Specifically, the grants will: (i) create a cadre of trained local community accountability facilitators; (ii) build the capacity of local civil society partners to mentor and coach the community facilitators to carry out the planned information, budget, citizen monitoring and action-planning activities; and, (iii) provide a platform and defined process and guidelines for ongoing dialogue between government service providers and citizens, mediated by commune councils, local CSOs and community facilitators.

The overall approach to capacity building is guided by the I-SAF supply and demand-side operation manuals which detail the Annual Cycle of I-SAF Activities. A Capacity Building Framework for the I-SAF (I-SAF-CB Framework) further sets out the scope and nature of the mechanisms and processes needed to build capacity and awareness of the I-SAF and provides an overall framework for capacity building to achieve project objectives.

Community accountability facilitators (CAFs) and local CSO partners are supported and trained to be “brokers” of social accountability processes, including citizen monitoring and action-planning. A key element of the I-SAF is the training and mentoring of a critical mass of these volunteers to support and implement social accountability activities at community level. Under the I-SAF, four volunteer Community Accountability Facilitators (CAFs) from each target commune are identified by local CSO partners in collaboration with community-based organizations. CAFs are trained, mentored and reimbursed for expenses incurred in carrying out I-SAF activities.

CAFs receive a total of 16 days of workshop training (four 4-day modules) and conduct “learning by doing” days for each module, during which they are supported and mentored by the local CSO partner. These activities include: mobilising community support for the I-SAF, conducting outreach to explain I4Cs and open budgets to community members, supporting and facilitating the citizen monitoring process and helping to disseminate and implement the JAAP. CAFs who complete the full annual cycle receive certification and are encouraged to continue to support the implementation of the SAF on an on-going basis, supported by a national Community of Practice.

A key principle of the SAF which draws on lessons learnt for effective citizen engagement is that capacity building processes should be joint. Accordingly, selected local level officials and service providers (from communes, health centers and primary schools) are also invited to participate in the training – allowing them to learn about I-SAF principles and practices and to develop working relationships with CAFs and local CSO partners.

Component C: Project Management, Monitoring and Evaluation, and Knowledge Dissemination

The V&A project will be managed and implemented by two international NGOs working with local NGO partners or local offices. The two IAs will each be responsible for management, coordination and implementation of the program, including procurement, disbursement and financial management. The Implementing Agencies have agreed a set of 22 districts for the first year of implementation, based on existing capacities of governments and local NGO partners to initiate and undertake the I-SAF processes. The project will then be extended to the remaining 31 districts in the second and third years/cycles (plus six Control districts), for a total of 59 districts. The latter years will incorporate the learning of the previous years and refine approaches and tools. Ongoing support for the cycle of activities will continue for each participating district/commune for the remaining duration of the project. All civil society activities will be carefully coordinated with supply-side I-SAF activities

Through local NGO partners, CBOs and local offices, the grant will build awareness and capacity of the selected communities to engage with /conduct the SAF processes: local information, open budgets and citizen monitoring including facilitation support for the implementation of community scorecards and community action planning.. Each local partner or office has on-the-ground experience and presence and understanding of their local communities.

While recognizing that time is needed for outcome level change through enhanced accountability, the approaches focus on results. The M&E plan consists of three primary elements: (i) An Impact evaluation which will measure performance improvement and citizen empowerment and voice, and will separately report results for poor citizens; and a qualitative Empowerment and Capability study. (ii) Regular Monitoring. Intermediate results will be tracked for the three key activity sets (information awareness building, budget literacy, citizen scorecard actions, and facilitation capacity). (iii) Process audits will be conducted annually to contribute to better understanding of the fundamental elements of the demand-side ISAF processes (e.g. participation, inclusion, facilitation, joint action), through (a) multi-stakeholder learning forums and (b) qualitative technical process evaluations. All data will be gender disaggregated.

4. Project location and salient physical characteristics relevant to the safeguard analysis (if known)

The project is located in 10 provinces of Cambodia, and two of these provinces (Stung Treng and Kratie) will involve the implementing agencies working to develop the capacity of indigenous peoples to engage as citizens in processes intended to improve local governance and local service delivery in communes, health centers and schools. In the provinces of Stung Treng and Kratie, 11% and 16%, respectively of the population belong to ethnic minorities. In Stung Treng, the population is approximately 3% each of the Kuy, Kavet, and Cham groups. In Kratie, the Cham are the largest group at 4.3%, as well as 3.9% Phnong, and 2.7% of both Kuy and Stieng people. These indigenous and ethnic minorities count for 64,431 people or approximately 1.6% of the targeted beneficiaries in this project. Ethnic minorities are physically, socially and economically marginalized from the rest of Cambodia. The project objectives coincide with the IP policy (see section 22 , items c, d, and f) as it is inclusive, it addresses gender and intergenerational issues, including special needs of women, and strengthens the capacity of IP communities to prepare, implement, monitor, and evaluate local services and development. To satisfy the requirements of OP 4.10, the Task Team will incorporate the elements of the IP policy in the project documents (PAD) by including a specific engagement protocol to be used in consultations and subsequent activities in indigenous communities which explicitly meets the key requirements of the IP policy. The detailed tables showing target areas by district are available in the Project Paper.

5. Environmental and Social Safeguards Specialists

Satoshi Ishihara (GSURR)

Sybounheung Phandanouvong (GSURR)

6. Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	No	This policy is not triggered because the proposed program will not finance any civil work or activities, which may result in potential environmental impacts. The program's interventions are essentially consultative measures and organizational actions taken to improve local service delivery to communities.
Natural Habitats OP/BP 4.04	No	The program will not be implemented in an area of natural habitats. Hence, this safeguard policy is not applicable.
Forests OP/BP 4.36	No	Similarly, this policy is not triggered as the program will not be implemented in any forest area.

Pest Management OP 4.09	No	This policy is not triggered as the program will not finance any activities related to the pesticides.
Physical Cultural Resources OP/BP 4.11	No	As mentioned above, the program will not support any work that may affect any types of local physical cultural resources.
Indigenous Peoples OP/ BP 4.10	Yes	Two of the project target provinces (Stoeung and Treng Kratie) are home to indigenous minorities. Approximately 11% and 16%, respectively of the provincial populations belong to ethnic minorities. In Stung Treng, the population is approximately 3% each of the Kuy, Kavet, and Cham groups. In Kratie, the Cham are the largest group at 4.3%, as well as 3.9% Phnong, and 2.7% of both Kuy and Stieng people. These indigenous and ethnic minorities count for 64,431 people or approximately 1.6% of the targeted beneficiaries in this project. Each has their own cultural uniqueness and non-Khmer languages. The program's objectives coincide with the IP policy (see section 22 , items c, d, and f) as it is inclusive, it addresses gender and intergenerational issues, including special needs of women, and strengthens the capacity of IP communities to prepare, implement, monitor, and evaluate development programs. To satisfy the requirements of OP 4.10, the Task Team will incorporate the elements of the IP policy in the project documents (PAD) by including a specific engagement protocol to be used in consultations and subsequent activities in indigenous communities which explicitly meets the key requirements of the IP policy. The IP Engagement Policy is available in Khmer.
Involuntary Resettlement OP/BP 4.12	No	As the proposed program activities will not require resettlement and land acquisition, this safeguard policy is not triggered.
Safety of Dams OP/BP 4.37	No	This policy is not triggered as the program will not finance any dam or irrigation schemes.
Projects on International Waterways OP/BP 7.50	No	No activities under this program will affect international water resources and waterways. Hence this policy is not triggered.
Projects in Disputed Areas OP/BP 7.60	No	The project is not being implemented in disputed areas.

II. Key Safeguard Policy Issues and Their Management

A. Summary of Key Safeguard Issues

<p>1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:</p>
<p>No major safeguard issues are anticipated from the proposed grant as it will not finance any civil works or activities that could potentially result in environmental and social impacts. The program will support the development and implementation of an innovative approach to social</p>

<p>accountability to improve local level services and functions in the above listed 10 provinces of Cambodia. Two of the project target provinces (Stoeung and Treng Kratie) are home to indigenous minorities. Approximately 11% and 16%, respectively of the provincial populations belong to ethnic minorities among them Tampuan, Kuy, Jaria, Phnong, Kreung, Kavaet, Brou, Stieng, Lun and others.</p>
<p>2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:</p>
<p>The program interventions are expected to bring about long term positive impacts, which will result in IP communities that are empowered to prepare, implement, monitor, and evaluate local services and development. This could in turn contribute to enhanced social accountability and transparency as well as sustainability of the local services delivery and development investments.</p>
<p>3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.</p>
<p>Not applicable.</p>
<p>4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.</p>
<p>The program's objectives coincide with the IP policy (see section 22 , items c, d, and f in the PAD) as it is inclusive, it addresses gender and intergenerational issues, including special needs of women, and strengthens the capacity of IP communities to prepare, implement, monitor, and evaluate development programs. A specific IP engagement protocol has been developed to be used in consultations and subsequent activities in indigenous communities which explicitly meets the key requirements of the IP policy. The process and activities outlined in the protocol will enable meaningful consultation with and participation of IPs in the project area. The capacity of the grant recipients to apply and adhere to the bank safeguard policies is high. Save the Children (the IA working in the areas populated by IPs) is an implementing agency with a sound reputation, and track record in working with indigenous groups. The IP Engagement Protocol in the PAD sets out the process and activities that will be undertaken to adapt the social accountability framework to local languages and build awareness among non-Khmer speaking groups. Save the Children will recruit ethnic staff to help with effective communication and consultation with ethnic people.</p>
<p>5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.</p>
<p>The IP Engagement Protocol will be disclosed in the Infoshop on approval. It is also available in both Khmer and English languages in the country and on the website of Save the Children. The protocol will be used in consultation with ethnic communities in a free, prior and informed consent manner in order to establish community board support for the program. It will be also used for implementation of subsequent activities under the program.</p>

B. Disclosure Requirements

Indigenous Peoples Development Plan/Framework	
Date of receipt by the Bank	24-Jun-2015
Date of submission to InfoShop	30-Jun-2015
"In country" Disclosure	
Cambodia	30-Jun-2015
<i>Comments:</i> As this is a category C project, the instrument developed is an IP Engagement Protocol.	

If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.
If in-country disclosure of any of the above documents is not expected, please explain why:
not applicable

C. Compliance Monitoring Indicators at the Corporate Level

OP/BP 4.10 - Indigenous Peoples	
Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
If the whole project is designed to benefit IP, has the design been reviewed and approved by the Regional Social Development Unit or Practice Manager?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
The World Bank Policy on Disclosure of Information	
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
All Safeguard Policies	
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Have costs related to safeguard policy measures been included in the project cost?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]

III. APPROVALS

Task Team Leader(s):	Name: Janelle Plummer	
<i>Approved By</i>		
Safeguards Advisor:	Name: Peter Leonard (SA)	Date: 24-Jun-2015
Practice Manager/ Manager:	Name: Jan Weetjens (PMGR)	Date: 24-Jun-2015