

LOCAL  
STAKEHOLDER  
ENGAGEMENT  
IN THE  
PROGRAMS  
OF THE  
**CLIMATE  
INVESTMENT  
FUNDS (CIF)  
IN CAMBODIA**



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PHNOM PENH,  
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LIVE&LEARN  
CAMBODIA



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**Disclaimer:** This case study draws on work from a number of sources and has not undergone a full academic peer review. The views of opinions expressed in this case study are those of the authors and engaged stakeholders, and do not necessarily represent those of Live & Learn Cambodia, CIF, ADB, or the World Bank.

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# CONTENT

<b>EXECUTIVE SUMMARY</b> .....	11
<b>1. INTRODUCTION</b> .....	12
1.1 ABOUT THIS STUDY .....	14
<b>2. METHODOLOGY</b> .....	17
2.1 INCLUSIVE CASE STUDY SELECTION .....	17
2.2 DATA COLLECTION .....	18
2.3 STAKEHOLDER MAPPING .....	19
2.4 PARTICIPATION ANALYSIS .....	20
2.5 THEORY OF CHANGE FOR LSE .....	21
<b>3. KEY FINDINGS</b> .....	22
3.1 LSE AND INFORMATION SHARING .....	22
3.2 LSE AND CONSULTATIONS .....	22
3.3 LSE AND PARTNERSHIPS .....	23
3.4 LSE AT THE COUNTRY AND PROJECT LEVEL .....	24
3.5 LSE AND GENDER .....	24
<b>4. KEY LESSONS LEARNED</b> .....	25
<b>5. CONCLUSION</b> .....	28
<b>6. REFERENCES</b> .....	29
<b>ANNEX A</b> .....	30
PROFILE OF CLIMATE INVESTMENT FUNDS IN CAMBODIA .....	30
<b>ANNEX B</b> .....	32
STAKEHOLDERS IN PILOT PROGRAM FOR CLIMATE RESILIENCE .....	32
<b>ANNEX C</b> .....	33
EVALUATION MATRIX .....	33
<b>ANNEX D</b> .....	35
ACTIVITIES OF FIELDWORK AND DATA COLLECTION .....	35

# LIST OF ABBREVIATIONS

- AF:** Adaptation Fund
- ADB:** Asian Development Bank
- CC:** Climate Change
- CCA:** Climate Change Adaptation
- CCCA:** Community-Based Climate Change Adaptation
- CCCN:** Cambodia Climate Change Network
- CCTT:** The Inter-Ministerial Climate Change Technical Team
- CDP:** Commune Development Planning
- CEDAC:** Cambodian Centre For Study And Development In Agriculture
- CIF:** Climate Investment Funds
- CIP:** Commune Investment Programs
- CF:** Community Forest
- CMDP:** Community Management Development Partner
- CPA:** Community Protected Areas
- CO<sub>2</sub>:** Carbon Dioxide
- CSO:** Civil Society Organization
- CSSM:** Civil Society Support Mechanism
- CTF:** Clean Technology Fund
- CV:** Climate Variability
- DRR:** Disaster Risk Reduction
- E&L:** Evaluation And Learning Initiative
- FIP:** Forest Investment Program
- GEF:** Global Environment Facility
- GWH/Y:** Gigawatt-Hour Per Year
- IIRR:** International Institution Of Rural Reconstruction
- IP:** Investment Plan
- KWH:** Kilowatt-Hour
- LI:** Learning Institute
- LLC:** Live & Learn Cambodia

- LSE:** Local Stakeholder Engagement
- MAFF:** Ministry of Agriculture, Forestry and Fisheries
- MDBs:** Multilateral Development Banks
- MCRDP:** Mainstreaming Climate Resilience Into Development Planning
- MEF:** Ministry Of Economy And Finance
- MIPAD:** Mondulkiri Indigenous People's Association For Development
- MME:** Ministry Of Mines And Energy
- MW:** Megawatt
- MOE:** Ministry Of Environment
- MoWRAM:** Ministry Of Water Resources And Meteorology
- MPWT:** Ministry Of Public Works And Transport
- M&E:** Monitoring And Evaluation
- NAPA:** National Adaptation Program Of Action
- NCCC:** National Climate Change Committee
- PIC:** Plan International Cambodia
- PIU:** Project Implementation Unit
- PPCR:** Pilot Program For Climate Resilience
- RGC:** Royal Government Of Cambodia
- RE:** Renewable Energy
- SAN:** Stakeholder Advisory Network
- SCF:** Strategic Climate Fund
- SPCR:** Strategic Program For Climate Resilience
- SREP:** Scaling Up Renewable Energy Program In Low Income Countries
- TA:** Technical Assistance
- TFC:** Trust Fund Committee
- TCO2E:** Tons Of Carbon Dioxide Equivalent
- UN:** United Nations
- USD:** United States Dollar
- VRA:** Vulnerability Reduction Assessment





# EXECUTIVE SUMMARY

This case study adds to the growing body of work on local stakeholder engagement (LSE) and explores the benefits and effectiveness of LSE in Climate Investment Funds (CIF) programs in Cambodia.

The CIF adheres to a programmatic approach that relies on robust stakeholder engagement to develop and implement its programs and projects. A programmatic approach is one that builds on existing national policies and initiatives while being led by government focal points and multilateral development bank implementing partners – such as the Asian Development Bank (ADB).

This study presents a number of successes, challenges, and lessons learned from a local stakeholder perspective that helps to inform the ongoing Cambodia Pilot Program for Climate Resilience (PPCR), which includes the Mainstreaming Climate Resilience into Development Planning - Civil Society Support Mechanism (MCRDP-CSSM). This study does not cover the Cambodia Scaling-up Renewable Energy in Low Income Countries Program (SREP) or the Forest Investment Program (FIP), but its findings may inform ongoing Cambodia SREP and FIP Programming.

This study's fieldwork was carried out over a four-week period (August to September 2018) and the results were presented at three national consultative workshops.

## DATA COLLECTION AND INFORMATION GATHERING METHODS:

- Literature review
- Consultative workshops
- Focus group discussions with beneficiaries and project implementers
- Interviews with beneficiaries, local authorities, project staffs, and other stakeholders
- Project site observation

Key findings of this study are grouped around the concepts of information sharing, consultation, and partnership and are found in section three. Lessons learned from the Cambodia experience are listed in section four.

## KEY FINDINGS:

### **Information sharing:**

The CIF programmatic approach informs stakeholders of climate risks and vulnerabilities, a key input to the development of the Strategic Program for Climate Resilience (SPCR).

### **Consultation:**

Consultations during the SPCR process considered the views of local stakeholders on the design of PPCR activities, monitoring and evaluation, results, and impacts.

### **Partnership:**

PPCR resources were allocated through a CSO Support Mechanism (CSSM) to help CSOs become fully functioning partners within the SPCR.

# 1. INTRODUCTION

In 2008, governments and the multilateral development banks (MDBs) came together to establish the Climate Investment Funds (CIF) to provide new and additional financing in the form of grants, concessional loans, and risk mitigation instruments to complement existing bilateral and multilateral financing mechanisms, meant to mitigate and adapt to climate change. Today, the CIF administers over 300 investments in 72 developing and middle- and low-income countries to initiate transformational change toward low-carbon and climate-resilient development.

The CIF is comprised of two funds: 1) Clean Technology Fund (CTF) and 2) Strategic Climate Fund (SCF). The CTF provides resources for middle-income countries to bring low carbon technologies to scale, with significant potential for long-term greenhouse gas emission savings. The SCF supports developing countries through three targeted sub-programs: 1) Pilot Program for Climate Resilience (PPCR), 2) Program for Scaling-Up Renewable Energy in Low-Income Countries (SREP), and 3) Forest Investment Program (FIP).<sup>1</sup>

At the country-level, a CIF Investment Plan or Strategic Program for Climate Resilience (SPCR) (in the case of PPCR) consists of adaptation investments in the most vulnerable sectors such as water resources, agriculture and infrastructure. These investments include both hard and soft infrastructures (such as policy and regulatory reform and capacity development) and draws on the strengths of diverse stakeholders to affect nation- or sector-wide transformation.

Since its early days, stakeholder engagement has been an essential element of the CIF's work under the premise that enabling broad input and transparent communication promotes trust, ownership, and more effective action on the ground.

The CIF identifies *stakeholder engagement* as the process of identifying, engaging with, and eliciting the opinions of groups and individuals who could be affected by an investment plan or have an interest in it. Stakeholder engagement occurs prior to an investment plan or project design and execution, and takes into consideration power imbalances and ensures active, free, meaningful and informed participation of all parties. Opportunities for ongoing feedback throughout the life of a project is also an important aspect of stakeholder engagement.

## CAMBODIA'S EXPERIENCE



Between 2010 and 2018, the Royal Government of Cambodia (RGC) received CIF support for three sub-programs: PPCR, SREP, and FIP.

In June 2011, the PPCR Sub-committee endorsed Cambodia's SPCR with an allocation of \$50 million in grant resources, and \$36 million in concessional loans. In 2014, the SPCR was revised and endorsed by the PPCR Sub-Committee with an allocation of \$55 million in grant resources, and \$36 million in concessional loans. The Ministry of Economy and Finance (MEF) provides oversight to the program in collaboration with other line ministries such as Ministry of Environment (MOE); Ministry of Water Resources and Meteorology (MoWRAM); Ministry of Agriculture, Forestry and Fisheries (MAFF); Ministry of Public Works and Transport (MPWT); Ministry of Rural Development (MRD); Ministry of Planning (MoP); Ministry of Interior (MOI); Ministry of Women Affairs (MOWA); Ministry of Health (MOH); National Committee for Disaster Management (NCDM).

The SPCR comprises seven investment projects and technical assistance (TA) on Mainstreaming Climate Resilience into Development Planning (MCRDP), aimed at enhancing resilience to climate change, leading to improved livelihoods,

<sup>1</sup> The four CIF programs are the Clean Technology Fund (CTF), the Forest Investment Program (FIP), Pilot Program for Climate Resilience (PPCR), and the Scaling Up Renewable Energy Program (SREP). The CTF is governed by the CTF's Trust Fund Committee. The latter three programs are funded through the Strategic Climate Fund (SCF) and governed by the SCF Trust Fund Committee; each of the three SCF programs also has its own governing Subcommittee.

especially for vulnerable groups. The TA has four outputs: (i) capacity to coordinate PPCR investments and mainstream climate change adaptation concerns into national and subnational planning, budgeting, and development; (ii) feasibility studies for priority projects of the National Adaptation Programme of Action conducted with a view to securing international funding; (iii) a civil society support mechanism to fund community-based adaptation activities and the capacity of civil society and nongovernment organizations to mainstream climate resilience into their operations; and (iv) climate change adaptation knowledge generated and disseminated in various sectors.

Under Output 3 of the TA, a civil society support mechanism (CSSM) was established to assist grassroots organizations and local NGOs/CSOs operating in Cambodia to conduct studies and implement projects on Climate Change Adaptation and Disaster Risk Reduction. A limited number of grants, ranging from US \$40,000 to \$100,000 were provided to CSOs.

THIS SUPPORT  
MECHANISM PROVIDED  
GRANTS TO:

- Help communities better understand their climate change vulnerability
- Generate knowledge on climate change and approaches to adaptation and disaster risk reduction
- Link studies to ADB-financed projects to enable mainstreaming of adaptation
- Capture lessons learned from community-based adaptation and disaster risk reduction initiatives and use feedback to develop additional projects for replication
- Develop knowledge products to inform policy development and decision-making

All approaches required engagement with local stakeholders, especially vulnerable groups such as women, children, indigenous people, and other marginalized groups, as well as local stakeholders negatively affected by project activities. The MCRDP-CSSM program ran from April 2015 to April 2018 and was led by Plan International Cambodia. Output 3 was administered by Plan International Cambodia (PIC) from April 2015 to April 2018.

Although outside the scope of this case study, it should be noted that in 2014, the RGC expressed interest in the SREP sub-program to undertake renewable energy sector development for energy security, sustainable economic growth, and poverty reduction. By 2016 the RGC had submitted its first Investment Plan, with the MME serving as the government focal point and the ADB as the government's implementing partner. Subsequently, a public-private partnership approach was developed using ADB technical support to accelerate utility-scale solar development. A later revision of the Investment Plan saw the final budget line increased from \$165.7 million to \$244.2 million while the project components were reduced to account for private investment considerations.

Similarly, in May 2015, the RGC was selected by the FIP Sub-committee as one of nine countries to receive a \$250,000 grant to prepare a FIP Investment Plan, aimed at improving natural resource management and promoting sustainable forest production. By 2017, preparation of the Cambodia FIP Investment Plan had begun in consultation with a wide range of stakeholders. Although outside the scope of this study, findings of the FIP may serve to inform the ongoing Cambodia FIP Programming.

# 1.1. ABOUT THIS STUDY

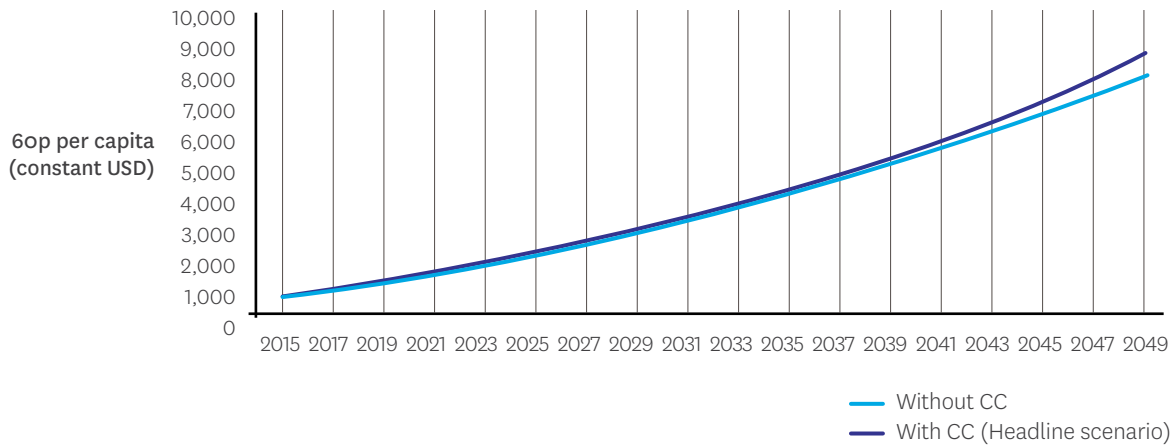
## A. RATIONALE OF THE STUDY

Cambodia is among the countries most vulnerable to climate change (MOE, 2017). The Global Climate Risk Index places Cambodia 19th out of 181 countries for weather-related damage and losses as an average for the period 1998 to 2017 (Eckstein et al., 2018). Furthermore, the Cambodia National Adaptation Programme of Action (NAPA) identifies agriculture, forestry, and fisheries as the most vulnerable sectors to climate change. With about 80% of the population depending on small-scale, rain-fed agriculture that is mainly concentrated in vulnerable floodplains and low-lying coastal areas, this means the majority of Cambodians will likely see a negative impact on their livelihoods due to climate change (MOE, 2017). Further, the National Council for Sustainable Development (NCSD)<sup>2</sup> estimates that if the global temperature rises by 2°C, Cambodian GDP would decrease in absolute terms by 2.5% by 2030 and 9.8% in 2050 (NCSD, 2018).

To address these complex challenges, this case study seeks to identify successes, challenges, and lessons learned from the perspective of local stakeholders to help inform the ongoing PPCR, SREP, and FIP.

FIGURE 1: EFFECTS OF CLIMATE CHANGE ON GDP BY 2050

GDP in 2050 would be 9.8% lower

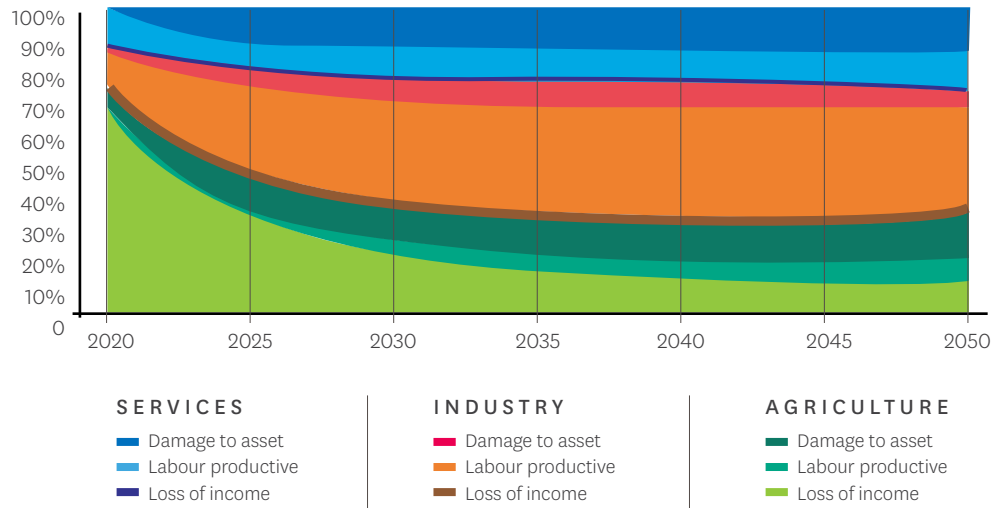


A global temperature rise by 2°C would reduce Cambodia's absolute GDP by 2.5% by 2030 and by 9.8% in 2050 (source: NCSD, 2018)

2. Established in 2015, NCSD is a policy-making body aimed at promoting sustainable development and ensuring economic, environmental, social and cultural balance within the Kingdom of Cambodia. The NCSD was consolidated from four bodies, namely, the National Council of Green Growth and its Secretariat, the National Climate Change Committee and its Secretariat, the National Biosafety Secretariat and the National Biodiversity Steering Committee. It is chaired by the Minister of Environment with the Prime Minister as its Honorary Chair.

FIGURE 2: ECONOMIC IMPACT OF CLIMATE CHANGE BY SECTOR AND TYPE

(% drop in absolute GDP 2050)



By 2050, the scenario for labor productivity may be reduced by 57% and would affect all sectors, especially manufacturing and construction (source: NCSO, 2018).

## B. LOCAL STAKEHOLDER ENGAGEMENT

The CIF recognizes seven stakeholder categories.<sup>3</sup> In the context of this case study; however, local stakeholder refers to a sub-group of the CIF list, as follows:

**1. Local private sector stakeholders** include formal associations and informal groupings of businesses active in CIF governance, and in the design and oversight of country programs and projects.

**2. Local government stakeholders** have authority as independent decision makers, not under the direct control of national government entities, and they participate in country investment planning, project preparation and/or implementation. Commune councils are also included.

**3. Local non-government actors** are CSOs, think tanks, research centers, advocacy groups, women's groups, youth groups, community-based organizations, and others that may or may not be formally registered.

**4. Local indigenous peoples and local communities** are often regarded as community-based organizations (CBOs).

3. CIF, "Proposed Measures to Strengthen National-Level Stakeholder Engagement in the Climate Investment Fund." Joint CTF-SCF/TFC.14/5, April 30, 2015. CIF also includes MDBs, bilateral agencies and development partners, and national governments.

LSE ACTIVITIES:

- Giving local stakeholders broader inputs and communications for more effective action in project development and implementation (CIF, 2018d; World Bank, 2017).
- Providing local stakeholders with an opportunity and a responsibility to support the effective implementation of CIF programs (ADB, 2013).
- Ensuring that end beneficiaries, especially vulnerable groups (women, children, indigenous people, elderly, and other marginalized groups) can reap the benefits of climate resilience programs.
- Enabling local stakeholders who are negatively affected by a project to submit formal complaints and receive appropriate grievance redressal (ADB, 2013).

### C. OBJECTIVES AND SCOPE OF THIS STUDY

This study seeks to learn how well Cambodia’s stakeholders are informed and consulted as well as how the stakeholders themselves provide inputs, feedback and collaborate in CIF activities to reach tangible benefits for vulnerable groups.

OVERALL OBJECTIVES:

1. To highlight the benefits of local stakeholder engagement at all stages of the delivery of the CIF climate resilience program in Cambodia.
2. To identify and capture evidence and lessons for improving ongoing CIF activities and similar future climate resilience programs.

LEARNING QUESTIONS:

1. How well are local stakeholders informed, engaged, and allowed to provide input?
2. How does LSE influence institutional development for climate resilience in Cambodia?
3. How does LSE benefit vulnerable groups in the long term via a climate resilient program?

### D. STRUCTURE

This study began with an overview of Cambodia’s climate change vulnerability, the CIF’s work at the country level, the SPCR, including Output 3 of the TA (the CSSM), and its LSE objectives. The remainder of the document presents how the research was conducted, collected, and synthesized, followed by sections on key findings and lessons learned from the CIF experience in Cambodia. An emphasis is placed on lessons from the PPCR experience. Additionally, this study tries to highlight some lessons from a few related-programs that should be considered. This study has not undergone a full academic peer review.

# 2. METHODOLOGY

This section describes the research methods used for this case study.

## 2.1 INCLUSIVE CASE STUDY SELECTION

Case study selection reflects the outcome of two stakeholder consultation (inception) workshops held in Phnom Penh in April 2018 and August 2018, organized by Live & Learn Cambodia.<sup>7</sup> The April consultation strove to answer the broad question: Did particularly vulnerable or marginalized groups and communities achieve tangible benefits from CIF investment? It also identified the case studies for this report, selected from SPCR investment projects and the technical assistance.

The August consultation defined LSE in the Cambodia context and conducted focus groups to help design a framework for this study, based around the two selected cases.

### CASE STUDY SELECTION PROCESS<sup>8</sup>

1. Participants were split into two groups and asked to discuss SPCR investment projects (group 1) and the technical assistance (group 2).
2. Participants considered the role of institutional engagement in SPCR based on three indicators: 1) policy contribution, 2) direct intervention, and 3) financial or technical assistance.
3. Participants selected two themes/projects of PPCR to help identify stakeholders involved or that should be involved in project investment plan and project implementation activities.
4. Participants identified sectors in SPCR programs to be prioritized and included in the case study exercise. (These were: 'Promoting Climate Change Resilient Agriculture in Koh Kong and Mondulakiri' and 'Enhancement of Flood & Drought Management at Pursat Province').
5. Participants explored lessons learned from the SPCR investment projects and the TA that interested them.
6. Participants identified two themes that interested them: Climate-Resilient Agriculture and Education to Adapt Climate Change.
7. Finally, participants selected the final projects to be included in the case study exercise.

TWO CASE STUDIES WERE  
SELECTED (Table 1):

1. SPCR: Promoting Climate Resilient Agriculture
2. MCRDP-CSSM: CSO Support mechanism for promoting climate-resilient agriculture.

<sup>7</sup>. In April 2018, participants represented 16 different CSOs in Cambodia. In August 2018, 47 participants came from 40 different institutions in Cambodia. Both workshops were organized by Live & Learn Cambodia.

<sup>8</sup>. See Report of Inception Workshop, Evaluation of Local Stakeholder Engagement, Phnom Penh, Cambodia, Live & Learn Cambodia, April 6, 2018.

**TABLE 1: CASE STUDIES SELECTED BY LOCAL STAKEHOLDERS**

	NAME	CIF PROJECT	EXECUTING AGENCY	TARGET AREA
1	SPCR: Promoting Climate Resilient Agriculture	1. Promoting Climate-Resilient Agriculture in Koh Kong and Mondulkiri Provinces	MAFF	Koh Kong (at Coastal area) and Mondulkiri (Eastern Landscape)
		2. Enhancement of flood & drought management at Pursat	MoWRAM	Pursat
2	MCRDP-CSSM: CSO support mechanism for promoting climate-resilient agriculture	1. Enhancing the adaptive capacity of rural communities in Voat Ta Meum commune	LI	Battambang
		2. Engaging indigenous communities in Mondulkiri in climate change adaptation and DRR	MIPAD	Mondulkiri
		3. Climate change adaptation initiative in Koh Rong archipelago	Songsaa Foundation	Koh Rong, Preah Sihanouk Province
		4. Strengthening commune capacity and institutions to mainstream climate resilient into commune development plans	CMPD	Battambang

## 2.2 DATA COLLECTION

Data collection was conducted in two ways: 1) participatory activities, including focus group discussions, field observations, interviews, and document reviews, and 2) learning activities, including capacity building trainings, a community of practice, and knowledge networks and exchanges. Reflection workshops were also used to solicit stakeholder feedback.

**Primary data collection included participatory evaluation and learning approaches to capture LSE evidence and its benefits.** For example:

- 1 Face-to-face interviews were conducted with the following:
  - Project implementer of MoE (Project manager, project coordinators for Koh Kong and Mondulkiri Project)
  - Project implementers at Ministry of Water Resources and Meteorology (MoWRAM)
  - Local government (commune head and village head) at Mondulkiri, Battambang, Preah Sihanouk, and Koh Kong Provinces
  - Project staff from Learning Institute (LI), Mondulkiri Indigenous People’s Association for Development (MIPAD), Community Management Development Partner (CMPD), Songsaa Foundation, Engineers without border-Australia, SNV-Cambodia, former Plan-international project coordinator, ADB, project manager of SUNSEAP Asset Co., Ltd. at Bavet.
  
- 2 Two consultative (inception) workshops were conducted to inform stakeholders of this case study, identify stakeholders, collect inputs for the study’s research design and key questions, receive inputs on its analysis framework and questionnaire, and identify key respondents. Consultation participants selected the two cases reviewed for this study as previously described (Table 1).



- 3 Focus group discussions were organized with government officers, NGOs and vulnerable groups to determine constraints and lessons learned from the project implementation process.
- 4 Reflection workshops were organized to present preliminary results from this case study and collect feedback.

**Secondary data collection included three methods of analysis:**

1. Stakeholder mapping
2. Stakeholder participation analysis
3. Theory of Change (ToC)

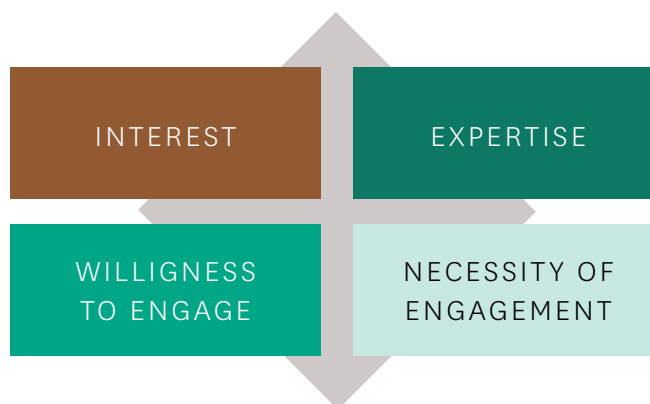
## 2.3 STAKEHOLDER MAPPING

Stakeholder mapping is an exercise that helps to determine the capacities of stakeholders and those most able to engage in CIF programs and projects.<sup>9</sup> A mapping exercise can identify the positions and expertise of local stakeholders as well as power imbalances that may exist between different parties, thus helping to ensure active, free, meaningful and informed participation of all parties.

Early in the Cambodia SPCR design process, a rigorous mapping of civil society stakeholders at all levels was undertaken to assess their existing roles and capacities in the area of climate resilience. Their strengths and challenges were identified as well as the measures needed to build their capacity to participate in climate resilience activities. What resulted was an assessment of CSO capacity at local and national levels, a summary assessment of civil society capacity for adaptation, and the idea for a mechanism to support CSOs in the future. An additional outcome was the Ministry of Environment’s recognition that local CSOs were critical in reducing people’s vulnerability to the effects of climate change.<sup>10</sup>

Four categories were used to identify stakeholder roles in the climate resilience program on agriculture and technology (Figure 3): 1) interest, 2) expertise, 3) willingness to engage and contribute to the program (co-finance, collaboration, cooperation), and 4) necessity of engagement (influencer). Roles were tabulated and labeled as high, moderate, and low.

**FIGURE 3: STAKEHOLDER MAPPING EXERCISE – ROLES OF STAKEHOLDERS**



Source: Modified from CIFs (2018c); Durham et al. (2014) and Morris and Baddache (2012)

9. *How to Implement Stakeholder Mapping into the Programmatic Approach of the Climate Investment Funds, Stakeholder Engagement, CIF, WBG, 2018.*  
 10. *Ibid.*

## 2.4 PARTICIPATION ANALYSIS

Participation analysis is crucial to the evaluation of stakeholder engagement as it is through the interaction among all stakeholders that the objective of a program may be realized.

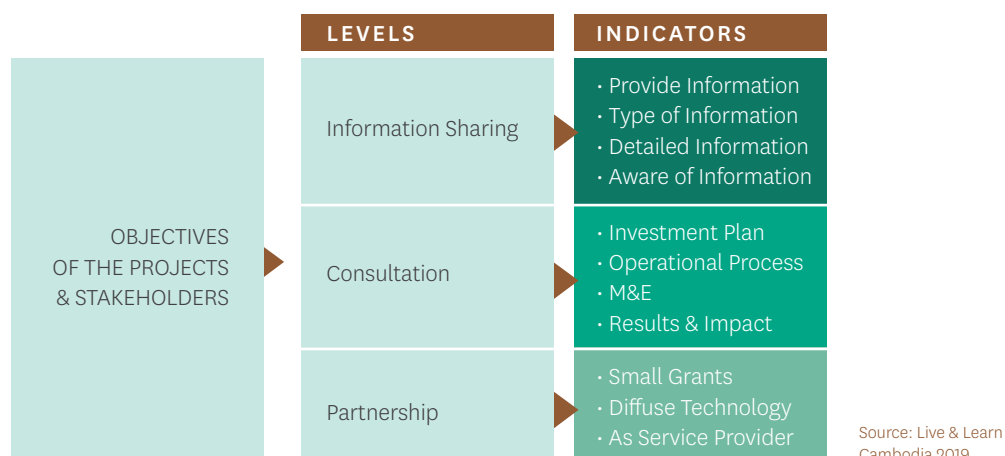
Astrid’s four dimensions of citizen engagement were used as a basis for this study’s participation analysis (inform, consult, collaborate, and empower).<sup>11</sup> This study also utilized vertical and horizontal cognitive engagement theory (Zhu 2006). Vertical engagement is associated with seeking information, as in information sharing and consultation processes, while horizontal engagement is associated with conversation initiation, as in where people are engaged in their local community, or with other local stakeholders such as CSOs, local authorities, and the private sector.<sup>12</sup>

In the context of the two inception workshops held in Phnom Penh in April 2018 and August 2018, observations and feedback noted vertical information sharing at the national, project, and provincial levels. Horizontal engagement was observed at the community level, especially among CSOs, commune councils, the private sector, and end beneficiaries, although it occurred less efficiently.

ASSESSMENT OF STAKEHOLDER PARTICIPATION LEVELS:	<ol style="list-style-type: none"> <li>1. Engagement in information sharing</li> <li>2. Consultation</li> <li>3. Partnership activity (Figure 4)</li> </ol>
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- 1 Adequate and pertinent *information sharing* through meaningful consultation allows people to make informed decisions and effective inputs into programs (Astrid et al., 2014). Information sharing may include invitations to key meetings, responses to requests for information, and information shared on CIF programs.
- 2 *Consultation* is a process of receiving inputs from stakeholders, especially beneficiaries, that may inform and improve planned activities (CIFs, 2018c).
- 3 *Partnership* expands ownership of an activity through shared responsibility and understanding in all levels of implementation and improves program sustainability and outcomes (Barr, 2003).

**FIGURE 4: THREE LEVELS OF STAKEHOLDER PARTICIPATION & RELATED INDICATORS**



11. According to Astrid et al. (2014), four dimensions of citizen engagement can be identified: to inform, consult, collaborate, and empower. Astrid et al., “Strategic Framework for Mainstreaming Citizen Engagement in World Bank Group Operations : Engaging with Citizens for Improved Results”, World Bank Group, WB, 2014.

12. Erping Zhu, Interaction and cognitive engagement: An analysis of four asynchronous online discussions, Center for Research on Learning and Teaching, University of Michigan, 2006.

## 2.5 THEORY OF CHANGE FOR LSE

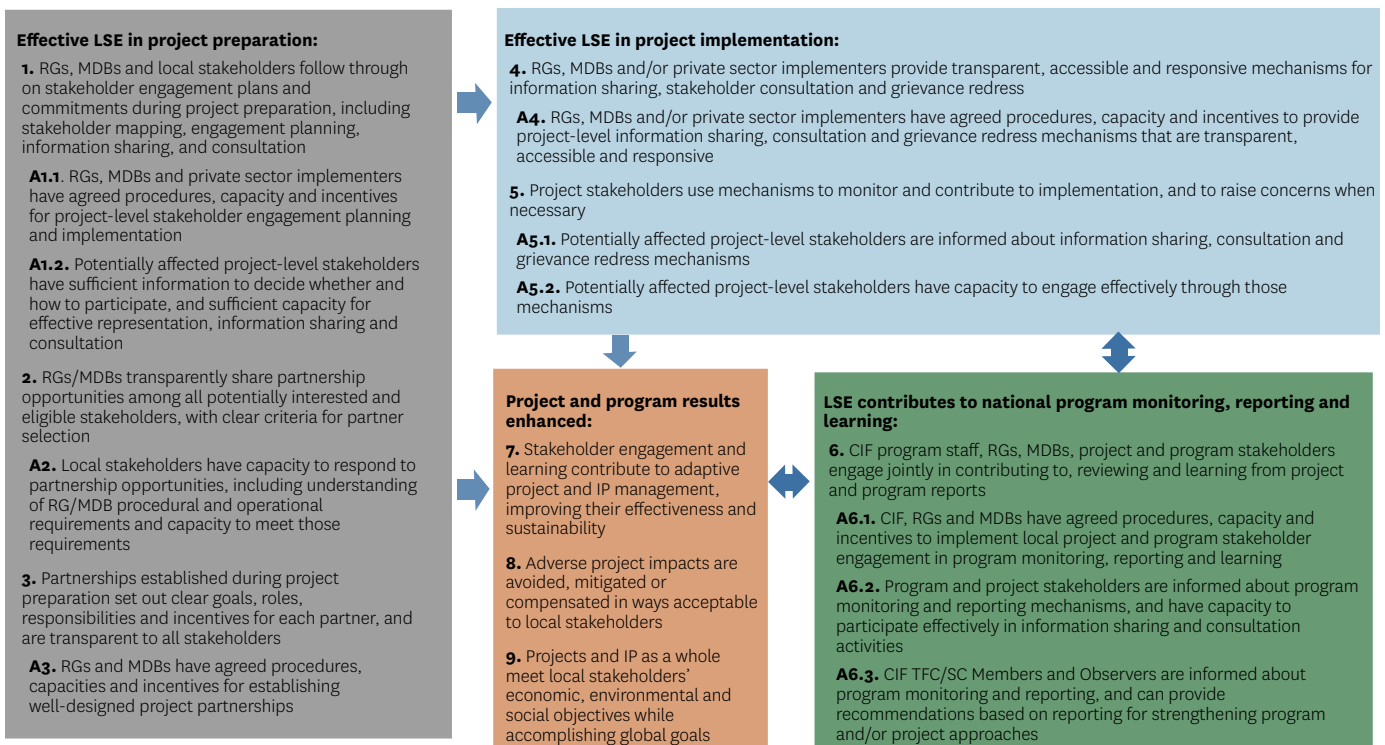
This study assesses the role of LSE within a Theory of Change (TOC) framework. A TOC framework helps to illustrate the dynamic interactions and benefits of LSE in climate resilience programs. In the *project investment plan* phase, LSE helps to ensure that planning and implementation is aligned with global and national goals. In the *implementation phase*, it identifies the effective paths for LSE in project preparation and implementations, and LSE's contribution to monitoring, reporting, and learning (Figures 5, 6).

FIGURE 5: THEORY OF CHANGE - LSE CONTRIBUTIONS

### LSE CONTRIBUTIONS TO NATIONAL PROGRAM MONITORING, REPORTING AND LEARNING

<p>CIF program staff, Regional Governments, MDBs, project and program stakeholders engage jointly in contributing to, reviewing and learning from project and program reports.</p>	<p>CIF, Regional Governments and MDBs have agreed procedures, capacity and incentives to implement local project and program stakeholder engagement in program monitoring, reporting and learning</p>	<p>Program and project stakeholders are informed about program monitoring and reporting mechanisms, and have capacity to participate effectively in information sharing and consultation activities</p>	<p>CIF TFC/SC members and observers are informed about program monitoring and reporting, and can provide recommendations based on reporting for strengthening program and/or project approaches</p>
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FIGURE 6: LSE THEORY OF CHANGE AND KEY ASSUMPTIONS: INVESTMENT PLAN IMPLEMENTATION



# 3. KEY FINDINGS

Based on local stakeholder observations of SPCR, this study captured the level of LSE in CIF activities through the dimensions of *information sharing, consultation, partnership, and more*.

## 3.1 LSE AND INFORMATION SHARING

**SPCR coordination mechanisms stimulated information sharing and focused public attention on climate change information and adaptive strategy.** Overall, the CIF programmatic approach helped inform stakeholders of climate risks and vulnerabilities, a key input to the development of the SPCR. At the national level, CSOs played an important role in the coordination and delivery of information that was transmitted from the national to the grassroots level. CSOs have the capacity, commitment, and relationships with local authorities that other local stakeholders often lack. According to the SPCR project teams in Mondulakiri and Koh Kong, information was delivered at the national level (Phnom Penh), provincial level (Mondulakiri and Koh Kong), and community level through national workshops, local partners, and the project management unit (PMU).<sup>13</sup>

**Existing platforms allowed more comprehensive information and technical knowledge to be shared and understood.** Local stakeholders effectively shared information through their existing networks and relationships, due to an existing sense of trust. When efforts were made to communicate through local, trusted platforms, with information curated to the local context, local stakeholders understood the information better and adapted to climate change more readily. In some cases, when technical information on climate change adaptation methods was shared by national CSOs, it was not well understood by the local communities due to a limited, basic knowledge of climate change.

## 3.2. LSE AND CONSULTATIONS

**SPCR consultations considered the views of local stakeholders on the design of activities, monitoring and evaluation, results, and impacts.** SPCR consultations provided a positive pathway for institutional cooperation with local stakeholders in Cambodia. As climate change adaptation efforts shifted toward a more comprehensive approach—from policy making down to the local communities—increased awareness and understanding of climate change and associated risks by local communities were observed. A space for debate was created through meetings, workshops, and consultations organized by Live & Learn Cambodia on issues such as: gender and climate change, the role of civil society, and adaptation financing. However, the early stages of consultation were marked by weak LSE. This was later improved through engagement on vulnerability assessments and project-related consultations, thus reinforcing LSE engagement and awareness.<sup>14</sup> Local stakeholder consultations and workshops included participants from 16 different CSOs in Cambodia (April 2018) and 47 participants from 40 different institutions (August 2018).

13. See *Promoting Climate Resilient Agriculture in Koh Kong and Mondulakiri Provinces, Project Brief 2, September 2017* at: <https://drive.google.com/file/d/1i-UBYpocNg92hfqN5pwb2ZT7bW6ztSeV/view>

14. ADB, *Mainstreaming Climate Risk in Development: Progress and Lessons Learned from ADB Experience in the Pilot Program for Climate Resilience, 2017*.

**Safeguard policies were tested and strengthened through consultation with local stakeholders in all development and implementation processes.** Local stakeholder analysis and interests were identified through stakeholder mapping, followed by a consultation process that ensured safeguard policy objectives were adequate and achieved. For example, local stakeholders were engaged during the project design phase through a risk reduction assessment to identify the needs of the end beneficiaries. Furthermore, local stakeholder consultations were conducted during the project implementation phase, particularly with regard to the SPCR, including MCRDP-CSSM. An accountability mechanism was also introduced (ADB, 2013; Plan International 2018).

**Consultations considered stakeholder issues and incorporated them into project design.** Project Implementation Units (PIU) were responsive to the concerns of stakeholders by conducting consultations and acting on stakeholder recommendations. The PIU engaged local stakeholders, including NGOs such as World Wildlife Fund (WWF), Cambodian Centre for Study and Development in Agriculture (CEDAC), International Institution of Rural Reconstruction (IIRR), as well as community forest (CF) & community protected-areas (CPA), local authorities, and the private sector to discuss the needs of local beneficiaries. Noteworthy was how the PIU responded to a complaint received from local authorities about pond rehabilitation in Koh Nhaek, Mondulkiri province. The PIU reacted by re-designing the scale pond rehabilitation and water-governance mechanism to address the problem effectively.

### 3.3. LSE AND PARTNERSHIPS

**PPCR resources supported CSOs to become fully functioning partners through the CSSM.** Grants were provided to CSOs to help local communities understand their vulnerability, generate knowledge on the impacts of climate change and the potential civil society approaches to adaptation and disaster risk reduction (DRR), capture lessons learned from community-based adaptation and disaster risk reduction initiatives, and develop additional projects for replication based on feedback.

FIGURE 7: STAKEHOLDERS AS KEY PARTNERS



**The PPCR partnered with stakeholders, particularly in climate-smart agriculture and solar energy.** Cambodian leaders who represented observers, collaborators, service providers, and business partners provided an intimate view of their partnership roles and experiences.

SOME OF THEIR  
COMMENTS:

**1. Observer:**

Many local stakeholders who share similar interests can act as an official CIF Observer during all project cycle phases to help the CIF comply with accountability mechanisms.

**2. Collaborator:**

Local stakeholders can engage more readily if they share similar interests and expertise or a common mission in the same project area.

**3. Service Provider:**

Local stakeholders can engage in any climate resilience program through their strong interests, qualified expertise, and willingness to engage. CSOs, particularly international NGOs and Local NGOs are the best service providers, able to meet all requirements.

*"IIRR and CEDAC play a role as the services providers from the SPCR project in Mondulkiri and Koh Kong. They provide technical support for growing vegetables and raising chicken etc. CEDAC assists local communities organize and secure revolving savings accounts that allow them to invest in vegetable growing and other necessary needs".*

Source: Partnership for providing climate resilience agricultural techniques and savings group.

**4. Business Partner:**

Private sector, social entrepreneurs, or NGOs make good business partners, able to help transform climate resilience programs (agriculture, water, energy, etc.) by becoming owners or advisers. They may also play the role of service contractors or suppliers to construct infrastructure or supply materials.

## 3.4 LSE AT THE COUNTRY AND PROJECT LEVEL

**By engaging stakeholders at the country and project levels, many local stakeholders and beneficiaries were reached through training, forest conservation management, small-scale enterprise, and agricultural technology transfer.** Since many local stakeholders have a keen sense of the geography, culture, and needs of the people being affected by a project, they easily adapted to incorporating technical knowledge and know-how into their practices. CSOs frequently shared technical information and conducted vulnerability reduction assessments (VRA) that built capacity and promoted technology transfer.

Furthermore, engaging commune councils is crucial for integrating climate resilient programs into commune investment plans, thereby ensuring financial sustainability after a project has ended. However, when it comes to integration into Commune Investment Programs (CIP) or Commune Development Planning (CDP), there are capacity limitations.

## 3.5 LSE AND GENDER

**LSE enhanced the resilience of women.** When a woman is involved in small-scale enterprise and climate risk identification activities, her whole family benefits in terms of income and costs prevention. For example, when organizing the PPCR project, women become the center of a resilient society due to: being recipients of information, providing feedback for community organizing, and supporting family members to extract knowledge.

# 4. KEY LESSONS LEARNED

Participants of the April and August 2018 consultations and focus groups explored lessons learned from the CIF Cambodia experience. Some of their observations are described below. Lessons from site visits and the literature are also presented.

## **1. EARLY LSE IS CRUCIAL IN ALL STAGES OF THE INVESTMENT PLAN AND PROJECT IMPLEMENTATION CYCLE**

LSE engagement in all stages of the investment plan and project implementation cycle allows for targeted and useful project development and identifies vulnerabilities and climate risks. The sooner civil society, local governments, private sector, and local communities engage in information sharing, project implementation, and partnership, the more likely is a smooth project implementation. During the project development processes, vulnerability reduction and needs assessments with LSE can provide relevant information to enhance climate projects. Furthermore, with adequate base-line information, grass-root level needs and climate risks can also be addressed.

The two examples show how LSE, especially during project design, is crucial to identifying real needs and climate risks. For instance, the Learning Institute conducted VRAs under CSSM. The results showed that people in Wat Tamoeum, Battambang province needed water for cropping and appropriate agricultural techniques resilient to drought. This led to a decision by the Learning Institute and the commune council to construct small-scale irrigation systems. The Learning Institute also cooperated with commune extension workers to provide training and support to farmers on climate-resilient agriculture, further enhancing project success.

Similarly, in Preah Sihanouk province, local stakeholders agreed that a major challenge was a lack of clean water. The Song Saa Foundation subsequently provided a water reservoir to Prek Svay village to harvest rainwater. A water filter was also provided to each household, allowing the local population to access clean drinking water.

## **2. COOPERATION WITH LOCAL AUTHORITIES, ESPECIALLY COMMUNE COUNCILS, LEADS TO SUSTAINABILITY**

Cooperation with local authorities, especially with commune councils, is crucial as their personal and community networks are trusted by the local stakeholders. These groups have been able to inform local stakeholders, who uniquely understand the local context, making the communes essential to the success of CIF Cambodia projects.

Furthermore, engaging commune councils helps to integrate climate resilient programs into commune investment programs (CIPs) and commune development planning (CDPs). This helps to ensure that financial sustainability can be sustained after project completion. Commune councils, however, are generally not aware or have little understanding of project designs early in the process.

### **3. MAINSTREAMING CLIMATE RESILIENCE INTO DEVELOPMENT PLANNING-CIVIL SOCIETY SUPPORT MECHANISM (MCRDP-CSSM) LEADS TO MORE TANGIBLE BENEFITS FOR END BENEFICIARIES**

Civil society support mechanisms should be scaled up in all CIF projects because they introduce an effective approach to providing tangible benefits to local people and communities. Through CSSM, CSOs were engaged through consultation and partnership, thus reaching end beneficiaries and vulnerable groups. Backing CSOs through a support mechanism can complement institutional management of government programs or projects as well as CIF programs.

For example, MCRDP-CSSM was administered by Plan International from April 2015 to August 2018. Despite the short duration of the program, it achieved remarkable outputs and outcomes, including 19 CSOs being well trained on climate change adaptation and DRR in various sectors, including VRA tools, and at least 56,600 beneficiaries (53% female) received benefits from the project.<sup>15</sup> This evidence clearly illustrates PPCR benefits, particularly for Civil Society Support Mechanisms.

Taking the Learning Institute as another example, project implementers cooperated with commune councils and commune extension workers to provide technical support for growing vegetables and rehabilitating small-scale irrigation to local people in Voat Ta Muem commune. This improved livelihoods through adoption of appropriate climate-resilient agriculture technology. One woman from the commune reported a threefold increase in the yield of bitter melon once the new technology was applied.

### **4. DESIGNING APPROPRIATE FACILITATION AND CONSULTATION PROCESSES AND CLEARLY EXPLAINING AND SHARING THEM WITH LOCAL STAKEHOLDERS LEADS TO BETTER ENGAGEMENT OUTCOMES**

To enhance participation and project implementation, it is necessary to design appropriate facilitation and consultation processes, partnership and ownership. It is essential to fully explain from the start the goals of the project to all stakeholders, including targeted vulnerable groups. When all stakeholders receive adequate information, they can prepare themselves to engage and support the project.

For example, when Learning Institute explained their project in Battambang (including objective, scope, and budget) to the commune council and local community, all stakeholders actively engaged in the project, especially the commune chief of Wat Tamoeum, as well as the farmers' community for smart agriculture on vegetable growing, which uses a drip-system. The local authorities and community members ensured the effectiveness and sustainability of the project by contributing resources and underscoring the trust that had been built through the focus group discussions held in August 2018 at Wat Tamoeum commune.

### **5. EFFECTIVE LSE REQUIRES A COORDINATION TEAM TO ENSURE A STRONG CONNECTION BETWEEN VERTICAL AND HORIZONTAL ENGAGEMENT**

LSE requires a coordination team or unit to ensure the vertical and horizontal engagement needed to achieve efficiency, effectiveness, and equity.

Since the capacity of local stakeholders is still limited – particularly in the case of CSOs, local authorities, and local communities – consultants or observers could help fill the gaps. This is true for project management and planning;

<sup>15</sup> *Mainstreaming CCA and DRR into Civil Society Organizations: Experiences from Cambodia, Plan International, May 2018*



disaster risk reduction; carrying out of VRAs; working on livelihood improvement, small-scale infrastructure, soil and forest conservation, and climate-resilient agriculture.

For instance, Plan International played an important role in administering the CSSM under the TA. It was able to cooperate with 19 CSOs to achieve tangible benefits. Furthermore, commune councils and CSOs worked closely with Plan International to integrate project outcomes into commune development planning.

In addition, there are several international organizations, CSOs and private sector actors working at the country level on technology transfer that could fill this role.

## **6. NATIONAL CSOS SHOULD PROVIDE MORE DETAILED TRAINING MATERIALS TO LOCAL STAKEHOLDERS FOR MORE CONSISTENT AND BETTER OUTCOMES**

A useful tool for assessing climate risk and the vulnerability of local people and communities is a vulnerability reduction assessment (VRA). VRAs enable participants to build their adaptive capacity to climate change impacts by helping them better understand climate risks and vulnerabilities.

CSOs that conduct VRAs should give more consideration to the criteria used to select participants, tools, and how results are interpreted. Some projects achieved outputs slightly different to what was expected by the VRA, especially those assessing small-scale irrigation or community ponds. Inconsistencies and unexpected results led to questions about criteria and processes used. A detailed VRA manual shared with local stakeholders upfront could have bridged the capacity and knowledge gaps as CSOs carried out the VRAs, bringing more consistency and better results.

Kraing Serei Community Forest, for example, is an association having relatively little understanding of climate change and climate change adaptation strategies. After receiving VRA training with the supporting documents and close mentoring by Plan International staff, this community successfully restored forests and water storage in three villages (Kraing Chress, Kraing Sya, and Tropeang Kroloeng of Kiri Voan commune, Phnom Sruoch district, Kampong Speu province). The use of VRA tools has led to the creation of businesses (water supply, eco-tourism, etc.) that support climate resilient agriculture, water supply, hygiene, and forest restoration even after the project closed in December 2017.<sup>16</sup>

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16. See *Pilot Program for Climate Resilience (PPCR) CAMBODIA: Grant-support for civil society organizations, 2017* at: <https://drive.google.com/file/d/1o9a-4dDCaQNq28M1fL2VHwLohN1bWC7/view>

# 5. CONCLUSION

This study has presented how LSE plays an important role in SPCR including MCRDP-CSSM activities in Cambodia, by ensuring that end-users and vulnerable groups receive tangible benefits from climate resilient programs. More specifically, this case study has shown how LSE can enhance the quality of project implementation through more comprehensive information inputs, partnerships, and trust-building.

The multi-stakeholder approach adopted under the SPCR was successful in information sharing and consensus building at the national level. In some cases, however, its impact at the local stakeholder level was less effective due to weaker coordination and communication strategies. Since many local stakeholders have less capacity to understand and implement climate change and adaptation tools, they are more likely to understand information when it is transmitted through local platforms with curated materials.

Furthermore, a positive pathway for institutional cooperation with local stakeholders in Cambodia was created through consultations and workshops that considered the views of local stakeholders on the design of PPCR activities, monitoring & evaluation, results, and impacts. The PPCR was also able to effectively partner with stakeholders, particularly in climate-smart agriculture and related climate change adaptation actions.

## CONCLUSIONS FROM THE CAMBODIA EXPERIENCE:

- LSE facilitated mutually beneficial participation, especially in the form of information sharing, so that relevant CSOs, local communities, and local authorities could prepare themselves to effectively contribute to projects.
- Needs assessments were properly conducted through a VRA conducted by CSOs in local communities.
- Community empowerment, equity, trust, and learning from the SPCR in Cambodia was strong, especially for implementing CSSM.
- Local stakeholders need to play a greater role in project design and implementation, especially in climate resilience programs early in the process.

The evidence from good practice in Cambodia's SPCR (including CSSM) makes it clear that local stakeholders are more than beneficiaries, they are also good project observers, collaborators, and service providers. Their role should not be underestimated, and more direct and targeted efforts should be taken to engage them in every aspect of investment plan preparation and project implementation.

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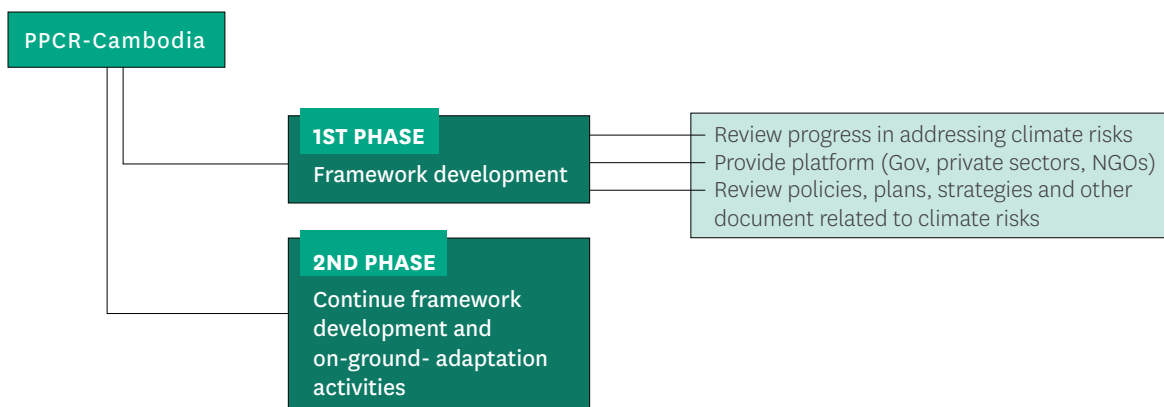
# ANNEX A

## PROFILE OF CLIMATE INVESTMENT FUNDS IN CAMBODIA

The Royal Government of Cambodia, through the Climate Change Department (CCD) of the Ministry of Environment (MoE), undertook PPCR Phase 1 over a period of 18 months, beginning November 2010, in collaboration with key line ministries under the overall guidance of the Ministry of Economy and Finance (MEF). PPCR Phase 1 includes five key activities: (1) mainstreaming climate resilience into the national development planning; (2) mainstreaming climate resilience into the subnational development planning; (3) strengthening civil society and private sector engagement and gender considerations in Climate Change Adaptation; (4) science-based adaptation planning and; (5) outreach and preparation of PPCR Phase 2 and Strategic Program for Climate Resilience (SPCR).

PPCR Phase 2 began February 2014 to continue the framework development and on-ground adaptation activities, with sectoral focus on Agricultural, Water Resources, Transport, and Urban Development (GSSD-MoE, 2016).

FIGURE 1: PPCR PROJECT PHASES IN CAMBODIA



Source: CIFs (2018). Aide Memoire Cambodia: Join Mission for the PPCR

The Cambodia SPCR phase 1 is complete. It puts in place the appropriate enabling framework to manage climate risks and prepares the SPCR.

IT COMPRISES  
5 COMPONENTS

1. Climate resilience mainstreaming into national development planning
2. Climate resilience mainstreaming into sub-national development planning
3. Strengthening civil society and private sector engagement and gender consideration in CC
4. Science-based adaptation planning
5. Outreach activities and preparation for SPCR

The Cambodia SPCR phase 2 was endorsed by the sub-committee in 2011, with indicative allocation of up to \$55 million in grants and up to \$36 million in concessional credit. Phase 2 is in full implementation mode.

The SPCR was developed with support from ADB and the World Bank Group and is consistent with ADB's country partnership strategy (2011–2013) and country operations business plan (2013–2015) for Cambodia. The PPCR aims to provide transformational and scaled-up support for the development and implementation of such plans. MoE, National Climate Change Committee (NCCC) and CCTT are the implementing agencies.

The grant component of PPCR is intended for soft interventions such as policy and advisory support and capacity strengthening, while the concessional credit is mainly intended to enhance resilience of infrastructure. In 2014, a revised SPCR comprising 7 investment projects in water resources, agriculture, and infrastructure, and 1 Technical Assistance (TA) project, was endorsed.

The Government proposed US\$ 2 million in funding for CSO capacity development. The support mechanism is meant to develop CSO capacity to mainstream adaptation and disaster risk reduction (DRR) into target sectors: agriculture, water resources, climate and DRR preparedness and prevention, coastal zones; and organizational/project implementation approaches.

## CAMBODIA PPCR INVESTMENT PROJECT

NAME OF PROJECT		PROJECT AREA	SOURCE (\$MILLION)				
			PPCR		ADB	Other	Gov't
			Grant	Credit	Loan		
<b>COMPONENT 1: Climate-Resilient Water Resources (\$10 million)</b>							
1.	Enhancement of Flood and Drought Management	Pursat, Kratie	6.00	4.00	35.00	-	3.00
<b>COMPONENT 2: Climate-Resilient Agriculture (\$18 million)</b>							
2.	Promoting Climate-Resilient Agriculture	Koh Kong, Mondul Kiri	8.00	-	19.00	-	1.40
3.	Proofing of Agricultural Infrastructure and Business-Focused Adaptation	Banteay Meanchey, Kg. Cham, Kg. Thom, Siem Reap	5.00	5.00	55.00	14.60	8.33
<b>COMPONENT 3: Climate proofing of infrastructure (\$53 million)</b>							
4.	Climate Proofing of Roads	Prey Veng, Svay Rieng, Kg. Chhnang, Kg. Speu	7.00	10.00	52.00	-	10.10
5.	Climate proofing infrastructure in Southern Economic corridor	Poipet, Battambang, Neak Leung, Bavet	5.00	5.00	37.00	1.50	6.90
6.	Flood-Resilient Infrastructure Development	Pursat, Kg. Chhnang	5.00	5.00	36.00	-	4.00
7.	Climate Resilience of Rural Part of Rural Roads Improvement Project	Kg. Cham	9.00	7.00	54.00	91.40	16.90
8.	Mainstreaming Climate Resilience into Development Planning	National	10.00	-	-	1.30	-
<b>TOTAL</b>			<b>55.00</b>	<b>36.00</b>	<b>288.00</b>	<b>108.8</b>	<b>50.60</b>

# ANNEX B

## STAKEHOLDERS IN PILOT PROGRAM FOR CLIMATE RESILIENCE (PPCR)

PROJECT TITLE	EXECUTING AGENCY	TARGET PROVINCE	STAKEHOLDERS' ENGAGEMENT									
			Core Partner	MDB	Development Partner	Private Sector	Local government	CSOs	Commune council	Local Community	Main beneficiaries	Include vulnerable groups
Enhancement of Flood and Drought Management in Pursat Province	MWRM	Pursat	MAFF, MoE, NCDM	ADB	-	-	PDWRM & HRWD	-	-	-	9,900	5,940
Promoting Climate-Resilient Agriculture	MoE and MAFF	Koh Kong, Mondulkiri	MoWRAM, MRD, MPWT, MWA	ADB	-	-	PO	-	-	-	20,000	16,000
Climate Proofing of Agricultural Infrastructure and Business-Focused Adaptation	MoEF	Kg.Thom, Prey Veng, and Battambang	MAFF, MoWRAM, MLMUPC, PO	ADB	Global Agriculture and Food Security Program	-	PO	-	-	-	105,800	54,000
Climate Proofing of Roads	MoPWT	PreyVeng, SvayRien, Kg.Chhnng, Kg.Speu	-	ADB	-	-	-	-	-	-	200,000	110,000
Climate proofing infrastructure in Southern Economic corridor	MoPWT	Poipet, Battambang, Neak Leung, Bavet	-	ADB	-	-	-	-	-	-	185,820	92,910
Flood-Resilient Infrastructure Development	MoPWT	Pursat, Kg.Chhnang	PO	ADB	-	-	PO	-	-	Community	90,000	46,000
Climate Resilience of Rural Part of Rural Roads Improvement Project	MRD	Kg.Cham and other 9 provinces	-	ADB	AFD, Australia, Nordic Development Fund	Export Import Bank of Korea	-	-	-	-	100,000	51,000
Mainstreaming Climate Resilience into Development Planning	MoE	National	MAFF, MoWRAM, MPWT, MRD, MoP, NCDD, MWA	-	Nordic Development Fund	-	-	-	-	-	350,000	179,900

# ANNEX C

KEY QUESTIONS	SUB-QUESTIONS / INDICATORS	SOURCES OF INFORMATION / METHODS
<p><b>Participation:</b> It is the key aspect to cross-check how the coordination and ownership have been established within the country to ensure that CIF program has taken into consideration of participation of civil society stakeholders.</p>		
<p><b>1. Facilitation</b> How was information disseminated in timely manner including invitations to key meetings, and responding to their requests for information? What are kinds of information with regard to CIF program especially PPCR? How much detail the information was provided? How much stakeholders are aware of PPCR?</p>	<p><b>Were CSOs involved in information sharing level?</b> - Attend meeting in annual stakeholder workshops in CIF program countries - Attending in annual monitoring and reporting workshops in CIF program countries - Join as observer in Trust Fund Committee and Sub-Committee Meetings - Participate in CIF pilot country meetings - Participate in CIF stakeholders forum, private sector forum, and CSO forum - Participating in the CIF stakeholder advisory network (SAN)</p>	<ul style="list-style-type: none"> <li>- Document and literature reviews</li> <li>- Field observation</li> <li>- Interviews with randomly selected beneficiaries identified from 3 case studies</li> <li>- Interviews with key informants</li> </ul>
<p><b>2. Consultation</b> Considering the views of stakeholders on the design of PPCR, taking into account operational activities, monitoring and evaluation, results and impacts</p>	<p><b>Did a CSO provide inputs or make requests at the consultation level?</b> - Did a CSO provided inputs/ideas/request on the design of country investment plan? - Did a CSO participate in all operational activities? - Did a CSO participate in monitoring and evaluation activities? - Did a CSO provide feedback on the results and future development plan?</p>	<ul style="list-style-type: none"> <li>- Document and literature reviews</li> <li>- Interviews with key stakeholder</li> <li>- Consultative workshops</li> </ul>
<p><b>3. Partnership</b> Questions would include motivation and encouragement stakeholders as service providers and project implementers to get involved in CIF program, putting main focus on small grant mechanisms, which can provide direct support for civil society organizations and IPs initiated activities and necessary areas for improvement to encourage partnership and engagement.</p>	<p><b>Did a CSO actively play role as the crucial partnership for implementing CIF program?</b> - Did a CSO develop a proposal to receive the grant from CIF? - Did a CSO receive the grant for implementing the CIF program? - Did a CSO implement the project of CIF program? - Did a CSO involve local communities (women, indigenous people, and marginal communities to join your project?</p>	<ul style="list-style-type: none"> <li>- Document and literature reviews</li> <li>- Interviews with key stakeholder</li> <li>- Consultative workshops</li> </ul>
<p><b>Benefits from LSE and replication:</b></p>		
<p>4. To what extent are CIF investments benefitting a range of local civil society stakeholders – including women, children, indigenous peoples, vulnerable or marginalized populations, communities, and smallholders in different programs and projects in Cambodia, and how could this be improved?</p>	<ul style="list-style-type: none"> <li>- Numbers of women in the project (Received direct benefits, indirect through information sharing, training, and consultative)</li> <li>- Numbers of children in the project (Received direct benefits, indirect through information sharing, training, and consultative)</li> <li>- Numbers of indigenous people in the project (Received direct benefits, indirect through information sharing, training, and consultative)</li> <li>- Numbers of vulnerable people or marginalized in the project (Received direct benefits, indirect through information sharing, training, and consultative)</li> <li>- Numbers or types of private sectors in the project (Received direct benefits, indirect through information sharing, training, and consultative)</li> <li>- Numbers of other beneficiaries in the project (Received direct benefits, indirect through information sharing, training, and consultative)</li> <li>- Proportion of each category groups who engaged in the project</li> </ul>	<ul style="list-style-type: none"> <li>- Document and literature reviews</li> <li>- Interviews with key stakeholder</li> </ul>
<p>5. Is there a relationship between achieving tangible economic benefits leading to an improved standard of living for vulnerable communities and sustainable long-term CIF outcomes?</p>	<ul style="list-style-type: none"> <li>- Income improving after CIF program implemented</li> <li>- Multi-dimensional poverty indicators (education, health, and living conditions) after CIF program implemented</li> <li>- Adaptive capacity to the climate change or hardship from the disaster</li> <li>- Willingness to continue cooperation activities with other stakeholders after the project ended</li> </ul>	<ul style="list-style-type: none"> <li>- Document and literature reviews (total beneficiaries, budget, proportion of participation from vulnerable communities)</li> <li>- Interviews with key stakeholder (key beneficiaries, especially among vulnerable groups) for specific case studies as a story telling</li> </ul>

Transformation Changes		
6. LSE 'Relevance' to PPCR implementation in Cambodia at country/program and project levels?	<ul style="list-style-type: none"> <li>- Interests of stakeholders on PPCR</li> <li>- Willingness to participate in PPCR</li> <li>- Capacity to engage</li> <li>- Resource availability</li> <li>- Existing Communication structure such as platforms or networks</li> </ul>	<ul style="list-style-type: none"> <li>- Document Reviews</li> <li>- Focus group discussions</li> <li>- Key informant interview</li> <li>- Random interviews with beneficiaries</li> </ul>
7. To what extent 'Scale' LSE succeed in planning modes of engagement (facilitating, consultation, and partnership), influence the objective/project design, influence the understanding of its role to MBDs, and national government that aim to achieve the goals of PPCR and SREP?	<p><b>Participation of LSE in PPCR</b></p> <ul style="list-style-type: none"> <li>- Facilitating/information sharing influencing to strategy/project design</li> <li>- Consultation influencing to strategy/project design</li> <li>- Partnership influencing to strategy/project design</li> <li>- Recognizing and integrating the role of LSE in strategy/policies, and project design by MBDs, national government, and other international development agencies</li> </ul>	<ul style="list-style-type: none"> <li>- Document Reviews</li> <li>- Focus group discussions</li> <li>- Key informant interview</li> <li>- Random interviews with beneficiaries</li> </ul>
8. How LSE contribute to 'systemic change' that improve the standard of living of vulnerable groups, vulnerable communities, private sectors, and institutions?	<ul style="list-style-type: none"> <li>- Livelihood changes of vulnerable groups</li> <li>- Higher resources and capacity to address the climate change</li> <li>- Benefits improvement to private sector</li> <li>- Engagement and cooperation with other stakeholders (diffusion)</li> </ul>	<ul style="list-style-type: none"> <li>- Document Reviews</li> <li>- Focus group discussions</li> <li>- Key informant interview</li> <li>- Random interviews with beneficiaries</li> </ul>
Lessons Learned		
9. What lessons learned can LSE improvement can enhance the PPCR in Cambodia?	<ul style="list-style-type: none"> <li>- Which LSE can be more effectively operationalized and enhanced over time in the context of PPCR</li> <li>- Suggest how these lessons learned might apply to other climate finance institutions</li> </ul>	<ul style="list-style-type: none"> <li>- Synthesize the finding from case studies</li> <li>- Focus group discussions</li> <li>- Inception workshop</li> <li>- Consultative workshop</li> </ul>



# ANNEX D

## ACTIVITIES OF FIELDWORK AND DATA COLLECTION

NO.	DESCRIPTION ACTIVITIES	METHODS	CIF'S PROGRAM	TIME	PERSONS TO MEET
1	1st Inception Workshop	· Consultative discussions with CSOs and (Government officers-In charge)	PPCR& SREP	6 April 2018	· CSOs
2	Literature Review	· Review literature · Review existing reports from previous studies · Review documents	PPCR & SREP	July –August 2018	· Consultant team
3	2nd Inception Workshop	· Consultative discussions with CSOs and (Government officers-In charge)	PPCR& SREP	10 August 2018	· Government Officers · Development partners · CSOs
4	Fieldwork in Phnom Penh	· Meeting with a representative of MoWRAM who in charge in project of Enhancement of Flood and Drought Management in Pursat Province savings'	PPCR	22 August 2018	· Mr. Pohn Sachak (project director-MoWRAM) · Mr. Bak Bunna (project manager-MoWRAM) · Other officers
5	Fieldwork in Phnom Penh	· Meeting with a representative of MoE who in charge in project of Climate Resilient Agriculture in Koh Kong and Mondulkiri	PPCR	23 August 2018	· Mr. Meng Monyreak (director), MoE
6	Fieldwork in Phnom Penh	· Meeting with director of Learning Institute (LI)	PPCR	27 August 2018	· Mr. Srey Marona, Director · Mr. Touch Panha, Project Staff
7	Fieldwork in Battambang at Voat Ta Muem commune (1day)	· Climate-smart agriculture practice coping with drought or conserving available water resources	MCRDP-CSSM	28 August, 2018	· Head of commune council
8	Site visit in Battambang at Voat Ta Muem commune (1day)	· Climate-smart agriculture practice coping with drought or conserving available water resources · Site visit with commune extension worker · Group discussions · Interviews	MCRDP-CSSM	29 August, 2018	· Member of commune councils · Local beneficiaries
9	Fieldwork in Battambang	· Rehabilitated water supply for increased water availability and accessibility	MCRDP-CSSM	30 August, 2018	· Former project staff of CMDP
10	Fieldwork in Phnom Penh	· Meeting with a representative of MoWRAM who in charge in project of Enhancement of Flood and Drought Management in Pursat Province savings'	PPCR	31 August 2018	· Mr. Koam Sothun, Team Leader, MoWRAM

11	Fieldwork in Mondulkiri	<ul style="list-style-type: none"> <li>· Meeting with a consultation of MoE who in charge in project of Climate Resilient Agriculture in Koh Kong and Mondulkiri</li> <li>· Interviews</li> <li>· Site visit</li> </ul>	PPCR	4 September 2018	<ul style="list-style-type: none"> <li>· Mr. Phok Samphos – PIU, MoE</li> <li>· Head of CPAs</li> <li>· Local beneficiaries</li> </ul>
12	Fieldwork in Mondulkiri	<ul style="list-style-type: none"> <li>· Climate-smart agricultural practices in upland areas</li> <li>· Interviews</li> <li>· Site visit</li> </ul>	MCRDP-CSSM	5 September 2018	<ul style="list-style-type: none"> <li>· Director of Mondul Kiri Indigenous People's Association for Development (MIPAD)</li> <li>· Head of commune council</li> <li>· Village head</li> <li>· Local beneficiaries</li> </ul>
13	Fieldwork in Bavet, Svay Rieng	<ul style="list-style-type: none"> <li>· In related to Scaling up renewable energy program by SUNSEAP group</li> <li>· Interviews</li> <li>· Site visit</li> </ul>	SREP	7 September 2018	<ul style="list-style-type: none"> <li>· MME staffs</li> <li>· Staffs of Sunseap group</li> </ul>
14	Fieldwork in Kong Koh	<ul style="list-style-type: none"> <li>· Meeting with a consultation of MoE who in charge in project of Climate Resilient Agriculture in Koh Kong and Mondulkiri</li> <li>· Interviews</li> <li>· Site visit</li> </ul>	PPCR	11 September 2018	<ul style="list-style-type: none"> <li>· Mr. Ou Rotanak – PM, MoE</li> <li>· Mr. Long Sovannarith – PC, MoE</li> <li>· Local beneficiaries</li> </ul>
15	Fieldwork in Preah Sihanouk	<ul style="list-style-type: none"> <li>· Climate Change Adaptation Initiative in Koh Rong archipelago</li> <li>· Interviews</li> <li>· Site visit</li> <li>· Group discussion</li> </ul>	MCRDP-CSSM	12 -13 September 2018	<ul style="list-style-type: none"> <li>· Coordinator of Song Sa Foundation</li> <li>· Commune council</li> <li>· Village deputy-head</li> <li>· Local beneficiaries</li> </ul>
16	Fieldwork in Phnom Penh	<ul style="list-style-type: none"> <li>· Interviews with Engineers with border – Australia</li> </ul>	In related to SREP	18 September 2018	<ul style="list-style-type: none"> <li>· Engineer (staff)</li> </ul>
17	Fieldwork in Phnom Penh	<ul style="list-style-type: none"> <li>· In related to SREP (Mini-grid and Off-grid), SNV</li> </ul>	In related to SREP	26 September 2018	<ul style="list-style-type: none"> <li>· Country Sector Leader Energy, SNV</li> </ul>
18	Reflection workshop in Siem Reap	<ul style="list-style-type: none"> <li>· Consultative discussions with CSOs and (Government officers-In charge)</li> </ul>	PPCR& SREP	2 October 2018	<ul style="list-style-type: none"> <li>· Government Officers</li> <li>· Development partners</li> <li>· CSOs</li> </ul>
19	Reflection workshop in Kampot	<ul style="list-style-type: none"> <li>· Consultative discussions with CSOs and (Government officers-In charge)</li> </ul>	PPCR& SREP	5 October 2018	<ul style="list-style-type: none"> <li>· Government Officers</li> <li>· Development partners</li> <li>· CSOs</li> </ul>





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