



Government of Lao People's Democratic Republic

*Ministry of Natural Resources and Environment, Department of  
Disaster Management and Climate Change*

*UNDP and UNCDF*

## 4<sup>th</sup> Quarterly & Annual Progress Report

*Project ID: 00084024*

*Effective Governance for Small-Scale Rural Infrastructure and  
Disaster Preparedness in a Changing Climate (LDCF II)*

Reporting Period: May to December 2013

January 2014

## I. PROJECT INFORMATION AND RESOURCES

<b>Project Number &amp; Title:</b>	00084024 Effective Governance for Small-Scale Rural Infrastructure and Disaster Preparedness in a Changing Climate
<b>Implementing Partner:</b>	Department of Natural Resources and Environment, MONRE
<b>Additional Collaborating Parties (as per project document)</b>	MAF, MPI, MoPW, Non Profit Organizations (NPOs), INGOs, Mass Organizations, and Private Sector and other Development Partners (WB, ADB, UNDP, UNCDF, GIZ, Government of Finland)
<b>Responsible Parties (if applicable):</b>	MONRE, MOHA, UNDP, UNCDF
<b>Donors:</b>	LDCF (GEF) (in-cash) Government (in-kind, parallel) IUCN (parallel) UNDP (in-cash and parallel)

Project Starting Date		Project Completion Date	
Originally Planned	Actual	Originally Planned	Current Estimate
Jan 2013	May 2013	Jan 2017	May 2017

<b>Period Covered by this report</b>	May to end of December 2013
<b>Date of annual review [Indicate if planned or actual]</b>	23 November 2013

Total Budget	Original Budget (US\$)	Latest Signed Revision (USD)
	\$ 35,572,896 (incl. co-Finance)	\$ 35,541,160 (incl. co-Finance)

Resources	Donor	Amount (USD)
	LDCF/GEF (in-cash):	
GoL (in-kind):		\$ 375,000
GoL (Parallel):		\$ 4,210,000
IUCN (Parallel):		\$ 4,150,000
UNDP (Parallel):		\$ 21,857,896
UNDP (in-cash):		\$ 248,264
TOTAL		\$ 35,541,160

## LIST OF ACRONYMS

ADB	Asian Development Bank
AMAT	Adaptation Monitoring and Assessment Tool
APAN	Asian Pacific Adaptation Network
APR	Annual Project Review
BTOR	Back to Office Report
CBO	Community-based Organization
CC	Climate Change
CCA	Climate Change Adaptation
CFCCA	Community Forest Cover and Change Analysis
COP	Conference of Parties
CPAP	Country Program Action Plan
CPD	Country Program Document
CRVA	Community Risk and Vulnerability Analysis
DDF	District Development Fund
DDSC	District Development Support Committee
DONRE	Department of Natural Resources and Environment
DPH	Department of Public Health
DPWT	Department of Public Works and Transport
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EbA	Ecosystem-based Adaptation
EIRR	Economic Internal Rate of Return
ELAN	Ecosystem and Livelihoods Adaptation Network
ESCO	Energy Service Company
EWS	Early Warning System
GDP	Gross Domestic Product
GEF	Global Environmental Facility
GOL	Gift of Life International
GPAR	Governance and Public Administration Reform
HDI	Human Development Index
IISD	International Institute for Sustainable Development
INGO	International Non-governmental Organization
IUCN	International Union for Conservation of Nature
IWRM	Integrated Water Resources Management
KFW	Kreditanstalt für Wiederaufbau/German Development Bank
Lao PDR	Lao Peoples Democratic Republic
LDC	Least Developed Countries
LDCF	Least Developed Countries Fund
LuxDEV	Luxembourg Agency for Development Cooperation
M&E	Monitoring and Evaluation
MAF	Ministry of Agriculture and Forestry
MCTPC	Ministry of Communication, Transport, Post and Construction
MDG	Millennium Development Goal
MOE	Ministry of Education
MOH	Ministry of Health
MOHA	Ministry of Home Affairs
MONRE	Ministry of Natural Resources and Environment
MPWT	Ministry of Public Works and Transport
MRC	Mekong River Commission
MWD	Mekong Water Dialogue
NAFRI	National Agriculture and Forestry Research Institute
NAMA	National Appropriate Mitigation Action
NAPA	National Adaptation Program for Action

NBSAP	National Biodiversity Strategy and Action Plan
NCSA	National Capacity Self-Assessment
NDMC	National Disaster Management Committee
NDMO	National Disaster Management Office
NGO	Non-governmental Organization
NPA	National Protected Area
NSEDP	National Socio Economic Development Plan
NTFP	Non-timber Forest Product
NTPC	Nam Theun II Power Company
PAFO	Provincial Agriculture and Forestry Office
PBSAP	Provincial Biodiversity Strategy and Action Plan
PIF	Project Information File
PIMS	Project Information Management System
PIR	Project Implementation Reports
PMU	Project Management Unit
POHA	Provincial Office of Home Affairs
PONRE	Provincial Office of Natural Resources and Environment
PPG	Project Preparation Grant
PPR	Project Progress Report
PRF	Project Results Framework
RBC	River Basin Committee
RBD	River Basin District
REDD	Reducing Emissions from Deforestation and Degradation
SBAA	Standard Basic Assistance Agreement
SCCF	Special Climate Change Fund
SDC	Swiss Agency for Development and Cooperation
SEI	Stockholm Environment Institute
SIDA	Swedish International Development Cooperation Agency
SNC	Second National Communication Project
TVET	Technical and Vocational Education and Training
UN HABITAT	United Nations Human Settlements Program
UNCDF	United Nations Capital Development Fund
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNDP CO	UNDP Country Office
UNDP EEG	UNDP Environment and Energy Group
UNDP ERC	UNDP Evaluation Resource Centre
UNDP PEMSEA	UNDP Partnerships in Environmental Management for the Seas of East Asia
UNDP RCU	UNDP Regional Coordination Unit
UNFCCC	United Nations Framework Convention on Climate Change
UNICEF	United Nations International Children's Emergency Fund
V&A	Vulnerability and Adaptation
WATSAN	Water and Sanitation
WB	World Bank
WHO	World Health Organization
WREA	Water Resources and Environment Administration

## II. PURPOSE

### 1. Main Objectives of the Project: (as per the approved UNDP Country Programme Document and Country Programme Action Plan and/or Project Document)

#### A. LDCF2 long term solution and Objective

The long term solution of the project: The key to adaptation in most instances is competent, capable, accountable local administrations that understand how to incorporate adaptation measures into most aspects of their works and departments (after Satterthwaite, D. 2007). This requires improved knowledge of climate risks together the ability to analyze the nature of that risk and to develop solutions, both from technical and managerial perspective.

The project objective is to improve local administrative systems affecting the provision and maintenance of small scale rural infrastructure (including water and disaster preparedness) through participatory decision making that reflects the genuine needs of communities and natural systems vulnerable to climate risk.

#### B. GEF Strategic objectives and Outcome

**GEF-4 Second Strategic Objective and Program (SO2):**

**GEF (Fourth) Strategic Program (SP-4): GEF Expected Outcome:**

#### C. UNDP

**UNDP Strategic Plan Secondary Outcome:** National, regional and local levels of governance expand their capacities to manage the equitable delivery of public services and support conflict resolution.

**Country Programme (CP) Outcome (s):** By 2015, better climate change adaptation and mitigation implemented by government and communities and natural disaster vulnerabilities reduced in priority sectors.

## III. PROJECT PERFORMANCE AND RESULTS

### 1. Contribution to the strategic goals [To be completed in cooperation with UNDP Programme Analyst]

**UNDAF Outcome (s):** By 2015, the Government and communities better adapt to and mitigate climate change and reduce natural disaster vulnerabilities in priority sectors (Outcome 8).

#### UNDP Country Programme Outcome

**UNDP Strategic Plan Secondary Outcome:** National, regional and local levels of governance expand their capacities to manage the equitable delivery of public services and support conflict resolution.

**Country Programme (CP) Outcome (s):** By 2015, better climate change adaptation and mitigation implemented by government and communities and natural disaster vulnerabilities reduced in priority sectors.

**Progress towards achieving GEF and UNDP outcome** *[A brief analysis of the status of the situation and any observed change (s) made possible by the project contribution, at a higher development result level. Make reference to the applicable MDGs and NSEDP goals/targets.]*

After 13 months duration and three quarters of implementation (1<sup>st</sup> funds installment mid Nov 2013, 2<sup>nd</sup> funds inst. 23<sup>rd</sup> Jan 2014 & 3<sup>rd</sup> funds inst. 11<sup>th</sup> June 2014), the project cannot claim to have contributed to fulfilling the above GEF and UNDP outcomes. However, collaborating projects, GOL and other project stakeholders are continuously contributing to the achievement of the outcomes. Much time was spent on a key number of recruitments and administration of the project.

## **2. Progress towards achieving project objectives and outcomes**

### **2.1 Context**

The Government requests the LDCF to finance the additional costs of enhancing the resilience of small rural infrastructure and ecosystem services to climate risks, within the context of inclusive local planning and investments in some of the poorest districts of Lao PDR. The impacts of climate change will affect small-scale rural infrastructure through the increased risks associated with more frequent and severe droughts and dry periods, floods, landslides and extreme weather events, as well as more fundamental shifts in the hydrological regime undermining the ecosystem services that provide a buffer between the climate and the built infrastructure.

The project is centered on four interrelated components, in short: a) Inclusive planning, budgeting and capacity development for reducing climate and disaster related risks, b) Local investment for reducing climate risks, c) Securing ecosystem services & assets, and d) Project management.

### **2.2 Component/Outcome 1: Inclusive planning, budgeting and capacity development for reducing climate and disaster related risks**

The key to adaptation in most instances is competent, capable, accountable local administrations that understand how to incorporate adaptation measures into most aspects of their works and departments. Building primarily on GPAR, the project will ensure that local planning, budgeting, and execution, including investments in small-scale rural infrastructure (Component 2) and related management of critical ecosystem (Component 3), are climate resilient.

#### **Outcome/component 1**

#### **Indicator**

Capacities provided for local administrative institutions to integrate climate risks into participatory planning and financing of small scale rural infrastructure provision

50% of sub-national officials and 10% of national officials are able to analyse climate risks for their districts on a macro level (V&A analysis) and are able to identify specific vulnerabilities and adaptation options at village level (CRVA).

All 12 target districts are applying a climate resilient planning mechanism including project identification, site assessment, approval, execution and M&E.

All annual district investment plans include evidence of incremental CCA costing for water sector projects by year 4 and at least 4 provide this evidence by year 2.

Component one will be pursued by emphasizing the following thematic areas:

- 1) Develop training materials based on the initial capacity assessment, the V&A tool of the Prodoc, and the CRVA tool, also building on similar materials being developed under the ADB-IWRM project.
- 2) Develop a 4 year detailed climate change capacity development plan for DDSCs based on the findings of the initial capacity assessment carried out during the PPG phase
- 3) Conduct initial and follow-up training and awareness raising workshops at province and district level in all 12 districts, in collaboration with the ADB-IWRM project.
- 4) Provide on the job coaching of target institutions in conducting CRVA assessments.
- 5) Engage GIS database specialists to develop a simple climate change adaptation information databank at PONREs in Sekong and Saravane.
- 6) Develop a priority list of at least four projects per district including at least one initial investment project per district, with a priority focus on the water sector and climate change adaptation.
- 7) Develop indicative budgets for each project.
- 8) Approval of priority list of climate resilient investments by the respective DDSC.
- 9) Develop and field test the CRVA tool.
- 10) Carry out CRVA analysis for at least 48 potential project sites and provide final recommendations to the DDSCs on feasibility and relevance to CCA.
- 11) Integrate information gathered from CRVA into awareness-raising and training materials.
- 12) Integrate CRVA findings into CCA information databank.
- 13) Integrate the CRVA tested projects as an agenda item for regular meetings of the province planning and investment departments, the DDSCs and the village-level planning consultations.
- 14) According to CRVA findings, support district officials to develop detailed budgets for each selected climate resilient investment project, including in-kind community contributions.
- 15) Provide technical support and advice to DDSCs in reviewing and approving climate resilient infrastructure investments.
- 16) Support development of tender documentation and procedures for climate resilient infrastructure investments and oversight of construction company selection processes.
- 17) Organize two day excursions (4 per year) to best practice project sites for district and provincial officials as well as community representatives to promote learning and facilitate climate resilient planning.
- 18) Develop climate resilient construction guidelines for each sector of small-scale rural infrastructure development.

- 19) Conduct trainings for local construction companies in the area of climate resilient construction.
- 20) Presentations and discussion of guidelines to national and provincial levels of the Ministry of Infrastructure and other relevant ministries as an input to wider discussions on necessary revisions to national standards and guidelines.

### 2.3 Component/Outcome 2: Local investment for reducing climate risks

Local communities will be supported in identifying and investing in small-scale rural infrastructure that builds climate resilience. Investments may be in the form of new infrastructure or enhancing (“climate-proofing”) existing infrastructure. Investment decisions will be guided by climate vulnerability and disaster risk assessments carried out under Component 1

Outcome/component 2	Indicator
Incentives in place for small scale rural infrastructure to be protected and diversified against climate change induce risks (droughts, floods, erosion and landslides) benefiting at least 50,000 people in the 12 districts of Sekong and Saravane provinces	<p>By the end of the project all target districts are investing at least 2 projects per year in village level climate resilient water harvesting, storage and distribution systems, which are informed by CRVA.</p> <p>At least 50,000 people across 12 districts are benefitting from climate change resilient small-scale irrigation infrastructure, which has been informed by CRVA.</p> <p>At least 25% in additional CCA funds (annual average) expended over and above baseline District Development Funding in at least 12 districts, based on a system that rewards districts that perform well against predetermined criteria.</p>

In support of the component two the following outputs/ thematic areas will be pursued:

- 1) Establish an incentive mechanism based on the principle of an additional 25% increment to baseline development budgets to fund climate resilient investments.
- 2) Develop an audit methodology to annually track district performance in the area of climate resilient, ecosystem based small-scale water infrastructure.
- 3) Adjust annual budgetary envelopes for district investment plans to include CCA grants according to measured district performance.
- 4) Amend standard local development funding operating manuals, instructions and regulations to include climate resilient infrastructure, in order to fully mainstream climate financing into existing systems.
- 5) Codify lessons learned from a climate finance and public expenditure management perspective.
- 6) Support and ensure establishment of district level bank accounts in line with MoF rules.
- 7) Deliver climate resilient infrastructure grants to district accounts, aligned with existing local development funding.
- 8) Track, monitor and report on fiscal transfers for climate resilient infrastructure.



- 9) Evaluate and report on climate resilient grant performance against relevant MCs standards on an annual basis.

The introductory field visit to Saravane and Sekong provinces (end of Dec 2013) confirmed the high priority to small-scale irrigation, groundwater wells, water storage facilities, community water supply and sanitation, sustainable natural resources and wetlands management. Thus, timing and focus need to be carefully planned and been scheduled to year 2.

#### 2.4 Component/Outcome: 3: Securing ecosystem services and assets

Specific physical measures will be implemented to enhance and sustain critical ecosystem functions for reducing vulnerability to climate-induced floods and droughts. Measures to increase surface water retention capacity in order to encourage gradual release of water during the dry season and extend to year round supply will be designed, integrated into district plans and implemented with strong community involvement

Outcome/component 3	Indicator
Natural assets (wetlands, forests, etc.) over at least 60,000 ha are managed to ensure maintenance of critical ecosystem services to sustain critical rural infrastructure, especially water provisioning, and flood control under increasing climate change stresses	<p>At least 6 management and action plans covering at least 48 climate resilience small-scale infrastructure investments under implementation across both Sekong &amp; Saravane provinces.</p> <p>At least 250 national, provincial and district planners have received knowledge and learning approaches and materials produced by the project on ecosystem based management linkages to infrastructure provision.</p>

In support of the component three the following outputs/thematic areas will be pursued:

- 1) Prepare tender documentation for the delivery of up to nine climate resilient ecosystem management and action plans.
- 2) Develop ecosystem management and action plans that support climate-resilience of rural infrastructure in up to nine locations building on the existing ADB-IWRM approach for Sekong, as well as the location specific interventions and capacities provided under the IUCN baseline projects, as indicated above.
- 3) Implementation of up to nine ecosystem management and action plans through community driven measures with contractual service support.
- 4) Apply the ecosystem management monitoring and evaluation system on a regular basis.
- 5) Develop and disseminate best practice guidelines based on M&E reports provided under output 3.1. MONRE, with support from subcontractors, will develop best practice guidelines for the area of small-scale ecosystem management that support or protects small-scale rural infrastructure.
- 6) Organize site visits for district, provincial and national officials.
- 7) Organize roundtable meetings to share experiences on EbA infrastructure solutions building on existing networks and capabilities provided by the IUCN baseline projects.

## 2.5 Component/Outcome 4: Project management

The purpose of this component is to ensure that the project is implemented in a timely manner and is cost effective under the principles of adaptive management (plan-do-evaluate-adjust) & learn, whereby lessons learnt during its implementation as well as lessons from other initiatives/projects are fed into a refined and cost-effective project implementation. The project document underlines a general need for upgrading implementation capacities and special emphasis should be paid to enhancing national capacity building.

Outcome/component 4	Indicator
Effective project management	Number of strategic recommendations from the Project Board (4)

There is only one Output under this component, i.e. improved capacity of implementing partners for integrated planning, management, monitoring and evaluation of programmes. Activities under this component/ outcome have centered on up-start activities, i.e.:

- 1) Announcements, interviews and recruitment of Chief Technica Advisor (CTA) and other International and National Experts/Specialists
- 2) Announcements, interviews and recruitment of project support personnel (Assistant PM, Senior Finance & Administration Offer (SFAO), Provincial Finance & Administration Assistants (PFAAs), National Specialist (Public Financial Management Coordinator), Translator, and Senior Project Drivers)
- 3) UNDP NIM Training to the PM, Assistant PM, SFAO, and PFAAs
- 4) Collaboration potentials with UNDCF/MOHA and other projects, and
- 5) Assistance in preparation and signing of MoU between MONRE and UNCDF
- 6) Refurbishment of PSU office space in Vientiane, PPSU offices in Saravane and Sekong provinces

<b>Project Performance and Results Progress towards achieving outcome</b>					
<b>Outcome 1:</b> Capacities provided for local administrative institutions to integrate climate risks into participatory planning and financing of small scale rural water infrastructure provision. (equivalent to activity in ATLAS)					
<b>Impact indicator 1:</b> 50% of sub-national officials and 10% of national officials are able to analyze climate risks for their districts on a macro level (V&A analysis) and are able to identify specific vulnerabilities and adaptation options at village level (CRVA); all 12 target districts are applying a climate resilient planning mechanism including project identification, site assessment, approval, execution and M&E; and all annual district investment plans include evidence of incremental CCA costing for water sector projects by yr 4 and at least 4 provide this evidence by Yr 2.					
<b>Progress towards achieving outcome:</b> Initial activities have started, but too early to report on significant progress.					
<b>Annual outputs and indicators [According to project document and/or annual work plan]</b>	<b>Key activities completed during reporting period</b>	<b>Expenditures [Actual expenditures against activities completed]</b>	<b>Progress towards achieving outputs &amp; targets achieved against indicators</b>	<b>Reasons if progress below target &amp; response strategies</b>	
<b>Output 1.1:</b> Technical capacity in climate resilient planning and managing climate risks, focusing on links between improved ecosystem management and sustainability of investments in small scale rural water infrastructure, enhanced for at least 250 national, province, district and village officials, including watsan committee members and disaster management committee members.	2 project orientation workshops conducted (Saravane & Sekong) and recommended for climate CR small scale infrastructures formulated by provincial and district technical participants	22,673.62US\$	Overall need assessment will be done for provincial and district staff and will follow up by capacity need assessment at district offices, when project interventions have been identified.	Project not yet fully operational	
<b>Output 1.2:</b> Village level water harvesting, storage and distribution infrastructure adaptation solutions and related ecosystem management options identified, prioritized and integrated into district development plans.	None yet	See above	See above	See above	
<b>Output 1.2:</b> Village level water harvesting, storage and distribution infrastructure adaptation solutions and related ecosystem management options identified, prioritized and integrated into district development plans.	None yet	See above	See above	See above	
<b>Output 1.3:</b> Climate risk, vulnerability and adaptation assessments (CRVA) carried out at 48 project sites in 12 districts of Sekong and Saravane provinces and proposed climate resilient investments adjusted to take account of site specific adaptation concerns.	None yet	See above	See above	See above	
<b>Output 1.4:</b> Detailed climate resilient project investments and tender documents finalized as well as associated dialogues to facilitate implementation of annual investment plans in 12 districts.	None yet	See above	See above	See above	
<b>Output 1.5:</b> Guidelines, codes and best practices for climate resilient construction developed, applied and revised for small-scale rural infrastructure sectors (irrigation, water supply, rural roads, education, and health), including technical training in climate resilient design for local engineers and contractors.	None yet	See above	See above	See above	

Project Performance and Results Progress towards achieving outcome					
Outcome 2. Incentives in place for small scale rural infrastructure to be protected and diversified against climate change induced risks (droughts, floods, erosion and landslides) benefitting at least 50,000 people in 12 districts of Sekong and Saravane (equivalent to activity in ATLAS)					
Impact indicator 2: By the end of the project all target districts are investing at least 2 projects per year in village level climate resilient water harvesting, storage and distribution systems, which are informed by CRVA; at least 50,000 people across 12 districts are benefitting from climate change resilient small-scale irrigation infrastructure, which has been informed by CRVA; and at least 25% in additional CCA funds (annual average) expended over and above baseline District Development Funding in at least 12 districts, based on a system that rewards districts that perform well against predetermined criteria.					
Progress towards achieving outcome: Initial planning has started, but too early to report on significant progress.					
Annual outputs and indicators [According to project document and/or annual work plan]	Key activities completed during reporting period	Expenditures [Actual expenditures against activities completed]	Progress towards achieving outputs and targets achieved against indicators	Reasons if progress below target & response strategies	
<b>Output 2.1:</b> An incentive mechanism, rewarding districts performing well in planning, budgeting and implementation of climate resilient, ecosystem based small-scale water infrastructure is developed, tested and under operation.	ToR for PFMC being drafted by LDCF2 and is expected to share with UNDP in beginning of April 2014		Project identification has started with strong participation of provincial and district staff.	Project not yet fully operational	
<b>Output 2.2:</b> At least 48 small-scale infrastructure investment projects (1 per district and year), including components of water harvesting, storage, distribution and/ or irrigation of the priority lists that have been CRVA assessed are implemented.	MoU between MONRE and UNCDF finalized/signed on 11 October 2013 witnessed by MOHA and UNDP.	See above	Output will be done together with UNCDF/MOHA. Awaiting selection of project interventions identified	See above	

Project Performance and Results Progress towards achieving outcome					
Outcome 3: Natural assets (such as wetlands, forests and other ecosystems in sub-catchments) over at least 60,000 ha are managed to ensure maintenance of critical ecosystem services, especially water provisioning, flood control and protection under increasing climate change induced stresses, in Sekong & Saravane provinces. (equivalent to activity in ATLAS)					
Impact indicator 3: At least 6 management and action plans covering at least 48 climate resilience small-scale infrastructure investments under implementation across both Sekong and Saravane provinces; and at least 250 national, provincial and district planners have received knowledge and learning approaches and materials produced by the project on ecosystem based management linkages to infrastructure provision.					
Progress towards achieving outcome: Initial activities have started, but too early to report on significant progress.					
Annual outputs and indicators [According to project document and/or annual work plan]	Key activities completed during reporting period	Expenditures [Actual expenditures against activities completed]	Progress towards achieving outputs and targets achieved against indicators	Reasons if progress below target & response strategies	
<p><b>Output 3.1:</b> Up to 9 ecosystem management and action plans to protect the 48 small-scale infrastructure projects (including physical measures to increase natural water retention and storage, as well as increase ground water infiltration and recharge) are designed, implemented and monitored for effectiveness</p> <p><b>Output 3.2:</b> Awareness-raising activities implemented, learning materials developed and disseminated and regular dialogues established between communities and all local administrative tiers on linkages between ecosystems management and small-scale infrastructure solutions.</p>	<p>ToR for National Ecosystem Specialist being shared with UNDP. Recruitment process is expected in Q2 of 2014</p> <p>Not yet</p>	<p>16,679.75US\$</p>	<p>See above</p>	<p>Project not yet fully operational</p>	
		<p>See above</p>	<p>See above</p>	<p>See above</p>	

Project Performance and Results Progress towards achieving outcome				
Outcome 4: Effective Project Management				
Impact indicator 4: Number of MONRE-organized crosses project meetings (Target:?)				
Progress towards achieving outcome: Initial activities have started, but too early to report on significant progress.				
Annual outputs and indicators [According to project document and/or annual work plan]	Key activities completed during reporting period	Expenditures [Actual expenditures against activities completed]	Progress towards achieving outputs and targets achieved against indicators	Reasons if progress below target & response strategies
Output 4.1: Capacity of Implementing Partner for integrated planning, management, monitoring and evaluation of programmes.	Recruitment of APM and SFAO in mid August 2013	20,833,20US\$	APM and SFAO been oriented in project and UNDP NIM by UNDP Programme Specialist	Initial recruitment process of APM & SFAO very slow, partly due to unfamiliarity with NIM procedures.
	Annual procurement plan and 4 <sup>th</sup> Q & AWP 2013 prepared and submitted to UNDP in early Sep 2013		1 <sup>st</sup> POA advance received from UNDP on 17 Oct 2013	Procurement of IT equipment and vehicles through UNDP CO needed for operating project still not in place in Vientiane and the 2 provinces
	Procured office furniture, equipment and refurbished PSU office in mid Dec 2013		Office space at DDMCC is sufficient and now well functioning	
	12 motorcycles have been received, but not yet registered (Gov. blue plate).		The Gov. blue plate registration is now being carried out by the DDMCC.	
	3 project cars (1 for PSU VTE, 1 for each targeted province) are being procured by UNDP - under process		Car packing list not yet received- without this DDMCC could not proceed with other paperwork	
	After some delays, the inception workshop took place on 23 Nov 2013 at National Conference Center in Vientiane		Inception report is being drafted. Visit of UNDP RTA took place during Nov 2013 and among others provided guidance and overview of the project	
	PFAAs announcement and interview made in early Nov. Draft interview report shared with UNDP and finalized Dec 2013, see-Annex 24		The PFAA-Saravane already started her job with project in Jan 2014, and the PFAA-Sekong will be on board in beginning of Feb 2014.	

	<p>The CTA announcement made in Nov 2013.</p> <p>The draft ToRs for other Int'l and Nat'l Experts/Specialists – under process</p>		<p>STA interview scheduled for Dec 2013 and finally postponed to Jan 2014 – date TBD by UNDP. It is expected to be on board in late-Apr or early May 2014</p>	<p>Delay in recruitment of STA and other Int'l &amp; Nat'l Experts have been encountered the project interventions</p>
	<p>Updated roles &amp; responsibilities for PST, DDSC and DDST with MOHA/UNCDF have prepared and are expected to be forwarded to the target provinces in mid Jan 2014.</p>		<p>Several short dialogue meetings with key partners organized such as UNDP and MOHA to seek their views and inputs on programme, roles and responsibilities of project key partners</p>	<p>Delayed follow-up on Vice Minister's guidance on establishing project board at central level</p>
	<p>Project monthly meetings with UNDP are regularly carried</p>		<p>Few informal meetings with MOHA took place during Sep to Dec 2013.</p>	
	<p>First field visit to Saravane and Sekong conducted during 17 - 18 Dec 2013.</p>		<p>First draft field visit report shared and finalized. 2 PFAAs have been formally introduced to local authorities during this visit in Dec 2013</p>	
	<p>Draft annual procurement plan and 1<sup>st</sup> Q/AWP for 2014 prepared and shared with UNDP in mid-January 2014</p>		<p>POA advance requisition made and submitted to UNDP 17 January 2014</p>	

**2. Contribution to aid effectiveness, i.e. update on implementation of the Vientiane Declaration and its Action Plan, HACT, etc** *[Brief update on any achievement and/or problem related to the implementation of the Vientiane Declaration. It should also include issues related to the introduction of HACT and actions planned for the following period]*

Early to tell. At this early stage of implementation it is difficult to assess project contribution to the principles of Vientiane Declaration. The project design, the NIM and encouragement to inter-project and inter/intra-agency collaboration, however, are important elements to support the principles.

**3. Update on partnerships** *[Brief update on any achievement and/or problem in developing partnerships and inter-agency collaboration. It should also include strategies for south-south cooperation]*

The project intends to participate in a number of climate resilient related activities and other development projects important for the project and has already made a number of contacts to projects relevant to the project.

Signing of MOU between MONRE and UNCDF witnessed by MOHA and UNDP.

Multi-stakeholders participated in the project orientation workshop in December 2013

The project design does not specifically mention south-south cooperation. Contacts have been made with similar projects (WWF, ADB, etc) in China and if other opportunities emerge - they will be pursued. UNDP and UNCDF may also facilitate such cooperation.

**4. Update on gender mainstreaming** *[Brief update on any achievement and/or problem in terms of mainstreaming gender within the project activities. Strategy for the following period]*

**Gender issues** have been included in the overall work plan. Further, the project will carefully assess gender issues<sup>1</sup> and will promote gender equity in policies, strategies and programmes as well as in field implementation, while respecting cultural and ethnic gender roles and traditions. Where possible, women's interest and economic contribution to household economy will be supported and at least 50% of direct beneficiaries will be female. Further, TA and staff gender equity has been pursued, project data will be gender segregated and gender issues will be included TORs.

**5. Update on the implementation of audit & Spot Check recommendations** *[Brief update on progress achieved and problems encountered. Actions planned for the following period]*

N/A. Project has recently received its first installment and no sport check has taken place.

<sup>1</sup> Lao PDR is signatory to Convention on the Elimination of All Forms of Discrimination against Women, which states, among others, that: " Parties shall take into account the particular problems faced by rural women and the significant roles which rural women play in the economic survival of their families, including their work in the non-monetized sectors of the economy...take all appropriate measures to eliminate discrimination against women in rural areas in order to ensure, on a basis of equality of men and women, that they participate in and benefit from rural development and, in particular, shall ensure to such women the right to participate in the elaboration and implementation of development planning at all levels"



**6. List main challenges and issues (if any) faced during reporting period [as well as response strategies adopted]**

The challenges encountered relates to normal issues during the inception and includes: Non establishment of Project Board, delay in recruitment of project team e.g. international and national experts, aligned work plans with UNCDF/MOHA, overall work plan for the four year period (as mentioned in project document).

To overcome these challenges, UNDP and UNCDF have been very helpful in assisting with necessary paperwork, procedures and feedback. Thus, the setting-up of regular monthly meetings with UNDP and MONRE have been fruitful. Meetings with MOHA have also taken place on ad hoc basis and more formal collaboration and procedures are being worked out with the kind assistance of the Director General of Planning Department/MOHA, Mr. Nisith.

**7. Rating on progress towards results**

<b>Output:</b> [From table 1. Contribution to Strategic Goals]	
Output 1.1	<input type="checkbox"/> Positive change <input type="checkbox"/> Negative change <input checked="" type="checkbox"/> Unchanged
Output 1.2	<input type="checkbox"/> Positive change <input type="checkbox"/> Negative change <input checked="" type="checkbox"/> Unchanged
Output 1.3	<input type="checkbox"/> Positive change <input type="checkbox"/> Negative change <input checked="" type="checkbox"/> Unchanged
Output 1.4	<input type="checkbox"/> Positive change <input type="checkbox"/> Negative change <input checked="" type="checkbox"/> Unchanged
Output 1.5	<input type="checkbox"/> Positive change <input type="checkbox"/> Negative change <input checked="" type="checkbox"/> Unchanged
Output 2.1	<input type="checkbox"/> Positive change <input type="checkbox"/> Negative change <input checked="" type="checkbox"/> Unchanged
Output 2.2	<input type="checkbox"/> Positive change <input type="checkbox"/> Negative change <input checked="" type="checkbox"/> Unchanged
Output 3.1	<input type="checkbox"/> Positive change <input type="checkbox"/> Negative change <input checked="" type="checkbox"/> Unchanged
Output 3.2	<input type="checkbox"/> Positive change <input type="checkbox"/> Negative change <input checked="" type="checkbox"/> Unchanged
Output 4.1	<input type="checkbox"/> Positive change <input type="checkbox"/> Negative change <input checked="" type="checkbox"/> Unchanged

**IV. ADDITIONAL ACTIVITIES WHICH CONTRIBUTE TO THE OUTCOME AND/ OR OUTPUTS**

Provide information about any activities undertaken by the project that were NOT envisaged in the work plan but which contributed to the outcome and/or outputs? E.g. advocacy and policy dialogue.

None yet at this stage

## V. FUTURE WORK PLAN

### 1. What are the priority actions planned to overcome constraints, build on achievements and partnership, and use of the lessons learned during the previous implementation?

- 1) Get all team members on Board (PFAAs, STA, NS-PFM, other Int'l and Nat'l Experts, M&E, Translator, Drivers, etc) – speeding up activities
- 2) Finalization of project inception workshop report based on comments received from the key participants, etc
- 3) Conduct monthly meeting with UNDP and MOHA/UNCDF
- 4) Formalize specific collaboration mechanism with other projects
- 5) Agree on roles and structure of governing bodies (e.g. Project Board (PB), PST, DDST and DDSC)
- 6) Formalize administration issues
- 7) Establishment and refurbishment of PPSU offices in Saravane and Sekong
- 8) Conduct TNA

### 2. List major adjustments in the strategies, targets or key outcomes and outputs planned.

N/A. Too early to tell.

### 3. Estimated total budget required for AWP 2014 is US\$1,308,217, which US\$60,000 out of the total budget is TRAC Fund.

### 4. Estimated total budget required for 1<sup>st</sup> QWP 2014 is US\$95,405, which US\$2,728 out of the total budget is TRAC Fund

## ANNEXES

1. Minutes of LPAC Meeting, 26 Mar 2013
2. Q4 Combined Delivery Report (CDR) 2013
3. Internal Monitoring of Deadlines of Reports and other Deliverables
4. Risk Log for Reporting period
5. Issues Log for Reporting period
6. Lessons Learned Log (Accumulated)
7. Minutes of 1<sup>st</sup> Monthly Meeting, Jun 2013
8. Minutes of 2<sup>nd</sup> Monthly Meeting, Jul 2013

9. Minutes of 3<sup>rd</sup> Monthly Meeting, Aug 2013
10. Minutes of 4<sup>th</sup> Monthly Meeting, Sep 2013
11. Minutes of 5<sup>th</sup> Monthly Meeting, Oct 2013
12. Minutes of 6<sup>th</sup> Monthly Meeting, Nov 2013
13. 4<sup>th</sup> QWP cum Budget for 2013
14. Annual Procurement Plan for 2013
15. Overall Work Plan for 2013 – 2016
16. AWP cum Budget for 2014
17. 1<sup>st</sup> QWP cum Budget for 2014
18. Revised Project Organogram/Project Organization Chart
19. List of Project Inventory as of Dec 2013
20. Draft ToR for CTA
21. ToR for APM & Selection Report
22. ToR for SFAO & Selection Report
23. ToR for PFAAs & Selection Report
24. MoU between MONRE and UNCDF witnessed by MOHA and UNDP
25. 1<sup>st</sup> Field Visit Report to Saravane and Sekong Provinces
26. Project Progress Update

**PREPARED BY:**



.....  
Souksavanh Sisouvang, APM

Date: 10/01/2014

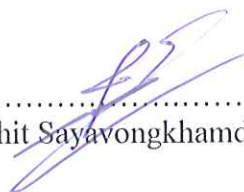
**APPROVED BY:**



.....  
Vanxay Bouttanavong, NPM

Date: 10/01/2014

**ACKNOWLEDGED BY:**



.....  
Vichit Sayavongkhamdy, UNDP Programme Specialist

Date: 13/01/2014

United Nations Development Programme



*Empowered lives  
Resilient nations*

Minutes of Local Project Appraisal Committee (LPAC)

Effective Governance for Small-Scale Rural Infrastructure and Disaster Preparedness in a Changing  
Climate Project

9:00 to 11:30 am, Tuesday, 26<sup>th</sup> March 2013

Welcoming and opening remarks

Opening remarks were made by Ms. Kyoko Yokosuka, the UNDP Deputy Resident Representative (DRR-P). She highlighted the purpose and importance of this meeting and welcomed colleagues from the Government of Lao PDR and development partners.

Ms. Kyoko highlighted a few key points:

- The objective of this LPAC meeting is to bring together stakeholders and partners to discuss the project goals, activities, and management structure of this new project. It is also an opportunity to discuss areas for collaboration and any gaps that we need to address when finalizing the agreement.
- Specifically, this project is intended to build capacity among provincial, district and local governments to integrate climate resilience into their existing development planning and budgeting. It will also enhance their ability to execute priority infrastructure and ecosystem management projects that increase local resilience to climate change.
- This 4-year project will be led by MoNRE's Department of Disaster Management and Climate Change (DDMCC) and will be implemented in partnership with Ministry of Home Affairs (MOHA), UNDP and UNCDF.
- The project was recently awarded \$4.7 Million from the Global Environment Facility (GEF) -- in addition to \$280,000 previously contributed by UNDP -- and is now preparing to move to implementation.

Mr. Xayaveth Vixay, the Director General of the Department of Disaster Management and Climate Change (DDMCC), commented that Lao PDR is one of the most vulnerable countries in the region to climate change. The country is experiencing an increase in the number of climate hazards especially floods and droughts. He emphasized that this project meets the government's policy and the country's real needs to increase its resilience to climate change and disaster related impacts. The districts targeted for this project are highly vulnerable to climate change. He highlighted that this project was approved by GEF CEO in early January 2013 and that we need to prepare the project document by May to receive funding. He, then, urged participants to share their practical point of view.

#### Overview of Project

Mr. Vanxay Boutanavong, Deputy Director of Adaptation Division, DDMCC of MoNRE gave the overview presentation of Effective Governance for Small-Scale Rural Infrastructure and Disaster Preparedness in a Changing Climate Project (see attached powerpoint). The presentation addressed the background of the project, objectives, outcomes/outputs, project approach, and next steps. He also reviewed the project organogram and staffing and emphasized the importance of project monitoring and evaluation.

As part of the project overview, Ms. Yvette Lizée (UNDP Environment Unit Manager) presented the results and recommendations from the Environmental and Social screening applied to the project. She explained that starting in 2012, UNDP requires all new projects to undertake an environmental social (E&S) screening. This E&S screening is intended to strengthen UNDP accountability to countries and communities and to enhance the environmental and social sustainability of our projects. The E&S screening report for this project concluded that most district level infrastructure improvement and sub-projects to be funded under component 2 of project should not have environmental and social impacts because a) they are improving existing small infrastructure, and b) they are being planned in conjunction with communities. However, certain types of projects – such as those seeking to divert or contain water resources like water retention ponds -- could potentially have impacts if not properly planned and implemented.

As a result, the E&S report recommends incorporating the following amendments to two of the project outputs:

- Output 1.1 - Incorporate environmental and social risk considerations in the government capacity assessment and trainings
- Output 1.3 - Incorporate additional environmental and social screening questions into the site Climate Risk Vulnerability and Adaptation assessment (CRVA) process and tools used to review the small Infrastructure projects conclusion was that precautionary measures and trainings are required when dealing with small projects. The detail of the findings is noted in a separate document.

Beyond the above recommendations, the E&S screening report also highlighted the need to closely monitor the involvement of women and vulnerable groups so they are properly engaged in project.

After Yvette's review of the E&S report, Mr. Vanxay closed the overview by outlining the next steps in the project initiation. The project team will submit the project document to Ministry of Planning and Investment (MPI) in early April with the intention of having it approved by early May. Once approved the project management team will be recruited and established. The Inception Workshop will likely be held in July.

### Key comments

Participants provided the following comments following the project overview.

- Recommend undertaking awareness building on climate change early in the project particularly at the local government level.
- Climate change capacities in Saravan and Sekong are limited. The Community Risk Vulnerable Assessment needs to be done properly and will thus require a focus on technical training. For effectiveness, technical capacity development (e.g. in the use of the CRVA assessment tool) needs to happen at both the local and central level.
- This is a wonderful project that is unique in the incorporation of ecosystem services and ecosystem-based climate change adaptation actions as part of its strategy.
- As part of the environmental and social impact considerations under the CRVA assessments, districts should not only focus on their individual projects, but need to also consider the cumulative impacts of other projects and actions in the area.
- From the IRAS experience, the UNDP Annual Workplan format is different from that of GEF. The project team should allow ample time to transfer the prodoc workplan into the UNDP format and to adjust the M&E framework to line up with UNDP standards.
- It was recommended that Engineers be involved in the project as it relates to infrastructure and building codes. In response it was explained that engineering support has been built into the project.
- There was question about the funding delivery system under component 2 and how the commitment of the district level committees and support teams would be assured. In response, UNCDF and MOHA explained that the GPAR system (that will be used to deliver the district level project funds) is a national mechanism whereby funds are channeled through MoF. It relies on support of government officials at different levels. The district level committees and teams will be supported and primarily comprised of government staff who will be doing this as part of their work functions. This system already exists under GPAR and is functioning well.
- MoHA and GPAR welcomed this project and expressed their willingness to work and support it. IRAS/NAFRI also expressed their readiness to assist and cooperate with the project where suitable, as did two partner organizations IUCN and WWF.
- There was a request that target provinces and districts align with Sam Sang. In response, it was explained that all project sites are within the Sam Sang target areas which are in line with the government's priorities.
- Community involvement especially women's involvement needs to be done properly with precautions so that there is limited burden on local families.
- The project needs to work closely with the Ministry of Public Works in defining best practices and guidelines for infrastructure projects. When developing new climate change resilient building codes, for example, the project should look at and coordinate with existing codes especially on the environmental and social guideline of public works, so that technical words and project-related guidelines are consistent.

- This project should establish a link with regional conferences on climate change to increase opportunities for synergy and to share lessons learned. It was suggested that this project and IRAS undertake joint activities, including possible joint conference.
- UNVs should be considered when recruiting staff as they have access to a wide range of expertise.

#### Summary of the LPAC outputs

After a lively discussion and practical recommendations from almost all participants, Ms. Kyoko and Mr. Xayaveth summarized the key issues that were discussed.

Mr. Xayaveth stated that, on behalf of MoNRE, he considered the meeting successful. He confirmed that the objective/outcome/output matched with the government's priorities. The group had reached a general consensus on the project. MoNRE and UNDP will incorporate key comments, finalize the project document and send it to MPI for approval. He also took the opportunity to thank UNDP and all participants.

Ms Kyoko closed by highlighting two amendments to the project document.


1. There is a need to build in awareness of climate change issues and priorities especially at local government level.
2. The project needs to take into account the Environmental and Social screening recommendations and build them into the project. Kyoko also reemphasized that in addition to considering E&S impacts of individual projects, as part of the vulnerability assessment districts need to also consider cumulative impacts with other activities happening in their areas.

In addition Kyoko made the following closing comments.

- This project is large and complex and therefore requires effective coordination especially at local level (provincial and district). She noted the importance of support from different ministries and partners especially from MoIA, Ministry of Public Works and Transport, WWF, IUCN, UNCDF and IRAS project. She suggested including representatives from the local authorities as beneficiaries, to the project board.
- She emphasized that the M and E framework needs to be fleshed out in order to effectively measure the progress and communicate on results.


The meeting participants agreed on the above recommendations and after the consensus achieved, Ms. Kyoko indicated that the project is *endorsed in principle*. The above two revisions need to be integrated into the revised project document. It will be shared with participants when ready.

Kyoko closed the meeting by thanking all participants for their practical and valuable inputs.



Mr. Xayaveth Vixay

Director General of Disaster  
Management and Climate Change,  
MoNRE



Ms. Kyoko Yokosuka  
Deputy Resident Representative (P),  
UNDP

# Annex 02: Q4 Combined Delivery Report (CDR) 2013



UN Development Programme  
Report ID: unglcdrb

## Combined Delivery Report by Activity

Page 1 of 5  
Run Time: 12-03-2014 05:03:32

### Selection Criteria :

Business Unit : LAO10  
Period : Jan-Dec (2013)  
Selected Project Id : ALL  
Selected Fund Code : ALL  
Selected Dept. IDs : ALL  
Selected Outputs : 00084024

Project Id : 00069456 Effective Governance Climate R	Period : Jan-Dec (2013)
Output # : 00084024 Effective Governance Climate R	Impl. Partner : 01781 National Execution
	Location : UNDP Lao P.D.R

	Govt Exp	UNDP Exp	UN Agencies Exp	Total Exp
Activity : ()				
Fund : 04000 (Core Programme, UNU Centre)				
76120 - Unrealized Loss	0.00	422.37	0.00	422.37
Total for Fund 04000	0.00	422.37	0.00	422.37
Fund : 62160 (GEF LDC/NAPA Programme Actv)				
76120 - Unrealized Loss	0.00	1,105.40	0.00	1,105.40
Total for Fund 62160	0.00	1,105.40	0.00	1,105.40
Total for Activity	0.00	1,527.77	0.00	1,527.77
Activity : ACTIVITY1 (1. Cap.prov.for local adm.inst)				
Fund : 04000 (Core Programme, UNU Centre)				
71620 - Daily Subsistence Allow-Local	5,846.97	0.00	0.00	5,846.97
71635 - Travel - Other	3,584.12	0.00	0.00	3,584.12
Total for Fund 04000	9,431.09	0.00	0.00	9,431.09
Fund : 62160 (GEF LDC/NAPA Programme Actv)				
71405 - Service Contracts-Individuals	6,656.76	0.00	0.00	6,656.76
71620 - Daily Subsistence Allow-Local	3,767.65	281.97	0.00	4,049.62
71635 - Travel - Other	686.32	0.00	0.00	686.32
72205 - Office Machinery	853.22	0.00	0.00	853.22
72505 - Stationery & other Office Supp	199.88	0.00	0.00	199.88
73107 - Rent - Meeting Rooms	936.91	0.00	0.00	936.91
74210 - Printing and Publications	141.79	0.00	0.00	141.79
Total for Fund 62160	13,242.53	281.97	0.00	13,524.50
Total for Activity ACTIVITY1	22,673.62	281.97	0.00	22,955.59
Activity : ACTIVITY3 (3.Natur.ass.ma.to enmaint cr)				
Fund : 04000 (Core Programme, UNU Centre)				
72505 - Stationery & other Office Supp	198.25	0.00	0.00	198.25





UN Development Programme  
Report ID: unglodrb

Combined Delivery Report by Activity

Page 2 of 5  
Run Time: 12-03-2014 05:03:33

Project Id : 00069456 Effective Governance Climate R	Period :	Jan-Dec (2013)
Output # : 00024024 Effective Governance Climate R	Impl. Partner :	01781 National Execution
	Location :	UNDP Lao P.D.R

	Govt Exp	UNDP Exp	UN Agencies Exp	Total Exp
73107 - Rent - Meeting Rooms	3,125.55	0.00	0.00	3,125.55
74210 - Printing and Publications	133.92	0.00	0.00	133.92
74220 - Translation Costs	1,083.14	0.00	0.00	1,083.14
74230 - Audio & Visual Equipment	554.65	0.00	0.00	554.65
74525 - Sundry	884.32	0.00	0.00	884.32
<b>Total for Fund 04000</b>	<b>5,959.83</b>	<b>0.00</b>	<b>0.00</b>	<b>5,959.83</b>
<b>Fund : 62160 (GEF LDC/NAPA Programme Actv)</b>				
71405 - Service Contracts-Individuals	8,453.21	0.00	0.00	8,453.21
72215 - Transportation Equipment	0.00	69,907.50	0.00	69,907.50
72505 - Stationery & other Office Supp	94.94	0.00	0.00	94.94
73107 - Rent - Meeting Rooms	922.55	0.00	0.00	922.55
73410 - Maint, Oper of Transport Equip	1,124.30	0.00	0.00	1,124.30
74215 - Promotional Materials and Dist	124.92	0.00	0.00	124.92
<b>Total for Fund 62160</b>	<b>10,719.92</b>	<b>69,907.50</b>	<b>0.00</b>	<b>80,627.42</b>
<b>Total for Activity ACTIVITY3</b>	<b>16,679.75</b>	<b>69,907.50</b>	<b>0.00</b>	<b>86,587.25</b>
<b>Activity : ACTIVITY4 (4. Project management)</b>				
<b>Fund : 04000 (Core Programme, UNU Centre)</b>				
71635 - Travel - Other	293.57	0.00	0.00	293.57
72205 - Office Machinery	1,124.30	15.08	0.00	1,139.38
72215 - Transportation Equipment	0.00	13,672.98	0.00	13,672.98
72405 - Acquisition of Communic Equip	0.00	13,741.00	0.00	13,741.00
72410 - Acquisition of Audio Visual Eq	43.61	593.17	0.00	636.78
72415 - Courier Charges	123.67	0.00	0.00	123.67
72425 - Mobile Telephone Charges	687.07	0.00	0.00	687.07
72430 - Postage and Pouch	13.12	0.00	0.00	13.12
72440 - Connectivity Charges	111.18	0.00	0.00	111.18
72505 - Stationery & other Office Supp	310.43	0.00	0.00	310.43
72815 - Inform Technology Supplies	0.00	270.00	0.00	270.00
73120 - Utilities	402.87	0.00	0.00	402.87
73305 - Maint & Licencing of Hardware	218.61	0.00	0.00	218.61
73310 - Maint & Licencing of Software	94.07	0.00	0.00	94.07
73410 - Maint, Oper of Transport Equip	164.90	0.00	0.00	164.90
74510 - Bank Charges	43.10	0.00	0.00	43.10
<b>Total for Fund 04000</b>	<b>3,630.50</b>	<b>28,292.21</b>	<b>0.00</b>	<b>31,922.71</b>
<b>Fund : 62160 (GEF LDC/NAPA Programme Actv)</b>				
71305 - Local Consult - Sht Term-Tech	0.00	133.21	0.00	133.21
71405 - Service Contracts-Individuals	0.00	543.76	0.00	543.76
72205 - Office Machinery	5,892.44	0.00	0.00	5,892.44
72220 - Furniture	6,794.75	0.00	0.00	6,794.75
72410 - Acquisition of Audio Visual Eq	0.00	1,191.83	0.00	1,191.83
72505 - Stationery & other Office Supp	2,150.28	0.00	0.00	2,150.28



UN Development Programme  
Report ID: unglcdrb

Combined Delivery Report by Activity

Page 3 of 5  
Run Time: 12-03-2014 05:03:33

Project Id : 00069456 Effective Governance Climate R		Period : Jan-Dec (2013)		
Output # : 00084024 Effective Governance Climate R		Impl. Partner : 01781 National Execution		
		Location : UNDP Lao P.D.R		
	Govt Exp	UNDP Exp	UN Agencies Exp	Total Exp
73205 - Premises Alternations	1,939.29	0.00	0.00	1,939.29
74210 - Printing and Publications	131.17	0.00	0.00	131.17
74505 - Insurance	294.77	0.00	0.00	294.77
74525 - Sundry	0.00	26.69	0.00	26.69
<b>Total for Fund 62100</b>	<b>17,202.70</b>	<b>1,895.49</b>	<b>0.00</b>	<b>19,098.19</b>
<b>Total for Activity ACTIVITY4</b>	<b>20,833.20</b>	<b>30,167.70</b>	<b>0.00</b>	<b>51,020.90</b>
<b>Total for Output : 00084024</b>	<b>60,186.57</b>	<b>101,904.94</b>	<b>0.00</b>	<b>162,091.51</b>
<b>Project Total :</b>	<b>60,186.57</b>	<b>101,904.94</b>	<b>0.00</b>	<b>162,091.51</b>

Signed By : \_\_\_\_\_ Date : \_\_\_\_\_

Signed By : \_\_\_\_\_ Date : \_\_\_\_\_



UN Development Programme  
Report ID: unglcdrb

Combined Delivery Report by Activity

Page 4 of 5  
Run Time: 12-03-2014 05:03:33

Selection Criteria :

Business Unit : LAO10  
Period : Jan-Dec (2013)  
Selected Project Id : ALL  
Selected Fund Code : ALL  
Selected Dept. IDs : ALL  
Selected Outputs : 00084024

	Govt Exp	UNDP Exp	UN Agencies Exp	Total Exp
41205 - Lao - Energy & Environment	60,166.57	101,904.94	0.00	162,091.51



Funds Utilization

Selection Criteria :

Business Unit : LAO10  
Period : Jan-Dec (2013)  
Selected Project Id : ALL  
Selected Fund Code : ALL  
Selected Dept. IDs : ALL  
Selected Outputs : 00084024

Project/Award: 00069456 Effective Governance Climata R Period : As Of Dec31,2013

Output #	00084024	Impl. Partner :01781 National Execution	UNDP AMOUNT
Outstanding NEX advances			8,979.12
Undepreciated Fixed Assets			0.00
Inventory			0.00
Prepayments			0.00
Commitments			0.00

**Annex 03: Internal Monitoring of Deadlines of Reports and other Deliverables**

Report and deliverables		Responsible	Method	Deadline	Date: 9 January 2014	Status
Project Title: Effective Governance for Small-Scale Rural Infrastructure and Disaster Preparedness in a Changing Climate (00084024-LDCF II)						
Award ID: 00069456						
AWP cum Budget 2014	Project → UNDP	Document	Annually	27 Dec 2013	Done	Done
1 <sup>st</sup> QWP cum Budget 2014	Project → UNDP	Document	10 Jan 2014	9 January 2014	Done	Done
Annual Procurement Plan 2014	Project → UNDP	Document	9 October 2013	N/A	Done	Done
Rolling Process Action Plan	Project & others	Rolling Document	Fortnightly	N/A	Done	Done
Monthly project meeting	Project → UNDP	Rolling Plan	Monthly	N/A	Done	Done
Updated risk, issue, lessons learned logs and communication and monitoring plan (Q2)	Project → UNDP	Report	10 <sup>th</sup> of the following quarter	9 January 2014	Done	Done
LDCF2 Spot Check for 2014	UNDP → Project	Visit/report	Not yet confirmed	N/A	Pending	Pending
Q4 Project Combined Delivery Report 2013	UNDP → Project	Report	10 <sup>th</sup> of the following quarter	N/A	Done	Done
FACE Form and other POA docs, including monthly Bank Reconciliation record, advance record, etc	Project → UNDP	Report/documents	10 <sup>th</sup> of the following quarter	9 January 2014	Done	Done
UNDP Monthly Exchange Rate	UNDP → Project	Document	Monthly	10 <sup>th</sup> of each month	Regularly done	Regularly done
Quarterly Project Direct Payment List for 2014	Project → UNDP	Report/document	During the quarter	N/A	None yet	None yet
Petty Cash Report	Project	Report/document	Weekly	End of each week	Done	Done

**Annex 04: Risk Log for Reporting period**

Project Title: Effective Governance for Small-Scale Rural Infrastructure and Disaster Preparedness in a Changing Climate (00084024-LDCF II)									
Award ID: 00069456									
Date: 9 January 2014									
#	Description	Date Identified	Type	Impact & Probability	Counter measures/ Mgmt response	Owner	Submitted, updated by	Last Update	Status
1	Procurement delayed	10 Oct 2013	Organizational /Operational	This will undermine efficiency in the project and delay implementation. I=4,P=4, Total 16	Monitoring by regular project monthly meetings	PM/ UNDP	APM	9 Jan 2014	Unsolved
2	Recruitment of key project personnel delayed	10 Oct 2013	Operational	It may hinder delivery of planned output(s) and activity result(s) I = 4, P = 2, Total 8	Prepare well in advance	PM	APM	9 Jan 2014	Unsolved
3	Fund advances to project delayed	10 Oct 2013	Organizational /Operational	This will delay smooth operation of project I= 2, P=4, Total 8	Follow-up and coordinate with UNDP	PM/ UNDP	APM	9 Jan 2014	No change
4	Delayed formal establishment of Project Board	10 Oct 2013	Organizational /Operational	This will delay smooth operation of project I= 2, P=4, Total 8	Follow-up and coordinate with MONRE	PM/ UNDP	APM	9 Jan 2014	Pending

**Annex 05: Issues Log for Reporting period**

Project Title: Effective Governance for Small-Scale Rural Infrastructure and Disaster Preparedness in a Changing Climate (00084024-LDCF II)									
Award ID: 00069456									
Date: 9 January 2014									
#	Description	Date Identified	Type	Impact & Priority	Counter measures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Project Board not formally yet set-up and approved	10 Oct 2013		Key issues not addressed at highest level. I=3, P=4, Total: 12	Meeting with Vice Minister and MONRE senior management to decide on Project organization	PM	APM	9 Jan 2014	Unsolved

**Annex 06: Lessons Learned Log (Accumulated)**

Project Title: Effective Governance for Small-Scale Rural Infrastructure and Disaster Preparedness in a Changing Climate (00084024-LDCF II)						
#	Type	Date Identified	Successes	Shortcomings	Recommended Solutions	Date: Submitted, updated by
1	Recruitment of project key personnel is time consuming	10 Oct 2013		Takes longer time than envisaged to start-up project	Start early with recruitment. Provide extra resources to APM during initial phases.	Submitted, updated by APM



# Annex 07: Minutes of 1<sup>st</sup> Monthly Meeting, Jun 2013



**UN Development Programme**  
Report ID: unglcdrb

## Combined Delivery Report by Activity

Page 1 of 5  
Run Time: 12-03-2014 05:03:32

### Selection Criteria :

Business Unit : LAO10  
Period : Jan-Dec (2013)  
Selected Project Id : ALL  
Selected Fund Code : ALL  
Selected Dept. IDs : ALL  
Selected Outputs : 00084024

Project Id : 00069456 Effective Governance Climate R	Period : Jan-Dec (2013)
Output # : 00084024 Effective Governance Climate R	Impl. Partner : 01781 National Execution
	Location : UNDP Lao P.D.R

	Govt Exp	UNDP Exp	UN Agencies Exp	Total Exp
Activity : ()				
Fund : 04000 (Core Programme, UNU Centre)				
76120 - Unrealized Loss	0.00	422.37	0.00	422.37
Total for Fund 04000	0.00	422.37	0.00	422.37
Fund : 62160 (GEF LDC/NAPA Programme Actv)				
76120 - Unrealized Loss	0.00	1,105.40	0.00	1,105.40
Total for Fund 62160	0.00	1,105.40	0.00	1,105.40
Total for Activity	0.00	1,527.77	0.00	1,527.77
Activity : ACTIVITY1 (1. Cap.prov.for local adm.inst)				
Fund : 04000 (Core Programme, UNU Centre)				
71620 - Daily Subsistence Allow-Local	5,846.97	0.00	0.00	5,846.97
71635 - Travel - Other	3,584.12	0.00	0.00	3,584.12
Total for Fund 04000	9,431.09	0.00	0.00	9,431.09
Fund : 62160 (GEF LDC/NAPA Programme Actv)				
71405 - Service Contracts-Individuals	6,656.76	0.00	0.00	6,656.76
71620 - Daily Subsistence Allow-Local	3,767.65	281.97	0.00	4,049.62
71635 - Travel - Other	686.32	0.00	0.00	686.32
72205 - Office Machinery	853.22	0.00	0.00	853.22
72505 - Stationery & other Office Supp	199.88	0.00	0.00	199.88
73107 - Rent - Meeting Rooms	936.91	0.00	0.00	936.91
74210 - Printing and Publications	141.79	0.00	0.00	141.79
Total for Fund 62160	13,242.63	281.97	0.00	13,524.59
Total for Activity ACTIVITY1	22,673.62	281.97	0.00	22,955.59
Activity : ACTIVITY3 (3.Natur.ass.ma.to enmaint cr)				
Fund : 04000 (Core Programme, UNU Centre)				
72505 - Stationery & other Office Supp	198.25	0.00	0.00	198.25



UN Development Programme  
Report ID: unglodrb

Combined Delivery Report by Activity

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Project Id : 00069456 Effective Governance Climate R	Period :	Jan-Dec (2013)
Output # : 00084024 Effective Governance Climate R	Impl. Partner :	01781 National Execution
	Location :	UNDP Lao P.D.R

	Govt Exp	UNDP Exp	UN Agencies Exp	Total Exp
73107 - Rent - Meeting Rooms	3,125.55	0.00	0.00	3,125.55
74210 - Printing and Publications	133.92	0.00	0.00	133.92
74220 - Translation Costs	1,063.14	0.00	0.00	1,063.14
74230 - Audio & Visual Equipment	554.65	0.00	0.00	554.65
74525 - Sundry	884.32	0.00	0.00	884.32
<b>Total for Fund 04000</b>	<b>5,959.83</b>	<b>0.00</b>	<b>0.00</b>	<b>5,959.83</b>
<b>Fund : 62160 (GEF LDC/NAPA Programme Actv)</b>				
71405 - Service Contracts-Individuals	8,453.21	0.00	0.00	8,453.21
72215 - Transportation Equipment	0.00	69,607.50	0.00	69,607.50
72505 - Stationery & other Office Supp	94.94	0.00	0.00	94.94
73107 - Rent - Meeting Rooms	922.55	0.00	0.00	922.55
73410 - Maint, Oper of Transport Equip	1,124.30	0.00	0.00	1,124.30
74215 - Promotional Materials and Dist	124.92	0.00	0.00	124.92
<b>Total for Fund 62160</b>	<b>10,719.92</b>	<b>69,607.50</b>	<b>0.00</b>	<b>80,627.42</b>
<b>Total for Activity ACTIVITY3</b>	<b>18,679.75</b>	<b>69,607.50</b>	<b>0.00</b>	<b>86,587.25</b>
<b>Activity : ACTIVITY4 (4. Project management)</b>				
<b>Fund : 04000 (Core Programme, UNU Centre)</b>				
71635 - Travel - Other	293.57	0.00	0.00	293.57
72205 - Office Machinery	1,124.30	15.06	0.00	1,139.36
72215 - Transportation Equipment	0.00	13,672.98	0.00	13,672.98
72405 - Acquisition of Communic Equip	0.00	13,741.00	0.00	13,741.00
72410 - Acquisition of Audio Visual Eq	43.61	593.17	0.00	636.78
72415 - Courier Charges	123.67	0.00	0.00	123.67
72425 - Mobile Telephone Charges	687.07	0.00	0.00	687.07
72430 - Postage and Pouch	13.12	0.00	0.00	13.12
72440 - Connectivity Charges	111.18	0.00	0.00	111.18
72505 - Stationery & other Office Supp	310.43	0.00	0.00	310.43
72815 - Inform Technology Supplies	0.00	270.00	0.00	270.00
73120 - Utilities	402.87	0.00	0.00	402.87
73305 - Maint & Licencing of Hardware	218.61	0.00	0.00	218.61
73310 - Maint & Licencing of Software	94.07	0.00	0.00	94.07
73410 - Maint, Oper of Transport Equip	164.90	0.00	0.00	164.90
74510 - Bank Charges	43.10	0.00	0.00	43.10
<b>Total for Fund 04000</b>	<b>3,630.50</b>	<b>28,292.21</b>	<b>0.00</b>	<b>31,922.71</b>
<b>Fund : 62160 (GEF LDC/NAPA Programme Actv)</b>				
71305 - Local Consult - Sht Term-Tech	0.00	133.21	0.00	133.21
71405 - Service Contracts-Individuals	0.00	543.76	0.00	543.76
72205 - Office Machinery	5,892.44	0.00	0.00	5,892.44
72220 - Furniture	6,794.75	0.00	0.00	6,794.75
72410 - Acquisition of Audio Visual Eq	0.00	1,191.83	0.00	1,191.83
72505 - Stationery & other Office Supp	2,150.28	0.00	0.00	2,150.28



**Combined Delivery Report by Activity**

**UN Development Programme**  
Report ID: unglcdrb

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Run Time: 12-03-2014 05:03:33

	Govt Exp	UNDP Exp	UN Agencies Exp	Total Exp
<b>Project Id : 00089456 Effective Governance Climate R</b>				
<b>Output # : 00084024 Effective Governance Climate R</b>				
<b>Period : Jan-Dec (2013)</b>				
<b>Impl. Partner : 01781 National Execution</b>				
<b>Location : UNDP Lao P.D.R</b>				
	Govt Exp	UNDP Exp	UN Agencies Exp	Total Exp
73205 - Premises Alterations	1,939.29	0.00	0.00	1,939.29
74210 - Printing and Publications	131.17	0.00	0.00	131.17
74505 - Insurance	294.77	0.00	0.00	294.77
74525 - Sundry	0.00	26.69	0.00	26.69
<b>Total for Fund 62160</b>	<b>17,202.70</b>	<b>1,895.49</b>	<b>0.00</b>	<b>19,098.19</b>
<b>Total for Activity ACTIVITY4</b>	<b>20,833.20</b>	<b>30,187.70</b>	<b>0.00</b>	<b>51,020.90</b>
<b>Total for Output : 00084024</b>	<b>60,186.57</b>	<b>101,904.94</b>	<b>0.00</b>	<b>162,091.51</b>
<b>Project Total :</b>	<b>60,186.57</b>	<b>101,904.94</b>	<b>0.00</b>	<b>162,091.51</b>

Signed By : \_\_\_\_\_ Date : \_\_\_\_\_

Signed By : \_\_\_\_\_ Date : \_\_\_\_\_



**UN Development Programme**  
 Report ID: unglodrb

Combined Delivery Report by Activity

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 Run Time: 12-03-2014 05:03:33

Selection Criteria :

Business Unit : LAO10  
 Period : Jan-Dec (2013)  
 Selected Project Id : ALL  
 Selected Fund Code : ALL  
 Selected Dept. IDs : ALL  
 Selected Outputs : 00084024

	Govt Exp	UNDP Exp	UN Agencies Exp	Total Exp
41205 - Lao - Energy & Environment	60,166.57	101,904.94	0.00	162,091.51



**Funds Utilization**

**Selection Criteria:**

Business Unit : LAO10  
Period : Jan-Dec (2013)  
Selected Project Id : ALL  
Selected Fund Code : ALL  
Selected Dept. IDs : ALL  
Selected Outputs : 00084024

Project/Award: 00069456 Effective Governance Climate R Period : As Of Dec31,2013

Output #	Impl. Partner	UNDP AMOUNT
00084024	01781 National Execution	
Outstanding NEX advances		8,979.12
Undepreciated Fixed Assets		0.00
Inventory		0.00
Prepayments		0.00
Commitments		0.00

**MINUTES OF 2<sup>ND</sup> MONTHLY MEETING  
For July 2013**

**Conference room:** Department of Disaster Management and Climate Change

**Place, date and time:** DDMCC, 18 June 2013 10:00 – 12:30hrs

**Participants**

- 1) Mr. Vanxay Bouttanavong, NPM, GIDCC
- 2) Mr. Amphayvanh Oudomdeth, LDCF2 APM (Gov.)
- 3) Mr. Teuanchit Alounlasy, Finance Officer
- 4) Mr. Vichit Sayavongkhamdy, Program Specialist, Environment Unit of UNDP PA

**Objective: the objectives of the meeting were to discuss:**

1. Go through project start up tasks
2. Agreement on ToRs and recruitment plan
3. Breakdown of budget and work plan
4. Project management at each level
5. International Technical Advisors
6. Vehicles/motorbikes arrangement
7. AOB

1	DDMCC took the lead in revising the ToR for the Senior Finance and Administration Officer (SFAO) while UNDP reviewed the ToR for the APM. The M&E/communication will be drafted by UNDP and share with DDMCC for comments later on  In general, the ToR of the APM was agreed upon in principle. It was agreed	DDMCC & UNDP
2	DDMCC will draft Annual Work Plan and share with UNDP for comments	DDMCC & UNDP
3	Project management at each level will be established after translation of project document into Lao version	DDMCC
4	UNDP will draft ToR of International Technical Advisor and share with DDMCC for comments	UNDP
5	UNDP will seek advice from regional office for additional vehicles	UNDP
6	Taking into consideration the ongoing of project setup, activities ahead and delays in recruitment of project personnel, it was agreed that DDMCC nominates an unemployed staff, Ms. Latsamy to assist in work of the project office in relation to the day-to-day administrative and financial management, etc. Mr. Vichit suggested the project completes a budget revision and reduces communication cost under component 3 & 4, and/or any other budget line could be reduced to cover project related trans., communic. and other miscellaneous costs of her as a tax-free lump sum per month, such as so-called "incentive". Ms. Latsamy will temporary take over the responsibilities of the PFAA until the recruitment of the 2 PFAAs completed. The draft ToR for this post is attached. The DDMCC should inform UNDP when Ms. Latsamy has signed the agreement.	DDMCC

\*\*\*

## Draft ToR for Volunteer Staff

1. Name: Ms. Latsamy Thanthathep
2. Designation: Volunteer Staff/FAA (Cashier)
3. Function Title: Management Trainee/Admin Officer

### Reporting Responsibilities:

Under the direction and guidance of the Assistant Project Manager, the reporting relationships will be as follows:

<u>Direct Report Line</u>	<u>Reporting Area</u>
Senior Finance and Admin Officer	All finance related matters
Assistant Project Manager (APM)	All day-to-day administrative and financial matters related to LDCF2 project
<u>Additional Reporting Line</u>	<u>Reporting Area</u>
National Project Manager	Overall administrative and financial matters related to LDCF2 project
Senior Technical Advisor	All project related matters

*Direct reporting lines indicate those staff members providing direct supervision.*

*Additional report line indicates reciprocal reporting and information sharing, particularly for defined areas of collaboration and linkages with other Climate Change Adaptation Division, DDMCC, MONRE and LDCF2. Cooperation will be extended to all Climate Change Adaptation Division and LDCF2 staff appropriate.*

4. Location: PSU office, DDMCC, MONRE – Vientiane Capital, Lao PDR
5. Duties and Responsibilities

The incumbent will be responsible for:

- Maintaining the staff movement and meetings calendars for LDCF2 PSU staff, keeping in touch with them during travel, manage travel arrangements for PSU staff and visitors, including visa and accommodation;
- Deal with and record telephone messages, e-mail messages, establish, and maintain centre filing and data system, in hard copy as well as computerized form as appropriate;
- Develop a computerized mailing list, as well as an information data base on the programme's principal contact addresses, contact numbers and emails;
- Ensure admin/finance/personnel forms are available and used as and when required by the UNDP systems;
- Assist purchasing and requisition systems according to the established procedures, ensuring that equip., materials and supplies are available as and when required including stationary;
- Assist with the organization of meetings and seminars and other events related to the LDCF2, including travel and accommodation for participants, and taking minutes where necessary
- Maintain administration files/correspondent with government and NGOs and other partners;
- Providing water, coffee for visitors/meeting when needed
- Keeping in touch with other LDCF2, MONRE, MOHA, UNCDF and UNDP offices in aspects concerning the work of the LDCF2;
- Assist the SFAO in producing monthly, quarterly and annual financial reports and financial statements on time;
- Ensure office space is cleaned and kept in order;
- Assist in other aspects of administration as required

**MINUTES OF 3<sup>RD</sup> MONTHLY MEETING  
August 2013**

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Wednesday, 4<sup>th</sup> September 2013, from 14:00-16:15hrs at MoNRE

**Objectives**

The objectives of the meeting were to follow-up progress from the previous/last meetings and discuss other pending issues

**Participants**

- 5) Ms. Khemmala Haraixay, LDCF2 SFAO
- 6) Mr. Amphayvanh Oudomdeth, LDCF2 APM (Gov.)
- 7) Mr. Vanxay Bouttanavong, LDCF2 NPM
- 8) Mr. Souksavanh Sisouvong, LDCF2 APM
- 9) Mr. Vichit Sayavongkhamdy, UNDP Program Specialist (UNDP PA)

**Contents of the Meeting**

1. Overall progress up-to-date – and follow up actions from the previous/last meetings
2. Issues related to HR, consultancies (STA, NS-PFM & PFAAs)
3. 2013 AWP & procurement plan
4. Project inception workshop preparation
5. Project board establishment
6. AOB

**Results of the Meeting**

**1. Overall progress up-to-date – and follow up actions from the previous/last meetings:**

The LDCF2 ProDoc signed on 08 May 2013 and the original signed copy will be kept at the project office. The Lao version is being edited by project team and is expected to be completed by 30 Sep 2013.

LPAC meeting conducted on 26 March 2013 and report produced. Mr. Amp will pass both the E-file & H-file onto Ms. Khem for office record and filing.

The project staff briefing meeting conducted on 22 Aug by UNDP PA and draft minutes sent out on 22 Aug. Participants involved APM, SFAO, APM (Gov.), Petty Cash Custodian (Gov.)

The MOU between MONRE and UNCDF is being drafted and reviewed by Ms. Yvette (UNDP EU Chief) & Mr. Gerry of UNCDF. A formal consultation meeting with MoHA is expected in the 3<sup>rd</sup> week of Sep when the CTA of UNCDF is back from home leave. The aims are to discuss and agree on the MOU, the specific operational arrangement for fund flows relating the Comp2, recruitment of PFM and its reporting lines. Ms. Yvette and Mr. Gerry will be joining this meeting. Mr. Vanxay will coordinate with MoHA re the meeting date.

A formal request letter from MoNRE is being finalized and is expected to send out to the target provinces (together with the draft ProDoc Lao version) by 13 Sep re the request for nomination of provincial and district Chairmen + his/her deputies, project coordination committee members and its focal points. Response deadline is 30 Sep.

**2. Issues related to HR, consultancies (STA, NS-PFM, PFAAs and volunteer staff):**

The draft ToR for the STA sent out on 4 Sep for comments and the selection of category A (Core) of P3 or P4 is being finalized and the announcement is expected in late-Sep.



The recruitment of PFM-Comp2 will be done after the MOU signing. Mr. Vanxay underlined the duty station of the PFM is based at the PSU, MoNRE. This is subject to the agreement of GPAR-MOHA. This will be one item to discuss during this first meeting with MOHA.

The PFAA's ToR revised based on the similar post (PFAO) of IRAS project and is expected to be reviewed and announced in mid-Sep.

The draft Volunteer's ToR shared with UNDP and the agreement signed on 30 Aug 2013. Payment will be made as a tax-free lump sum of 2,359,665/-per month. Ms. Latsamy will temporary take over the responsibilities of the PFAA until the recruitment of the 2 PFAAs completed. The DDMCC will later decide on best options for possible ad-hoc project staff to support in works of the PSU office (if needed) and Ms. Latsamy will be invited to submit her application - following the NIM rules.

### **3. 2013 AWP & procurement plan:**

Revised M and E Framework will be shared with the government soon. Mr. Vichit will follow up on this with the UNDP PSU (Kayla) and send the revised Results and Resources Framework for input and consideration.

The first draft 2013 AWP and procurement plan prepared and sent out on 4 Sep – awaiting comments/inputs from UNDP & LDCF2 team.

Mr. Vanxay stressed an urgent need for procurement of PC & IT equipments and other office supplies for the project team and encouraged for quick actions. In response, Mr. Vichit underlined the finalization of the 2013 AWP and procurement plan should be done and completed within this week. Mr. Thongchanh will have a close look at the drafts and report to Vichit early tomorrow.

In case of increasing in budget, e.g. purchase of project vehicles, etc – LDCF2 must send a formal request letter along with the detailed justifications to UNDP for consideration.

Mr. Vichit informed that there are two laptops available at UNDP and he recommended Ms. Khemmala to use one of them in work of the LDCF2 project during this period.

The annual key priorities and deliverables for the rest of 2013 have been discussed and agreed, see **Annex 1**.

### **4. Project inception workshop preparation:**

The draft agenda prepared and sent out to the LDCF2 for further comments/inputs. The workshop venue identified and dates confirmed. 22-23 of Oct with internal and external inceptions. Preparations need to start as soon as possible. Workshop checklist was prepared and distributed in order to create an action plan, see **Annex 2**.

### **5. Project board establishment:**

Urgent request for establishment of project board prior to the organization of the project inception WS. It was suggested the LDCF2 personnel coordinates with the similar project, Mr. Syamphone and ask for an official letter format they used and guidance on how to proceed with. Mr. Vanxay was given the task to coordinate and leading the process.

### **6. AOB:**

Mr. Vichit informed that the IRAS staff members have good experience in managing finance/arrangements for fund follows in relation to the Comp2 of LDCF2 and he suggested Ms. Khemmala to coordinate with the IRAS re the lessons learned visit date. Participants of this visit included SFAO, APM and government staffs.

The LDCF2 day-to-day communication/information sharing/exchanging should be done via email, with copying to the persons who are concerned about it. For other issues in relation to

project finance/admin should be done via email directly to Vichit, with copying Mr. Thongchan who is the first person to review and report to Mr. Vichit.

**Immediate Actions:**

1. Finalize the 2013 AWP and procurement plan based on comments/feedbacks made from UNDP – APM & LDCF2 team
2. Prepare and finalize the fourth QWP of 2013 – APM
3. Preparation and submission of the fourth QWP cum budget, including the FACE/ICE form/ IPOA settlement to LDCF2 NDP and UNDP for approval – SFAO & APM
4. Organize a formal consultation meeting with MoHA to discuss and agree on the LoA, the specific operational arrangement for funds flows relating the comp2, recruitment of PFM and its reporting lines – NPM will coordinate with MoHA re the meeting date.
5. Continue edit/review the draft ProDoc (Lao translation) and finalize, deadline is on 30 Sep – APM (Gov.), NPM, UNDP PA & NPD
6. Preparation and establishment of project board at central level – NPM & LDCF2 team
7. Send out a formal request letter to the target provinces and districts re the nomination of project chairmen and his deputies, coordination committee and focal points – NPM
8. Organize a regular project monthly meeting with UNDP – APM & LDCF2 team
9. Revise the ToR of STA&PFAAs – UNDP PA, PM& SFAO. ToRs to be shared amongst the LDCF2 team and UNDP PA for final adjustments.
10. Place an advertisement for the post of STA and PFAAs through UNDP website and local newspapers and recruit – Proc.Unit/UNDP& SFAO
11. Coordinate with IRAS project re the lessons learned visit – SFAO& APM
12. Sends out an email to the Proc.Unit/UNDP and start purchasing the equipment – APM
13. Prepare and organize the project inception workshop – NPM & LDCF2 team

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**Minutes taken by:**

\_\_\_\_\_  
Souksavanh Sisouvong, APM  
LDCF2  
Date: \_\_\_\_\_

**Acknowledged by:**

\_\_\_\_\_  
Vaxay Bouttanavong, NPM  
LDCF2  
Date: \_\_\_\_\_

**Acknowledged by:**

\_\_\_\_\_  
Vichit Sayavongkhamday  
En-Unit, UNDP PA  
Date: \_\_\_\_\_

## *Attached 1: Annual Key Priorities & Deliverables for 2013*

### **Annual key priorities:**

1. Preparation and signing LoA between the IP and UNCDF – Comp2
2. Procurement arrangement and purchase
3. Recruitment of project personnel (STA, PFAAs & PFM-Comp2)
4. Establishment of project management system
5. Project inception workshop
6. 1<sup>st</sup> field visit to Saravane and Sekong provinces

### **Annual key deliverables:**

In accordance to the key priorities specified above, the key deliverables for 2013 are:

1. Preparation and signing LoA between the IP and UNCDF – Comp2
  - LoA between the IP and UNCDF – Comp2
  - Common MoNRE and MoHA Q/AWP cum budget
2. Procurement arrangement and purchase
  - Detailed specifications of goods
  - Request for UNDP CO support services for procurement plan 2013
  - Implement
  - List of project inventory
3. Recruitment of (STA, PFAAs & PFM-Comp2)
  - ToRs and job descriptions, Artworks/announcements, shortlisted and interviews
  - Selection reports
  - Recruit/contract signing
4. Establishment of project management system
  - Common LDCF2 and GPAR steering committee (list of project board/coordination committee/focal points)
  - Revised project organogram
5. Project inception workshop
  - Agenda, list of participants, invitations, presentations, Overall work plan, Q/AWP cum budget for 2013
  - Inception workshop report
6. 1<sup>st</sup> field visit to Saravane and Sekong provinces
  - Field visit programme
  - Field visit reports

*Attached 2: Checklist for Workshop Assistant:*

Description	Check
1. Meeting room arrangement and preparation, including sound arrangement	
2. Chair titles	
3. Lunch and coffee break arrangement	
4. Follow up on Participants and presenters	
5. Handouts- print original ppt in handout format and photocopy sufficient to distribute.	
6. Printer booking for workshop ( if necessary)	
7. Ensure Laptop + LCD + Projector are in place and ready.	
8. Airport pick up (if necessary)	
9. Hotel booking (if necessary)	
10. Car arrangement and rental for mission and workshop	
11. Registration and record	
12. Water in meeting room	
13. Cash Disbursement to provincial participants and translators	
14. Payment slips	
15. Ensure that Banner is made to our specification and on time	
16. Sufficient Workshop material for sufficient distribution	
17. Budget summary	
18. Other on demand logistics and duties	
20. Coordinate press release	
21. Pre-meeting arrangement	
22. Media coverage-journalist and TV news	

**MINUTES OF 4<sup>TH</sup> MONTHLY MEETING  
September 2013**

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Wednesday, 25<sup>th</sup> September 2013, from 15:00-17:00hrs at MoNRE

**Objectives**

The objectives of the meeting were to follow-up on project progress from last monthly meeting, 4 Sep 2013 and discuss other pending issues

**Participants**

- *Ms. Lathdavone Buapaseurth, Secretary & Petty Cash Custodian*
- *Ms. Teuanchit Aloumlasy, DDMCC Senior Finance Officer*
- *Ms. Khemmalala Haraixay, SFAO*
- *Mr. Amphayvanh Oudomdeth, APM (Gov.)*
- *Mr. Vanxay Bouttanavong, NPM*
- *Mr. Souksavanh Sisouvong, APM*
- *Mr. Vichit Sayavongkhamdy, UNDP Program Specialist*

**Contents of the Meeting**

1. TRAC-GEF Budget revision
2. Request for advance for Q4
3. Update on provincial project arrangement
4. Inception workshop preparation-progress update
5. MoU consultation meeting with UNDP, MOHA and UNCDF
6. Implementation plan
7. AWP 2014
8. Translation of ProDoc
9. AOB

**Results of the Meeting**

<b>Agenda Items</b>	<b>The results agreed on</b>
1. GEF-TRAC Budget revision	<ul style="list-style-type: none"><li>- TRAC is Target for Resources Assignment from the Core. For detailed information, see the NEX Guideline, Chapter 2.2 Source of Funds. Noted that the under spend of TRAC fund from project is not allowed to carry over from one year to another</li><li>- LDCF2 TRAC fund utilization in AWP 2013 discussed and agreed by UNDP in principle. It was also agreed that the under spend amount of GEF fund will be used to cover the costs of STA and other TAs in AWP 2014 as instead of TRAC fund</li></ul>
2. Request for POA for Q4	<ul style="list-style-type: none"><li>- POA advance request for Q4, sent in to UNDP on 20 Sep, 2013 – after a review process now awaiting approval signature</li></ul>
3. Update on provincial project arrangement	<ul style="list-style-type: none"><li>- A formal request letter finalized and sent out to the target provinces and districts for nomination of project chairpersons + his/her deputies, coordination committee and focal points. Response deadline is of 30<sup>th</sup> Sep. 2013.</li></ul>

	<ul style="list-style-type: none"> <li>- The recruitment of PFAAs is expected in beginning of Oct 2013. The PPSU office will be located at the PoNRE of Saravane and Sekong</li> </ul>
4. Inception workshop preparation-progress update	<ul style="list-style-type: none"> <li>- The draft agenda discussed and agreed upon in principle.</li> <li>- The venue for the pre-meeting is MoNRE's conference room and the inception workshop is National Convention Center</li> <li>- The budget plan prepared and target groups identified – awaiting names of participants from local and central levels</li> <li>- Distribution of invitations can be done via either facsimile or email for local participants</li> <li>- Possible co-chairs are UN (DRR) with MoNRE Vice-Minister. Mr. Vanxay will follow up with MoNRE and prepare necessary talking points.</li> <li>- UNDP senior managementsuggested the LDCF2 and DRM2 projects organize a joint ARM 2013 the same event with the LDCF2 inception workshops and asked each of these projects present their AWP 2014.Mr. Vanxay will consult this with the NPD and get back to Vichit the soonest. The main reason is that the two projects are at its embryonic stage. This point will also be used to inform audit and spot-check for this reasonable waver.</li> </ul>
5. MoU consultation meeting with UNDP, MOHA and UNCDF	<ul style="list-style-type: none"> <li>- The draft MoU received from UNDP on 24 Sep. Mr. Vanxay (PM) was very much concerned about the roles of MoNRE in the LDCF2, which he would discuss the issues with MoNRE and then share with UNDP prior to the organization of the MoU meeting.</li> </ul>
6. Implementation plan	<ul style="list-style-type: none"> <li>- In general, the work started with recruitments of key staff members and then implement according to project document.</li> </ul>
7. AWP 2014	<ul style="list-style-type: none"> <li>- The draft overall work plan (2013-2016) will be ready to share with everyone on 2 Oct</li> <li>- The draft AWP 2014 will be prepared and shared with UNDP before the inception workshop is taken place and will also be presented at the workshop</li> </ul>
8. Translation of ProDoc	<ul style="list-style-type: none"> <li>- It was agreed on the ProDoc translation-editing deadline on 30 Sep. The translator's service contract (SC) was already expired which needs to be renewed. Therefore, payment should be done once his output is acceptable</li> </ul>
<p>9. AOB <u>Hiring of a car</u></p> <p><u>PFAA recruitment</u></p> <p><u>STA recruitment</u></p> <p><u>Follow-up progress</u></p>	<ul style="list-style-type: none"> <li>- Mr. Vanxay stressed an urgent need in hiring of a car for use in LDCF2 work, as there seems to be a lengthy process to get UNDP procuring a project car. In response, Vichit underlined the LDCF2 should send a request or email to UNDP for consideration, except for the field activities, which the LDCF2 could go ahead with the plan – follow the NIM rules. Currently, there is no budget allocated for in-city vehicular hire. The request needs to explain where the money should come from to justify the request.</li> <li>- The draft ToR for the post of PFAA finalized and the recruitment process is so far not done yet. It was agreed that the announcement for this post should be done next week and payment can be done through UNDP (direct payment)</li> <li>- LDCF2 still follows up on the progress of STA recruitment. This P4 position is now with RR of UNDP to approve and then HR will send it to UNDP NY for classification. By then we can advertise the post globally.</li> <li>- Follow-up progress from last monthly meeting, 4 Sep. 2013 – see <b>Annex 01</b></li> </ul>

**Immediate Actions:**

1. MoU meeting consultation with UNDP, UNCDF and MoHA
2. Continue editing/reviewing the draft ProDoc translation and finalize
3. Preparation and establishment of project board
4. Follow up with the target provinces and districts re the nomination of project members/key partners
5. Organize a regular project monthly meeting with UNDP
6. Place an advertisement for the posts of STA (once approved by UNDP New York) and PFAAs
7. Request for direct payment (payroll for SFAO and APM for period of Aug & Sep. 2013)
8. Send out a request for UNDP support service to UNDP and start purchasing the equipment
9. Continue preparation and organization of the project inception workshop
10. *Finalize the draft overall work plan (2013-16) and share with UNDP/LDCF2 team*
11. *Preparation of the AWP 2014 to be presented at the inception workshop*

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**Minutes taken by:**

\_\_\_\_\_  
Souksavanh Sisouvang, APM  
LDCF2  
Date: \_\_\_\_\_

**Acknowledged by:**

\_\_\_\_\_  
Vanxay Bouttanavong, NPM  
LDCF2  
Date: \_\_\_\_\_

**Acknowledged by:**

\_\_\_\_\_  
Vichit Sayavongkhamday  
En-Unit, UNDP PA  
Date: \_\_\_\_\_

*Attached 1: Follow-up progress from last monthly meeting, 4 Sep. 2013*

1. Finalize the fourth quarterly &AWP 2013 and procurement plan for 2013 based on comments made from UNDP: **Done, sent to UNDP on 20 Sep** (*Minor changes were made on the procurement of IT equipment e.g. scanner, printers and LCD projector to be procured by UNDP*)
2. POA advance request for Q4: **Done, sent to UNDP 20 Sep**
3. Organize a formal consultation meeting with MoHA to discuss and agree on the MoU, the specific operational arrangement for funds flows relating the comp2, recruitment of PFM and its reporting lines: **Not yet done** (*need revision of the draft MoU before the meeting with MoHA is conducted*)
4. Continue edit/review the draft ProDoc (Lao translation) and finalize, deadline is on 30 Sep: **Not yet done** (*agreed on the deadline*)
5. Preparation and establishment of project board at central level: **Not yet** (*informal consultations between the LDCF2 PM and MoHA conducted*)
6. Send out a formal request letter to the target provinces and districts re the nomination of project chairmen and his deputies, coordination committee and focal points: **Done, sent on 13 Sep**
7. Organize a regular project monthly meeting with UNDP: **Done** (*4<sup>th</sup> PMM on 25 Sep*)
8. Revise the ToR of STA&PFAAs: **Done**
9. Place an advertisement for the post of STA and FAAs through UNDP website and local newspapers and recruit: **Not yet done** (*PFAA announcement is expected next week, and STA post – to be confirmed by Vichit*)
10. Coordinate with IRAS project re the lessons learned visit: **Done on 10<sup>th</sup> Sep** (*participants included Khemmala, Teuanchit, Lathdavone and Thongchanh of UNDP*)
11. Sends out an email to the Procurement Unit of UNDP and start purchasing the equipment: **Not yet – awaiting approval signature from UNDP**
12. Prepare and organize the project inception workshop: **Ongoing progress, see Agenda Item No. 4 above**



**MINUTES OF 5<sup>th</sup> MONTHLY MEETING  
October 2013**

Friday, 08 November 2013, from 14:30-15:30hrs at PSU/MONRE

**Objectives**

The objectives of the meeting were to follow-up progress from last monthly meeting and discuss other pending issues

**Participants**

- 1) *Ms. Lathdavone Buapaseurth, Secretary & Petty Cash Custodian*
- 2) *Ms. Teuanchit Aloumlasy, Senior Finance Officer, DDMCC*
- 3) *Ms. Khemmala Haraixay, SFAO*
- 4) *Mr. Amphayvanh Oudomdeth, APM (Gov.)*
- 5) *Mr. Souksavanh Sisouvong, APM*
- 6) *Mr. Vichit Sayavongkhamdy, UNDP Program Specialist*

**Contents of the Meeting**

1. ProDoc translation
2. Project Board establishment
3. Procurement of project vehicles, office amenities, etc
4. ToRs to be developed and task allocation
5. AWP 2014 preparation
6. Interview panel for the post of STA & FAAs
7. MoU signing update
8. Inception workshop report
9. 1<sup>st</sup> field visit to Saravane & Sekong provinces
10. AOB

**Results of the Meeting**

<b>Agenda Items</b>	<b>The results agreed on</b>
<i>1. ProDoc translation</i>	Revision of ProDoc translation completed and payment will be made upon receipt of an invoice from the Consultant
<i>2. Project Board establishment</i>	The draft formal request letter will be ready to share with MONRE & UNDP in mid-Nov 2013. Mr. Amp will coordinate with MONRE Vice-Minister and other concerned ministries regarding the project board establishment and endorsement thereof
<i>3. Procurement of project vehicles, amenities, etc.</i>	The project cars' pro-forma invoice and packing list will be available at UNDP in beginning of Dec 2013 and the project personnel could start proceeding with the other paperwork soon afterward  It was agreed the project procures 12 motorbikes for now per ProDoc. Mr. Souk will send out an email to Procurement Unit of UNDP in order for them to procure the project motorbikes as soon as possible  Project amenities procurement and PSU office refurbishment are under progress
	ToRs development and task allocation including priority list were discussed and agreed as follows.

4. <i>ToRs to be developed and task allocation</i>	<i>ToRs to be developed</i>	<i>Task allocation</i>
	1)Senior Technical Advisor	UNDP with inputs from LDCF2
	2)Nat'l Specialist (PFM)	LDCF2 with inputs from UNCDF/ UNDP
	3)Int'l Infrastructure Specialist	UNDP with inputs from LDCF2
	4)Nat'l Infrastructure Specialist	UNDP with inputs from LDCF2
	5)Nat'l Senior M&E	UNDP with inputs from LDCF2
	6)Nat'l Ecosystems Specialist	UNDP with inputs from LDCF2
	7)Drivers	LDCF2 with inputs from UNDP
	8)Translator	LDCF2 with inputs from UNDP
5. <i>AWP 2014 preparation</i>	Work plan and budget exercise workshop scheduled for late Dec 2013. Participants included GIDCC, UNDP, UNCDF and GPAR/MOHA. The aims are to discuss priority list and prepare the 1 <sup>st</sup> Q/AWP 2014.	
6. <i>Interview panels for the post of STA &amp; PFAAs</i>	STA post application deadline 12 Nov and interview date scheduled for Dec 5 at UNDP. The interview panels including Ms. Keti, Ms. Kyoko, Mr. Gerry/ MOHA & Mr. Phouvong.	
	PFAA post application deadline 18 Nov and interview date scheduled for Nov 26 at MONRE. Interview panels including Mr. Vichit/Mr. Thongchanh, Mr. Vanxay, Mr. Souk & Ms. Khem	
7. <i>MoU signing update</i>	Ms. Shalina Miah, Regional Office Manager of UNDCF BKK will sign the MoU on 18 Nov as soon as she arrived. UNDP & MOHA will witness their signatures soon afterward.	
8. <i>Inception workshop report</i>	Under process	
9. <i>1<sup>st</sup> field visit to Saravane &amp; Sekong provinces</i>	A tentative schedule of this visit is from 16 to 21 Dec 2013. The aim is to introduce the project to provincial/district authorities, discuss project options & ideas, possible project intervention areas, get an overview of climate resilient related activities in Saravane and Sekong province, and establish project office in the two provinces.  Mr. Souk will prepare the draft field visit programme and hunt for inputs from UNDP and project teams	
10. <i>AOB</i>	Vichit will be out to India to attend the regional workshop from 9 to 16 Nov 2013	

#### **Immediate Actions**

1. *Payment for the ProDoc translation – UNDP*
2. *Coordination and establishment of Project Board – Amp*
3. *Follow up with Proc.Unit/UNDP re the pro-forma invoice and packing list of the project car – Vichit*
4. *Procurement of 12 motorcycles – Proc.Unit/UNDP*
5. *Purchase of office furniture and equipment and refurbish project office – Khem & Teuanichit*
6. *Prepare ToRs for international and national experts to be recruited in 2014 – UNDP and project*
7. *Organize the budget exercise meeting with UNDP, UNCDF/GPAR/MOHA - Souk*
8. *STA post shortlisted and interview – UNDP*
9. *FAA post shortlisted and interview – Souk*
10. *MOU signing by UNCDF - Vichit*
11. *Inception workshop report drafting – Souk*

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*Attached 1: Follow-up progress from last monthly meeting, 25 Sep 2013*

1. Finalize the 2013 AWP and procurement plan based on comments/feedbacks made from UNDP – **DONE, sent to UNDP on 8 Aug 2013**
2. Prepare and finalize the fourth QWP of 2013 – **DONE, sent 8 Aug 2013**
3. Preparation and submission of the fourth QWP cum budget, including the FACE/ICE form/ IPOA settlement to LDCF2 NDP and UNDP for approval – **DONE, sent 8 Aug 2013**
4. Organize a formal consultation meeting with MoHA to discuss and agree on the LoA, the specific operational arrangement for funds flows relating the comp2, recruitment of PFM and its reporting lines – **DONE, mid-Nov 2013**
5. Continue edit/review the draft ProDoc (Lao translation) and finalize, deadline is on 30 Sep – **DONE, completed 30 Nov 2013**
6. Preparation and establishment of project board at central level – **NOT YET DONE**
7. Send out a formal request letter to the target provinces and districts re the nomination of project chairmen and his deputies, coordination committee and focal points – **DONE, 13 Nov 2013**
8. Organize a regular project monthly meeting with UNDP – **DONE, 26 Dec 2013**
9. Revise the ToR of STA & FAA – **DONE (shared amongst the project team/UNDP for final adjustments)**
10. Place an advertisement for the post of STA and PFAAs through UNDP website and local newspapers and recruit – **DONE, Nov 2013**
11. Coordinate with IRAS project re the lessons learned visit – **DONE**
12. Sends out an email to the Proc.Unit/UNDP and start purchasing the equipment – **DONE**
13. Prepare and organize the project inception workshop – **DONE 022 & 23 Nov 2013**

**MINUTES OF 6<sup>TH</sup> MONTHLY MEETING  
November 2013**

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Thursday, 26 December 2013, from 10:00-15:30hrs at 3<sup>rd</sup> Floor, Building No. 104, MONRE

**Objective**

The objectives of the meeting were to follow-up progress from last monthly meeting and discuss other pending issues

**Participants**

- 1) *Ms. Lathdavone Buapaseurth, Secretary*
- 2) *Ms. Latsamy Thanthathep, Petty Cash Custodian*
- 3) *Ms. Khemmala Haraixay, SFAO*
- 4) *Mr. Amphayvanh Oudomdeth, APM (Gov.)*
- 5) *Mr. Souksavanh Sisouvong, APM*
- 6) *Mr. Vanxay Bouttanavong, NPM*
- 7) *Mr. Vichit Sayavongkhamdy, UNDP Programme Specialist*

**Contents of the Meeting**

11. Follow-up progress from last monthly meeting
12. 1<sup>st</sup> field visit to Saravane and Sekong provinces
13. Procurement
14. Recruitment
15. TRAC Fund
16. Fund flows and advance payment (Comp.2)
17. AOB

**Results of the Meeting**

<b>Agenda Items</b>	<b>The results agreed on</b>
<i>1. Follow-up progress from last monthly meeting</i>	See-Annex 1
<i>2. 1<sup>st</sup> field visit to Saravane and Sekong provinces</i>	Summary of key findings: key achievements, opportunities and constraints <i>Key achievements</i> <ul style="list-style-type: none"><li>- Agreement on roles and responsibilities</li><li>- Better understanding of project directions by stakeholders</li><li>- Established good relations with local partners</li><li>- Initiated support structures and focal points at district and provincial levels</li></ul> <i>Opportunities</i> <ul style="list-style-type: none"><li>- Build on good relations and personal contacts</li><li>- Provide provincial and district partners with tasks and prompt feedback on proposals and inquiries</li><li>- Upgrade skills and knowledge of local authorities</li></ul> <i>Challenges</i> <ul style="list-style-type: none"><li>- Seemingly/confusion on flow of funds (finally solved)</li></ul>

	<ul style="list-style-type: none"> <li>- Slow response to urgent local requests and needs - with risks of losing momentum, trust and future collaboration</li> <li>- Limited capacity of Saravane provincial and district teams to provide technical inputs (requested only few projects)</li> <li>- Effective coordination with provincial and district teams</li> <li>- Delay in recruitment of international and national experts will have been encountered the project implementation</li> </ul>
3. Procurement	<p><u>IT EQUIPMENT:</u> IT equipment for GIDCC is expected in Jan 2014 – payment can be made to the supplier in 2013. Noted that the DIC/MPI has already sent out the revised NIM guideline to all UNDP supported projects in Nov 2013 – a new purchase limit is 100 million or equivalent to \$12,500. IT equipment and other equipments can be procured by the IP - starting from 2014 onward (following the revised NIM guideline).</p> <p><u>3 CARS:</u> GIDCC required pro-forma invoice and packing list from UNDP in order to proceed with other steps with MONRE. Vichit will follow up with Proc. Unit of UNDP and get back to GIDCC ASAP.</p> <p><u>12 MOTORCYCLES:</u> UNDP received 12 motorcycles – awaiting supporting document from MONRE. The project will dispatch all the motorcycles to provinces as soon as the registration of blue plates completed. It was suggested GIDCC allocates additional budget for covering shipping fee/documentation clearance, etc</p>
4. Recruitment	<p><u>PFMC:</u> It was agreed that the detailed ToR of this post will be drafted by PSU in consultation with UNCDF, GPAR/MOHA with inputs from UNDP. This post is expected to be on board in Mar 2014.</p> <p><u>CTA:</u> UNDP received 172 applicants, 30 of which identified as potential candidates. The interview date scheduled for the middle of Jan 2014 and the interview panels included Mr. Gerry, Ms. Keti and Ms. Kyoko (Mr. Phouvong and Mr. Nisith or Mr. Vanxay will be an observer). It is expected to be on board in late May or early Jun 2014.</p> <p>Taking into consideration the ongoing of project activities and delays in recruitment of CTA, it was agreed that the project should first recruit the NIS and NES in order for them to undertake assignments investigating project sites, review of initial baselines, etc. Mr. Amphayvanh was given the task to coordinate with UNDP and/ or Ms. Keti if the similar ToRs or specific assignments for the above-mentioned posts are available.</p> <p><u>Outstanding ToRs to be developed:</u></p> <ol style="list-style-type: none"> <li>1) Nat'l Specialist (PFM)</li> <li>2) Int'l Infrastructure specialist</li> <li>3) Nat'l Infrastructure specialist:</li> <li>4) Nat'l Ecosystem Specialist</li> <li>5) Nat'l M&amp;E Specialist</li> <li>6) Translator</li> <li>7) Driver</li> </ol>
5. TRAC Fund	<p>GIDCC deducted the amount of TRAC Fund from its original planned budget from \$91,736 to \$60,000 for 2014 due to the overall financial constraints that UNDP globally is facing</p>
6. Fund flows and advance payment (Comp.2)	<p>Fund flows (DDF) will be done based on the signed MOU between MONRE and UNCDF.</p> <p>UNCDF personnel services, DSA and travel costs will be made directly to UNCDF account (direct payment). A total budget</p>

	<i>estimated for 1<sup>st</sup> quarter of 2014 is 37K, which 5K out of the total budget is budgeted for DSA and travel costs.</i>
7. AOB	<p><i>It was suggested UNCDF and GPAR/MOHA attend the regular project monthly meeting</i></p> <p><i>Draft PFAA interview reports and minutes of 5<sup>th</sup> monthly meeting sent out – awaiting comments/inputs from Vichit</i></p> <p><i>Vichit promised to confirm about the DPS cost for 2014</i></p>

#### **Immediate Actions**

1. *Coordination and establishment of Project Board – Mr. Amp*
2. *Follow up with UNDP re the pro-forma invoice and packing list of project cars – Mr. Vichit*
3. *Provide supporting docs to Proc. Unit/UNDP for registration of 12 motorcycles – Mr. Amp*
4. *Develop ToRs for Nat'l Infrastructure and Ecosystem Specialists – UNDP & project*
5. *STA post shortlisted and interview – Vichit*
6. *Follow-up with Vichit re the comment/inputs to the draft FAA interview report and minutes of 5<sup>th</sup> monthly meeting – Mr. Souk*
7. *Continue drafting the inception workshop report – Mr. Souk*
8. *Prepare and finalization of the 1<sup>st</sup> field visit reports (Saravane & Sekong) – Mr. Souk*
9. *Develop ToR for National Specialist (PFM) – UNCDF*
10. *Organize the regular project monthly meeting – Mr. Souk*
11. *Prepare budget analytical review and finalize – Mr. Souk*
12. *Petty cash surprise check and replenishment – Ms. Khem*
13. *Review project expenditure details (CDR) – Ms. Khem & Mr. Souk*
14. *Prepare and finalization of 1<sup>st</sup> Q/AWP 2014 – Mr. Souk & Khem*
15. *Prepare and finalization of 4<sup>th</sup> QPR and APR for 2013 – Mr. Souk*
16. *Prepare and requisition of POA advance – Ms. Khem & Mr. Souk*
17. *Send out an official letter to the provinces re the revised roles & responsibilities – Mr. Vanxay*
18. *Develop project organization chart for PSU office, prov & district offices – Mr. Souk & team*
19. *Draft an official letter for transfer of project vehicles from UNDP to the GoL – Mr. Souk*
20. *Prepare SSA contract for the FAA, Ms. Sengchanh – Mr. Souk*
21. *Mobilization of new project staff's belongings to their duty station in SRV and SEK - GIDCC*
22. *Transfer of project motorcycles to SRV and SEK – Ms. Khem, Ms. Deuane & Ms. Seng*
23. *Refurbishment of PPSU offices in Saravane & Sekong provinces – Ms. Khem & team*

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**Minutes taken by:**

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Souksavanh Sisouvong, APM for LDCF2  
Date: \_\_\_\_\_

**Acknowledged by:**

\_\_\_\_\_  
Vanxay Bouttanavong, PM for LDCF2  
Date: \_\_\_\_\_

**Acknowledged by:**

\_\_\_\_\_  
Vichit Sayavongkhamday, UNDP  
Programme Specialist  
Date: \_\_\_\_\_

*Attached 1: Follow-up progress from last monthly meeting, 8 Nov 2013*

1. *Payment for the ProDoc translation – DONE*
2. *Coordination and establishment of Project Board – ONGOING PROCESS*
3. *Follow up with UNDP Proc.Unit re the pro-forma invoice and packing list of the project car – NOT YET*
4. *Procurement of 12 motorcycles – DONE (UNDP received 12 motorcycles – awaiting supporting docs from MONRE*
5. *Purchase of office furniture and equipment and refurbish project office – DONE*
6. *Prepare ToRs for international and national experts to be recruited in 2014 – UNDER PROCESS*
7. *Organize the work plan and budget exercise meeting with UNDP, UNCDF and GPAR/MOHA – DONE (UNCDF & GPAR/MOHA were not available)*
8. *STA post shortlisted and interview – NOT YET CONFIRM BY UNDP*
9. *FAA post shortlisted and interview – DONE (draft selection report sent out in begging of Dec 2013 – awaiting for comments from UNDP)*
10. *MOU signing by UNCDF – DONE*
11. *Inception workshop report drafting – UNDER PROCESS*

# Annex 13: 4<sup>th</sup> Quarterly and AWP cum Budget for 2013



## 4th Quarterly & AWP cum Budget for 2013

United Nations Development Programme

Country: Lao PDR

Programme Code & Title: 000&4024 (NAPA-FUZ)

Project Code & Title: Effective Governance for small-scale rural infrastructure and disaster preparedness in a changing climate (LDCF2)

Responsible Officer (s): Mr. Vanxay Boutzavong

Implementing Partner (s): Department of Disaster Management and Climate Change, Ministry of Natural Resources and Environment

EXPECTED OUTPUTS Indicator Baseline Annual Target MOY	MAIN ACTIVITIES and Indicators	TIME			RESPON SIBLE PARTY	PLANNED BUDGET				Direct Payment			
		Q 3	Q 4	Q 3 4		Fund	Donor Code	Alias Buds Acc Code	Budget Description		POA Advance		
<b>PROJECT OBJECTIVE</b>	Local administrative system affecting the provision and maintenance of small-scale rural infrastructure will be improved through participatory decision making that reflects the genuine needs of communities and natural system vulnerable to climate risk										USD	USD	
Indicator 1: Percentage change in the number of district development plans including specific climate change adaptation action in the target provinces and districts													
Indicator 2: Percentage change in the level of active local community participation in climate risk related planning in target provinces and districts													
<b>PROJECT OUTCOME 1: Capacity provided for local administrative institutions to integrate climate risks into participatory planning and financing of small scale rural water infrastructure provision</b>													
Indicator 1.1: Percentage change in the ability of local officials apply methodologies to analyze climate risks and to identify CC vulnerability in 12 districts													
Indicator 1.2: Procedures are in place to integrate climate change resilient advice and investment for small scale rural water infrastructure into district planning (Yes/no) (AUAT 1.1.1)													
Indicator 1.3: Number of district development plans reflecting costs of adaptation in the water sector available													
<b>OUTPUT 1.1: Technical capacity in climate resilience planning</b>													
Indicator: Activities													
1.1.1: Develop training materials on the initial capacity assessment					X	X			62150	10003	71400	Payroll for SFAO	6,500.0
1.1.2: Develop a 4 years detailed climate change capacity development plan for districts development support communities based on the findings of the initial capacity assessment plan starts with the asking the question:					X				62150	10003	71600	Field visit - travel, DSA, tickets, etc	2,000.0
1.1.3: Conduct initial and follow-up training and awareness raising workshop at provincial and district level in 12 districts.									62150	10003	73100	Conf. room rental, custodial, etc	500.0
1.1.4: Provide on the job coaching of target irraditions in conducting CRVA assessment.									62150	10003	73200	Permittees-Alternations	
1.1.5: Engage GIS database specialists to develop a simple climate change adaptor information database at PONRE in Sekong and Savanane									62150	10003	73300	Rental & Maint of IT Equipment	
									62150	10003	73400	Fuel for vehicle, maint & spare parts	300.0
									62150	10003	74200	Photocopy, travel and printing, etc	300.0
									62150	10003	74500	Meeting miscellaneous	300.0
<b>Sub-total Output 1.1 =</b>													9,900.0
<b>OUTPUT 1.2: Village level water harvest, storage and distribution infrastructure adaptation solution identified, priority and integrated into district development plan</b>													
Indicator: Activities													
1.2.1: Develop a priority list of at least 4 projects per district including at least one initial investment project per district									62150	10003	71500	Local consultants	
1.2.2: Develop indicative budgets for each project					X				62150	10003	71600	Payroll for PONRE (Savannavong)	7,900.0
1.2.3: Approval of priority list of climate resilient investments by the respective district development support committee					X				62150	10003	71600	Field visit - travel, DSA, tickets, etc	1,500.0
					X				62150	10003	73400	Fuel for vehicle, maint & spare parts	300.0
					X				62150	10003	74200	Photocopy, travel and printing, etc	300.0
					X				62150	10003	74500	Meeting miscellaneous	300.0
<b>Sub-total Output 1.2 =</b>													9,400.0









# Annex 14: Annual Procurement Plan for 2013

## PROCUREMENT PLAN FOR YEAR 2013

Project/Programme Title: Effective Governance for Small-Scale Rural Infrastructure and Disaster Preparedness in a Changing Climate

Project ID: 00084024 (NAPA FU2)

Category	Description	Estimated cost in US\$	Procurement to be executed by		Method of Procurement	Donor	Fund	1Q	2Q	3Q	4Q	Remarks (Account code to be charged)
			UNDP	Project								
1	WORKS											
a	Rehabilitation of project office in Vietnam	3,000.00		Project	RFQ	62161	GEF					72203
b	Supply and installation of internet connection/VIF	400.00		Project	RFQ	62161	GEF					72440
	Subtotal 1	3,400.00										
2	SERVICES											
a	Local consultant on baseline survey and assessment for new sub-project intervention	15,000.00	UNDP		RFP	62161	GEF					71305
	Subtotal 2	15,000.00										
3	GOODS											
a	Office machinery	4,950.00		Project	RFQ	62161	GEF					72203
b	Transportation equipment	75,950.00	UNDP		RFP	62161	GEF					72215
c	Furniture	9,953.00		Project	RFQ	62161	GEF					72220
d	PC & IT equipment	9,655.00	UNDP		RFQ	62161	GEF					72203, 72210
e	Commune & Audio Visual Equip	6,225.00		Project	RFQ	62161	GEF					72405
	Subtotal 3	106,843.00										
4	SUPPLIES											
a	Stationery and other office supplies	4,500.00		Project	RFQ	62161	GEF					72505
	Subtotal 4	4,500.00										
	Note: For goods, see attached detailed list and specification in Annex 1.											
	<b>Total Procurement Under Programme/Project</b>	<b>128,783.00</b>										

Prepared by: Project Manager

Cleared by: UNDP Programme Officer

Cleared by: National Project Director

Local Shopping to be used for low value goods whose services up to US\$ 500 (price evaluation matrix shall be created by Project Manager).  
RFQ Method to be used for procurement of goods whose services with clear quantity and specification for values from US\$500 with US\$35,999

RFQ to be used for high value procurement of goods whose services with clear quantity specification statement of work starting from US\$100,000  
RFQ method recommended for all contracts for US\$ 10,000 where inputs and outputs cannot accurately and qualitatively be measured in subsequent areas (money proceeds).

Annex 1

Category	Description/detailed specification	Unit of measure	Quantity	Estimated price per Unit in US\$	Total estimated amount in US\$
<b>3</b>	<b>GOODS</b>				
<b>a</b>	<b>Office machinery</b>				
a.1	Printer: HP Laser Jet P2055dn	Unit	5	400.00	2,000.00
a.2	Fax machine: 2-Line, Plain Paper Fax Copier with Expandable 5.8 GHz FHSS GigaRange® Cordless Phone System with Digital Answering System	Unit	1	200.00	200.00
a.3	Desk telephone: Panasonic	Unit	1	200.00	200.00
a.4	Scanner, HP N6350	Unit	3	300.00	900.00
a.5	Air-condition, Panasonic 24,000BTU/Samsung AS24PSPNxEA	Unit	1	950.00	950.00
a.6	Refrigerator	Unit	1	450.00	450.00
a.7	Water cooler (cold & hot water)	Unit	1	250.00	250.00
	<b>Total a</b>				<b>4,950.00</b>
<b>b</b>	<b>Transportation equipment</b>				
b.1	Ford Jeep: Ford Everest STW Limited 2 STD 4x4	Unit	1	22,500.00	22,500.00
B.2	Ford Ranger D/CAB XL 2 STD 4x4	Unit	2	19,500.00	39,000.00
B.3	Motorcycle, Honda Wave 110_AFS110MFSS, 110CC, Fuel Injection Air Cooled, 4 Stroke Engine, Electric Kick Start, Front Disk Brake, Warranty 18 Months or 18K KM, Price incl. Tax & Registration	Unit	12	1,200.00	14,400.00
	<b>Total b</b>				<b>75,900.00</b>
<b>c</b>	<b>Furniture</b>				
c.1	Office Table Set, Mo-Tech 2GO202GR, Melamine cover "Executive Type"	Unit	1	425.00	425.00
c.2	Office Chair, TAIYO CA 777D	Unit	16	153.00	2,448.00
c.3	Tables	Unit	15	220.00	3,300.00
c.4	Sliding Filing Cabinet, LUCKY: Sliding filing cabinet, upper part with glass door, and lower with steel	Unit	12	280.00	3,360.00
c.5	Safe Box, Leeco: WxDxH: 422x456x518	Unit	1	400.00	400.00
	<b>Total c</b>				<b>9,933.00</b>
<b>d</b>	<b>PC &amp; IT equipment</b>				
d.1	Notebook, Sony Vaio VPC-SB16FH: Intel Core i5, 2410M Processor 2.30GHz with Turbo Boost up to 2.90GHz, 4GB, (4GBx1) DDR3 SDRAM*2 (upgradeable up to 8GB*3), 320GB (Serial ATA, 5400 rpm), DVD RW SuperMulti Drive, AMD Radeon HD6470M VGA Memory 512MB, 13.3 inch (WXGA), LAN 10/100/1000/WLAN/Bluetooth, OS: Genuine Windows 7 Home Premium 64 bit	Unit	9	1,000.00	9,000.00
d.2	Software (licenses, etc) Kaspersky Antivirus	User	9	30.00	270.00
d.3	UPS 600 VA	Unit	9	65.00	585.00
	<b>Total d</b>				<b>9,855.00</b>
<b>e</b>	<b>Communic &amp; Audio Visual Equip</b>				
e.1	LCD Projector, Mitsubishi	Unit	3	500.00	1,500.00
e.2	LCD Projector Screen, Portable Tripod	Set	3	250.00	750.00
e.3	Digital Camera, Sony: Sony HX9VB/LSX-CSX/MS-MT4G	Unit	5	435.00	2,175.00
e.4	Mobile phone	Unit	9	200.00	1,800.00
	<b>Total e</b>				<b>6,225.00</b>
	<b>Total Goods</b>				<b>106,863.00</b>

Prepared by: Project Manager

Cleared by: UNDP Programme Officer

Cleared by: National Project Director

## Annex 15: Overall Work Plan for 2013 – 2016

### LDCF2 Overall Work Plan (2013-2016)

No.	Draft Activities	2013		2014		2015		2016	
		1	2	3	4	1	2	3	4
1.1	Technical capacity in climate resilient planning, focusing on links between improved ecosystem management and sustainability of investments in small scale rural water infrastructure, enhanced for at least 250 national, provincial, district and village officials, as well as other community stakeholders.								
1.1.1	Undertake training need assessments and develop training materials, the VSA tool of the Phocas, and the CRVA tool, also building on similar materials being developed under the ADB-NRMU project.								
1.1.2	Develop a 4 year detailed climate change capacity development plan for District Development Support Committees based on the findings of the initial capacity assessment carried out during the PPG phase.								
1.1.3	Conduct initial and follow-up training and awareness raising workshops at province and district level in all 12 districts, in collaboration with the ADB-NRMU project.								
1.1.4	Provide on the job coaching of target institutions in conducting CRVA assessments.								
1.1.5	Empower GIS database specialists to develop a simple climate change adaptation information databank at PORNES in Sekong and Savanane.								
1.2	Village level water harvesting, storage, and distribution infrastructure adaptation solutions (with associated ecosystem management options) identified, prioritized and integrated into district development plans.								
1.2.1	Design type of infrastructure that is required based on field assessments, develop a priority list of at least 4 projects per district including at least one rural investment project per district, with a priority focus on the water sector and climate change adaptation.								
1.2.2	Develop indicative budgets for each project.								
1.2.3	Approval of priority list of climate resilient investments by the respective District Development Support Committee.								
1.3	Climate risk, vulnerability and adaptation assessments (CRVA) carried out at 45 project sites in 12 districts of Sekong and Savanane provinces and proposed climate resilient investments adjusted to take account of site specific adaptation concerns.								
1.3.1	Develop and field test the CRVA tool.								
1.3.2	Carry out CRVA analysis for at least 45 potential project sites and provide final recommendations to the District Development Support Committees on feasibility and relevance to CCA.								
1.3.3	Integrate information gathered from CRVA into awareness-raising and training materials.								
1.3.4	Integrate CRVA findings into CCA information databank.								
1.4	Detailed climate resilient project investments finalized and tender documents prepared in 12 districts, as well as associated budgets to facilitate the implementation of annual district investment plans in 12 districts.								
1.4.1	Integrate the CRVA tested projects as an appendix item for regular meetings of the province planning and investment departments, the District Development Support Committees and the village-level planners/consultors.								
1.4.2	Support district officials to develop scaled budgets for each selected climate resilient investment project, including in-kind community contributions.								
1.4.3	Provide technical support and advice to District Development Support Committees in reviewing and approving climate resilient infrastructure investments.								
1.4.4	Support development of tender documentation and procedures for climate resilient infrastructure investments and oversight of construction company selection processes.								
1.4.5	Organize two day excursions (2 per year) to best practice project sites for district and provincial officials as well as community representatives to promote learning and facilitate climate resilient planning.								
1.5	Guidelines for climate resilient construction for small-scale rural infrastructure sectors (irrigation, water supply, rural roads, education, and health) developed, applied and revised.								
1.5.1	Review current standards and rural small-scale infrastructure standards construction requirement, develop climate resilient construction guidelines for each sector of small-scale rural infrastructure development.								
1.5.2	Conduct trainings for local construction companies in the area of climate resilient construction.								
1.5.3	Presentations and discussion of guidelines to national and provincial levels of the Ministry of Infrastructure and other relevant ministries as an input to wider discussions on necessary revisions to national standards and guidelines.								
2.1	An incentive mechanism, rewarding districts performing well in planning, budgeting and implementation of climate resilient, ecosystem based small-scale water infrastructure is developed, tested and under operation to drive the delivery of LDCF climate resilient infrastructure grants.								
2.1.1	Establish an incentive mechanism based on the principle of an additional 25% increment to baseline development budgets to fund climate resilient investments.								
2.1.2	Develop an audit methodology to annually track district performance in the areas of climate resilient, ecosystem based small-scale water infrastructure.								
2.1.3	Adjust annual budgetary envelopes for district investment plans to include CCA grants according to measured district performance.								
2.1.4	Amend standard local development funding operating manuals, instructions and regulations to include climate resilient infrastructure, in order to fully mainstream climate financing into existing systems.								
2.1.5	Costly lessons learned from a climate finance and public expenditure management perspective.								
2.2	At least 45 small-scale infrastructure investment projects (17 districts), including components of water harvesting, storage, distribution and/or irrigation of the priority lists that have been CRVA assessed are implemented benefiting 50,000 people.								
2.2.1	Support and ensure establishment of district level bank accounts in line with Ministry of Finance rules.								
2.2.2	Deliver climate resilient infrastructure grants to district accounts, aligned with existing local development funding.								
2.2.3	Track, monitor and report on local transfers for climate resilient infrastructure.								

No.	Draft Activities	2013			2014			2015			2016		
		1	2	3	4	1	2	3	4	1	2	3	4
2.2.4	Evaluate and report on climate resilient grant performance against relevant ICs standards on an annual basis.												
3.1	Up to nine ecosystem management and action plans with a coverage of at least 60,000 Ha to protect 45 small-scale climate resilient rural infrastructure projects are designed, implemented and monitored for effectiveness.												
3.1.1	Prepare tender documentation for the delivery of up to nine climate resilient ecosystem management and action plans												
3.1.2	Develop ecosystem management and action plans that support climate-resilience of rural infrastructure in up to nine locations building on the existing ADB-NRM approach for Sectors, as well as the location specific interventions and capacities provided under the IUCN baseline projects, as indicated above.												
3.1.3	Implementation of up to nine ecosystem management and action plans through community driven measures with contractual service support.												
3.1.4	Apply the ecosystem management monitoring and evaluation system on a regular basis												
3.2	Awareness-raising activities implemented, learning materials developed and disseminated and regular dialogues held between communities and tiers of the local administration on the linkages between ecosystems management and small-scale climate resilient infrastructure solutions.												
3.2.1	Develop and disseminate best practice guidelines based on M&E reports provided under output 3.1.												
3.2.2	Organise site visits for district, provincial and national officials.												
3.2.3	Organise roundtable meetings to share experiences on Eba infrastructure solutions building on existing relations and capabilities provided by the IUCN baseline projects.												
4.1	Effective Project Management												
4.1.1	Conduct UPAC meetings												
4.1.2	Conduct monthly meetings with UNDP												
4.1.3	Preparation and signing of LOA between MSNRE and UNCDF, witness by UNDP and MoEA												
4.1.4	Procurement management and purchase												
4.1.5	Preparation and recruitment of project personnel												
4.1.6	Nominate and assign project support team												
4.1.7	Establish & maintain project support team offices/system setup												
4.1.8	Prepare and conduct pre-meeting and reception workshop and other workshops and meetings												
4.1.9	Prepare QIAMP and budgets												
4.1.10	Conduct regular Project team meetings												
4.1.11	Establish Project Board/Project Committee at central level												
4.1.12	Field visit to Saravali and Selong provinces												
4.1.13	Participate in meetings at Diobros, Provinces & Vientiane												
4.1.14	Facilitate UNDP Ras Field Visit												
4.1.15	Prepare Quarterly, Annual and Terminal reports												
4.1.16	Establish and maintain conducive networks												
4.1.17	Develop an overall communication/networking, etc												
4.1.18	Update M&E framework												
4.1.19	Prepare TOR and agreements for project interventions												
4.1.20	Prepare documentation for and support Mid Term Evaluation Team and Final												