

- Positive and/or negative changes? How to limit the negative changes?
- What is the level of ownership of project’s results by the final beneficiaries

**Sustainability:**

- What is the strategy for infrastructures maintenance and ecosystem services delivery
- Can the changes provided by the project be sustained on a long-term basis?
- Is there a need for additional support to sustain these changes
- Are there activities by the final beneficiaries to enhance (some of) the project’s results (empowerment)

## **5. Project’s final beneficiaries (district / community representatives / villages)**

**Relevance:**

- What are the advantages/disadvantages of the rural water infrastructures and improved protection of ecosystems
- Are you expecting benefits from these (explain)
- What issues/needs were not being addressed by the project?

**Effectiveness/efficiency:**

- Support received and timeliness
- Support provided and timeliness
- Were the proposed technical solutions in line with the actual problems you experience (how participative was the process)?
- Quality of support (infrastructures and mechanisms in place to ensure ecosystem services delivery [water, reduced risks...])

**Impact:**

- What change did the project support bring? (Increased income, better working conditions, added free time...)
- Positive and/or negative changes? How to limit the negative changes?
- What long-term benefit if any would the project’s result bring on a long-term basis to the community

**Sustainability:**

- What is your contribution in ensuring that infrastructures and ecosystem services will be maintained after the project ends
- Are there (in)formal agreements with the district authorities on these aspects
- Is there a need for additional support to sustain these changes

## Annex 4: Project Progress Towards Outcomes

The LDCF2 progress implementation is measured through 10 indicators and 10 targets. A color code was used to present the level of progress achieved against each target.



Target achieved

On target to be achieved

Not on target to be achieved

Expected Results	Indicator	Baseline	Targets End of Project	Results / Deliverables	TE Assess.	Justification for rating
<p><b>Project Objective</b>  <b>Local administrative systems 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 systems vulnerable to climate risk. (equivalent to output in ATLAS)</b></p>	<p>Percentage change in number of district development plans including specific climate change adaptation actions in the target provinces and districts.</p> <p>Percentage change in the level of active local community participation in climate risk related planning</p>	<p>No CC adaptation actions are in place or budgeted for in district development plans in Sekong or Saravane.</p> <p>Although local communities in GPAR supported districts are aware of climate risks and taking part in planning decisions, there is no structured process in place for analysis and integration of these risks.</p>	<p>50% of district development plans in the project area include at least 3 specific CCA actions by mid project and at least 5 CCA actions by end of project.</p> <p>60% of District Development Support Committees in the target districts and provinces record specific climate related</p>	<p><b>Achieved.</b></p>		<p>Since the project started in 2013, both the Paris Agreement and the global Sustainable Development Goals (SDGs) have entered into force globally. Lao PDR was the first ASEAN country to ratify the Paris Agreement (September 2016), and has also mainstreamed the SDGs into planning processes such as the 8<sup>th</sup> NSEDP for the period 2016-2020 as part of the development priorities for the country. There is an increased understanding that development gains achieved over recent decades may be reversed by the impacts of climate change and overexploitation of natural resources, and thus threaten the intentions of Lao PDR to graduate from Least Developed Country Status by 2020. The general awareness of climate change issues has thus increased significantly since project inception, at least in certain sections of government. There is also an increased appreciation in Lao PDR of the role of nature (e.g. forests and wetlands) for increased climate resilience in the country. Guidelines on “Ecosystem-based Adaptation to Climate Change in Lao PDR” were published in December 2013. The project has</p>

<p><b>Outcome 1</b>  <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></p>	<p>in target provinces and districts.</p> <p>1.1 Percentage change in the ability of local officials to apply methodologies to analyse climate risks and identify CC vulnerabilities in 12 districts</p>	<p>No officials apply methodologies to analyse climate risks and vulnerabilities. No existing mechanism for climate resilient planning/ monitoring used for district development planning.</p> <p>There are no linkages made between the failure of water infrastructure and the inappropriate management of ecosystems.</p>	<p>concerns emerging from community level annual planning consultations.</p>	<p><b>Partially Achieved with actual targets over 50%.</b>                  Capacity building has mainly taken the form of on-the-job training linked to implementation of project activities. However, specific training events were implemented during 2016 on climate resilient infrastructure and ecosystem-based adaptation                  The CRVA process has also included on-the-job</p>	<p>used these Guidelines as the “point of entry” for combining infrastructure resilience with ecosystem-based adaptation for rural water infrastructure.</p> <p>The project has contributed to the raised awareness of climate change issues at provincial and district levels in the two target provinces of Saravane and Sekong. At the community level, awareness on climate change issues and nature-based solutions such as forest rehabilitation and management, and wetland conservation, has been increased significantly in beneficiary communities.</p> <p>Finally, the project has contributed to raise the profile of Lao PDR internationally. At the UNFCCC Conference of Parties, held in Bonn, Germany, in November 2017 (the COP23), the project organized a Side Event together with Timor Leste on South-South Cooperation for climate resilient infrastructure planning and implementation, including an emphasis on nature-based solutions to climate change. At the COP23, Lao PDR was also highlighted for its potential for circular economy approaches to sustainable, climate-resilient and low-carbon development.</p>
					<p>A capacity needs assessment was carried out in 2014, which was then the basis of implementation of capacity – building activities throughout the remaining part of the project. These were mainly carried out as ‘on-the-job’ events and linked to implementation of specific project activities. For instance, the Climate Risk and Vulnerability Assessment (CRVA) was carried out in 2016 as a key activity of Outcome 1, and of the project. A large element of capacity building was part of the CRVA implementation, with the aim to transfer CRVA skills to local officers and communities. Similarly, the project Infrastructure Specialist worked with district engineers during the project design phase with the aim to increase capacity for climate resilient planning and design.</p> <p>Throughout the life-time of the project, and particularly during the early period (2014-15), a lot of effort was put</p>

		<p>CCA in the water sector currently not budgeted.</p>		<p>training and coaching of both district, provincial and central government staff in applying the CRVA methodology Strengthening Capacity Building on the implementation of small-scale infrastructure through the training workshop on the revised DDF-CR guidelines.</p>		<p>into building capacity with district authorities in the District Development Fund (DDF) mechanism and its associated planning processes. The project Financial Management Specialist along with staff from the MOHA NGPAR programme were instrumental in ensuring that the needed capacity in this area was built and maintained. The project National Infrastructure Specialist worked together with district engineers and other technical staff to build capacity in climate resilient infrastructure design and construction. Again, this was done mainly in an “on-the-job” setting, i.e. during the planning and design of the infrastructure projects funded through the project. A challenge that was identified early during project implementation was to better link infrastructure resilience (Outcome 2) with ecosystem-based adaptation measures (Outcome 3). Better integration of the two Outcomes was facilitated through the planning and implementation of joint capacity building activities between the infrastructure specialist and the ecosystem specialist.</p>
	<p>1.2 Procedures are in place to integrate CC resilient advice and investment for small-scale rural water infrastructure into district planning</p>	<p>No procedures in place</p>	<p>All 12 target districts are applying a climate resilient planning mechanism including project identification, site assessment, approval, execution and M&amp;E.</p>	<p><b>Fully Achieved.</b> All 12 target districts have integrated climate resilient planning and projects into their district development planning. As of September 2017 about 17,000 villagers gained direct benefits from the projects from increased crop production, reduced crop loss due to flooding and drought, climate resilient water supply, and avoided flooding impacts.</p>		
	<p>1.3 Number of district development plans available, reflecting costs for adaptation in the water sector.</p>	<p>No any district development plans available.</p>	<p>All annual district investment plans include evidence of incremental CCA costings for water sector projects by year 4 and at least 4</p>	<p><b>Fully Achieved.</b> The CRVA process has been completed, including all the reporting. The CRVA baselines for 12 potential projects was used as the basis for</p>		

<p><b>Outcome 2</b>  <b>Incentives in place for small scale rural infrastructure to be protected and diversified against climate change induced risks (droughts, floods, erosion and landslides) benefiting at least 50,000 people in 12 districts of Sekong and Saravane</b></p>	<p>2.1 Number of districts routinely investing in climate resilient measures to improve village level water harvesting, storage and distribution systems.</p>	<p>Existing village level water related infrastructure is poorly maintained and not designed to cope with increasing incidence of drought, flood or flash flood events.</p>	<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.  <b>(Actual target: 12 districts)</b></p>	<p><b>Fully Achieved for 12 target districts.</b>  The revised DDF Guidelines (including climate resilience measures), has been formally approved by the Project Board in December 2015, endorsed and formally signed by MoNRE.</p>	<p>prioritizing projects for the funding cycle (2016-17)  All 12 district development plans include climate resilient costing</p>	
<p>2.2 Number of people benefiting from investments in small-scale irrigation systems to increase their resilience against climate change risks.</p>	<p>Climate Change resilience not built-into existing or new small-scale irrigation infrastructure.  In infrastructure poorly maintained and options often not appropriate to address the real situation.</p>	<p>At least 50,000 people across 12 districts are benefitting from climate change resilient small-scale irrigation infrastructure,</p>	<p><b>Fully Achieved.</b>  Over 37,049 (18,412 females) people across 12 districts gained benefits from 29 infrastructure and 9 EbA projects</p>	<p>During the project, the total target of infrastructure projects to be implemented was reduced from 48 projects to 29 projects. This was based on several considerations. Firstly, the original number of 40 projects was unrealistic as it implied four funding cycles (years), and one project in each district per year. However, it was never possible to fund any projects in year one when the project was starting up, and was out of phase with the annual financial cycle of the District Development Fund (DDF) planning mechanism. Secondly, a cautious approach was taken during the first funding cycle in order to ensure quality and build up experiences in the process. Therefore, only four projects were funded during the first round of funding, in 2014. These projects were identified from the Vulnerability Assessment that was undertaken as part of project formulation, and which included a long-list of potential projects for consideration during project implementation. The total grant (2 mill USD) was not changed as part of the reduction of the number of projects. This meant that, with fewer projects than planned, some slightly bigger projects could be supported. In total, 29 infrastructure projects have been funded, including irrigation systems (14 projects), water supply (6 projects), flood gate improvements (2 projects), community bridges (5 projects), and check dams (2 projects). The following infrastructure projects have been implemented:</p>		



<p><b>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 and Saravane provinces.</b></p>	<p>/action plans for local scale ecosystems based adaptation to improve the resilience of small-scale rural infrastructure against floods and drought developed and under implementation.</p>	<p>and plans supporting climate change resilience of sub-catchments and small-scale rural infrastructures do not exist or if so are poorly implemented.</p>	<p>action plans covering at least 48 climate resilience small-scale infrastructure investments under implementation across both Sekong and Saravane provinces. <b>(Actual target: up to 9 management plans )</b></p>	<p>resilience small-scale infrastructure investments under implementation in Sekong (5 sites) and Saravane (4 sites) provinces. The total EbA areas covers 14,518.23 ha including 3,754.54 ha of protected forest land.</p>		<p>Yeune, in Thateng District of Sekong Province, and the Sa O Wetland in Khongsedone District of Saravane Province. These two areas were considered pilot ecosystem areas in terms developing a process for ecosystem interventions, which included: (1) community consultations, (2) participatory land use planning, (3) development of ecosystem management plan, including rules and regulations, and - where feasible – (4) identification of specific ecosystem-based adaptation measures. Subsequently, an additional 7 areas were identified based on the CRVA results, and modelled around the two pilot ecosystem areas. The seven additional ecosystem areas include: watershed forest area upstream of Naver village, Lamarm District; (2) watershed forest upstream of Songkone village, Kaleum District; (3) watershed forest upstream of Loy village, Kaleum District; (4) watershed forest upstream of Dark Treub village, Dakcheung District; (5) Beung Ae Wetland, Vapi District; (6) watershed forest upstream of Johai village, Ta Oy District; (7) watershed forest upstream of Pihai village, Samuay District</p>
	<p>3.2 Number of key project stakeholders aware of links between improved ecosystem management and sustainability of investments in small scale rural water infrastructure.</p>	<p>Local planners and decision makers do not make the linkages between infrastructure investment and local land management practices. There is little or no information available to planners providing a reference point or practical experience in this area.</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>	<p><b>Fully Achieved.</b> 303 government staff at sub-national level received training and gained better understanding on basic knowledge on climate change adaptation, CRVA and EbA management approach.</p>		

## Annex 5: Mission Itinerary and Sites Visited

Date	Time	Activity	Responsible persons	Location
MO 23/10	13:30-15:00	Briefing UNDP Env. Unit	Margaret, Chitlatda, Vincent Singha.	UNDP CO
	14:45-15:30	Briefing meeting with UNDP Senior Management	RR, DRR, Margaret, Vincent. Singha, Chitlatda	UNDP CO
TU 24/10	08:00-09:30	Meeting with UNCDF	Thillaphong, Vincent, Singha	UNDP CO
	09:45-11:30	Meeting with Project Support Unit	Vincent, Singha, Anders, Souksavanh, Bounpanh, Khemmala, other relevant participants (MOHA Coordinator, & Admin Officer)	MONRE/PSU Office
	11:30-12:10	Meeting with SM/Project Board members of MONRE	Vincent, Singha, Sangkhan Thiengthammavong, Souksavanh Sisouvong	MONRE
	14:40-16:00	Meeting with SM/Project Board member of MOHA	Vincent, Singha, Nisit Keopanya and Nat. coordinator	MOHA
WE 25/10	07 :30-8:45	Travel to Pakse by plane then to Sekong by car	Vincent, Singha	VTE-Pakse-Sekong
	13:00-15:00	Meeting with Lamarm District Development Support Committee and District Development Support Team	Vincent, Singha, District Vice Governor, relevant District Offices who are members, Focal point for implementation of components 1 and 3, Focal point for implementation of components 2.	Lamarm district/Sekong province
	15:00-16:30	Visit to Hang Heng irrigation Project site	Vincent, Singha, village authorities, farmers and relevant project stakeholders	Lamarm district/Sekong province
TH 26/10	08:30-10:30	Meeting with Sekong Provincial Support Committee and Provincial Project Support Unit	Vincent, Singha, Provincial Cabinet Chief, relevant Provincial Offices who are members, focal point for components 1 and 3, focal point for component 2, and relevant participants.	Sekong province
	10:40-12:00	Meeting with Thateng District Development Support Committee and District Development Support Team	Vincent, Singha, village authorities, farmers and relevant project stakeholders	Thateng district/Sekong province
	13:00-15:00	Meeting with project stakeholders and visit to Kam Kok village Water Supply and EbA Project.	Vincent, Singha, village authorities, farmers and relevant project stakeholders	Thateng district/Sekong province
	15:00-16:00	Travel to Saravane province	Vincent, Singha	Thateng/Sekong-Saravane
FRI 27/10	08:00-10:00	Meeting with Saravane Provincial Support Committee and Provincial Project Support Unit	Vincent, Singha, Provincial Cabinet Chief, relevant Provincial Offices who are members, focal point for components 1 and 3, focal point for component 2, and relevant participants.	Saravane province
	10:15-12:00	Meeting with Saravane District Development Support Committee and District Development Support Team	Vincent, Singha, Project team members lead by District Planning and Investment Office and Focal point for implementation of component 2.	Saravane district/Saravane province
	13:00-15:00	Visit to Buengxai Small-Scale Flood Protection Infrastructure and Land Use Planning	Vincent, Singha, village authorities, farmers and relevant project stakeholders	Saravan district/Saravane province
	15:00-16:00	Travel to Sekong	Vincent, Singha	Salavane-Lao Gnam

SAT 28/10	08:00-16:00	Travel to Dak Cheung district to meet with district & village authorities, farmers and relevant project stakeholders following by site visit to Daktreub water project site and Naver irrigation project	Vincent, Singha, District Development Support members, village authorities, farmers and relevant project stakeholders, Project team members lead by District Planning and Investment Office and Focal point for implementation related components.	Saravane district/Saravane province
	16:00-17:00	Travel to Lamarm district	Vincent, Singha	Dak Chueng-Lamarm
SU 29/10	08:00-14:00	Visit to Irrigation project at Nam Mo village	Vincent, Singha, village authorities, beneficiaries and relevant project stakeholders	Mo village/Lamarm district/Sekong
	14:00-16:00	Travel to Vapy district	Vincent, Singha	Lamarm-Vapy
MO 30/10	08:30-10:00	Meeting with Vapy District Committee and local project stakeholders	Vincent, Singha, Project team members lead by District Planning and Investment Office (Vice District Governor, Head of DOHA, Head of DONRE, Head of Finance Department) and Focal point for implementation of component 2.	Lamarm-Vapy
	10:00-12:00	Meeting with local project stakeholders and visit project sites Bung Ae Dike Construction project.	Vincent, Singha, village authorities, beneficiaries and relevant project stakeholders.	Vapy district
	13:00-15:00	Visit project site at Bung Ae Dike Construction project.	Vincent, Singha, village authorities, beneficiaries and relevant project stakeholders.	Vapy district
	15:00-17:30	Travel to Pakse	Vincent, Singha,	Vapy-PKZ
TU 31/10	08:40-09:40	Teleconference with the LDCF2 Project Infrastructure Specialist	Mr. Soulisak, Vincent, Singha	Pakse, Vientiane
	10:00-11:00	Teleconference with LDCF2 Project EbA Specialist	Mr. Bounpanh Senthvi, Vincent, Singha	Pakse, Vientiane
	12:40-13:55	Travel PKZ-VTE	Vincent, Singha	PKZ-VTE
	15:30-16:30	Meeting with UN Habitat	Mr. Liam Fee, Vincent, Singha	UNDP
WE 01/11	08:20-09:20	Meeting with IFAD Country Programme Officer	Soulivanh Pattivong, Vincent, Singha	IFAD
	10:00-11:00	Meeting with M&E Specialist	Ms. Amphaivanh Chanmany	MONRE
	11:00-12:00	Meeting with Environmental Protection Fund	Khampadith Khammounheuang, Vincent, Singha	MORE
	13:20-15:30	Interview LDCF2 Project Manager	Mr. Vanxay Boutanavong, Vincent, Singha	MONRE
	15:45-16:30	Meeting with GPAR Project	Gerry O'Driscoll, Vincent, Singha.	MONRE
	16:45-17:30	Debriefing meeting with RR/UNDP	Kaarina, Margaret, Chitlatda, Vincent, Singha.	UNDP
THU 02/11	13:30 - 15:30	Debriefing with stakeholders	Vincent, Singha, Margaret, Chitlatda, Vanxay, others	UNDP
FR 03/11	10:00-12:00	Meeting UNDP	Vincent, Margaret	UNDP
THU 16/11	13:30-14:30	Meeting Regional GEF Focal Point	Vincent, Keti Chachibaia	(skype)

## **Annex 6: List of Persons Consulted**

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### **Sekong Provincial Support Committee, 26 October 2017.**

1. Mr. Bounlerd Hanxay, Sekong Provincial Office of Natural Resources and Environment, as Component 1 and 3 Focal Person.
2. Mr. Saysamone Phithaksin, Deputy Head, Sekong provincial Office of Home Affairs.
3. Mr. Bounlay Boudthi, Head, Sekong Provincial Office of Natural Resources and Environment.
4. Mr. Chanhhao Xaiyathong, Sekong Provincial Department of Natural Resources and Environment, LDCF2 Provincial Focal Person, Sekong Province.
5. Mrs. Sengchanh Phanthalangsy, Project Finance and Administration Officer, LDCF2 Sekong Project Office.

### **Lamam District Development Committee/Sekong Province, 25 October 2017**

1. Mr. Vongphachanh Phaengsy, Deputy Head of Lamam District Division of Finance, Sekong Province.
2. Mr. Souphab phioukhampha, Lamam Governor District Cabinet Office, Sekong Province.
3. Mr. Bounnong khamphoumy, Head of Lamam Division of Planning and investment.
4. Mr. Bounone Phommanasa, Deputy Head of Lamam District Division of Natural Resources and Environment Office, Sekong Province.
5. Mr. Nouchay Phetvongsa, Deputy Head, Lamam District Agriculture and Forestry Office, Sekong Province.

### **Thateng District Development Support Committee/Sekong Province, 26 October 2017.**

1. Mr. kham-yiad Keopaserd, Deputy Head, Thateng District Division of Finance
2. Mr. Khamphai Tanavong, Deputy Head, Thateng District Office of Natural Resources and Environment.
3. Mr. Souksamay, Head of Thateng District Office of Home Affairs.
4. Mr. Sengsouvanh Saysavanh, Head of Thateng District Office of Planning and Investment.
5. Mr. Hatsadone Dimanivong, Technical Staff, Thateng District Office of Planning and Investment.
6. Mr. Kham, Technical Staff, Thateng District Office of Finance, Sekong Province.

### **Kam Kok/Aling Village cluster-Water Supply and EbA Project, Thateng District/ Sekong Province, 25 October 2017.**

1. Mr. Bountheng Chingkariang, Chief of Village, Aling Village, Thateng District, Sekong Province.
2. Mr. Bouakham Khingkatang, Deputy Chief of Village, Aling Village, Thateng District, Sekong Province.
3. Mr. Inkham Chingkariang, Water User Group Member, Village, Aling Village, Thateng District, Sekong Province.
4. Mrs. Anode, Farmer, Aling Village, Thateng District, Sekong Province.

### **Naver Village, Irrigation Project, EbA Project, Lamam District/Sekong Province, 30 October 2017.**

1. Mr. Phouvong Keophosy, Head of Lao Front Association, Naver Village, lamam District, Sekong Province.
2. Mr. Khamloun Yortdala, Chief, Naver Village, Lamam District, Sekong Province.
3. Mr. Bounsen Keotonesy, villager, Naver Village, Lamam District, Sekong Province.
4. Mrs. Tian, villager, Naver Village, Lamam District, Sekong Province.

### **Mo Village irrigation Upgrading Project, Lamam District/Sekong province, 30 October 2017.**

1. Mr. Vanthong Sekhamphik, Deputy Chief, Water User Group, Mo Village, Lamam District, Sekong Province.

### **Dak Treub Village Water Supply & EbA Project, Dakcheung District/Sekong Province, 28 October 2017.**

1. Mr. Siphone Vordala, Chief of Village, Dak Treub Village, Dak Chueng District, Sekong Province.
2. Mr. Khamvi Saychanse, Deputy Chief of Village, Dak Treub Village, Dak Chueng District, Sekong Province.
3. Mr. Sengboun, Villager, Dak Treub Village, Dak Chueng District, Sekong Province.
4. Mrs. Maly, Farmer, Dak Treub Village, Dak Chueng District, Sekong Province.
5. Mrs. Nott, Farmer, Dak Treub Village, Dak Chueng District, Sekong Province.
6. Mrs. Keo, Farmer, Dak Treub Village, Dak Chueng District, Sekong Province.

**Saravane Provincial Support Committee, 27 October 2017.**

1. Mr. Thongsay, Deputy Head, Provincial Office of Natural Resources and Environment, Saravane Province.
2. Mr. Bounthavone Thammaphat, Department of Finance, Saravane Province.
3. Mr. Souliya Sisomboun, Provincial Department of Finance, Saravane Province.
4. Mr. Somphong Chansamueng, Provincial Office of natural Resources and Environment, Saravane Province.
5. Mr. Sangviane Thidalak, LDCF Project Focal Person, Provincial Office of Na
6. Mrs. Vongdeuane, Finance and Administration Officer, Saravane Office.
7. **Saravane District Development Support Committee, Saravane Province, 27 October 2017.**
8. Ms. Nouansay Keomek, Saravane District Governor, Saravane Province.
9. Ms. Khao Chanthabouly, Saravane District Planning and Investment Office, Saravane District Governor, Saravane Province.
10. Mr. Chaleun Sisouvong, Saravane District Office of Natural Resources and Environment, Saravane Province.
11. Mr. Soulisack Douangmala, Saravane District Office of Finance, Saravane Province.
12. Mr. Chansamay Phengbousavanh, District Office of Home Affairs, Saravane Province.

**Buengxay irrigation Project, Saravane District/Saravane Province, 27 October 2017.**

1. Mr. Bounhieng Keophila, Chief of Buengxay Village,
2. Mr. Souphanh Douangmixay, Deputy Head of Buengxay Village, Vapi District, Saravane Province.
3. Ms. Banechay Sengsay, Deputy Chief, Buengxay Village, Vapi District, Saravane Province.
4. Mr. Phouvong Yomthasombath, Deputy Chief, Buengxay Village, Vapi District, Saravane Province.
5. Mr. Sengdao Keokhamphanh, Deputy Head, Buengxay Village LPR Party, Vapi District, Saravane Province.
6. Ms. Tem Kongmaly, Head, Lao Women Union, Buengxay Village, Vapi District, Saravane Province.
7. Mr. Bouala Boualavanh, Farmer, Buengxay Village,

**Bueng Ae, Irrigation & EbA Project, Na La-ong Village, Vapi District/Sekong Province, 30 October 2017.**

1. Mr. Chanh Song Sounekeovorachack, Deputy Chief of Village, Na la-Ong Village, Vapi District, Saravane Province
2. Mr. Somvvang Sounndalay, Deputy Chief of Village, Na la-Ong Village, Vapi District, Saravane Province.
3. Mr. Siphay Vaenchaleun, Head of Water User Group, Na la-Ong Village, Vapi District, Saravane Province.

**Vapi District Development Support Committee, Saravane Province, 31 October 2017.**

1. Mr. Phouvong Thongsorn, Vice Governor, Vapi District, Saravane Province.

2. Mr. Daoving Vipakon, Chief, Cabinet Office, Vapi District Office of Natural Resources and Environment, Saravane Province.
3. Mr. Khamfong Chanthachone, Head, Vapi Office of Home Affairs, Saravane province.
4. Mr. Thinnakone Seng-outhai, Head, Vapi District Office of Finance, Saravane province.
5. Mr. Kongkham Khotpanya, Head, Division of Planning, Vapi District Office of Planning and Investment, Saravane province.
6. Mr. Kik Kitvongxay, Deputy Head, Vapi DONRE.

**Ministry of Natural Resources and Environment (MoNRE), 24 October 2017.**

1. Mr. Sangkhane Thiengthammavong, Director General, Department of Climate Change management, MoNRE.
2. Mr. Vanxay Boutanavong, Head, Division of Climate Change Management, MoNRE, LDCF2 Project Manager,

**Ministry of Home Affairs (MoHA), 25 October 2017.**

1. Mr. Nisith Keopanya, Director General, Department of Planning, MoHA.
2. Mr. Laly Keolangsy, Technical Staff, MoHA.

**Project Support Unit/ MoNRE 24 October 2017.**

3. Mr. Anders Poulsen, Chief Technical Adviser.
4. Mr. Souksavanh Sisouvong, Assistant Project Manager.
5. Ms. Amphayvanh Chanmany, Project Monitoring and Evaluation Specialist.
6. Mr. Bounpanh Senethavi, Ecosystem Specialist.
7. Mr. Soulisack, Infrastructure Specialist.
8. Ms. Khemmala Haraixay, Finance Officer.

**Project Support Unit /MoHA**

Ms. Phoosavanh Souphavanh, Public Financial and Management Specialist, MoHA.

**Environmental Protection Funds**

1. Mr. Khampadith Khammounheuang, Executive Director, Environmental Protection Fund.

**Global Environmental Funds (GEF)**

1. Mr. Lonekham Atsanavong, Director General, Environmental Quality Control Department, MoNRE, National GEF Operations Focal Point.
2. Ms. Keti Chachibaia, UNDP Climate Change Advisor, Regional GEF Focal Point, Bangkok, Thailand.

**GPAR Project**

1. Mr. Gerry O'Driscoll, UNDP CTA for the GPAR Project.

**IFAD Lao PDR**

1. Mr. Soulivanh Pativong, Country Program Officer, IFAD Lao PDR.

**IUCN Lao PDR**

1. Ms. Phoutsakhone Ounchith, Head of Office, IUCN Lao PDR, Bourichanh Rd, Ban Naxay, Xaysettha District, Vientiane Capital, Lao PDR.

**UNDP Lao PDR**

1. Ms. Kaarina Immonen, UNDP Resident Representative.
2. Dr. Margaret Jones Williams, Environment Unit Manager, UNDP.
3. Ms. Chitlatda Keomuongchanh, Program Analyst-Environment, UNDP.

**UNCDF Lao PDR**

1. Mr. Thilaphong, Program Officer.
2. Ms. Hyun Jee, Technical Specialist.

**UN HABITAT Lao PDR**

1. Mr. Liam Fee, Consultant for the project “Enhancing the climate and disaster resilience of the most vulnerable rural and emerging urban human settlements in Lao PDR”

## Annex 7: List of Documents Consulted

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1. Project Document dated 8 May 2013
2. Project Mid-term Review Report dated September 2016, JJ Bellamy and Thongdeuane N.
3. LPAC Minutes of Meeting dated March 2013
4. Project Mid-term Review Report and Management Response\*
5. Project Sustainability Strategy dated June 2016.
6. Audit Report 2014
7. Audit Report 2015
8. Audit Report 2016
9. 2017 Annual Progress Report/PIR
10. 2014 Annual Report
11. 2015 Annual Report
12. 2016 Annual Report
13. 2013 Annual Work Plans and Budgets
14. 2014 Annual Work Plans and Budgets
15. 2015 Annual Work Plans and Budgets
16. 2016 Annual Work Plans and Budgets
17. 2017 Annual Work Plans and Budgets
18. Minutes of Project Board Meeting dated March 2015
19. Minutes of Project Board Meeting dated December 2016
20. Minutes of Monthly Meetings dated: February 28, 2017; May 3, 2017; June 28, 2017; January 26, 2016; March 7, 2016 (combined February, March and Q1/2016); April 5, 2016; May 19, 2016; July 29, 2016 (combined may, June and Q2/2016); September 2, 2016 October 10, 2016; December 13, 2016 (combined with Project Annual Review); February 20, 2015; March 24, 2015; April 24, 2015 (combined with Q1/2015); May 28, 2015; June 26, 2015; July 22, 2015 (combined with Q2/2015); August 31, 2015; September 24, 2015 (combined with Q3/2015); October 2, 2015; November 13, 2015; December 11, 2015; January 4, 2014; February 10, 2014; March 7, 2014 (combined with Q1/2014); April 7, 2014; May 19, 2014; June 16, 2014; July 15, 2014; August 15, 2014; September 12, 2014 (combined with Q2/2014); October 28, 2014; November 27, 2014 (combined with Q3/2015); June 2013 (combined with Q meeting); September 25, 2013 (combined with Q meeting); October 8, 2013; November 4, 2013; December 26, 2013 (combined with Q4/2013).
21. Combined Delivery Reports (CDRs):
  - CDR 2013;
  - CDR 2014;
  - CDR 2015;
  - CDR 2016.
22. Lao Climate Risk and Vulnerability Assessment Report (Final Summary Report) May 2016, Icem.
23. District Development Fund Guideline\* on Financial Management
24. District Development Fund Guideline\* on Allocation and Use
25. District Development Fund Guideline\* on Implementation
26. District Development Fund Guideline\* on Planning
27. UNDP-UNCDF Manual for Assessment of District Performance under SDSC Program, July 2014
28. Note to File on DDF Guidelines dated December 10, 2015.
29. Draft report of impact study and Cost benefit Analysis on communities impacted by infrastructure and EbA projects “Effective Governance for Small-Scale Rural Infrastructure and Disaster Preparedness in a Changing Climate (LDCF II), MoNRE, Vientiane, June 2017.
30. Country Program Document for the Lao PDR (2012-2015), UNDP, January 2011.

31. Country Program Document for the Lao PDR (2017-2021), UNDP, January 2011.
32. Public Expenditure Management (PEM) Process Review of the District Development Fund – Climate Resilient Grants (DDF-CRG) in Lao PDR: Business Process Mappings, Lessons Learnt, and Optimization Options-Final Report, Cristina M. and Latsany P. October 2017.
33. UNDAF Action Plan 2012-2015 Lao PDR, UNDP, July 2012.
34. Reports on Participatory Land Use Planning and Ecosystem-Based Adaptation Baseline Survey in 9 target villages in Thateng and Kongsedone Districts in Sekong and Salavanh Provinces, dated 13 Jul-29 September 2015.
35. Reports on Participatory Land Use Planning and Ecosystem-Based Adaptation Baseline Survey in 7 sites from 9 target villages in Larmam, Kalum and Darkchung districts, Sekong province and Vapi, TaOy and Samouay districts, SLV province, LDCF2 Project, Sekong, dated June 2017.
36. The 8th Five-Year National Socio-economic Development Plan (2016–2020), Ministry of Planning and Investment, June 2016.

## Annex 8: Evaluation questions matrix

Evaluative Criteria Questions	Indicators	Sources	Methodology
<b>Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?</b>			
• Is the project relevant and coherent with Lao DPR needs, policies, and strategies?	• References in Lao PDR policies, strategies	• Documents	• Documentary review
• Is the project reflects the needs of the beneficiary community?	• Level of satisfaction / participation of beneficiaries	• Beneficiaries	• Interviews
• Is the project coherent with UNDP programming strategy for Lao DPR?	• References of key thematic in relevant documents ; perception of implementation by UN staff	• UNDAF / UNDP country programme	• UNDP staff interview, documentary review
• To what extent is the project suited to local and national development priorities and policies?	• Level of satisfaction / participation of institutions	• Institution work plans, staff	• Interviews (district/provinces) & review of operational plans
• To what extent is the project is in line with GEF operational programs?	• Coherence with GEF focal areas	• GEF web site & GEF focal point	• UNDP staff interview, documentary review
<b>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</b>			
• To what extent the project did enhance capacities for local administrations to integrate climate risks into planning and financing of rural water infrastructures	• New mechanisms in place at district level for consultation, implementation & M&E of infrastructures • Review/degree of utilisation of guidelines • Induced actions due to project's results ; review of indicators	• Lao PDR institutions at national, provincial and district level • Final beneficiaries	• Specific project documents (guidelines) • Interviews
• To what extent did the incentives protect rural infrastructures against climate related risks?	• Number of beneficiaries from rural water infrastructures • Number of schemes planned/in place/disused	• Project sites • Project staff • Final beneficiaries • District authorities	• In situ verification; interviews

	<ul style="list-style-type: none"> <li>• Level of mainstreaming of incentives into local planning processes</li> <li>• Review of indicators</li> </ul>		
<ul style="list-style-type: none"> <li>• What is the level of management of natural assets as a strategy to reduce risks?</li> </ul>	<ul style="list-style-type: none"> <li>• Communities’ participation into management of assets (level of involvement)</li> <li>• District authorities/community leadership</li> <li>• Adoption of new practices</li> </ul>	<ul style="list-style-type: none"> <li>• Annual report,</li> <li>• Local project team</li> <li>• District technical staff</li> <li>• Community leaders and final beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>• Documentary review, interviews</li> </ul>
<ul style="list-style-type: none"> <li>• What factors have led to the project (or parts of the project) outcomes/results’ being successful, and what national lessons can be learned?</li> </ul>	<ul style="list-style-type: none"> <li>• Analysis of lessons learned / best &amp; worst practices</li> </ul>	<ul style="list-style-type: none"> <li>• Specific technical documents; UNDP &amp; project staff</li> </ul>	<ul style="list-style-type: none"> <li>• Documentary review, interviews</li> </ul>
<ul style="list-style-type: none"> <li>• What factors were crucial for the achievement or failure of the project objectives (managerial, institutional, technical...)</li> </ul>	<ul style="list-style-type: none"> <li>• Analysis of hypothesis, risks</li> </ul>	<ul style="list-style-type: none"> <li>• PIR</li> <li>• Steering Committee minutes</li> <li>• UNDP, provincial/district &amp; project staff</li> </ul>	<ul style="list-style-type: none"> <li>• Documentary review, interviews</li> </ul>
<p><b>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?</b></p>			
<ul style="list-style-type: none"> <li>• The extent to which the results have been achieved with the least costly resources possible, compared with alternative approaches to attain the same results.</li> </ul>	<ul style="list-style-type: none"> <li>• Review of project costs</li> </ul>	<ul style="list-style-type: none"> <li>• Project staff</li> <li>• District/provincial technical staff</li> <li>• PIR &amp; annual reports</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews &amp; documentary review</li> </ul>
<ul style="list-style-type: none"> <li>• To what extent the project was delivered on time and budget, and reasons/lessons for discrepancies - has the project been implemented efficiently, and cost-effectively?</li> </ul>	<ul style="list-style-type: none"> <li>• Analysis of implementation / activity delivery delays</li> </ul>	<ul style="list-style-type: none"> <li>• Project staff</li> <li>• District/provincial technical staff</li> <li>• PIR &amp; annual reports</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews &amp; documentary review</li> </ul>
<ul style="list-style-type: none"> <li>• Degree of operationalization of the project’s M&amp;E system and effective leverage to induce changes of implementation / adaptation to changing implementation conditions</li> </ul>	<ul style="list-style-type: none"> <li>• Periodicity of meetings &amp; follow-up of meetings</li> <li>• Feedback system review</li> <li>• Effectiveness of steering committees</li> </ul>	<ul style="list-style-type: none"> <li>• Project staff &amp; UNDP staff; steering committee minutes; PIR &amp; annual reports</li> <li>• Provincial staff</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews &amp; documentary review</li> </ul>

<ul style="list-style-type: none"> <li>• What is the project’s exit strategy?</li> </ul>	<ul style="list-style-type: none"> <li>• Degree of ownership of results and anticipated level of (in)dependence after project completion</li> </ul>	<ul style="list-style-type: none"> <li>• Project staff &amp; UNDP staff, beneficiaries &amp; district administration; PIR &amp; annual reports</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews &amp; documentary review</li> </ul>
<p><b>Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?</b></p>			
<ul style="list-style-type: none"> <li>• To what extent were the originally intended, overriding objectives in terms of development policy (goals) realistic?</li> </ul>	<ul style="list-style-type: none"> <li>• Degree of achievement of primary objectives (indicators)</li> </ul>	<ul style="list-style-type: none"> <li>• Annual reports &amp; PIR, project &amp; UNDP staff</li> </ul>	<ul style="list-style-type: none"> <li>• Documents review, interviews</li> </ul>
<ul style="list-style-type: none"> <li>• What is the level of results’ ownership by the final / institutional beneficiaries?</li> </ul>	<ul style="list-style-type: none"> <li>• Level of project results achievements and appropriation by relevant stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Annual reports &amp; PIR, beneficiaries, project &amp; UNDP staff</li> </ul>	<ul style="list-style-type: none"> <li>• Documents review, interviews</li> </ul>
<ul style="list-style-type: none"> <li>• Did the project empower the beneficiaries to enhance the impact of project’s results / outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>• Level of independence of beneficiaries to pursue project related activities</li> </ul>	<ul style="list-style-type: none"> <li>• Annual report &amp; UNDP, project staff, beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>• Documents review, interviews</li> </ul>
<ul style="list-style-type: none"> <li>• What real changes (economic, social, institutional, environment, gender...) have the activities made to the beneficiaries as a result of the project interventions? How many people have been affected?</li> </ul>	<ul style="list-style-type: none"> <li>• Change analysis of beneficiary situation</li> </ul>	<ul style="list-style-type: none"> <li>• Final beneficiaries, Administration staff</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> </ul>
<ul style="list-style-type: none"> <li>• (Non-) project-induced replication effect</li> </ul>	<ul style="list-style-type: none"> <li>• Number of replications (copy-paste effects)</li> </ul>	<ul style="list-style-type: none"> <li>• Project staff and local Administration</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> </ul>
<p><b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b></p>			
<ul style="list-style-type: none"> <li>• How likely is the ability of the project to continue to deliver benefits for an extended period of time after completion in the project areas?</li> </ul>	<ul style="list-style-type: none"> <li>• Review of activities that will strengthen sustainability</li> </ul>	<ul style="list-style-type: none"> <li>• Annual reports, project staff</li> </ul>	<ul style="list-style-type: none"> <li>• Documentary review and interviews</li> </ul>
<ul style="list-style-type: none"> <li>• Did the project empower the final / institutional beneficiaries to increase the likelihood of sustainability of the project’s results?</li> </ul>	<ul style="list-style-type: none"> <li>• Likelihood or evidence of off-project actions that will increase the sustainability of project results</li> <li>• Additional external support</li> <li>• Evidence of beneficiary taking over of project’s results</li> </ul>	<ul style="list-style-type: none"> <li>• External stakeholders, Ministries &amp; Provincial/District Administrations</li> <li>• Communities</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> </ul>
<ul style="list-style-type: none"> <li>• To what extent is the project sustainable at technical, institutional, social and cultural, levels? Are results financially / economically sustainable?</li> </ul>	<ul style="list-style-type: none"> <li>• Review of risks &amp; mitigation measures</li> <li>• Level of satisfaction of beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>• PRODOC &amp; annual reports</li> <li>• District technical staff</li> </ul>	<ul style="list-style-type: none"> <li>• Documentary analysis</li> <li>• Interviews</li> </ul>

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	<ul style="list-style-type: none"> <li>• Mechanisms to ensure maintenance of infrastructures</li> </ul>	<ul style="list-style-type: none"> <li>• Final beneficiaries/communities</li> </ul>	
<ul style="list-style-type: none"> <li>• To what extent did the capacity building activities contribute to sustaining the project’s objectives?</li> </ul>	<ul style="list-style-type: none"> <li>• Level of institutional ownership</li> </ul>	<ul style="list-style-type: none"> <li>• Ministries</li> <li>• Provincial and District Administration; UNDP &amp; project staff</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> </ul>

## Annex 9: Brief Expertise of Consultants

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Mr Singha Ounniyom:

([ounniyom.singha@gmail.com](mailto:ounniyom.singha@gmail.com))

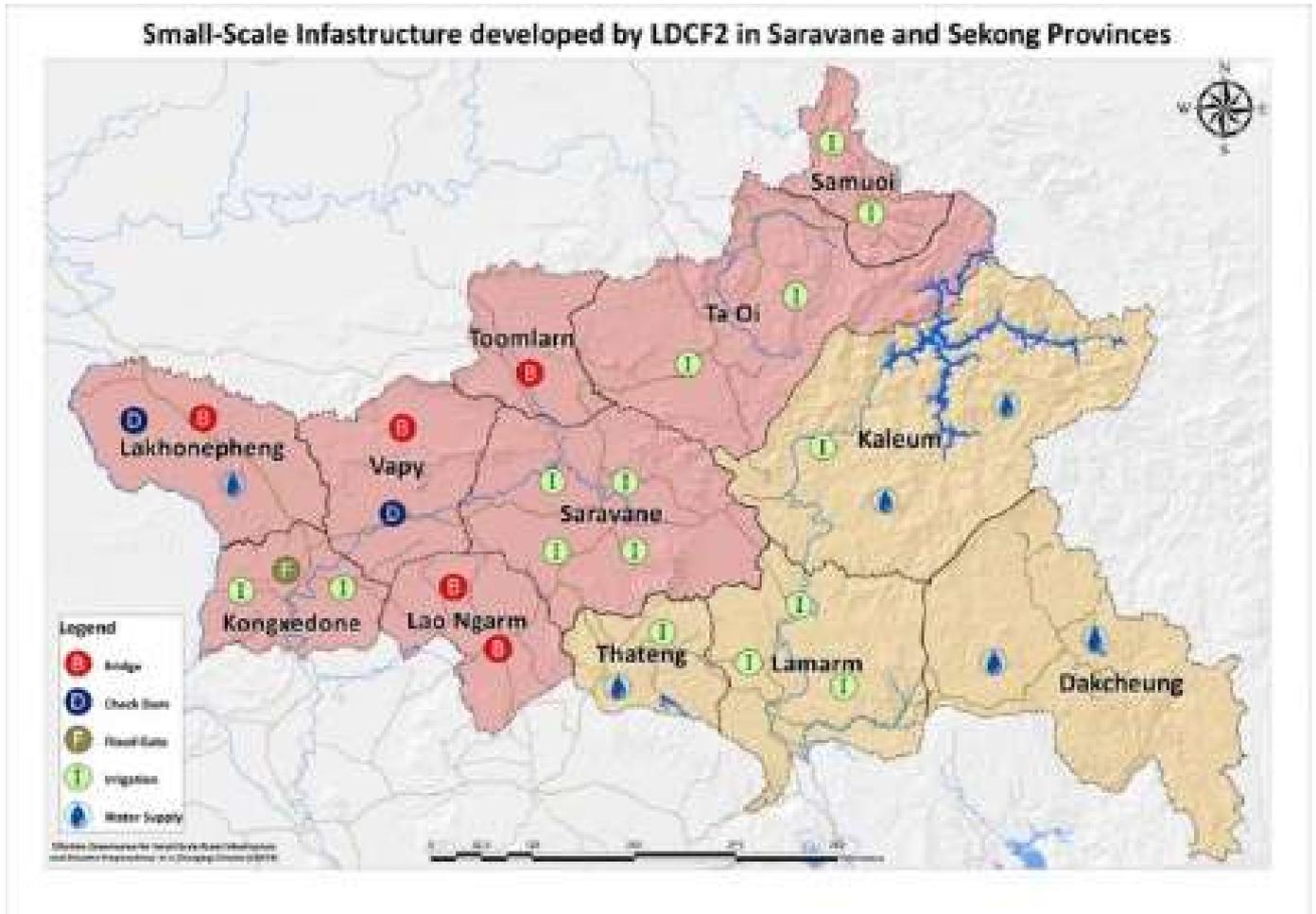
- Project management & coordination/project formulation, planning & implementation, M&E - knowledge of logical framework, NIM SOP, SWOT and Multi-criteria analyses.
- MSc. in Mechanization of Hydromeliorative Works, M Eng. in Water and Environmental Resources Management, and BA in business administration.
- Program & project evaluation/audit/spot check, institutional appraisal: analysis of relevance /effectiveness/ efficiency/social, institutional impact/ political, social & cultural, technological, institutional & financial sustainability/cross cutting issues; questionnaires design & interviews of beneficiaries.
- Knowledge of Lao PDR Government development policies, strategies, laws, regulations and procedures.
- Data acquisition methods for evaluations: questionnaires drafting & interviews of beneficiaries.
- Knowledge of monitoring & evaluation methodologies.
- Water quality monitoring, river basin planning, groundwater survey, climate change adaptation and climate change mitigation.
- Contract management.

Mr Vincent Lefebvre:

([lefebrevinc@gmail.com](mailto:lefebrevinc@gmail.com))

- Program management & coordination / project formulation & implementation, M&E - knowledge of PCM, logical framework & ZOPP methodologies / equipment specifications.
- MA in tropical agriculture and post-graduation in business administration
- Program & project evaluation / technical audit / institutional appraisal: analysis of relevance / effectiveness / efficiency / social, institutional & economic impact / political, social & cultural, technological, institutional & financial sustainability / cross cutting issues (gender, AIDS, environment & institutional capacity building); questionnaires design & interviews of beneficiaries.
- Data acquisition methods for evaluations: questionnaires drafting & interviews of beneficiaries; SWOT analysis; (semi-) structured interviews, focus groups.
- Knowledge of monitoring & evaluation methodologies (incl. Management Effectiveness Tracking Tool).
- Food security / Agronomy / agro-forestry / agro-industry / agro-climate and climate mitigation - adaptation / horticulture.
- Cartography / remote sensing / mapping / GIS (Arcinfo, Mapinfo, Ilwis) / Database management systems (MECOSIG, COONGO).
- Land & water resources evaluation / crop potential analysis / participatory rural appraisals / natural resources management / mountain agro-ecosystems.
- Soil survey / soil conservation / soil fertility.
- Statistics including programming in SAS & Delphi.
- Renewable energies (wind, bio-diesel, rape seed oil).

## Annex 10: Location of Project Sites



## Annex 11: Evaluation Consultant Code of Conduct and Agreement Form

### Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people’s right not to engage. Evaluators must respect people’s right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders’ dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

### Evaluation Consultant Agreement Form<sup>16</sup>

#### Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: \_\_Vincent LEFEBVRE\_\_

Name of Consultancy Organization (where relevant): \_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at Brussels on 12/1/2018

Signature: 

<sup>16</sup>[www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)

**Evaluation Consultant Agreement Form**

**Agreement to abide by the Code of Conduct for Evaluation in the UN System**

**Name of Consultant:** \_Singha OUNNIYOM\_\_\_\_\_

**Name of Consultancy Organization** (where relevant): \_\_\_\_\_

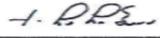
**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at Vientiane on 12/1/2018

Signature: 

## Annex 12: Evaluation Report Clearance Form

*(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)*

Evaluation Report Reviewed and Cleared by	
UNDP Country Office	
Name: <u>Kaarina Immonen, Resident Representative</u>	
Signature: <u></u>	Date: _____
UNDP GEF RTA	
Name: <u>Keti Chachibaia</u>	
Signature: <u></u>	Date: _____

