



**PROJECT DOCUMENT**  
**Lao Peoples Democratic Republic**



*Empowered lives.  
Resilient nations.*

**Project Title: Building Capacities for Resilient Recovery**

**Project Number: 00108057**

**Implementing Partner: Department of Social Welfare, Ministry of Labour and Social Welfare**

**Start Date: June 13, 2018**

**End Date: June 12, 2021**

**LPAC Meeting: May 29, 2018**

**Brief Description**

Lao People's Democratic Republic is a land-linked country, located in the heart of the Indochina peninsula in the Southeast Asia. The country is bordered by Myanmar and the People's Republic of China to the northwest, Vietnam to the east, Cambodia to the south and Thailand to the west. Lao PDR covers a total area of 236,800 sq km and has a population of 6.5 million (Government of Lao PDR, 2016) spread across 18 provinces with approximately 67% of the population living in rural areas. Lao PDR is a Least Developed Country which regularly affected by typhoons (storms), floods, flash-floods, droughts, landslides, earthquakes, epidemics and UXO contamination which have negatively impacted its development growth. Flooding is the major cause of disasters in Lao PDR - both in terms of frequency and intensity as well as in terms of impacts. The Mekong River is a defining landscape feature as 60% of its length runs through Lao PDR, and there is flooding every year in the central and southern parts of the country and flash floods in the northern part of the country. In August 2008 the Mekong River exceeded historical levels and reached its highest peak in 100 years (GAR 2009). Typhoon Ketsana in 2009 caused reported economic loss of USD 100 million and Typhoon Haima in 2011 reported losses of USD 663,095,594 (World Bank, 2012). In annual terms, the expected annual losses in this country can amount to 0.7% GDP or 30 million USD (WB 2012). A major drought event affected the entire country in 1988 impacting 730,000 people. On average annual expected loss from disasters is estimated at USD 30 million which amounts to 0.7% GDP (WB 2012). Early warning systems and data management are weak and climate risks are not well integrated into rural and agricultural development policies. Resilience at the community level is low due to the prevalence of monoculture, lack of diversity in livelihoods and limited infrastructure. (UNDP Country Programme Document 2017-2021).

This project will focus on preparedness for recovery at the national and sub-national level and will have four main outputs:

- Output 1. Strengthened policy, institutional and financial frameworks to plan and implement sustainable recovery processes.
- Output 2. Enhanced capacities in recovery planning and implementation including conducting post-disaster needs assessments and developing recovery frameworks
- Output 3. Enhanced capacities for implementing sustainable recovery at community-level.
- Output 4. Systematized body of knowledge and technological innovation for recovery management.







Contributing Outcome (UNDAF/CPD, RPD or GPD):  
 UNPF (2017-2021) Outcome 3 Forests and other ecosystems are protected and enhanced and people are less vulnerable to climate-related events and disasters

UNDP CPD (2017-2021) Outcome 2 Forests and other ecosystems are protected and enhanced and people are less vulnerable to climate-related events and disasters Indicative Output(s): Output 2.1 Number of persons per 100,000 directly affected by natural disasters

8<sup>th</sup> NSEDP Outcome 3: Natural resources and the environment are protected and sustainably managed, green growth is promoted, disaster preparedness is enhanced and climate resilience is developed  
 Output 3.2 "Prepare to cope with disaster risks and impacts from climate change".

<b>Total grant resources required:</b>	USD 603,636	
<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	--
	<b>Donor Luxembourg</b>	USD 603,636
	<b>Parallel Co-financing ADB</b>	USD 122,000
	<b>Parallel Co-financing IFRC</b>	USD 34,818 (CHF 35,000)
	<b>Government In-Kind (human resources, office spaces, equipment):</b>	USD 219,928
<b>TOTAL</b>	USD 981,132	

Agreed by (signatures)1:

 <b>Government (Ministry of Labour and Social Welfare)</b>	 <b>United Nations Development Programme</b>	 <b>Implementing Partner (Department of Social Welfare)</b>
		
Print Name: <b>Baykham KHATTIYA</b>	Print Name: <b>Kaarina Immonen Resident Representative</b>	Print Name: <b>Vilayphong SISOMVANG</b>
Date: <b>22 APR 2019</b>	Date: <b>22 APR 2019</b>	Date: <b>22 APR 2019</b>

1 Note: Adjust signatures as needed



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## I. DEVELOPMENT CHALLENGE

### Lao PDR

The Lao People's Democratic Republic (PDR) also referred to as Lao PDR is a land-linked country, located in the heart of the Indochina peninsula in the Southeast Asia. The country is bordered by Myanmar to the northwest, the People's Republic of China to the north, Vietnam to the east, Cambodia to the south and Thailand to the west. Lao PDR covers a total area of 236,800 sq km and has a population of 6.5 million (Government of Lao PDR, 2016) spread across 18 provinces with approximately 67% of the population living in rural areas. The landscape of the country mostly consists of rugged mountains (75 %) with some plains and plateaus. In 2011, World Bank raised the country's income categorization to lower middle income but graduation from Least Developed Country status is a high development priority as articulated in the 8<sup>th</sup> National Socio-Economic Development Plan. This Least Developed Country is regularly affected by typhoons (storms), floods, flash-floods, droughts, landslides, earthquakes, epidemics and UXO contamination which have negatively impacted its development growth. Flooding is the major cause of disasters in Lao PDR - both in terms of frequency and intensity as well as in terms of impacts. The Mekong River is a defining landscape feature as 60% of its length runs through Lao PDR, and there is flooding every year in the central and southern parts of the country and flash floods in the northern part of the country. In August 2008 the Mekong River exceeded historical levels and reached its highest peak in 100 years (GAR 2009). Typhoon Ketsana in 2009 caused reported economic loss of USD 100 million and Typhoon Haima in 2011 reported losses of USD 663,095,594. In annual terms, the expected annual losses in this country can amount to 0.7% GDP or 30 million USD (WB 2012). A major drought event affected the entire country in 1988 impacting 730,000 people. On average annual expected loss from disasters is estimated at USD 30 million which amounts to 0.7% GDP (World Bank, 2012).

Recent climate projections for Lao PDR show increasing temperatures, higher intensity of rainfall and longer dry periods which can give rise to more severe droughts and flooding. Early warning systems and data management are limited and climate risks are not well integrated into rural and agricultural development policies. Resilience at the community level is low due to the prevalence of monoculture, lack of diversity in livelihoods and limited infrastructure. (UNDP Country Programme Document 2017-2021).

Tropical Storm Son-Tinh in July 2018 caused heavy rains and flooding in 55 districts of 13 provinces across northern, central and southern Lao PDR. An unprecedented flash flood occurred on the night of 23-24 July in Attapeu Province due to the breaching a saddle dam of the Xe Pien -Xe Nam Noy hydropower dam. Over five billion cubic meters of water, equal to two million Olympic swimming pools, inundated an estimated 55,000 hectares of land covering it with mud and sludge. Initial air and ground assessment results led the Prime Minister of Lao PDR to declare Sanamxay district as a National Emergency Disaster Zone. Subsequently Tropical Storm Bebinca resulted in additional precipitation which resulted in flooding and related impacts across most of the country. The Government requested support to conduct a Post Disaster Needs Assessment (PDNA), coordinated by the PDNA Secretariat established at the Ministry of Labour and Social Welfare.

Lao PDR has a complex historical institutional context for disaster risk management, which is important in the context of a current split mandate between two Ministries. The National Disaster Prevention and Control Secretariat Office (Department of Social Welfare) under the Ministry of Labour and Social Welfare (MLSW) was established in 1997 with support from UNDP. In 1999 the Inter-ministerial National Disaster Management Committee (NDMC) was established under Prime Minister Decree 158. The NDMO was assigned as the Secretariat to the NDMC and later a focal point structure was established - consisting of NDMC members and units within each key ministry. The MLSW issued Decision No. 097 in June 2000 detailing the mandate of the Secretariat, which outlines the roles and responsibilities of the individual NDMC members. In 2011, the Decree of NDMC (Decree No 158) was revised and the name of NDMC was changed

to be National Disaster Prevention and Control Committee (NDPCC), with a mandate to address the needs of preventing and controlling disasters, planning cycle for DRM (preparedness, risk reduction and response) and disaster resilience development. In 2011, the Secretariat also moved from MLSW to the newly created Ministry of Natural Resources and Environment where the Department of Disaster Management and Climate Change (DDMCC) was established. The Secretariat has been moved from Ministry of Natural Resources to the Ministry of Labour and Social Welfare (Government Meeting Minute in August 2017 and Decree number 75/PM, dated 28 February 2018). The Department of Disaster Management and Climate Change in the Ministry of natural Resources and Environment has also changed name to the Department of Climate Change and has the mandate for climate risk adaptation, preparedness, forecasting and all climate change related activities, while the Social Welfare Department in the Ministry of Labour and Social Welfare has recently regained the mandate of Secretariat Task for National Disaster Prevention and Control with emphasis of disaster preparedness, prevention, risk reduction, response and recovery.

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## II. STRATEGY

*The United Nations Partnership Framework (2017-2021) Outcome 3 and the UNDP Country Programme Document (2017-2021) Outcome 2 lists "Forests and other ecosystems are protected and enhanced and people are less vulnerable to climate-related events and disasters", UNDP's support to the government and people of Lao PDR will help to strengthen the legal and regulatory framework for disaster risk management and climate change through its support to the development of a disaster prevention and control law and climate change decree. Measures to better manage climate and disaster risk will be integrated into national and subnational development planning and budgeting. This will help address capacity gaps in institutional coordination and early warning, while strengthening the country's ability to respond to disasters. Capacity in disaster statistics will be strengthened in line with the Sendai Framework for Disaster Risk Reduction and Agenda 2030.*

*The project will also contribute to the Lao PDR 8<sup>th</sup> National Socio-Economic Development Plan Outcome 3 "Natural resources and the environment are protected and sustainably managed, green growth is promoted, disaster preparedness is enhanced and climate resilience is developed" and in particular Outcome 3, Output 3.2 "Prepare to cope with disaster risks and impacts from climate change". The project will also contribute to Lao PDR's commitments for SDG5 (gender) and SDG13 (climate action) and SDG17 (partnerships).*

The project activities are aligned with the activities of the global project and determined based on Lao PDR context and national priorities. Additionally, in the aftermath of flooding across the country between July and August 2018, project activities will take into account the impacts in the two target provinces.

The following are the expected Outputs:

- Output 1. Strengthened policy, institutional and financial frameworks to plan and implement sustainable recovery processes.
- Output 2. Enhanced capacities in recovery planning and implementation including conducting post-disaster needs assessments and developing comprehensive recovery frameworks.
- Output 3. Enhanced capacities for implementing sustainable recovery at community-level.
- Output 4. Systematized body of knowledge and technological innovation for recovery management.



## **Output 1. Strengthened policy, institutional and financial frameworks to plan and implement sustainable recovery processes**

### **Activity 1.1.: Review existing institutional arrangements, policies and practice for recovery.**

The project will support a comprehensive review of recovery in the target provinces. Dimensions under review may include: policy and legal frameworks for recovery (including the extent to which recovery is considered in the existing DRR policy); institutional arrangements for recovery; existing capacities for recovery; practices and arrangements in recovery implementation; financial sources and mechanisms for recovery. This review will provide a baseline for the strengthening existing institutional systems and policies.

### **Activity 1.2.: Support the development of a policy for recovery based on the review of the recovery situation**

- The project will support the development of a policy which outlines recovery assistance of the government to the affected households in the event of a disaster. The policy will embody the common vision, strategic objectives and modalities of recovery. It could delineate *inter alia* the areas of support, the criteria for selection of beneficiaries, the role of Government officials, the NGOs, private sector partners and other in delivering recovery assistance; dispute resolution, transparency & accountability mechanisms.

### **Activity 1.3: Strengthen institutional arrangements for recovery based on the review.**

- As noted earlier, there are established institutional arrangements for Disaster Risk Reduction in all the four countries, though they lack any specific focus on Recovery. However, with frequent disasters, the countries have gained a certain level of experience in managing recovery programmes. Based on the review of current institutional arrangements for recovery and analysis of gaps, the project will help in defining roles and responsibilities for recovery among central government entities (Ministry of Planning, Ministry of Disaster Management, sectoral Ministries) and between national and sub national levels. Defining the institutional framework will also help in establishing the leadership and coordination roles as well as increase accountability for recovery. Options for institutional arrangements will differ depending on needs and realities of the country. In some countries, a separate institutional arrangement maybe required; in others, a small unit with recovery included as a "normal" task of officials working in National Disaster management ministries and in the sector ministries may suffice.

### **Activity 1.4: Support the setting up of financing mechanisms, instruments and strategies for recovery.**

- The project will support the establishment of disaster management fund for supporting recovery. Similar to funding arrangements for emergency response, the project will propose the allocation of funds for recovery and reconstruction. Instead of relying only on funds from the National budget, the project will help establish processes to access funds from International agencies, the private sector and National NGOs. The separate allocation from national budget and off budget resources towards recovery will provide the Government funds to address long term recovery needs of housing, livelihoods and infrastructure repair after a disaster. The project will also support the national government to explore a range of options to finance post disaster recovery. These could include among others insurance coverage, promoting micro credit institutions, additional taxes and loans from International Financial Institutions. In addition to Governments will be supported to set up systems to monitor the use of funds and track its allocation.

### **Activity 1.5 Develop monitoring systems for Recovery**

- Monitoring has often been found to be weakest link in the management of recovery. To address this issue, the project will work closely with national governments in developing an indicator-based monitoring framework for social and economic sectors. The monitoring framework will have indicators to track progress of recovery at the household level for livelihoods, housing and other assets as well as for public infrastructure. In addition to tracking the progress, a monitoring framework to track the impact of recovery programmes in the country over a period will also be established. The monitoring framework will draw on the success of Indonesia Government which has established a Disaster Recovery Index using 20 variables to track social and economic recovery of households. It will also use the Sendia Priority 4 indicators to track the progress of recovery. Furthermore, the project will help to identify methodologies for monitoring which could using a range of tools from mobile technology to social audits, online tracking systems as well as surveys and studies. The options will allow the government to establish a system which is suitable to the local context and can be adopted by local government.

**Activity 1.6: Develop a partnership strategy for Recovery**

- Recognizing that Recovery cannot be done by the Government alone, the project will support countries to develop partnerships with the private sector, academic institutions, insurance companies, mobile phone operators and construction companies to harness their resources and technical capacities for disaster recovery. The partnership strategy will help in defining the contribution of each entity to a common recovery plan developed by the Government after the disaster. The financial and technical contribution of the partners will help in optimizing resources, time and expanding the options for recovery assistance.

**Activity 1.7: Develop Disaster Prevention and Control Law**

- The project will also support the development of a disaster prevention and control law and many consultation meetings will be organized at national and local levels. The draft disaster management law will be finished and presented to the National Assembly for consideration and approval by early of 2019.

**Activity 1.8: Develop National, Provincial and District Disaster Recovery Strategy and Action Plan to 2025**

- By the end of the implementation of the 8<sup>th</sup> NSEDP, the government aims to develop national, provincial and district disaster risk management strategy and action plans. The plan will be used to guide integration of disaster work into sectoral plans and implementation.

**Output 2. Enhanced capacities in Recovery Planning and Implementation including Conducting Post Disaster Needs Assessment and Comprehensive Recovery Frameworks.**

**Activity 2.1: Organize trainings on PDNA and recovery frameworks to develop capacities on assessment and recovery planning.**

- At least one training will be conducted for officials from all sector ministries, local staff from the partner agencies, NGOs, academic institutions, private sector and interested consultants. The country has already conducted PDNAs, the trainings will use case studies of past PDNAs conducted to review the efficacy of the methodology and the gaps and challenges in the PDNAs. The use of the self-paced online PDNA training course which is currently being developed by UNDP will be launched by December 2018, will be also utilized to expand the pool of PDNA experts in each country. All the trainees will be included in a national roster of recovery experts to facilitate their deployment for disaster recovery programmes and reduce dependence on international experts.

**Activity 2.2: Adapt PDNA and Recovery Framework guidelines to the national context in the target countries.**

- Of the four countries, Niger and Laos have developed PDNA guidelines. While Myanmar and Burkina Faso have been trained, and conducted PDNAs, there is no standard methodology approved by the national government for assessing recovery needs. The project will support the adoption of the PDNA methodology by a) consolidating baseline data for all sectors, including data on standard cost units and labor rates; b) developing standardized templates for data collection and analysis, including using mobile technology; c) Establishing a central database for information in all PDNA sectors; d) Developing standard operating procedures for conducting the assessment and defining roles and responsibilities; e) Adapting guidelines for specific disasters such as droughts which has a different approach to assessments for floods and cyclones. In Laos, the PDNA methodology has already been established; therefore, the focus will be on developing specific methodologies for assessing the Human Impacts, Gender and other cross cutting issues. In Laos and Myanmar, the PDNAs databases will be linked to disaster loss databases already established with UNDP support.

**Activity 2.3 Conduct dry-run/small scale post-disaster needs assessments exercises and develop recovery frameworks, based on the adapted guidelines and tools.**

- This activity will include conducting assessments for small disaster events using the guidelines to enable officials at the national and sub national level practice their skills on assessing disaster impacts and developing recovery plans. Based on these exercises, the sector guidelines and protocols for conducting PDNAs and Recovery Frameworks will be updated in each country.

**Activity 2.4 Develop country specific sectoral guidelines for recovery**

- This activity will include development of guidelines for recovery in selected sectors of the economy. Depending on national priorities and the typically most affected sectors, guidelines could focus on: housing, health, education, water & sanitation, agriculture and irrigation. The guidelines will include housing design options for strengthening disaster resilience, information on costs, and best practices in implementation recovery for the specific sectors and a list of resources/reference material for sector recovery.

**Activity 2.5. Adopt simplified procurement procedures for the purchase of goods and services during recovery.**

- Given the large volumes of materials that are procured for implementation of recovery, the project will help establish systems to procure goods and services fast and in transparent manner. This would include establishing list of qualified contractors and signing of Longterm agreement with companies for procurement of materials, agreed tender processes and timelines for fast procurement. It would also include guidelines for quick approval processes and standard terms of contracts for procurement of goods and services with appropriate checks and balances in place to prevent corruption or misappropriation of funds.

**Output 3. Enhanced capacities for implementing recovery at community-level**

**Activity 3.1 Training of communities in recovery and disaster resilient construction technologies**

- This activity is designed to prepare communities to play an effective role in recovery and reconstruction. The activities undertaken to build capacities of communities will be to train them in developing community-based recovery plans and developing the skills of youth and women in disaster resilient construction technologies. The local youth and women will be organized into groups and based on their interest will be trained in various skills required for construction. This could include masonry, carpentry, plumbing, etc. The purpose of these trainings is to provide income

generating opportunities to vulnerable households but more importantly to use the skills to support the recovery of their communities in a disaster event. At least a 100 youth and women will be trained from selected communities over the project period. The project will partner with local academic institutions and vocational training institutes to conduct the trainings. The curriculum will include training in disaster resilient building techniques, techniques and process for rehabilitation/reconstruction of community infrastructure, skills in carpentry and plumbing. Bolikhamxay province in central Lao PDR has been impacted by annual floods and the District of Pakson with villages of Thabo, Sibounheung and Pathsum have been identified as target villages in that province, for this project. Saravane province in the south is also recognized as a high-risk province as the central and southern part of Lao PDR is mostly affected by flood and typhoon. Also, these areas are identified with a high density of UXOs. Between 1993 to 2012 there were 88 occurrences of storms recorded in Sarvane and this was the second highest rate of all the provinces. The target districts will be determined after project initiation and with further consultations with provincial authorities. For both Bolikhamxay and Saravane no more than two (2) target districts will be selected.

**Activity 3.2 Establish a community level recovery fund to support household level recovery.**

- The purpose of this activity is to set up a revolving fund in selected communities to facilitate low interest loans for socio-economic recovery of vulnerable households including women, elderly, and persons with disabilities after a disaster.
- Based on priorities defined by the entire community, the fund may also be used to finance community-based risk reduction and recovery activities such as repairing of village roads, bridges, community centers, health posts, schools, community markets, small irrigation channels, environmental protection, etc. Local communities will be organized to prioritize the needs for repair and maintenance of community infrastructure which are used and beneficial to the entire community.
- To increase the chances of future replication by communities without project support, the interventions will be low-cost and use local skills and locally available materials.

**Output 4. Knowledge and technological innovation harnessed for recovery management**

**Activity 4.1: Development of case studies, document lessons learned and best practices**

- Recognizing that there is a gap in the knowledge and practice of recovery, this project will support activities the collection of case studies and best practices on recovery from the four countries. These various communication products from each country could include; a) Case studies and lessons Learnt; b) Photo essays on success stories; c) Infographic on Recovery with information from each country; d) video on Recovery experiences.

**Activity 4.2: Develop Guidelines for floods and droughts recovery**

This activity will support the development of a set of guidelines for recovery from droughts and floods, the two most frequent disaster in the four target countries.

- Drought guidelines would include information on monitoring droughts, water management for drinking, for livestock and for irrigation, land and natural resources management and sustainable agricultural practices. The guidelines would define roles for national government and community level recovery.
- The flood recovery guidelines will include aspects of repair and reconstruction of community infrastructure, individual households, replacement of livelihoods assets and floods preparedness at community level.



#### **Activity 4.3 Support to South-south collaboration**

This activity will facilitate knowledge sharing on recovery across regions and across target countries. This will be done by

- Facilitating South South Cooperation with Myanmar utilising study tours and peer-to-peer exchanges with Government officials, NonProfit Agencies (NPA's) and Mass Organizations such as Lao Women's Union and UNDP recovery practitioners.
- Joint workshops between countries to share experiences and best practices.
- Sharing of guidelines and policies on recovery.

#### **Activity 4.4: Development and pilot-testing of a country-tailored mobile application for recovery**

This activity will capitalize on recent partnership between UNDP and Microsoft Innovation Center after the earthquake in Nepal. It consists in the development of a mobile application, promoting the use of free and open-source tools to support cash transfer for debris removal, monitoring and tracking housing recovery on ground. Depending on country needs, the app could have several functionalities like:

- Building data collection forms or surveys for post disaster needs assessment;
- Real time data collection on damages as well as ongoing recovery and reconstruction work .
- Collecting and aggregating post-disaster information received via SMS (crowdsourcing component)
- Collecting information on progress of recovery by each family for housing reconstruction and livelihoods restoration work.
- Automatically aggregating the collected data on a server, extract it in useful formats (maps, datasets, reports) and consolidate it on a centralized digital platform.

Practical applications could be diverse and numerous and could include data collection, analysis and consolidation for PDNAs; creation of maps showing real-time progress of recovery efforts; mapping of recovery projects; monitoring off funding; beneficiaries' enrollment and tracking system; cash grant payment system; recovery assistance feedback mechanism etc.

#### **Activity 4.5: Facilitate and support organizing of the Annual Disaster Risk Reduction Day**

This activity aims to support promotion of the importance of stakeholder participation in disaster risk reduction works on live and wellbeing of people as well as how it could impact to national development as a whole.

#### **Activity 4.6: Global Platform for Sendai and Asia Ministerial Conference**

This activity will support knowledge exchange and commitment of the government in implementing and reporting on Sendia Convention implementation in Lao PDR

The theory of change follows the global project document theory of change. Attached in Global Prodoc Annex

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### **III. RESULTS AND PARTNERSHIPS**

#### ***Expected Results***

#### ***Resources Required to Achieve the Expected Results***

#### ***Partnerships***

- The Government is developing a Disaster Risk Management Law and UNDP will continue support to this process, already begun under another initiative. In particular this current project will support broad-based provincial stakeholder consultations under Component 1. UNDP has an on-going partnership with ADB and IFRC supporting the Government on a Climate Change Decree which is to be aligned with the DRM Law. ADB, IFRC and UNDP will then continue the partnership to support the DRM Law, as requested by the Ministry of Labour and Social Welfare. Additionally, during the LPAC, the Nam Niep 1 HydroPower Company shared information on work they are currently doing in Paksan district of Bolikhamxay province on emergency preparedness planning. This provides another opportunity for partnership with the private sector and will be explored during project initiation, and further consultations with government and the target district. The Lao National Chamber of Commerce and Industry also will be considered for further engagement during project implementation. United Nations Volunteers (UNV) has a broad network of international and national professional volunteers. UNV will be a partner in this project and will provide an international professional UNV as a Technical Specialist who will work closely with the MLSW. The TOR's for this position is provided in the Annexes.

### ***Risks and Assumptions***

The main risk that threatens the achievement of results is the onset of disasters. Lao PDR has a defined wet season from May to October and this also typhoon season. Every year different provinces are impacted by news and /or typhoons and someday impacts caused by floods, flash floods or landslides. These risks will be mitigated by using;

- 1) Ongoing communication as far as possible between UNDP, MLSW and the two target provinces.
- 2) Capacity building activities that are within the communities to equip them with resilience building tools
- 3) Re – programming funds or rescheduling activities where feasible and allowable across activities to prioritise outputs.

### ***Stakeholder Engagement***Stakeholder engagement for project development and implementation:

Groups of stakeholders to be consulted

Stakeholders to be consulted should include national and international entities, private citizens and groups, across various sectors, particularly those sectors prioritized for resilient recovery, climate change adaptation and mitigation actions. In particular, the communities who are expected to be affected by and/or benefit from the project should be consulted as part of designing the project.

The following is a list of stakeholders to be consulted

- Government Ministries and Agencies;
- Provincial and District Authorities;
- Civil society and mass organizations; Villages and communities;
- Development partners;
- Private sector;
- Non-profit associations and non-government organizations;
- Gender inclusive groups and Ethnic groups.

### ***South-South and Triangular Cooperation (SSC/TrC)***

- Describe how the project intends to use SSC/TrC to achieve and sustain results, if applicable.

This activity will facilitate knowledge sharing on recovery across regions and across target countries. This will be done by

- Facilitating South South Cooperation with Myanmar utilising study tours and peer-to-peer exchanges with Government officials, NonProfit Agencies (NPA's) and Mass Organizations such as Lao Women's Union and UNDP recovery practitioners.
- Joint workshops between countries to share experiences and best practices.
- Sharing of guidelines and policies on recovery.

### **Knowledge**

The project will produce feature stories and articles during project implementation and will include all three components of the projects. Knowledge exchanges will be done with neighbouring Myanmar, who will be implementing a similar project as part of the UNDP global initiative. Innovation will be included as a key mechanism during the project, particularly for Component 3 on engagement with the communities and capacity building, and on Component 4 on knowledge management. The application of new technologies, as well as adaptation of existing technologies to the Lao context will be explored in consultation with target provinces.

### **Sustainability and Scaling Up**

This project will be under the ownership of the Government of Lao PDR especially under the lead and direction of National Disaster Prevention and Control Committee through its Secretariat known as the Social Welfare Department, Ministry of Labour and Social Welfare. The project will absolutely build and strengthen the capacity of Government Officials who are in charge of disaster risk management from National down to Local and community at village levels. The project's outputs and outcomes are reflected to the Government Policies and Strategies as clearly stated in the 8<sup>th</sup> NSEDP as well as the DRM Strategic Plan of Lao PDR.

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## **IV. PROJECT MANAGEMENT**

### **Project Management**

The project will be executed under National Implementation Modality (NIM) with 100% Country Office Support, which is a requirement of global projects and will provide the necessary support to the Government during the response to the 2018 floods. The Implementing Partner will be the Social Welfare Department, Ministry of Labour and Social Welfare, which is also the Secretariat of National Disaster Prevention and Control Committee (NDPCC). Implementation will be following UNDP's Programme and Operations Policies and Procedures, per its role as implementing agency. Execution of the project will be subject to oversight by a Project Steering Committee. Day to day coordination will be carried out under the supervision of a Project Management Office, led by a Project Manager who will be based in the Social Welfare Department, with main responsibilities to:

- Assume overall responsibility for achievement of the project goal and objectives; provide national leadership and direction to the project;
- Lead the project execution, with the support of the Project Management Office (PMO);
- Participate with UNDP in recruiting and selecting key project staff, including the Project Manager, Assistant Project Manager, and Chief Technical Advisor;
- Designate a high level official to act as a National Project Director (NPD). The NPD will provide the strategic oversight and guidance to project implementation and will act as a permanent liaison between UNDP and the PMO;

- Assist in the development of ToRs for technical personnel and consultancies for project implementation;
- Participate in the selection process of the consultants and approve all hiring and payment request;
- Provide the name and describe the functions of the person or persons authorized to sign the project's budget and/or substantive revisions of the project;
- Provide the technical and administrative capacity to develop the project;
- Monitor the project's work plan and progress;
- Coordinate the activities of all project partners and provide overall technical oversight of programs and outputs of project contractors and short-term consultants (with the support of the PMO);
- Approve the annual audit plan for the project and, in accordance with UNDP standards and procedures, convene an information and consultation meeting prior to the audit;
- As required, participate in tripartite meeting or in any follow-up or reorientation sessions.

At the national level, the Social Welfare Department within the Ministry of Labour and Social Welfare, the Secretariat of the National Disaster Prevention and Control Committee will play the leading role in coordinating the Ministry's role in the project execution. Many of the project activities to be carried out in Bolikhamxay Province and Saravane Province will be led by the relevant provincial and district offices.

The United Nations Development Programme (UNDP) is the world development network established by the United Nations with a mandate to promote development in countries and to connect them to the knowledge, experience and resources needed to help people achieve a better life. UNDP is the official Implementing Agency for the project; its main responsibilities related to the project are to:

- Designate a programme officer responsible for providing substantive and operational advice and to follow up and support the project's development activities;
- Provide oversight and monitoring of the project's implementation and achievement of the project outputs, and ensure that all activities, including procurement and financial services, are carried out in strict compliance with UNDP and donor procedures;
- Advise the project on management decision making, as well as to guarantee quality assurance;
- Be a member of the Project Steering Committee and other Committees or Groups considered part of the project structure;
- Administer the financial resources agreed in the budget / workplan and approved by the project's Steering Committee; monitor financial expenditures against project budgets / workplans; and oversee the provision of financial audits of the project;
- Participate in the recruitment and hiring of project staff, the selection and hiring of project contractors and consultants; and the appointment of independent financial auditors and evaluators;
- Co-organize and participate in the events carried out in the framework of the Project;
- Use national and international contact networks to assist the project's activities and establish synergies between projects in common areas and/or in other areas that would be of assistance when discussing and analysing the project;
- Provide Support in the development and instrumentation of the project's gender strategy.
- Ensure that all project activities, including procurement and financial services, are carried out in strict compliance with the procedures of the UNDP;
- UNDP and the Government of Lao PDR will sign a Letter of Agreement for the Provision of Support Services, which specifies that the UNDP Country Office will be responsible for: (i) identification and/or recruitment of international project and programme personnel; (ii) identification and facilitation of training activities; (iii) procurement of goods and services over identified thresholds; and (iv) appointment of independent financial auditors and project evaluators (see Annex 5 for details); and providing policy advisory services under direct project costing.



The Project Steering Committee (PSC) will serve as the project's coordination and decision-making body, providing guidance and oversight for the implementation of the project and ensuring that the project remains on course to deliver the desired outcomes of the required quality. The PSC will meet at least once per year to review project progress, approve project work plans and approve major project deliverables. Membership in the PSC will be determined during the project inception period, but should include a broad base of governmental and non-governmental stakeholders. The responsibilities of the PSC shall include, but not be limited to: (1) Review, approve and amend this project document, including the Monitoring and Evaluation (M&E) framework, the budget, and the implementation plan; (2) Monitor compliance with the Project's objectives; (3) Discuss progress and identify solutions to problems facing any of the project's partners; (4) Review and approve the Annual Work Plan (AWP) and the consolidated financial and progress reports; (5) During the life of the project, review proposals for major budget re-allocation such as major savings or cost increases, or for use of funds for significantly different activities; (6) Review evaluation findings related to impact, effectiveness and the sustainability of the project; (7) Monitor both the budget and the prompt delivery of financial, human and technical inputs to comply with the work plan; (8) Ensure the participation and ownership of stakeholders in achieving the objectives of the project; (9) Ensure communication of the project and its objectives to stakeholders and the public; (10) Approve the project communication strategy and public information plans; (11) Facilitate linkages with high-level decision making; (12) Convene ordinary meetings to consider the progress made by the project; (13) approve and supervise the hiring and work of project staff; and (14) Convene, if necessary, extraordinary meetings.

The PSC plays a critical role in project monitoring and evaluations by quality assuring these processes and products, and using evaluations for performance improvement, accountability and learning. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems with external bodies. In addition, it approves the appointment and responsibilities of the Project Coordinator and any delegation of its Project Assurance responsibilities. Based on the approved Annual WorkPlan, the PSC can also consider and approve the quarterly plans (if applicable) and also approve any essential deviations from the original plans, provided that UNDP RTA has no objection. In order to ensure UNDP's ultimate accountability for the project results, PSC decisions will be made in accordance to standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case consensus cannot be reached within the PSC, the final decision shall rest with the UNDP.

The National Project Director (NPD), a senior staff member of Social Welfare Department, will be responsible for government oversight of the Project and carries overall responsibility and accountability. The NPD will keep UNDP and the PSC updated on project advances and challenges as needed, and will report to the PSC on progress made and issues to be resolved. The NPD will establish and provide overall guidance to the PMO, and is responsible for overseeing the work undertaken by the PMO team. The NPD will submit relevant documentation to the PSC for endorsement.

Day-to-day management and coordination of the project will be under the supervision of the Project Manager (PM), who will report to the NPD (National Project Director) and the Project Steering Committee. The PM, who will be based in Vientiane, will be responsible for the general management activities of the project, such as the preparation of consolidated annual work plans and technical and financial reports to be presented to the PSC, with the aim of ensuring that advances in relation to the goals and key milestones of the project are achieved as planned. Additional responsibilities of the PM will include: overall integration and follow-up of studies, research and project technical activities; assisting in the supervision of project implementation (liaising directly with the NPD); undertaking quarterly operational planning and providing guidance on day-to-day implementation; and ensuring institutional coordination among the project partner institutions and organizations.

In addition to the staff of the Project Management Office, consultancy contracts may be necessary in order to implement some of the technical aspects of the project (see Section IV, Part III for details on these consultancies). Contracted companies, organizations and consultants will carry out targeted project activities under the technical supervision of the PMO, and in coordination with relevant partners for different activities. Terms of reference for these consultancies will be developed jointly by the PMO and approved by the PSC in accordance with approved work plans.

## V. RESULTS FRAMEWORK<sup>2</sup>

### **Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:**

*UNPF (2017-2021) Outcome 3: Forests and other ecosystems are protected and enhanced and people are less vulnerable to climate-related events and disasters*

### **Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:**

*UNDP CPD (2017-2021) Outcome 2 Forests and other ecosystems are protected and enhanced and people are less vulnerable to climate-related events and disasters Indicative Output(s): Output 2.1 Number of persons per 100,000 directly affected by natural disasters*

*8<sup>th</sup> NSEDP Outcome 3: Natural resources and the environment are protected and sustainably managed, green growth is promoted, disaster preparedness is enhanced and climate resilience is developed*

*Output 3.2 "Prepare to cope with disaster risks and impacts from climate change".*

### **Applicable Output(s) from the UNDP Strategic Plan:**

Preparedness systems in place to effectively address the consequences of and response to natural hazards

Disaster prone target countries prepared for resilient recovery in order to reduce social and economic consequences, avoid re-creation of risks during recovery period, and ensure "build back better"

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<sup>2</sup> UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

Project title and Atlas Project Number: Building Capacities for Resilient Recovery									
EXPECTED OUTPUTS	OUTPUT INDICATORS3	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)				DATA COLLECTION METHODS & RISKS
			Value	Y1 (Aug-Dec 2018)	Y2 (Jan-Dec 2019)	Y3 (Jan-Dec 2020)	Y4 (Jan-Jul 2021)		
Output 1 Strengthened policy, institutional and financial frameworks to plan and implement sustainable recovery processes	1.1 Completion baseline survey for the strengthening existing institutional systems and policies.	MLSW	No recovery institutional and policy gap assessment report	20	Final baseline assessment report.	Publication of the baseline assessment report			Desk review and key performance interview  Risk: scattering information and quality of local consultant may pose risk to completion of the data collection and analysis.
	1.2 Policy, guideline and/or procedure for coordination and management recovery implementation.	MLSW	TBC	2019	Gap identification and list of policy/guideline to be improved or developed	First draft		Final draft	Desk review, key performance interview and focus group discussion.  Risk: Identification of policy/guideline/procedure and approval process could be lengthy and it is required full ownership and leadership of the government counterpart.

3 It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.



	<p><b>1.3</b> Extent of which institutional arrangement with clear role and responsibility among key government agencies at national and sub-national level.</p>	MLSW	No	2019	Institutional arrangement preparation taken placed	Yes, completed			<p>Desk review, key performance interview.</p> <p>Institutional arrangement is under control of the government, the project may have limited influence. However, the project should assess if there is any overlapping of the role and responsibility between MONRE and MLSW and provide evidence base for consideration.</p>
	<p><b>1.4</b> Number of options to finance pre-post disaster recovery with indicative amount funding arrangement for emergency response/recovery.</p>	MLSW	0	2019	1	2 (cumulative)	3 (cumulative)		<p>Desk review and key performance interview.</p> <p>Risk: engagement of private sector, NGOs and INGOs needs official procedure to guide. If the legal/regulation is not in place it could be challenged to completed the target.</p>
	<p><b>1.5</b> Monitoring systems framework for recovery established</p>	MLSW	No		2 <sup>nd</sup> draft	Final draft	Application of the monitoring framework by MLSW		<p>Desk review and dialogue</p> <p>Risk: engagement of stakeholder and process to ensure all stakeholder group to use the monitoring system framework needs to be managed.</p>

	1.6: Number of new partnership for recovery plan and implementation options.	MLSW	0	2019	1	2 (cumulative)	3 (cumulative)			Desk review and key performance interview.  Risk: engagement of private sector, NGOs and INGOs needs official procedure to guide. If the legal/regulation is not in place it could be challenged to completed the target.
	1.7: Develop Disaster Prevention and Control Law	MLSW	0	2018	1	1	1			
	1.8: Develop National, Provincial and District Disaster Recovery Strategy and Action Plan to 2025	MLSW	0	2018	1	2 (cumulative)	3 (cumulative)			
<b>Output 2</b> Enhanced capacities in Recovery Planning and Implementation including conducting post-disaster needs assessments and developing recovery frameworks	2.1 Number of stakeholder groups (expert) that aware of process and able to explain how to conduct PDNA for disaster recovery programmes .	MLSW	0	2018	20	40 (cumulative)	60 (cumulative)			Evaluation training assessment/survey and analysis.  Risk: identification of target expert and engaging them at the beginning is required.
	2.2 Standard specific PDNA methodology for assessing the Human Impacts, Gender and other cross cutting issues adopt by key stakeholders.	MLSW	General PDNA methodology	2018	Completion of baseline data development.  Templated for data collection and analysis	PDNA database	PDNA database used and linked to LooDi database			Desk review, interview, cross checking database.  Risk: time management for the database development and linking database. Willingness of the government (MONRE and MLSW) to link database.

	2.3 Update version of guidelines and protocols for conducting PDNAs and Recovery Frameworks	MLSW	PDNA methodology for assessing the Human Impacts, gender and other cross cutting issues	2018	Completion of activity 2.2	Report on testing and recommendation for improvement of PDNA.	Update version of PDNA for assessing human impacts, gender and other cross cutting issues.			Document review.  Risk: this output indicators is depending on progress of activity 2.2. In case the activity 2.2 delay. Progress of this indicator will be delay.
	2.4 Progress of guidelines for recovery in selected sectors of the economy.	MLSW	No guideline	2019	Draft report	Final draft report	Published report			Document review.
	2.5 Systematic, transparent and accountable of purchasing goods and services during recovery.	MLSW	No procurement procedure	2018	Draft procurement procedure	Final draft procurement procedure	TOR, List of qualified contractors and signing of Long term agreement with companies for procurement			Document review and interview.  Risk: implementation and enforcement of the procedure.

<b>Output 3</b> Enhanced capacities for implementing recovery at community-level	100 selected target villagers including youth and women are able to support recovery and disaster resilient construction, include training in disaster resilient building techniques/ techniques and process for rehabilitation/ reconstruction of community infrastructure, skills in carpentry and plumbing.	MLSW	TBC	2019	Completion of baseline survey curriculum on developing community based recovery plan including	50 ppl	50 ppl	Training evaluation analysis/survey.  Risk: engaging local community to volunteer themselves and registered rehabilitation reconstruction.
	3.2 Extent which community in selected village are able to explain process to access community recovery fund to support household level recovery.	MLSW	No community recovery fund	2019	Operation guideline and official process to guide setting up community recovery fund	Completion set up community fund	Survey report on testing practical and understanding in accessing the fund	Survey, interview and desk review.  Risk: ensuring functioning, accountability and transparency of the community recovery fund for household level recovery.



<b>Output 4</b> Systematized body of knowledge and technological innovation harnessed for recovery management	4.1 Number of evidence based and communication materials for knowledge sharing experience such as Case studies and lessons Learnt; b) Photo essays on success stories; c) Infographic on Recovery with information from each country; d) video on Recovery experiences.	MLSW	TBC	2019	2	4 (cumulative)	6 (cumulative)	Interview, desk review. Media cross check.  Risk: ensuring application and tracking how communication/knowledge produces have been used has to be addressed.
	4.2 Number of guidelines for recovery (e.g. from droughts and floods)	MLSW	TBC	2019	2 draft	1 finalized	2 finalized (cumulative)	Document review and interview.  Risk: delay of consultant to support the development and invalidation has to start early to facilitate completion of guideline development on timely manner.
	4.3 Number of SSC mission	MLSW	0	2019	1	2 (cumulative)	3 (cumulative)	Document review.  Risk: ensuring strategic plan, designing of the SSC need to be addressed to ensure application of knowledge.
	4.4 Mobile application for recovery	MLSW	0	2018	Database and information set	Agreement with mobile telecommunication	Launching of the app	Survey, observation, media  Risk: willingness of the government and mobile telecom in partnership this initiative.
	4.5: Facilitate and support organizing of the Annual Disaster Risk Reduction Day	MLSW	0	2019	1	2 (cumulative)	3 (cumulative)	
	4.6: Global Platform for Sendai and Asia Ministerial Conference	MLSW	0	2019	1	2 (cumulative)	3 (cumulative)	

## VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans: *[Note: monitoring and evaluation plans should be adapted to project context, as needed]*

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
<b>Track results progress</b>	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
<b>Monitor and Manage Risk</b>	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		
<b>Learn</b>	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		
<b>Annual Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
<b>Review and Make Course</b>	Internal review of data and evidence from all	At least annually	Performance data, risks, lessons and		

<b>Corrections</b>	monitoring actions to inform decision making.		quality will be discussed by the project board and used to make course corrections.		
<b>Project Report</b>	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)			
<b>Project Review (Project Board)</b>	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Specify frequency (i.e., at least annually)	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		

#### Evaluation Plan<sup>4</sup>

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
e.g., Mid-Term						

*4 Optional, if needed*

Evaluation						
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## VII. MULTI-YEAR WORK PLAN 56

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

c	PLANNED ACTIVITIES	Planned Budget by Year (USD)				Responsible party	Budget code	Budget Description	Amount in USD	
		Y1 (Jun-Dec 2018)	Y2 (Jan-Dec 2019)	Y3 (Jan-Dec 2020)	Y4 (Jan-May 2021)					
<b>OUTPUT 1</b>	<b>LAOS</b>									
Strengthened national policy, institutional and financial frameworks and mechanisms to plan and implement sustainable recovery processes	1.1 Review existing institutional arrangements, policies and practice for recovery	0	0	0	0	MLSW	71300	Local consultant	0	
		500	750	750	500	MLSW	75700	Meeting package	2,500	
		400	600	600	400	MLSW	71600	Travel	2,000	
		400	600	600	400	MLSW	72500	Office supply	2,000	
		500	750	750	500	MLSW	74200	Printing, translation	2,500	
		300	450	450	300	MLSW	74500	Sundry	1,500	
		<b>Sub-Total</b>	<b>2,100</b>	<b>3,150</b>	<b>3,150</b>	<b>2,100</b>			<b>10,500</b>	
		1.2 Support the development of a policy and guidelines for recovery e.g. guideline and	0	0	0	0	MLSW	71300	Local consultant	0
			500	750	750	500	MLSW	75700	Meeting package	2,500
			400	600	600	400	MLSW	71600	Travel	2,000
		400	600	600	400	MLSW	72500	Office supply	2,000	
		500	750	750	500	MLSW	74200	Printing, translation	2,500	

5 Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

6 Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

procedure for coordination and management recovery implementation	300	450	450	300	MLSW	74500	Sundry	1,500
<b>Sub-Total</b>	<b>2,100</b>	<b>3,150</b>	<b>3,150</b>	<b>2,100</b>				<b>10,500</b>
1.3 Review institutional arrangements, policies and practices on recovery and strengthen institutional arrangements for recovery.	400	600	600	400	MLSW	74500	Sundry	2,000
	600	900	900	600		75700	Meeting package	3,000
	1,200	1,800	1,800	1,200	MLSW	72200	Equipment and furniture	6,000
	1,600	2,400	2,400	1,600	MLSW	72500	Audio visual printing and IT equipment	8,000
<b>Sub-Total</b>	<b>3,800</b>	<b>5,700</b>	<b>5,700</b>	<b>3,800</b>				<b>19,000</b>
1.4 Support the setting up of financing mechanisms, instruments and strategies for recovery	4,000	6,000	6,000	4,000	MLSW	71400	Project staff e.g APM	20,000
	3,000	4,500	4,500	3,000	UNDP	71200	International consultant	15,000
	600	900	900	600	MLSW	71600	Travel	3,000
	600	900	900	600	MLSW	74200	Office supply	3,000
	300	450	450	300	MLSW	74500	Sundry	1,500
<b>Sub-Total</b>	<b>8,500</b>	<b>12,750</b>	<b>12,750</b>	<b>8,500</b>				<b>42,500</b>
1.5 Develop monitoring systems for Recovery	1,000	1,500	1,500	1,000	MLSW	75700	Local consultant	5,000
	600	900	900	600	75700	71300	Meeting package	3,000
	400	600	600	400	MLSW	71600	Travel	2,000
	500	750	750	500	MLSW	72500	Office supply	2,500
	500	750	750	500	MLSW	74200	Printing, translation	2,500
	300	450	450	300	MLSW	74500	Sundry	1,500
<b>Sub-Total</b>	<b>3,300</b>	<b>4,950</b>	<b>4,950</b>	<b>3,300</b>				<b>16,500</b>



1.6 Develop a partnership strategy for Recovery	400	600	600	400	MLSW	75700	Meeting package	2,000	
	200	300	300	200	MLSW	74500	Sundry	1,000	
	<b>600</b>	<b>900</b>	<b>900</b>	<b>600</b>				<b>3,000</b>	
	1,800	2,700	2,700	1,800	MLSW	75700	Meeting package	9,000	
	1,000	1,500	1,500	1,000	MLSW	71600	Travel	5,000	
	600	900	900	600	MLSW	72500	Office supply	3,000	
	1,000	1,500	1,500	1,000	MLSW	74200	Printing, translation	5,000	
	300	450	450	300	MLSW	74500	Sundry	1,500	
	<b>4,700</b>	<b>7,050</b>	<b>7,050</b>	<b>4,700</b>				<b>23,500</b>	
	Activity 1.8:								
	Develop National, Provincial and District Disaster Risk	0	0	0	0	MLSW	71300	Local consultant	0
	Management Strategy and Action Plan to 2025	8,000	12,000	12,000	8,000	UNDP	71500	CTA UNV	40,000
		1,000	1,500	1,500	1,000	MLSW	75700	Meeting package	5,000
		900	1,350	1,350	900	MLSW	71600	Travel	4,500
	600	900	900	600	MLSW	72500	Office supply	3,000	
	1,000	1,500	1,500	1,000	MLSW	74200	Printing, translation	5,000	
	300	450	450	300	MLSW	74500	Sundry	1,500	
<b>Sub-Total</b>	<b>11,800</b>	<b>17,700</b>	<b>17,700</b>	<b>11,800</b>				<b>59,000</b>	
<b>Sub-Total for Output 1</b>	<b>36,900</b>	<b>55,350</b>	<b>55,350</b>	<b>36,900</b>				<b>184,500</b>	
<b>LAOS</b>									
Enhanced technical capacities in recovery planning and implementation.	0	0	0	0	MLSW	71300	Local consultant	0	
	600	900	900	600	MLSW	75700	Training and meeting package	3,000	
	600	900	900	600	MLSW	74200	Travel	3,000	
	400	600	600	400	MLSW	73100	Rent & Maintenance	2,000	
	400	600	600	400	MLSW	72500	Office supply	2,000	
	300	450	450	300	MLSW	74200	Printing, translation	1,500	
<b>OUTPUT 2</b>									

assessment and recovery planning.	300	450	450	450	300	MLS	74500	Sundry	1,500
<b>Sub-Total</b>	<b>2600</b>	<b>3900</b>	<b>3900</b>	<b>2600</b>	<b>2600</b>				<b>13,000</b>
2.2 Adapt PDNA and Recovery Framework guidelines to the national context in the target countries.	1,000	1,500	1,500	1,000	1,000	MLS	71300	Local consultant	5,000
	400	600	600	400	400	MLS	71400	Project staff e.g APM	2,000
	8,000	12,000	12,000	8,000	8,000	UNDP	71500	CTA UNV	40,000
	1,000	1,500	1,500	1,000	1,000	MLS	75700	Meeting package	5,000
	600	900	900	600	600	MLS	71600	Travel	3,000
	300	450	450	300	300	MLS	72500	Office supply	1,500
	300	450	450	300	300	MLS	74200	Printing, translation	1,500
	300	450	450	300	300	MLS	74500	Sundry	1,500
<b>Sub-Total</b>	<b>11,900</b>	<b>17,850</b>	<b>17,850</b>	<b>11,900</b>	<b>11,900</b>				<b>59,500</b>
2.3 Conduct dry-run/small scale post-disaster needs assessments exercises and develop recovery frameworks, based on the adapted guidelines and tools.	600	900	900	600	600	MLS	71300	Travel	3,000
	600	900	900	600	600	MLS	73100	Rental and meeting	3,000
								Editing printing	
	600	900	900	600	600	MLS			3,000
<b>Sub-Total</b>	<b>1,800</b>	<b>2,700</b>	<b>2,700</b>	<b>1,800</b>	<b>1,800</b>				<b>9,000</b>
2.4 Develop country specific sectoral guidelines for recovery	1,000	1,500	1,500	1,000	1,000	MLS	71300	Local consultant	5,000
	1,000	1,500	1,500	1,000	1,000	MLS	75700	Meeting package	5,000
	600	900	900	600	600	MLS	71600	Travel	3,000
	400	600	600	400	400	MLS	73100	Rental	2,000



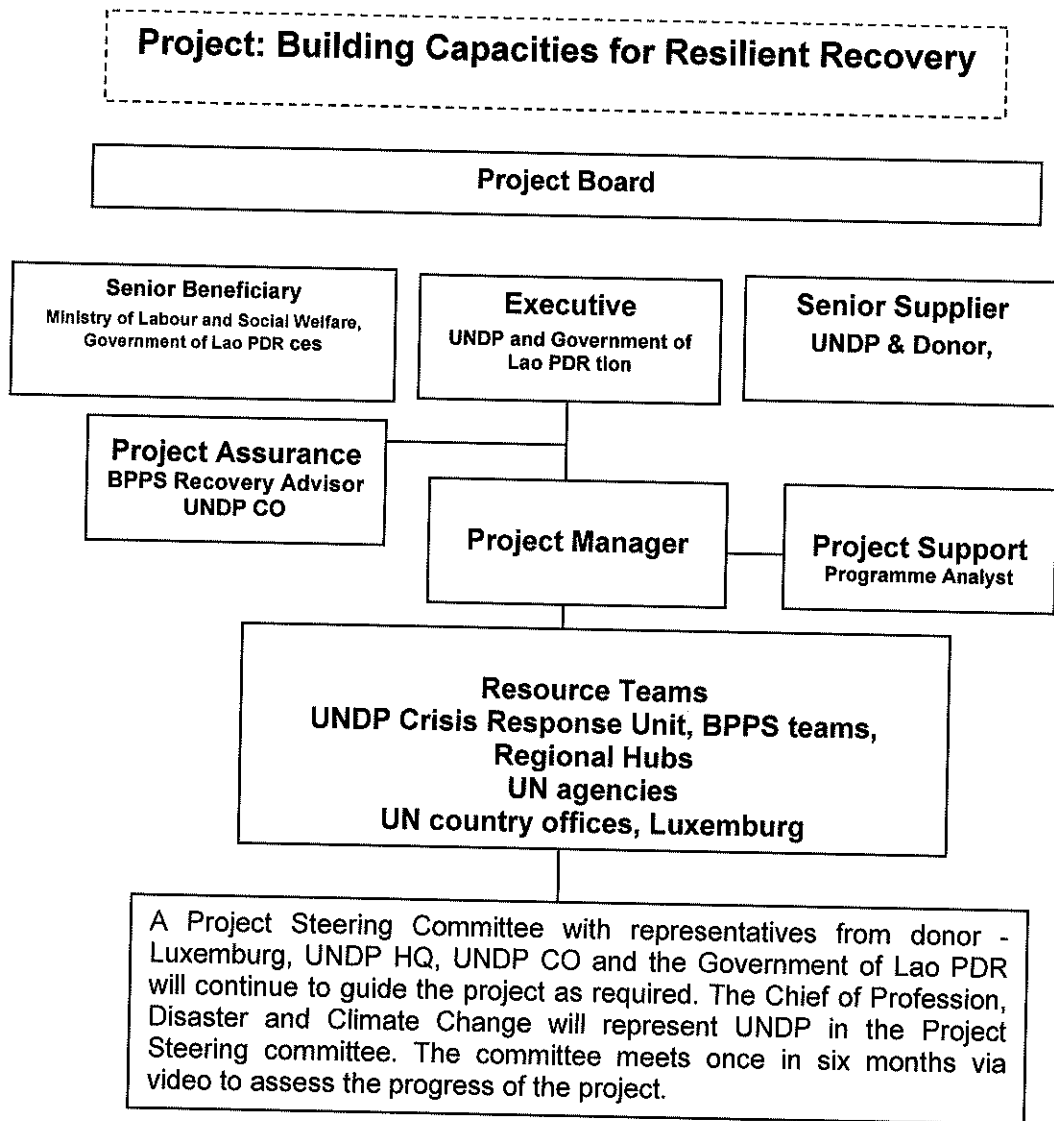
	600	900	900	900	600	MLS	72500	Office supply	3,000
	600	900	900	900	600	MLS	74200	Printing, translation	3,000
	300	450	450	450	300	MLS	74200	Sundry	1,500
<b>Sub-Total</b>	<b>4,500</b>	<b>6,750</b>	<b>6,750</b>	<b>4,500</b>					<b>22,500</b>
2.5 Adopt simplified procurement procedures for the purchase of goods and services during recovery	200	300	300	200	200	MLS	75700	Meeting	1,000
							74500	Sundry	
	200	300	300	200	200	MLS			1,000
<b>Sub-Total</b>	<b>400</b>	<b>600</b>	<b>600</b>	<b>400</b>					<b>2,000</b>
<b>Sub-Total for Output 2</b>	<b>21,200</b>	<b>31,800</b>	<b>31,800</b>	<b>21,200</b>					<b>106,000.00</b>
<b>LAOS</b>									
<b>OUTPUT 3</b>									
Enhanced national capacities for implementing recovery at community-level.	600	900	900	600	600	MLS	71300	Local consultant	3,000
	1,000	1,500	1,500	1,000	1,000	MLS	75700	Meeting package	5,000
	8,400	12,600	12,600	8,400	8,400	MLS	71500	CTA UNV	42,000
	4,000	6,000	6,000	4,000	4,000	UNDP	71400	Project staff e.g APM	20,000
	600	900	900	600	600	MLS	71600	Travel	3,000
	400	600	600	400	400	MLS	73100	Rental	2,000
	400	600	600	400	400	MLS	72500	Office supply	2,000
	400	600	600	400	400	MLS	74200	Printing, translation	2,000
	300	450	450	300	300	MLS	74500	Sundry	1,500
	<b>Sub-Total</b>	<b>16,100</b>	<b>24,150</b>	<b>24,150</b>	<b>16,100</b>				
3.2 Funds for community recovery establishment	0	0	0	0	0	MLS			
	1,000	1,500	1,500	1,000	1,000	MLS	71300	National Consultant	5,000
	695	1,043	1,043	695	695	MLS	71600	Travel	3,476
	0	0	0	0	0	MLS	74500	sundry	0

	<b>Sub-Total</b>	<b>1,695</b>	<b>2,543</b>	<b>2,543</b>	<b>1,695</b>						<b>8,476</b>
	<b>Sub-Total for Output 3</b>	<b>17,795</b>	<b>26,693</b>	<b>26,693</b>	<b>17,795</b>						<b>88,976</b>
<b>OUTPUT 4</b>	<b>LAOS</b>										
	4.1 Development of case studies, lessons learned and best practices	600	900	900	600	MLSW	74200	Printing, publication			3,000
		4,000	6,000	6,000	4,000	MLSW	71400	Project staff e.g APM			20,000
	<b>Sub-total</b>	<b>4,600</b>	<b>6,900</b>	<b>6,900</b>	<b>4,600</b>						<b>23,000</b>
	4.2 Develop Guidelines for floods and droughts recovery	1,000	1,500	1,500	1,000	MLSW	71300	Local consultant			5,000
		8,000	12,000	12,000	8,000	UNDP	71500	CTA UNV			40,000
		800	1,200	1,200	800	MLSW	75700	Meeting package			4,000
		500	750	750	500	MLSW	71600	Travel			2,500
		200	300	300	200	MLSW	73100	Rental			1,000
		400	600	600	400	MLSW	72500	Office supply			2,000
		400	600	600	400	MLSW	74200	Printing, translation			2,000
	<b>Sub-Total</b>	<b>11,300</b>	<b>16,950</b>	<b>16,950</b>	<b>11,300</b>						<b>56,500</b>
	4.3 Support to South-South cooperation	1,600	2,400	2,400	1,600	MLSW	71300	Travel			8,000
		300	450	450	300	MLSW	75700	Sundry			1,500
	<b>Sub-total</b>	<b>1,900</b>	<b>2,850</b>	<b>2,850</b>	<b>1,900</b>						<b>9,500</b>
	4.4 Development and pilot-testing of a country-tailored mobile application for recovery	800	1,200	1,200	800	MLSW	71300	Local consultant /firm			4,000
		0	0	0	0	MLSW	75700	sundry			0
	<b>Sub-total</b>	<b>800</b>	<b>1,200</b>	<b>1,200</b>	<b>800</b>						<b>4,000</b>



4.5: Facilitate and support organizing of the Annual Disaster Risk Reduction Day	536	804	804	804	536	MLSW	75700	Meeting package	2,680
	600	900	900	900	600	MLSW	71600	Travel	3,000
Sub-total	300	450	450	450	300	MLSW	74200	Printing, translation	1,500
	<b>1,436</b>	<b>2,154</b>	<b>2,154</b>	<b>2,154</b>	<b>1,436</b>				<b>7,180</b>
4.6: Global Platform for Sendai and Asia Ministerial Conference	1,200	1,800	1,800	1,800	1,200	MLSW	71600	Travel	6,000
	0	0	0	0	0	MLSW			
<b>Sub-total</b>	<b>1,200</b>	<b>1,800</b>	<b>1,800</b>	<b>1,800</b>	<b>1,200</b>				<b>6,000</b>
<b>Sub-Total for Output 4</b>	<b>21,236</b>	<b>31,854</b>	<b>31,854</b>	<b>31,854</b>	<b>21,236</b>				<b>106,180</b>
PROJECT MGT	1,000	1,500	1,500	1,500	1,000	MLSW	71300	Travel cost for Project evaluation mission	5,000
	600	900	900	900	600	MLSW	74100	Spot heck and audit fee	3,000
	3,600	5,400	5,400	5,400	3,600	UNDP	64300	DPC and UPL UNDP	18,000
	9,696	14,544	14,544	14,544	9,696	UNDP	75100	GMS UNDP 8%	48,480
	1,000	1,500	1,500	1,500	1,000	MLSW	73100	Rental and premiss	5,000
	300	450	450	450	300	MLSW	72500	Office supply	1,500
	300	450	450	450	300	MLSW	74200	Printing, translation	1,500
	300	450	450	450	300	MLSW	74500	Sundry	1,500
	6,200	9,300	9,300	9,300	6,200	MLSW	71400	Project staff e.g APM	31,000
	600	900	900	900	600	UNDP	74100	HACT Assessment fee	3,000
<b>Sub-Total for Project Management Support</b>	<b>23,596</b>	<b>35,394</b>	<b>35,394</b>	<b>35,394</b>	<b>23,596</b>				<b>117,980</b>
<b>Grant total</b>	<b>120,727</b>	<b>181,091</b>	<b>181,091</b>	<b>181,091</b>	<b>120,727</b>				<b>603,636</b>

**VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS**



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## **IX. LEGAL CONTEXT AND RISK MANAGEMENT**

### **LEGAL CONTEXT STANDARD CLAUSES**

#### **Option a. Where the country has signed the Standard Basic Assistance Agreement (SBAA)**

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date). All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

#### **Option b. Where the country has NOT signed the Standard Basic Assistance Agreement (SBAA)**

The project document shall be the instrument envisaged and defined in the Supplemental Provisions to the Project Document, attached hereto and forming an integral part hereof, as "the Project Document".

#### **Option c. For Global and Regional Projects**

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the Supplemental Provisions attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by the agency (name of agency) ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

### **RISK MANAGEMENT STANDARD CLAUSES**

#### **Option a. Government Entity (NIM)**

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
  - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
  - b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document *[and the Project Cooperation Agreement between UNDP and the Implementing Partner]*<sup>7</sup>.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via

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<sup>7</sup> Use bracketed text only when IP is an NGO/IGO

[http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.

4. Consistent with UNDP's Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
5. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

**Option b. UNDP (DIM)**

1. UNDP as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP agrees to undertake all reasonable efforts to ensure that none of the [project funds]<sup>8</sup> [UNDP funds received pursuant to the Project Document]<sup>9</sup> are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Consistent with UNDP's Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

**Option e. Global and Regional Projects (under UNDP implementation/DIM)**

1. The responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. The Implementing Partner shall: (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; (b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

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<sup>8</sup> To be used where UNDP is the Implementing Partner

<sup>9</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

2. The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Consistent with UNDP's Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

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## **X. ANNEXES**

- 1. Project Quality Assurance Report**
- 2. Social and Environmental Screening Template [**
- 3. Risk Analysis.** Use the standard Risk Log template. Please refer to the Deliverable Description of the Risk Log for instructions
- 4. Capacity Assessment:** Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)

The HACT Assessment was completed in February 2019 This is planned as a joint assessment with UNICEF.

- 5. Project Board Terms of Reference and TORs of key management positions**  
Terms of Reference for UNV Disaster Risk Management Advisor  
Terms of Reference for Assistant Project Manager  
Terms of Reference for Project Steering Committee
- 6. Minutes of Local Project Appraisal Committee Meeting**
- 7. Letter of Agreement with Government for support services (Ministry of Labour and Social Welfare) MLSW**
- 8. Co-financing letters (government of Lao PR, ADB, IFRC)**
- 9. Delegation of Authority, first allocation – June to December 2018**
- 10. Delegation of Authority, second allocation – January to December 2019**
- 11.**



## **Annex 1: Project Quality Assurance Report**

### **Monitoring and reporting**

Project monitoring and evaluation will be conducted in accordance with established UNDP procedures and will be provided by the project team and the UNDP Country Office (UNDP-CO) in Lao PDR. The project logframe (Project Results Framework) provides *performance* and *impact* indicators for project implementation along with their corresponding *means of verification*. These will form the basis on which the project's Monitoring and Evaluation (M&E) system will be built. The following sections outline the principle components of the Monitoring and Evaluation Plan and indicative cost estimates related to M&E activities. The project's Monitoring and Evaluation Plan will be presented and finalized in the Project's Inception Report following a collective fine-tuning of indicators, means of verification, and the full definition of project staff M&E responsibilities.

The project will be monitored through the following M&E activities. The M&E budget is provided in the table below.

### **Project start-up**

A Project Inception Workshop will be held within the first 2 months of project start with those with assigned roles in the project organization structure, UNDP country office and where appropriate/feasible regional technical policy and programme advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the multi-year annual work plan.

The Inception Workshop should address a number of key issues including:

- a) Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP CO and RCU staff vis à vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.
- b) Based on the project results framework, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- c) Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.
- d) Discuss financial reporting procedures and obligations, and arrangements for annual audit.
- e) Plan and schedule Project Steering Committee meetings. Roles and responsibilities of all project organisation structures should be clarified, and meetings planned. The first Project Steering Committee meeting should be held within the first 12 months following the inception workshop.

### **Quarterly report**

Quarterly Progress Report made shall be monitored in the UNDP Enhanced Results Based Management Platform. Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. ATLAS logs can be used to monitor issues, lessons learned etc.

### **Annually report**

Annual Project Progress Report: This key report is prepared to monitor progress made since project start and in particular for the previous reporting period January to December of each year. The report could be following the UNDP CO Reporting Template and including all necessary annexes.

### **Periodic Monitoring through site visits**

UNDP CO will conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Other members of the Project Board may also join these visits. A Field Visit Report/BTOR will be prepared by the CO and will be circulated no less than one month after the visit to the project team and Project Board members.

#### **Spot Checks**

UNDP CO will engage external firm to conduct annual spot checks in collaboration with the UNDP CO team and the Department of International Cooperation within the Ministry of Planning and Investment. This will be a semi-annual reviews of project financial documents and administrative practices.

#### **Mid-term of project cycle**

The project will undergo an independent Mid-Term Review at the mid-point of project implementation. The Mid-Term Review will determine progress being made toward the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, terms of reference and timing of the mid-term evaluation will be decided after consultation between the parties to the project document. The Terms of Reference for this Mid-Term Review will be prepared by the UNDP CO. The management response and the evaluation will be uploaded to UNDP corporate systems, in particular the [UNDP Evaluation Office Evaluation Resource Centre \(ERC\)](#).

#### **End of Project**

An independent Final Evaluation will take place three months prior to the final Project Board meeting and will be undertaken in accordance with UNDP guidance. The final evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The Terms of Reference for this evaluation will be prepared by the UNDP CO.

The Terminal Evaluation should also provide recommendations for follow-up activities and requires a management response, which should be uploaded to the [UNDP Evaluation Office Evaluation Resource Centre \(ERC\)](#).

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

#### **Learning and knowledge sharing**

Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyse, and share lessons learned that might be beneficial in the design and implementation of similar future projects.



**Annex 2: Social and Environmental Screening Template [English][French][Spanish],**

**Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability**

**QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?**

***Briefly describe in the space below how the Project mainstreams the human-rights based approach***

The project integrates the overarching principles for human rights in order to strengthen the social and environmental sustainability by including measures to assist the government to realise human rights.

UNDP consistently applies the Human Rights Based Approach in all programming taking into account the responsibilities of the duty-bearers and the obligations of the right-holders. The project design identifies government authorities as the primary party with the project implemented according to the nation's legal frameworks. However, government also understands the importance of partnerships across various sectors and the integral engagement and involvement of the rights-holders that include community members, villages and private land owners in participating with the government in the implementation of the Building Capacities for Resilient Recovery".

UNDP will ensure maximum visibility during the implementation of activities related to this project "Building Capacities for Resilient Recovery". Hence, UNDP will create an enabling and conducive environment with transparency and participation of all stakeholders including government counterparts in contributing to decision making and also for their consent to the project plan/design.

Furthermore, UNDP highly considers gender equality and the facilitation of persons with disability (PWD) in assuming key roles during project implementation, such as in District Disaster Management Committees and Early Warning System Community Focal Point positions. It also facilitates involvement and participation of all relevant stakeholders during pre-assessments, project planning and the project implementation phases ranging from the community, village, district, provincial and national levels.

The negative impacts that may result from project interventions will include those areas detailed in the risks table, although the majority of these risks relate to regulatory compliance matters. Social and environmental risks will primarily be found in project interventions related to the identification, screening and implementation of investment opportunities. These risk areas will be mitigated through central and provincial capacity development activities that will include the training authorities on the appropriate use of social/environmental checklists and in the application of Public Involvement and Environmental Impact Assessment guidelines. Community concerns and/or grievances will be effectively captured when the mentioned guidelines above are applied.

***Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment***

Gender mainstreaming puts emphasis on gender equality as a strategic objective of development. While so much effort has been given in the project "Building Capacities for Resilient Recovery" towards mainstreaming gender within various phases and contexts of development work, much needs to be done in integrating gender equality programming in climate change (CC) and disaster risk reduction (DRR) projects.

During the project implementation, UNDP shall ensure that the target beneficiaries of both sexes that include women, women led households and women farmers are mobilized to participate during post disaster risk assessment (PDRA) and DRR planning for the recovery project. UNDP will adopt the social, economic and gender analysis tools to facilitate active participation.

The integration of gender is hoped to reduce household conflicts, improve collaboration among household members with different gender compositions, and promote peace in communities in general; notwithstanding the improvement in access to livelihood opportunities.

One of UNDP's largest program is Gender in Leadership & Decision Making (GLDM) and one of the tools used

in this program is the gender assessment. Assessing organizational and beneficiaries responsiveness to gender issues, including, organizational culture, accountability governance, political will and technical capacity are prerequisites for mainstreaming gender in organizational policies and practices.

UNDP conducts gender audits to assess the implementation of gender policies, strategies, programs and projects, to ensure it is line with the principle of 'Leave No one Behind' of the SDG.

**Briefly describe in the space below how the Project mainstreams environmental sustainability**

The project will mainstream environmental sustainability by achieving these expected results:

1. Strengthened national policy, institutional and financial frameworks and mechanisms to plan and implement sustainable recovery processes
2. Enhanced technical capacities in recovery planning and implementation.
3. Enhanced national capacities for implementing recovery at community-level.
4. Improved knowledge products, technological applications and South-South exchange for recovery management.

UNDP recently conducted a Post Disaster Needs Assessment (PDNA) in the flood affected Provinces/Districts across Lao PDR and among the PDNA provinces carried out includes Bolikhamxay and Saravanh.

Under this project "Building Capacities for Resilient Recovery", UNDP in partnership with Department of Social Welfare of the Ministry of Labour and Social Welfare (MLSW) will target its interventions in the most vulnerable districts in the selected provinces. Depending on the location and risk, community risk reduction projects will be derived from the PDNA report and also through a Participatory Disaster Risk Assessment (PDRA). Some interventions will include but not limited to: environmental conservation measures; flood risk management strategies; farm forestry/afforestation; water resources/watershed management; soil and water conservation; weather and climate information; policy and legislation; land and land use planning; health; village savings and loans; infrastructure and alternative/renewable energy etc, focusing on the most urgent and immediate adaptation needs.

**Part B. Identifying and Managing Social and Environmental Risks**

QUESTION 2: What are the Potential Social and Environmental Risks?		QUESTION 3: What is the level of significance of the potential social and environmental risks?		QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
<i>Risk Description</i>	<i>Impact and Probability (1-5)</i>	<i>Significance (Low, Moderate, High)</i>	<i>Comments</i>	<i>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</i>
Climate change is expected to have varying impacts around Lao PDR especially with the recent flood experience in July/August 2018, including cyclone and earthquake threats	I = 5 P = 4	High		



The impact of the recent flood contributed to displacement of unexploded ordnance in its originally cleared sites in the target project areas of Bolikhamxay and Saravanh.	I = 3 P = 3	Moderate		
Indirect risks from UNDP suppliers for the project due to new environmental regulation laws in Lao PDR to reduce waste and to control hazard pollution	I = 3 P = 2	low		
	I = 3 P = 2	Low		
	I = 1 P = 2	Low		
<b>QUESTION 4: What is the overall Project risk categorization?</b>				
<b>Select one (see <a href="#">SESP</a> for guidance)</b>			<b>Comments</b>	
<i>Low Risk</i>			X	The risk identified as indirect risk is clearly low especially when instituting new Environmental Regulations on UNDP suppliers by the Govt. Of Lao PDR.
<i>Moderate Risk</i>				The risk with the highest potential impact is clearly the climate change impact. The recent flood impact on UXO in the target project area is rated moderate risk, as the significant impacts during the project period must be considered due to the displaced UXO.
<i>High Risk</i>				The identified risk with the highest potential impact is the climate change impact. The impact is considered high as the likelihood of significant impacts during the project period must be considered
<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>				
Check all that apply			<b>Comments</b>	

	<b>Principle 1: Human Rights</b>	X	
	<b>Principle 2: Gender Equality and Women's Empowerment</b>	X	
	<b>1. Biodiversity Conservation and Natural Resource Management</b>	X	
	<b>2. Climate Change Mitigation and Adaptation</b>	X	
	<b>3. Community Health, Safety and Working Conditions</b>	<input type="checkbox"/>	
	<b>4. Cultural Heritage</b>	X	
	<b>5. Displacement and Resettlement</b>	<input type="checkbox"/>	
	<b>6. Indigenous Peoples</b>	X	
	<b>7. Pollution Prevention and Resource Efficiency</b>	<input type="checkbox"/>	

**Attachment 1:** Checklist Potential Social and Environmental Risks

<b>Principles 1: Human Rights</b>		<b>Answer (Yes/No)</b>
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	N
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>10</sup>	N
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	N
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	N
5.	Are there measures or mechanisms in place to respond to local community grievances?	Y
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	N
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	N
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	N
9.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	N
<b>Principle 2: Gender Equality and Women's Empowerment</b>		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	N
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	N
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	N

<sup>10</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.



4.	<p>Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?</p> <p><i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i></p>	N
<p><b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below</p>		
<p><b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b></p>		
1.1	<p>Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?</p> <p><i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i></p>	N
1.2	<p>Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?</p>	Y
1.3	<p>Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)</p>	Y
1.4	<p>Would Project activities pose risks to endangered species?</p>	N
1.5	<p>Would the Project pose a risk of introducing invasive alien species?</p>	N
1.6	<p>Does the Project involve harvesting of natural forests, plantation development, or reforestation?</p>	N
1.7	<p>Does the Project involve the production and/or harvesting of fish populations or other aquatic species?</p>	N
1.8	<p>Does the Project involve significant extraction, diversion or containment of surface or ground water?</p> <p><i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i></p>	N
1.9	<p>Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)</p>	N
1.10	<p>Would the Project generate potential adverse transboundary or global environmental concerns?</p>	N
1.11	<p>Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?</p> <p><i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i></p>	N
<p><b>Standard 2: Climate Change Mitigation and Adaptation</b></p>		

2.1	Will the proposed Project result in significant <sup>11</sup> greenhouse gas emissions or may exacerbate climate change?	N
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Y
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	N
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	N
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	N
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	N
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	N
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	N
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	N
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	N
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labour standards (i.e. principles and standards of ILO fundamental conventions)?	N
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	N
<b>Standard 4: Cultural Heritage</b>		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	N
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	N
<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	N
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to	N

<sup>11</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]



	resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	
5.3	Is there a risk that the Project would lead to forced evictions? <sup>12</sup>	N
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	N
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	N
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	N
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	N
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	NN
6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N
6.5	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	N
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	N
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	N
6.8	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	Y
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Y
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	N
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	N
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	N
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	N

<sup>12</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

**OFFLINE RISK LOG**

(see [Deliverable Description](#) for the Risk Log regarding its purpose and use)

**Project Title:** \_\_\_\_\_ **Award ID:** \_\_\_\_\_ **Date:** \_\_\_\_\_

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Enter a brief description of the risk  <i>(In Atlas, use the Description field. Note: This field cannot be modified after first data entry)</i>	When was the risk first identified  <i>(In Atlas, select date. Note: date cannot be modified after initial entry)</i>	Environmental Financial Operational Organizational Political Regulatory Strategic Other  Subcategories for each risk type should be consulted to understand each risk type (see Deliverable Description for more information)  <i>(In Atlas, select from list)</i>	Describe the potential effect on the project if this risk were to occur  Enter probability on a scale from 1 (low) to 5 (high) P =  Enter impact on a scale from 1 (low) to 5 (high) I =  <i>(In Atlas, use the Management Response box. Check "critical" if the impact and probability are high)</i>	What actions have been taken/will be taken to counter this risk  <i>(In Atlas, use the Management Response box. This field can be modified at any time. Create separate boxes as necessary using "+", for instance to record updates at different times)</i>	Who has been appointed to keep an eye on this risk  <i>(In Atlas, use the Management Response box)</i>	Who submitted the risk  <i>(In Atlas, automatically recorded)</i>	When was the status of the risk last checked  <i>(In Atlas, automatically recorded)</i>	e.g. dead, reducing, increasing, no change  <i>(In Atlas, use the Management Response box)</i>
2			Environmental Financial Operational Organizational Political Regulatory Strategic Other Environmental	Text  P = I =					
3									

						Text				
						Financial				
						Operational				
						Organizational				
						Political				
						Regulatory				
						Strategic				
						Other				
						P =				
						I =				
4										



**Annex 4: Capacity Assessment: Results of capacity assessments of Implementing Partner (including 2019 HACT Micro Assessment)**

The HACT Assessment will be conducted in 2019.

## MICRO ASSESSMENT RESULTS - AIDE MEMOIRE

### INTRODUCTION

Thank you for accommodating our recent micro assessment of your organisation. By way of this aide-mémoire, we are pleased to share the summary of the results of our micro-assessment, and the findings and recommendations we have raised.

Please use the "Partner comments" column of the "Detailed internal control findings and recommendations" table to provide any comments you may have in response to our findings. Please provide your comments within five working days of receiving this document: if you do not do so, we may proceed to finalise the report without your comments. Your comments will be included in the final report which we will send directly to the relevant UN agency's office.

### DETAILED INTERNAL CONTROL FINDINGS AND RECOMMENDATIONS

Description of finding	Recommendation	Partner comments
<b>Lack of oversight and monitoring of project implementation by external entities</b>		
<p>We found that the IP does not have established policies and procedures in place to in overseeing and monitoring project implementation of external partners. This runs the risk that activities of external partners are not properly implemented and in line with the objective of the project.</p> <p>One example noted was the project being implemented with The Asia Foundation and provincial and district offices. The project was implemented in January 2018, but we were informed that the monitoring and evaluation activities are yet to be carried out. The implementing unit plans to carry out the monitoring and evaluation six months before project end.</p>	<p>To ensure that the project is implemented by partners as planned, the IP should formulate plans and procedures in the monitoring and evaluation of partners results. Also, monitoring and evaluation should be carried out as planned.</p>	
<b>Lack of risk management policies and procedures</b>		
<p>We found that the IP does not have established policies and procedures for risk management. Programmes and plans are prepared based on the requirement of government and donor organisation. However, we were not provided with documentation to show that risks are identified, assessed, and relevant mechanisms are formulated to address these risks.</p>	<p>The organisation should identify risks for programme delivery and mechanisms to mitigate these. These should be documented with regular reviews to monitor and evaluate the partner's exposure to risk and its potential impact.</p>	
<b>Lack of documented policies and procedures in monitoring and evaluation</b>		

Description of finding	Recommendation	Partner comments
<p>We found that the IP does not have established policies and procedures in the monitoring and evaluation of project implementation. Although we were informed that progress reports are submitted, we were not provided with such documentation.</p>	<p>The partner should implement detailed policies and procedures for monitoring and evaluation. Regular monitoring activities such as; spot checks, templates, checklists on-site project visits, appraisals and review meetings should be carried out and documented. It would be beneficial to carry out independent evaluations regularly by an external third-party. Additionally, the partner would benefit from having an M&amp;E framework in place which outlines indicators, baselines, and targets to monitor achievement of programme results.</p>	
<b>No training plan for finance and programme</b>		
<p>We were informed that the IP has a training plan for the orientation of new officers on an annual basis. However, we found that no specific training for finance and programme management carried out.</p> <p>As such, there is a risk that finance and programme officers do not have the required skills and expertise in the management of funds and project.</p>	<p>Adequate training policies and procedures should be established that would address any competency requirement of officers and employees. The training policies should set out timescales and activities for the training of accounting/finance staff and ensure these are undertaken as planned.</p>	
<b>Non-integration of the existing UNDP project to the computerised accounting system (GFIS)</b>		
<p>The IP uses a computerised accounting system to record government transactions. However, we found that this is not used for donor project. As such, the IP uses a manual accounting system in the recording and reporting of donor-funded transactions. As this system is dependent on human intervention, there is an increased risk of error or misstatement in the reporting to the UN agency.</p>	<p>We recommend that the IP utilises the existing computerised accounting system for its projects. The system should allow the IP to generate financial reports automatically. An automated accounting system helps the organisation to reduce any risk of errors during the process of recording or reporting.</p>	
<b>Lack of documentation to show segregation of duties.</b>		
<p>On project implementation, we found that upon receipt of funds from the Ministry of Finance, the specific unit will implement the project based on the proposed budget. During the review of liquidation of the transaction, we found that there is no clear segregation of duties for ordering, receiving, and paying for the transaction. This indicates a lack of sufficient controls over transactions, which in turn could lead to inaccurate financial records or fraudulent activity.</p>	<p>The IP should ensure that adequate controls are in place to ensure that no one person has control to one transaction. We recommend that the finance and administrative unit within the organisation be involved in the transaction of donor funds. The ordering and receiving can be transferred to the administrative unit but with different officers and the paying to the supplier by the finance unit. Also, the IP should document this process by using the purchase request, purchase order and receiving report in the transaction process.</p>	
<b>Lack of budget variance analysis for the organisation</b>		
<p>We found that the IP does not prepare budget variance analysis for its core funds. The monthly and quarterly reports submitted to the cabinet office and Minister only shows actual transactions within the period. As actual expenditure is not compared to the budget frequently, this leaves the risk that expenditure will exceed budgets with little to no scrutiny.</p>	<p>We recommend that actual expenditure should be compared to budget every month and explanations should be sought for any significant variations.</p>	



Description of finding	Recommendation	Partner comments
<b>Weaknesses in invoice processing</b>		
<p>As the IP does not prepare purchase order and receiving report, the IP is not able to perform three-way matching of these documents along with the supplier's invoice.</p> <p>Thus, there is a risk that payments may be made against goods or services that have not been requested and duly approved by the relevant IP's staff, and goods and services that have not been actually received by the IP.</p>	<p>To enable three-way matching during invoice processing, the IP should make sure that it prepares the following:</p> <ul style="list-style-type: none"> <li>• Purchase order – to support that all items procured are those items ordered and approved by the IP from an accredited supplier. It should also reflect the payment and delivery terms; and</li> <li>• Receiving report – to make sure that all items to be paid for are those that were only received by the IP.</li> </ul> <p>The above documents including the supplier's invoice should be present before any payment can be made. The invoice should be compared with these documents to check for accuracy and validity of the purchase.</p>	
<b>Invoices not stamped as "PAID."</b>		
<p>We noted that the partner did not completely stamp the documents "PAID" after payment to prevent duplicate payments.</p>	<p>On approving and processing all payments, management should ensure that all supporting documents are cancelled/stamped "PAID" as a way of reducing the risk of duplicate payments and the resulting financial loss.</p> <p>Further, project code should be indicated in the invoice and other documentation to minimise the risk of double reporting, i.e. reporting of expense from one project to another.</p>	
<b>Inadequate control in the preparation of payroll expenditures</b>		
<p>We found that the organisation does not have a timesheet management system. Thus, no time card or biometric system is used in the preparation of payroll expenditures. We were informed that salaries are prepared based on the contract of employees. As such, there is a risk of overpayment to staff since deductions are not made in relation to absences and tardiness.</p>	<p>The IP should establish policies and procedures on staff time management. This should include establishing a system to record the time spent by its staff on various activities. Such a system would require staff to complete monthly timesheets, recording the number of hours spent by staff on different projects or other activities on each day during the month.</p> <p>For control purposes, the timesheet should be signed by the staff member and approved by a member of the IP's management. These timesheets should be used to allocate the actual salary cost that may be charged to different projects, thus, would constitute good supporting documentation to evidence the time spent by officers.</p>	
<b>No regular bank reconciliation carried out</b>		

Description of finding	Recommendation	Partner comments
<p>We found that the Department of Finance maintains the bank account for various projects implemented by the organisation. Although we were informed that regular bank reconciliation is carried out, we were not provided with adequate documentation to show that such activity is carried out. Without regular bank reconciliation, there is increased risk of irregularity in the accounts and any errors not reconciled on a timely basis.</p>	<p>It is recommended that the IP carry out monthly reconciliation to ensure that any errors in the account are detected and reconciled promptly. Further, monthly reconciliation reduces the risk of irregularity in the accounts. We recommend that reconciliations are documented, kept on file and reviewed on a timely basis by an appropriate member of staff who should evidence this with their signature.</p>	
<b>Substantial expenditure is paid in cash</b>		
<p>We noted that many of the project payments are made in cash and there does not appear to be any upper limit set for cash payments or the balance of petty cash held for project use. Many of the cash payments are significant and as such, increase the risks associated with using cash including an increased risk of fraudulent activities and the potential for individuals to misappropriate funds.</p>	<p>The organisation should limit the level of cash payments and petty cash balances held by imposing upper limits. Bank payments should be used unless this is not possible.</p>	
<b>Weaknesses in asset management</b>		

Description of finding	Recommendation	Partner comments
<p>We found significant weaknesses in the asset management system employed by the organisation as follows:</p> <ol style="list-style-type: none"> <li>1. No documented asset management policy in place;</li> <li>2. No reconciliation of assets with control ledger</li> <li>3. Reconciliation not carried out regularly and no documentation of reconciliation</li> <li>4. No consolidated asset listing</li> <li>5. No labels or tags to facilitate monitoring and verification</li> <li>6. Asset listing maintained does not have complete information like date of purchase, amount, and accountability - whom it is assigned</li> <li>7. No documented accountability form for the assignment and receipt of assets</li> <li>8. No insurance coverage of assets</li> </ol> <p>Based on the above, there is a significant risk of loss, misuse, abuse and wastage of organisational assets.</p>	<p>The IP should establish policies and procedures for asset management. Documented policies and procedures should be created, and the following considered:</p> <ul style="list-style-type: none"> <li>• Prepare a consolidated listing of assets maintained by the organisation including those provided by donor organisation</li> <li>• Asset listing should include sufficient details to identify assets like tag or label reference number, date purchased, amount, accountability among others;</li> <li>• Require accountability form for officers to whom assets are assigned;</li> <li>• Management should assign and label assets with unique asset numbers that should also be captured in the fixed assets register. The fixed asset register should additionally show the date of purchase, cost, depreciation, location and condition;</li> <li>• Regular physical verifications should be performed, and any discrepancies between the fixed asset register and the physical count results should be investigated and corrected. Evidence of physical verifications should be retained for record keeping;</li> <li>• Totals of the fixed asset register should be reconciled to the ledger control accounts and any discrepancies identified should be followed up and resolved on a timely basis. The reconciliation should be independently reviewed to ensure its accuracy and that appropriate action is taken; and</li> <li>• All major assets should be insured to minimise the loss in the event of damage or loss of an asset.</li> </ul> <p>Further, the organisation should introduce procedures and controls over the disposal of assets.</p>	

**Lack of policies and procedures for financial data management**

We found that there is no documented policies and procedures of password protection and back up of financial data. As such, there is a risk that financial data may not be available and integrity is compromised.

The organisation should establish a formal policy for data back-up to ensure security over its information. A scheduled data back-up should take place on all accounting data regularly. Copies of back-up files should be securely stored off-site. All data should be adequately protected with access restrictions to ensure its availability is restricted to authorised individuals only.

All computers, especially those that have sensitive information, must be password-protected which should be changed regularly. Best practice suggests changing the password every 60 to 90 days.

**Weaknesses in procurement procedures**



Description of finding	Recommendation	Partner comments
<p>We found that the following weaknesses about procurement procedures of the organisation:</p> <ol style="list-style-type: none"> <li>1. The IP does not have an established process for identifying, monitoring and addressing the potential conflict of interests;</li> <li>2. No process of evaluating suppliers that can be used in creating a database of trusted suppliers;</li> <li>3. Lack of policies and procedures for contract management; and</li> <li>4. Officers involved in the procurement has not carried out procurement in relation to UN project and is not aware of the procurement regulation of the agency.</li> </ol>	<p>The IP should strengthen its procurement policies and procedures to ensure that ethical procurement requirements are followed. This could be done by:</p> <ol style="list-style-type: none"> <li>1. Establish policies and procedures in the identification of conflict of interests and how to deal with noted conflict of interests;</li> <li>2. Establish a system to monitor supplier performance and maintain a database of trusted suppliers;</li> <li>3. The partner should set out a clear policy on contract management and administration which should be detailed in the procurement manual. There should be designated personnel assigned to manage and oversee contracts with clear lines of accountability.</li> <li>4. Ensure that procurement officers undertake training and seminar related to procurement procedure of the UN and other international organisation;</li> </ol>	

## Annex 5: Project Board Terms of Reference and TORs of key management positions



### *Description of Assignment*

- Prepared by:** Host organization in coordination with the UNDP Country Office/UNV Field Units or UNV Focal Points
- VMC process:** Request for the services of a UN Volunteer. The Description of Assignment (DOA) is provided on a standard UNV form which is available at any UNDP Country Office or from UNV Headquarters. This form should be completed in full, providing concise information on the project and a clear description of the UN Volunteer's assignment tasks as well as embedding volunteerism for development as per guidelines.
- Purpose:** Provide UNV HQ and the UNV candidate with information on key elements of the UNV assignment, including required competencies, roles and responsibilities of the future UN Volunteer. Serve as basis for the identification, submission and interview of UN Volunteer candidates.
- Format:** Description of Assignment

### **Guidelines on embedding Volunteerism for Development into the standard Description of Assignment for UN Volunteers**

Promoting volunteerism for peace and development is an integral part of every UN Volunteer assignment. The Description of Assignment (DOA) needs to outline ways to promote volunteerism for development through and alongside the UN Volunteer assignment.

Assignments in the fields of agriculture, HIV/AIDS, community mobilization, human rights, civil or humanitarian affairs should all provide ample opportunities for demonstrating that volunteerism contributes directly to development. For all these areas of specialization the promotion of volunteerism for development should not be expressed solely through a number of bullet points in the DOA template but should be clearly mainstreamed within the DOA. The promotion of volunteerism for development, engaging in volunteering activities, building volunteering-based partnerships, and/or mobilizing local communities needs to permeate UN Volunteer assignments and be carried out within the context of their duties.

Volunteerism for development is a means to achieve the overarching objective of the assignment; therefore, the DOA should include specific tasks related to the promotion of volunteerism for development tailor-made to the specific position. UNV encourages the inclusion of volunteerism for development in all areas of UN Volunteers' work while, at the same time, recognizing that not all assignments easily lend themselves to the pursuit of volunteerism within their framework. For such DOA where the volunteerism for development cannot be mainstreamed, we suggest the inclusion of a number of bullet points that pursue the promotion of volunteerism for development throughout the assignment in addition to the bullet points indicated in the DOA template. Those bullet points could include:

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F. +49 (0) 228-015 2001

A. Platz der Vereinten Nationen 1, 53113 Bonn, Germany  
W. [www.unv.org](http://www.unv.org)

**We are inspiration in action**

The United Nations Volunteers (UNV) programme is administered by the United Nations Development Programme (UNDP).



- Networking and building relationships with local organizations, groups or individuals and supporting and/or participating in local volunteering initiatives;
- Encouraging, mobilizing and supporting co-workers, fellow UN Volunteers and members of the local community to play an active part in development on a voluntary basis;
- Initiating and/or participating in local volunteer groups, including assisting them in submitting stories and experiences to the World Volunteer Web site;
- Discussing with supervisors on how volunteerism for development can be mainstreamed through the assignment and integrating activities that promote volunteerism for development into work plans.
- Building on this DOA template will ensure further advocacy through the promotion of volunteerism within the programme/project and within the context of the assignment. Including in DOA gives greater recognition and legitimacy to this commitment with concerned host organizations and partners.

#### DESCRIPTION OF ASSIGNMENT

**Preamble:**

The United Nations Volunteers (UNV) programme is the UN organization that promotes volunteerism to support peace and development worldwide. Volunteerism can transform the pace and nature of development and it benefits both society at large and the individual volunteer. UNV contributes to peace and development by advocating for volunteerism globally, encouraging partners to integrate volunteerism into development programming, and mobilizing volunteers.

In most cultures volunteerism is deeply embedded in long-established, ancient traditions of sharing and support within the communities. In this context, UN Volunteers take part in various forms of volunteerism and play a role in development and peace together with co-workers, host agencies and local communities.

In all assignments, UN Volunteers promote volunteerism through their action and conduct. Engaging in volunteer activity can effectively and positively enrich their understanding of local and social realities, as well as create a bridge between themselves and the people in their host community. This will make the time they spend as UN Volunteers even more rewarding and productive.

1. **Type of Assignment:** International UN Volunteer
2. **Type of Assignment Place:** Family Duty Station
3. **Assignment Title:** Disaster Risk Management Specialist
4. **Link with UNV Strategic Framework:** Community resilience for Environment and Disaster Risk Reduction
5. **Duty Station, Country:** Vientiane, Lao PDR





6. **Duration (in months):** 12 months with the possibility of extension

7. **Expected Starting Date:** Immediately

8. **Host Agency/Host Institute:** UNDP in Lao PDR

**9. Organizational Context/Project:**

Lao PDR is prone to a number of hazards, in particular storms and flooding that occur during the wet season and from typhoons. In July 2018, tropical Storm Son Tinh affected many provinces causing heavy rainfall and flooding in Bokeo, Oudomxay, Xayaboury, Luang Prabang, Huaphan, Xiengkhuang, Bolikhamxay, Khammouan, Savannakhet, Xekong and Attapeu provinces. This is the largest flood the country has seen in the past ten years and the most catastrophic impact in recent history.

UNDP has committed to contribute to the disaster risk management and climate change adaptation in Lao PDR. In support of this goal, UNDP is seeking a UN Volunteer to support the **Building Capacities for Resilient Recovery-Phase 2** being implemented through the government's Ministry of Labour and Social Welfare.

The **Building Capacities for Resilient Recovery-Phase 2** project seeks to strengthen policy, institutional and financial frameworks to plan and implement sustainable recovery processes; enhanced capacities in recovery planning and implementation; conduct post-disaster needs assessments and developing comprehensive recovery frameworks; enhance capacities for implementing sustainable recovery at community-level; and build a systematized body of knowledge and technological innovation for recovery management.

UNDP has committed to supporting Government and people of Lao PDR in the response and recovery processes which continuing to contribute to the disaster risk management programming and climate change adaptation.

**10. Description of tasks:**

The UN Volunteer will work under the direct supervision of the UNDP Disaster Risk Reduction & Management Focal point (Head of Natural Resources Management and Climate Change Unit) and the overall guidance of the UNDP Deputy Resident Representative.

The UNV DRM Specialist will provide technical guidance and capacity building. He/she will also work in close collaboration with national counterparts – especially the Ministry of Labour & Social Welfare (the DRRM focal point), the programme support staff in the UNDP Country Office, and Technical Advisors from UNDP Asia Pacific Regional Centre and Headquarters with the aim of ensuring knowledge sharing and the highest possible quality of identified outputs.



The Disaster Risk Management Specialist shall:

- Support and advise on the strengthening of capacities of the Ministry of Labour and Social Welfare (Social Welfare Department) as well members of the National Disaster Prevention and Control Committee and implementing partners;
- Support training of communities, and planning and coordination of the Post Disaster Needs Assessment (PDNA) for Bolikhamxay and Saravane provinces;
- Support the improvement and issuance of existing guidelines for standard operating procedures for early warning, communications, emergency response (under development), disaster preparedness and early recovery standards;
- Assist and guide in the development of an early warning system at the local level working closely with provincial and district government officials and international partners, in the target provinces of Bolikhamxay and Saravane;
- Support and supervise national staff and consultants in the process of drafting a gender sensitive disaster risk management law; disaster loss database; and disaster risk reduction strategy for the national, provincial and district levels;
- Provide expert guidance on the completion of instruments to establish a Disaster Prevention Fund, mechanisms and Standard Operating Procedures and SOP coordinate resource mobilization efforts to capitalize the fund;
- Engage in planning and coordination of annual Disaster Reduction Day activities;
- Develop an Exit Strategy including identifying resource mobilization for sustainability after project closure

In addition to the above, and in support of UNDP's response to the Attapeu floods the Disaster Risk Management Specialist shall also:

- Support planning and coordination of the Post Disaster Needs Assessment (PDNA) for Attapeu province;
- Support the implementation of the early recovery processes, working closely with the Early Recovery Cluster Lead at UNDP;

Furthermore, UN Volunteers are required to:

- Strengthen their knowledge and understanding of the concept of volunteerism by reading relevant UNV and external publications and take active part in UNV activities (for instance in events that mark International Volunteer Day);
- Be acquainted with and build on traditional and/or local forms of volunteerism in the host country;
- Reflect on the type and quality of voluntary action that they are undertaking, including participation in ongoing reflection activities;
- Contribute articles/write-ups on field experiences and submit them for UNV publications/websites, newsletters, press releases, etc.;
- Assist with the UNV Buddy Programme for newly-arrived UN Volunteers;
- Promote or advise local groups in the use of online volunteering, or encourage relevant local individuals and organizations to use the UNV Online Volunteering service whenever technically possible.

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**11. Results/Expected Outputs:**

- Strategy for roll out of early recovery processes.
- Project Document for on-going programme in disaster risk reduction.
- Planning, coordination and participation in PDNA.
- Timely and effective implementation of all activities identified.
- Contribute to the long-term sustainability of disaster risk reduction interventions.
- Age, Gender and Diversity (AGD) perspective is systematically applied, integrated and documented in all activities throughout the assignment
- A final statement of achievements towards volunteerism for peace and development during the assignment, such as reporting on the number of volunteers mobilized, activities participated in and capacities developed.

**12. Qualifications/Requirements (including competencies, values and skills):****A) Qualifications, skills, experience:**

**Degree level:** Master's degree

**Type of Degree:** At least Bachelor's degree in crisis prevention and recovery/disaster risk management, natural resource management, environmental sciences, Climate Change or a related field.

**Years of work experience:** 7 years

**Experience Description:**

- At least seven (7) years working experience in the development field, especially in disaster management, early recovery and climate change.
- Excellent project management skills (management of human and financial resources, team building, and ensure quality of project results as well as strict application of rules, policies and procedures).
- Knowledge of donor policies and funding modalities.
- Relevant work experience in developing countries. Previous work experience in Lao PDR or neighbouring countries an important asset.
- Knowledge of UNDP programming practices is an asset.
- Experience in gender mainstreaming in policies and programmes is an asset
- Excellent skills in Standard software (Word processing, spread sheets) are expected
- Knowledge of GIS and/or experience with the use of relational databases is an asset.





**Language (s):** Fluency in English is required.

**Driving license required:** No

**Computer skills:** Standard suite of office IT tools

**B) Competencies and values:**

**Integrity and professionalism:** demonstrated expertise in area of specialty and ability to apply good judgment; high degree of autonomy, personal initiative and ability to take ownership; willingness to accept wide responsibilities and ability to work independently under established procedures in a politically sensitive environment, while exercising discretion, impartiality and neutrality; ability to manage information objectively, accurately and confidentially; responsive and client-oriented.

- **Accountability:** mature and responsible; ability to operate in compliance with organizational rules and regulations.
- **Commitment to continuous learning:** initiative and willingness to learn new skills and stay abreast of new developments in area of expertise; ability to adapt to changes in work environment.
- **Planning and organizing:** effective organizational and problem-solving skills and ability to manage a large volume of work in an efficient and timely manner; ability to establish priorities and to plan, coordinate and monitor (own) work; ability to work under pressure, with conflicting deadlines, and to handle multiple concurrent projects/activities.
- **Teamwork and respect for diversity:** ability to operate effectively across organizational boundaries; ability to establish and maintain effective partnerships and harmonious working relations in a multi-cultural, multi-ethnic environment with sensitivity and respect for diversity and gender;
- **Communication:** proven interpersonal skills; good spoken and written communication skills, including ability to prepare clear and concise reports; ability to conduct presentations, articulate options and positions concisely; ability to make and defend recommendations; ability to communicate and empathize with staff (including national staff), military personnel, volunteers, counterparts and local interlocutors coming from very diverse backgrounds; ability to maintain composure and remain helpful towards the staff, but objective, without showing personal interest; capacity to transfer information and knowledge to a wide range of different target groups;
- **Flexibility, adaptability, and ability and willingness to operate independently in austere, remote and potentially hazardous environments for protracted periods, involving physical**



hardship and little comfort, and including possible extensive travel within the area of operations; willingness to transfer to other duty stations within area of operations as may be necessary;

- Genuine commitment towards the principles of voluntary engagement, which includes solidarity, compassion, reciprocity and self-reliance; and commitment towards the UN core values.

### 13. Living Conditions:

The position will be based in the capital, Vientiane. Living conditions in Vientiane are comfortable but residents must make concessions due to the tropical climate and still developing infrastructure, including very limited health facilities. The biggest hazards relate to traffic accidents, hence utmost care should be exerted when in traffic, especially when riding a motorbike.

The Vientiane entertainment scene is still quiet and in order to avoid feeling lonely the person should be proactive in forming friendships, and hence should be ready to make the best of e.g. the UNV Buddy Programme. The UNV Office in Laos will assist the UNV in finding adequate accommodation. Vientiane's city centre is full of restaurants, shops, bars and internet cafes all line up along the Mekong river.

### 14. Conditions of Service for international UN Volunteers:

The duration of your assignment is 12 months with possible extension.

A volunteer receives a Volunteer Living Allowance (VLA) which is composed of the Monthly Living Allowance (MLA) and a Family Allowance (FA) for those with dependents (maximum three).

The Volunteer Living Allowance (VLA) is paid at the end of each month to cover housing, utilities, transportation, communications and other basic needs. The VLA can be computed by applying the Post-Adjustment Multiplier (PAM) to the VLA base rate of US\$ 1,571. The VLA base rate is a global rate across the world, while the PAM is duty station/country-specific and fluctuates on a monthly basis according to the cost of living. This method ensures that international UN Volunteers have comparable purchasing power at all duty stations irrespective of varying costs of living. The PAM is established by the International Civil Service Commission (ICSC) and is published at the beginning of every month on the ICSC website (<http://icsc.un.org>). For example, if the PAM for the current month is 54.6%, then the VLA for that month will be  $(US\$ 1,571 \times 54.6 / 100) + 1,571 = US\$ 2,429$ . Moreover, a Family Allowance (FA) is added in accordance with the number of recognized dependents: US\$ 250 if the UN Volunteer has 1 recognized dependent, and US\$ 450 if the UN Volunteer has 2 or more recognized dependents. Accordingly, the VLA per month will be US\$ 2,200 for a volunteer



without dependent; US\$ 2,450 for a volunteer with one recognized dependent and US\$ 2,650 for a volunteer with two or more recognized dependents.

Furthermore, UN Volunteers are provided a settling-in-grant (SIG) at the start of the assignment (if the volunteer did not reside in the duty station for at least 6 months prior to taking up the assignment) and in the event of a permanent reassignment to another duty station.

UNV provides life, health, permanent disability insurances as well as assignment travel, annual leave, full integration in the UN security framework (including residential security reimbursements).

UN Volunteers are paid Daily Subsistence Allowance at the UN rate for official travels, flight tickets for periodic home visit and for the final repatriation travel (if applicable). Resettlement allowance is paid for satisfactory service at the end of the assignment.

UNV will provide, together with the offer of assignment, a copy of the Conditions of Service, including Code of conduct, to the successful candidate.

**Hiring Manager:**  
Resident Representative, UNDP in Lao PDR

A handwritten signature in blue ink, consisting of a series of loops and a long horizontal stroke at the end.

**Date: 06/08/2018**

*United Nations Volunteers is an equal opportunity programme which welcomes applications from qualified professionals. We are committed to achieving diversity in terms of gender, nationality and culture.*

## Job Description DRM Project Assistant/Coordinator

**Location: Vientiane, Lao PDR**

**Description of assignment: DRM Project Assistant/Coordinator**

**Type of Contract: SC National**

**Duration: 12 months with possibility of extension**

Lao PDR is prone to a number of hazards; in particular storms and flooding that occur during the wet season and from typhoons. In 2018, tropical storm Son Tinh affected many provinces causing heavy rainfall and flooding in Bokeo, Oudomxay, Xayaboury, Luang Prabang, Hauaphan, Xiengkhuang, Bolikhamxay, Khammouan, Savannakhet, Xekong and Attapeu provinces. This is the largest flood the country has seen in the past ten years and the most catastrophic impact in recent history.

UNDP has committed to contribute to the disaster risk management and climate change adaptation in Lao PDR. In support of this goal, UNDP is seeking a **DRM Project Assistant/Coordinator** to support in coordination of the project Building Capacities for Resilient Recovery – Phase 2 being implemented through the government 's Social Welfare Department, Ministry of Labour and Social Welfare.

The Building Capacities for Resilient Recovery-Phase 2 project seeks to strengthen policy, institutional and financial frameworks to plan and implement sustainable recovery processes; enhanced capacities in recovery planning and implementation; conduct post-disaster needs assessments and developing comprehensive recovery frameworks; enhance capacities for implementing sustainable recovery at community –level; and build a systematized body of knowledge and technology innovation for recovery management.

UNDP has committed to supporting Government and people of Lao PDR in the response and recovery processes with continuous contribution to disaster risk management programming and climate change adaptation.

### **Description of tasks**

Under direct supervision and guidance of the Project Manager and Social Welfare Department, Ministry of Labour & Social Welfare (DRRM Focal Point), the **DRM Project Assistant/Coordinator** will support in providing technical guidance and capacity building. Specifically, He/She will work in close collaboration with the, UNDP Disaster Risk Reduction and Management Focal Point (Head of Natural Resources Management and Climate Change Unit), the Programme support staff in the UNDP Country Office, and Technical Advisors from UNDP Asia Pacific Regional Centre and Headquarters, and network with the relevant government agencies, the private sector, NGOs, and civil society organizations with the aim of ensuring knowledge sharing and the highest possible quality of identified outputs.

### **The DRM Project Assistant/Coordinator shall;**

- Facilitate the operational management of project, including:
- Support and advise on strengthening capacities of the Ministry of Labour and Social Welfare as well as members of the National Disaster Prevention and Control Committee and implementing partners and local authorities' concern
- Support in training of communities, collect, analyse and present information on emerging disasters and its impact
- Assist in programme planning, monitoring and evaluation
- Collect information and support preparation of planning and reporting documents; Prepare activities, proposal, meeting minutes and other supporting documents
- Provide logistic support for missions, events, workshops, etc.



- Identify interlinkages between women, youth, people with disabilities and marginalized people voluntary actions on disaster risk reduction and its contribution to build resilience communities
- Assist and guide in the development of an early warning system at the local level working closely with the provincial and district government officials and international partners, in the target provinces of Bolikhamxay and Saravane.
- Support in the process of drafting a gender sensitive disaster risk management law with visibility to women, youth, people with disabilities and marginalized people contributions through civil engagement to demonstrate their strategic role and contribution to DRR and response to disasters.
- Promote women, youth, people with disabilities and marginalized people through civic engagement in order to have a multiplier effect, expanding participation and involving larger numbers of people who have traditionally been excluded. Advocacy and partnerships building;
- Support in the administrative work
- Undertake any other tasks as directed by the Project Manager

**Results/Expected Output:**

- Effective implementation of the project to achieve expected outputs;
- Improved communication with various partners;
- Enhanced capacity of risk assessments, risk reduction and early warning efforts in pilot areas;

**Qualifications/Requirements:**

- A Master's degree in social sciences, economics, Disaster Risk Management, development studies, natural resource management, or a related field;
- At least **5 years** of relevant work experience in a disaster related field such as agriculture and rural development, water resources management, poverty reduction, environment, emergency management, and with demonstrated interests in disaster risk reduction and sustainable development.

**Competencies:**

- Work experience using participatory approaches, is an advantage;
- Understand the basic government structure and mechanism
- Excellent communication skills and ability to draft clearly and succinctly in English and Lao;
- Detail-oriented and excellent at multi-tasking;
- High degree of independence, creativity and ability to motivate;
- Excellent skills in standard software (MS Office);
- Ability to work on multiple tasks and against tight deadlines;
- Strong analytical and strategic thinking abilities;
- A proactive, participatory and result oriented approach to their work;
- Commitment to Knowledge Sharing/Continuous Learning.
- Experience working for the Government of Lao PDR and UN is an asset; Ability and willingness to travel within and outside Lao PDR; Proven track record of project management and project team experience working with government, NGOs, and other key stakeholders in Lao PDR.

### **Responsibilities of the Implementing Agency (UNDP) (cost for the service, please refer to Annex 7)**

The United Nations Development Programme (UNDP) is the official Implementing Agency for the project; its main responsibilities related to the project are to:

- Designate a programme officer responsible for providing substantive and operational advice and to follow up and support the project's development activities;
- Provide oversight and monitoring of the project's implementation and achievement of the project outputs, and ensure that all activities, including procurement and financial services, are carried out in strict compliance with UNDP procedures;
- Advise the project on management decision making, as well as to guarantee quality assurance;
- Be a member of the Project Steering Committee and other Committees or Groups considered part of the project structure;
- Administer the financial resources agreed in the budget / workplan and approved by the project's board; monitor financial expenditures against project budgets / workplans; and oversee the provision of financial audits of the project;
- Participate in the recruitment and hiring of project staff, the selection and hiring of project contractors and consultants; and the appointment of independent financial auditors and evaluators;
- Co-organize and participate in the events carried out in the framework of the Project;
- Use national and international contact networks to assist the project's activities and establish synergies between projects in common areas and/or in other areas that would be of assistance when discussing and analysing the project;
- Provide Support in the development and instrumentation of the project's gender strategy.
- Ensure that all project activities, including procurement and financial services, are carried out in strict compliance with the procedures of the UNDP;
- UNDP and the Government of Lao PDR have signed a Letter of Agreement for the Provision of Support Services, which specifies that the UNDP Country Office will be responsible for: (i) identification and/or recruitment of international project and programme personnel; (ii) identification and facilitation of training activities; (iii) procurement of goods and services over identified thresholds; and (iv) appointment of independent financial auditors and project evaluators

### **Responsibilities of Project Board**

The Project Board will serve as the project's coordination and decision-making body, providing guidance and oversight for the implementation of the project and ensuring that the project remains on course to deliver the desired outcomes of the required quality. The board will meet at least once per year to review project progress, approve project work plans and approve major project deliverables. The responsibilities of the board shall include, but not be limited to:

- Review, approve and amend this project document, including the Monitoring and Evaluation (M&E) framework, the budget, and the implementation plan;
- Monitor compliance with the Project's objectives;
- Discuss progress and identify solutions to problems;
- Review and approve the Annual Work Plan (AWP) and the consolidated financial and progress reports;
- During the life of the project, review proposals for major budget re-allocation such as major savings or cost increases, or for use of funds for significantly different activities;
- Review evaluation findings related to impact, effectiveness and the sustainability of the project;
- Monitor both the budget and the prompt delivery of financial, human and technical inputs to comply with the work plan;
- Ensure the participation and ownership of stakeholders in achieving the objectives of the project;
- Ensure communication of the project and its objectives to stakeholders and the public;
- Approve the project communication strategy and public information plans;
- Facilitate linkages with high-level decision making;
- Convene ordinary meetings to consider the progress made by the project;



- Approve and supervise the hiring and work of project staff; and
- Convene, if necessary, extraordinary meetings.

Members of the Programme Board will be selected in consultation with the Department of International Cooperation, and will include:

- Representative of Ministry of Labour and Social Welfare (Chair of the Board);
- Representatives of Department of International Cooperation of Ministry of Planning and Investment and Department of Climate Change of Ministry of Natural Resources and Environment;
- Respectively beneficiaries;
- Representatives from provincial authorities (select and rolling basis);
- Representative of UNDP



Empowered lives.  
Resilient nations.

# Building Capacities for Resilient Recovery – Phase II

## Terms of Reference for Project Steering Committee

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## 1. BACKGROUND

The Department of Social Welfare of the Ministry of Labour and Social Welfare (MLSW) is the project implementing partner and Chair. The project itself is supported by UNDP (management and procurement) and funded by Luxembourg AID and Development of the Government of Luxembourg. Other Responsible Implementing Partners includes Department of International Cooperation of the Ministry of Planning and Investment (DIC, MPI), Department of Climate Change of the Ministry of Natural Resources and Environment (DCC, MONRE) and the Provincial Representatives of Bolikhamxay and Saravane.

The project will be executed under National Implementation Modality (NIM) with 100% Country Office Support, which is a requirement of global projects and will provide the necessary support to the Government during the response to the 2018 floods. The Implementing Partner will be the Social Welfare Department, Ministry of Labour and Social Welfare, which is also the Secretariat of National Disaster Prevention and Control Committee (NDPCC). Implementation will be following UNDP's Programme and Operations Policies and Procedures, per its role as implementing agency. Execution of the project will be subject to oversight by a Project Steering Committee. Day to day coordination will be carried out under the supervision of a Project Management Office, led by a Project Manager who will be based in the Social Welfare Department.

The National Disaster Prevention and Control Committee Secretariat Office (Department of Social Welfare) under the Ministry of Labour and Social Welfare (MLSW) was established in 1997 with support from UNDP. In 1999 the Inter-ministerial National Disaster Management Committee (NDMC) was established under Prime Minister Decree 158. The NDMO was assigned as the Secretariat to the NDMC and later a focal point structure was established - consisting of NDMC members and units within each key ministry. The MLSW issued Decision No. 097 in June 2000 detailing the mandate of the Secretariat, which outlines the roles and responsibilities of the individual NDMC members. In 2011, the Decree of NDMC (Decree No 158) was revised and the name of NDMC was changed to be National Disaster Prevention and Control Committee (NDPCC), with a mandate to address the needs of preventing and controlling disasters, planning cycle for DRM (preparedness, risk reduction and response) and disaster resilience development. In 2011, the Secretariat also moved from MLSW to the newly created Ministry of Natural Resources and Environment where the Department of Disaster Management and Climate Change (DDMCC) was established. The Secretariat has been moved from Ministry of Natural Resources to the Ministry of Labour and Social Welfare (Government Meeting Minute in August 2017 and Decree number 75/PM, dated 28 February 2018). The Department of Disaster Management and Climate Change in the Ministry of natural Resources and Environment has also changed name to the Department of Climate Change and has the mandate for climate risk adaptation, preparedness, forecasting and all climate change related activities, while the Social Welfare Department in the Ministry of Labour and Social Welfare has recently regained the mandate of Secretariat Task for National Disaster Prevention and Control with emphasis of disaster preparedness, prevention, risk reduction, response and recovery.

## 2. PROJECT STEERING COMMITTEE TERMS OF REFERENCE AND TORS OF KEY MANAGEMENT POSITIONS

### a. Project Steering Committee

**Overall responsibilities<sup>[1]</sup>:** The Project Steering Committee is the group responsible for making by guiding and steering direction of the project, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Steering Committee decisions should be made in accordance to standards<sup>[2]</sup> that shall ensure best value to money, fairness, integrity transparency and effective

<sup>[1]</sup> Source: Guidelines on UNDP Implementation of UNDAF Annual Review Process

<sup>[2]</sup> UNDP Financial Rules and Regulations: Chapter E, Regulation 16.05: a) The administration by executing entities or, under the harmonized operational modalities, implementing partners, of resources obtained from or through UNDP shall be carried out under their respective financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and

international competition. In case a consensus cannot be reached, final decision shall rest with the UNDP Programme Manager. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Manager. This group is consulted by the Project Manager for decisions when PM tolerances (normally in terms of time and budget) have been exceeded.

Based on the approved annual work plan (AWP), the Project Steering Committee may review and approve project quarterly plans when required and authorizes any major deviation from these agreed quarterly plans. It is the authority that signs off the completion of each quarterly plan as well as authorizes the start of the next quarterly plan. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the project and external bodies. In addition, it approves the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities.

### 3. COMPOSITION AND ORGANIZATION

This group contains three roles, including:

- 1) An **Executive**: individual representing the project ownership to chair the group.
- 2) **Senior Supplier**: individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project. The Senior Supplier's primary function within the Steering Committee is to provide guidance regarding the technical feasibility of the project.
- 3) **Senior Beneficiary**: individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Steering Committee is to ensure the realization of project results from the perspective of project beneficiaries.

The Project Steering Committee members will be determined at project inception. The Executive role can be held by a representative from the Government Cooperating Agency or UNDP, the Senior Supplier role is held by a representative of the Implementing Partner and/or UNDP, and the Senior Beneficiary role is held by a representative of the government or civil society. Representative of other stakeholders can be included in the Steering Committee as appropriate.

#### Specific responsibilities:

##### *Defining a project*

- Review and approve the Initiation Plan (if such plan was required and submitted to the LPAC).

##### *Initiating a project*

- Agree on Project Manager's responsibilities, as well as the responsibilities of the other members of the Project Management team;
- Delegate any Project Assurance function as appropriate;
- Review the Progress Report for the Initiation Stage (if an Initiation Plan was required);
- Review and appraise detailed Project Plan and AWP, including Atlas reports covering activity definition, quality criteria, issue log, updated risk log and the monitoring and communication plan.

##### *Running a project*

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Project Manager;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Agree on Project Manager's tolerances in the Annual Work Plan and quarterly plans when required;

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Rules of UNDP. b) Where the financial governance of an executing entity or, under the harmonized operational modalities, implementing partner, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, that of UNDP shall apply.



- Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Steering Committee about the results of the review.
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded;
- Assess and decide on project changes through revisions;

#### *Closing a project*

- Assure that all Project deliverables have been produced satisfactorily;
- Review and approve the Final Project Review Report, including Lessons-learned;
- Make recommendations for follow-on actions to be submitted to the Outcome Steering Committee;
- Commission project evaluation (only when required by partnership agreement)
- Notify operational completion of the project to the Outcome Steering Committee.

#### Executive

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

#### **Specific Responsibilities** (as part of the above responsibilities for the Project Steering Committee)

- Ensure that there is a coherent project organisation structure and logical set of plans
- Set tolerances in the AWP and other plans as required for the Project Manager
- Monitor and control the progress of the project at a strategic level
- Ensure that risks are being tracked and mitigated as effectively as possible
- Brief Outcome Steering Committee and relevant stakeholders about project progress
- Organise and chair Project Steering Committee meetings

The Executive is responsible for overall assurance of the project as described [below](#). If the project warrants it, the Executive may delegate some responsibility for the project assurance functions.

#### Senior Beneficiary

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.

#### **Specific Responsibilities** (as part of the above responsibilities for the Project Steering Committee)

- Ensure the expected output(s) and related activities of the project are well defined
- Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective
- Promote and maintain focus on the expected project output(s)
- Prioritise and contribute beneficiaries' opinions on Project Steering Committee decisions on whether to implement recommendations on proposed changes
- Resolve priority conflicts

The assurance responsibilities of the Senior Beneficiary are to check that:

- Specification of the Beneficiary's needs is accurate, complete and unambiguous
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target
- Impact of potential changes is evaluated from the beneficiary point of view
- Risks to the beneficiaries are frequently monitored

Where the project's size, complexity or importance warrants it, the Senior Beneficiary may delegate the responsibility and authority for some of the assurance responsibilities (see also the section [below](#))

#### Senior Supplier

The Senior Supplier represents the interests of the parties which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Steering Committee is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role.

#### **Specific Responsibilities** (as part of the above responsibilities for the Project Steering Committee)

- Make sure that progress towards the outputs remains consistent from the supplier perspective
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management
- Ensure that the supplier resources required for the project are made available
- Contribute supplier opinions on Project Steering Committee decisions on whether to implement recommendations on proposed changes
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts

The supplier assurance role responsibilities are to:

- Advise on the selection of strategy, design and methods to carry out project activities
- Ensure that any standards defined for the project are met and used to good effect
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective
- Monitor any risks in the implementation aspects of the project

**Minutes of Meeting**  
**Local Project Appraisal Committee Meeting for**  
**Poverty Environment Initiative Programme Phase 3 Lao PDR Project;**  
**and Building Capacities for Resilient Recovery Phase 2 Project**  
**Tuesday, 29 May 2018**  
**Lane Xang Conference Room, UNDP Office, Vientiane**

**1. Background**

The Lao PDR Poverty-Environment Initiative (PEI) has been designed to support the central, provincial and district authorities in the effective promotion, regulation and enforcement of foreign, domestic and public investments. Initiated in 2009, the PEI programme addresses poverty reduction and environmental protection by supporting the Government's national socio-economic planning and strategy formulation processes. The programme also focusses on building investment regulatory tools and the knowledge to assess, measure and enforce financial, social and environmental obligations of developers. Another aspect includes strengthening Lao PDR's National Assembly's ability to deliver their constitutional oversight role on investment quality.

The Improving Quality Investment for Achieving Sustainable Development Goals in Lao PDR (July 2018 – May 2022) will build on the package of tools already established by the PEI Programme while further expanding the PEI's Approach and tools to other important institutions that play a role in investment regulatory compliance. The objectives of the project are to strengthen the government's regulatory capacity to coordinate and promote higher quality investment; improvement of the ease-of-doing business; transparency; accountability; and effectiveness of investment management in order to achieve the sustainable development goals in Lao PDR.

Lao PDR is regularly affected by typhoons, floods, flash-floods, droughts, landslides, earthquakes, epidemics, and UXO contamination which have negatively impacted its development. Flooding is the major cause of disasters in Lao PDR - both in terms of frequency and intensity, as well as in terms of impact. The Mekong River is a defining landscape feature, as 60% of its length runs through Lao PDR and there is flooding every year in the central and southern parts of the country and flash floods in the north.. In August 2008 the Mekong River exceeded historical levels and reached its highest peak in 100 years (GAR 2009). Typhoon Ketsana in 2009 caused a reported economic loss of USD 100 million and Typhoon Haima in 2011 reported losses of USD 663,095,594 (WB 2012).

Furthermore, a major drought affected the entire country in 1988 impacting 730.000 people. In comparison, on average, annual expected loss from disasters is estimated at USD 30 million which amounts to 0.7% GDP (WB 2012). The country's reliance on extractive uses of natural resources exacerbates weaknesses and increases climate and disaster risks. Early warning systems and data

management are weak and climate risks are not well integrated into rural and agricultural development policies. Resilience at the community level is low due to the prevalence of monoculture, lack of diversity in livelihoods and limited infrastructure.

## **2. Objectives of the LPAC meeting**

The Local Project Appraisal Committee Meeting is a requirement to ensure adequate consultations and inclusivity in project design. The specific objectives are:

- To present and discuss the project design, outputs and activities for the two projects entitled Improving Quality Investment for Achieving Sustainable Development Goals in Lao PDR and Capacity Building for Resilient Recovery.
- To discuss and consolidate comments and feedback from stakeholders to ensure that the design of each project is properly addressed and the interests of stakeholder groups are incorporated in the final project documents.
- To present next steps and timeline for signing the project document.

## **3. Participants**

Approximately 50 people attended the meeting, including representatives from the Ministry of Planning and Investment, Ministry of Natural Resources and Environment, Ministry of Labour and Social Welfare, Ministry of Agriculture and Forestry, GGGI, LX Lao Laws Advisor, UNDP Lao PDR, ADB, NIER, Lao National Chamber of Commerce and Industry, French Embassy, IOM, and UNCDF. The Sign-in Sheet is attached in Annex 1.

## **4. Meeting proceedings**

### **4.1 Opening remarks**

The meeting was Chaired by Mr. Manothong Vongsay, Director General, Investment Promotion Department of Ministry of Planning and Investment and Co-chaired by Madame Kaarina Immonen, United Nations Resident Coordinator and UNDP Resident Representative in Lao PDR. Opening Remarks of Chair and Co-Chair are attached at Annex 2 and Annex 3. The agenda of the Meeting is given in Annex 4.

### **4.2 Presentation on Improving the Quality of Investments for Achieving Sustainable Development Goals in Lao PDR**

The presentation of the project design was delivered by Mr. Korakham Luanglath, Deputy Director of the PPP Division, Investment Promotion Department. Mr. Khorakham's presentation covered 10 topics: background information of PEI project, Relevance to Global Outputs, UNPFA/CPD, and National Plans, Investment situation and priority of the government, overview economic situation in Lao PDR and rational, overview of the project, PEI approach, Outputs and activities, project budget, potential partnership, and the next steps. Mr. Khorakham mentioned that the objectives of PEI Global Phase 2 are to promote coherent policies and increased investments in



poverty eradication, that improve environmental sustainability and increase climate resilience. In the PEI Lao PDR Phase 3, the name of the project has been changed to emphasize capacity building, by applying investment management tools for quality of investments and inclusive business models that support Poverty-Environment objectives.

In particular, the deputy director delivered 3 outputs: aspects of policy, investment from the private sector, and innovative approaches and tools. Speaking on PEI's approach to Investment Quality perspectives, he added the importance of a tracking system and data base for investments (as output 2) and the necessity of monitoring how to comply with the regulations for investment regulatory oversight (as output 3). In addition, he gave a project brief including the staff involved in the project, budget, potential partners, and steps to come. A detailed PPT presentation is given in Annex 5: Presentation on Improving the Quality of Investment for Achieving Sustainable Development Goals in Lao PDR.

During discussion time, there were several comments and questions from participants regarding the project. The National Institute for Economic Research(NIER) asked what and how they could contribute to this project as a partner. Following this question, MPI replied that independent ministries and agencies, such as NIER, have their own specialities and can contribute by providing and updating the specific data and information to propel decision and policy making. This partnership should therefore be finalized. In addition, UNDP replied that in Phase 3, project activities related to investment barrier removal would be required to form discussion and collaboration, and that existing mechanisms to identify investment barriers should be removed, and research how to remove them. The issues to be resolved by the research recommendation could be defined as either short-term or long-term issues. In this way, NIER as a research organization, can play a crucial role in the project implementation.

Ms. Sisavanh, Deputy Director General of the Department of Planning, Ministry of Planning and Investment acknowledged that the design of the PEI Lao PDR Phase 3 is in line with the 8<sup>th</sup> NSEDP Output 1 and 3. However, she asked: how the project could also link to the NSEDP Output 2; which PEI tools are to be used to support MPI in promoting economic diversification; how to link SME and Concession project; and which project criteria will be used to guide the selection of private investments that address green growth. DOP is happy to partner with IPD to implement the PEI Phase 3. Mr. Manothong replied that there are several sectors, such as service and agriculture, already aligned with the 8<sup>th</sup> NSEDP which aims to achieve sustainable economic growth and poverty reduction, while strengthening private sector productivity. In addition, there are Investment Promotion Committees which manage small scale to large scale investment projects.

UNDP noted that some PEI tools or PEI Phase 3 Project activities are to be used for promoting economic diversification. First, the investment promotion profile development activity/tool; the project will support the government to develop the investment promotion profiles based on potential and available resources of specific province across the country. The investment profile would include investment for many sectors as such ecotourism, services, and small agriculture

to affected people to increase their income in the next five years. Cooperation in terms of promotion of local eco-tourism is also of interest.

To summarize the first session, Madame Kaarina highlighted the importance of quality and innovative investment is part of economic diversification. NIER has an important role in policy dialogue. We should ensure that Green Growth Strategy links to the work of PEI Phase 3. Madame also mentioned the role of UNCDF which is to gather the information and strategy for co-financing with different business sectors and thanked Nam Niep representative for highlighting watershed management as an investment profile.

Additional comments from stakeholders during the break include comments from:

- Special Economic Zone representative recommended that stakeholders to implement the project activity should include SEZ. In terms of capacity building or training activities, the project should include participants from MOIC, MONRE, MPI and SEZ, as these agencies play important roles in investment approval and management. Investment promotion profiles should consider partnering with SEZ to develop and promote quality investment in the SEZ area, as well as link new investments to SME, and value chain investment sectors.
- The Department of Natural Resources and Environmental Policy in MONRE received funding from the WB LENC2 Project, in which some of their project activities link to support investment monitoring and upgrading environmental databases. They are happy to partner with PEI Phase 3 to link the ESIA/IEE database together with IPD concession compliance database and support the development of the joint investment monitoring mechanism.
- National Assembly representatives expressed their interest in participating in the capacity building/training activities of the project and joint monitoring activity.

#### **4.3 Presentation on Building Capacities for Resilient Recovery Project**

The presentation of the project design was delivered by Mr. Sombath Douangsavanh, Technical Staff of Disaster Management Division, Social Welfare Department of the Ministry of Labour and Social Welfare. Mr. Sombath spoke about several topics in his presentation: the mandate and role of Ministry of Labour and Social Welfare; background information on disasters in Lao PDR; the global project; objectives of the project; the four outputs of the project; a brief introduction of target provinces (Bolikhamsay and Saravane); and the next steps toward the signing of the project document. Mr. Kindavong mentioned that the specific role of the ministry is to prepare and provide welfare and relief assistance to disaster victims. Since Lao PDR is vulnerable to natural hazards and man-made disasters, this project is important in terms of contributing to strengthening national and local government capacities to prepare for the recovery processes. In addition, Mr. Sombath explained that the target provinces, Bolikhamsay and Saravane, are two of the provinces most impacted by natural disasters.

Detailed PPT presentation is given in Annex 6: Presentation on the Building Capacities for Resilient Recovery.

In the discussion, there were several comments and questions from participants regarding the project. The first question was from CARE International on training for communities in recovery and disaster-resilient-construction technologies: what types of technology should be adopted to this project, and how to develop the guidelines for strengthening resilience of communities and cities? The second question was about the establishment of a recovery fund at the household level: who will help to establish the fund? MLSW replied that there are specific technologies and initiatives to be implemented during the project. However, skilled-based training should be conducted in the provinces to correspond with a particular type of disaster. Regarding the recovery fund, MLSW added that there are some provinces that have already set up their own fund called "Social Welfare Fund", and we should apply this at the district level. He added that each province should independently raise funds through their own committees. UNDP also added that the curriculum for the communities in recovery and disaster-resilient-construction training will be designed in partnership with vocational training organizations, and technology to be applied will be selected based on interest and skills needed by communities.

Ms. Sisavanh, DDG of DOP/MPI indicated that this project is also linked to the implementation of 8<sup>th</sup> NSEDP. What is the timeframe of the project? Who are the key partners? Is early warning included in the project activities? Strengthening the capacity to implement the disaster recovery should consider capacity for the main government institute as well as the coordination mechanism. Capacity for climate resilience should include local communities as well. Is there any plan for financial sustainability in the project activities?

A representative from NAFRI informed that they provide information and give warning notification to public if rain or heavy storm is coming. They are happy to work with the project team in the future. Which communities/districts in Saravanh and Borikhamxay provinces are to be covered by this project? A representative from DCC/MONRE recommended that PDNA training should be a training of trainers.

A representative from NIER asked for more clarification about the scale of the disaster recovery fund? Would it be big or small scheme?

The response was that the details of the disaster recovery fund would be determined during the project. The project will help to establish the fund and the mechanism for operating the fund but the project will not capitalize or provide the inflows into the fund. The establishment of the fund will contribute to sustainability.

There were some discussions about the maintenance of equipment and facilities. One participant brought up the issue that despite the existing recovery instruments and systems, it is hard to maintain these because of the lack of skilled managers and costs. The Lao National Chamber of Commerce and Industry noted

the need for innovation and spoke on the potential for mobile phone applications in partnership with telecommunications companies to get timely messages to communities. LNCCI also recognized the importance of Oudomxay province as a disaster-prone province.

A representative from the private sector, Nam Niep 1 Hydro Power Plant contributed that they are currently working in Bolikhan and Paksan in Bolikhamxay Province and recommended consideration of these two districts. This would allow some opportunity for partnerships with UNDP and MLSW on this project. Nam Niep 1 has worked with these two districts on Emergency and Preparedness Plans, and are also working with MONRE on the collection of hydro-meteorological data.

Dr. Margaret of UNDP informed that the project will select 1 district in each province and target villages will be determined during the inception phase. Capacity building and strengthening coordination mechanisms in disaster recovery will be part of the project activities. Dr. Margaret noted that UNDP would be supporting PDNA training in the first week of July under another initiative. It would be useful for government officials and other stakeholders to utilize the knowledge for disaster management and integrate climate risks into development policies. She added that it is crucial to establish the community fund for their capacity building. In addition, participants suggested that let's utilize the mobile platform and application to accumulate the knowledge of disaster management and collaborate with private sector in providing the methodologies and consultations from their monitoring station.

#### **5. Closing remarks**

Dr. Margaret thanked all participants for attending and MPI and MLSW teams for the presentations, noting that the collaboration among stakeholders is very important to this project. Also, when we recognize the interests of each stakeholder, we can seek a way of engagement more easily and effectively. Dr. Margaret also emphasized that Lao PDR should be congratulated for being named as a beneficiary country in Phase 3 of PEI, and also as only one of the two countries in South East Asia selected to participate in the global project on Resilient Recoveries. Finally, Dr. Margaret noted the next steps for signing the two project documents, and project initiation, expected in the 3<sup>rd</sup> quarter of this year.

Mr. Manothong thanked the to two project team for preparing the material for the meeting. All comments are well noted and will be used to improve our project documents. Thanks to all participant to attend the meeting.



**Approved by: Representative from MPI**



.....  
**Mr. Manothong Vongsay**  
**Director General**  
**Department of Investment Promotion**  
**Ministry of Planning and Investment**  
**Date:**

**Approved by: Representative from  
UN/UNDP**

.....  
**Mmc. Kaarina Immonen**  
**United Nations Resident Coordinator and**  
**UNDP Resident Representative**  
**Lao PDR**  
**Date:**

## **Annex 7: Letter of Agreement with Government for support services**

### **STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT FOR THE PROVISION OF SUPPORT SERVICES**

1. Reference is made to consultations between officials of the Government of Lao People's Democratic Republic (hereinafter referred to as "the Government") and officials of UNDP with respect to the provision of support services by the UNDP Country Office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP Country Office may provide such support services at the request of the Government through its institution designated in the relevant programme support document or project document, as described below.
2. The UNDP Country Office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP Country Office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP Country Office in providing such support services shall be recovered from the administrative budget of the office.
3. The UNDP Country Office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:
  - (a) Identification and/or recruitment of project and programme personnel;
  - (b) Identification and facilitation of training activities;
  - (c) Procurement of goods and services;
4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP Country Office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the programme support document or project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a programme or project, the annex to the programme support document or project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.
5. The relevant provisions of the Standard Basic Assistance Agreement 10 October 1988 (the "SBAA"), including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed programme or project through its designated institution. The responsibility of the UNDP Country Office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the programme support document or project document.
6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP Country Office in accordance with this letter shall be handled pursuant to the relevant provisions of the SBAA.
7. The manner and method of cost-recovery by the UNDP Country Office in providing the support services described in paragraph 3 above shall be specified in the annex to the programme support document or project document.

8. The UNDP Country Office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP Country Office for nationally managed programmes and projects.



Signed on behalf of UNDP

Kaarina Immonen

Resident Representative

Date:

ka

upw



Signed on behalf of Government

Mr. Vilayphong Sisomvang

Director General a.i

Department of Social Welfare

Ministry of Labour and Social Welfare

Date:



Attachment to the LOA

**DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES**

1. Reference is made to consultations between Department of Social Welfare in the Ministry of Labour and Social Welfare the institution designated by the Government of Lao People's Democratic Republic and officials of UNDP with respect to the provision of support services by the UNDP Country Office for the nationally managed programme or project "Building Capacities for Resilient Recovery Phase 2 in Lao PDR Project". [ "the Project" ].

2. In accordance with the provisions of the letter of agreement signed on and the Project support document the UNDP Country Office shall provide support services for the Project as described below.

3. Support services to be provided:

Support services (Insert description)	Schedule for the provision of the support services	Cost to UNDP of providing such support services (where appropriate)	Amount and method of reimbursement to UNDP (where appropriate)
1. Identification and/or recruitment of project and programme personnel including national and international consultants to include sourcing, contracting and payments.	Annually	USD2,500	Estimated value of the support is USD2,500 Reimbursement for service costed will be based on annual Universal Price List (UPL) per transaction.
2. Procurement of goods and services including procurement of, IT equipment, office furniture to include sourcing and payment	Annually	USD2,500	Estimated value of the support is USD2,500 Reimbursement for service costed will be based on annual Universal Price List (UPL) per transaction.
3. Direct Project Costs (development effectiveness support, communication support; policy advisory services; identification and facilitation of training activities)	Annually	USD8,020	To be calculated quarterly based on staff workload assessment.
4. Monitoring and Evaluation, Spot Checks and Annual Audits	Annually	USD2,000	Estimated value of the support is USD2,000 covering recruitment process and payment for monitoring and evaluation, annual spot check and audits. Reimbursement for service costed



5. Communication	Annually	USD3,000	Estimated value of the support is USD3,00 Reimbursement for service costed will be based on annual Universal Price List (UPL) per transaction.
6. General Management Cost (8%)	Annually	USD48,480	To be calculated quarterly based.
<b>TOTAL</b>		<b>USD66,500</b>	

4. Description of functions and responsibilities of the parties involved:

UNDP Country Office will collaborate with the Department of Social Welfare in the Ministry of Labour and Social Welfare on the preparation of required Terms of Reference for consultants to be recruited, and specifications for vehicles to be purchased. UNDP Country Office will provide services for development effectiveness, monitoring and evaluation.

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International Federation  
of Red Cross and Red Crescent Societies

Country Cluster Support Team

Bangkok, 28 September 2018

**To: Ms. Kaarina Immonen**  
Resident Coordinator, UN Lao PDR  
Resident Representative, UNDP Lao PDR  
Lane Xang Avenue P.O. Box 345  
Vientiane, Lao PDR

Dear Ms. Immonen:

On behalf of the International Federation of Red Cross and Red Crescent Societies (IFRC), I hereby confirm our parallel co-financing for the "Building Capacities for Resilient Recovery" project of UNDP Lao PDR ("UNDP project"), through the: (1) "IFRC Building Regional Capacity and Collaboration for Community Resilience in Southeast Asia: Reducing the Impact of Disasters on Vulnerable Communities" ("IFRC project"); and (2) "IFRC Emergency Appeal for Lao PDR Flash Floods", No. MDRLA005 ("IFRC Emergency Appeal").

The proposed UNDP project is complementary to the scope of the **IFRC project** which aims to reduce the vulnerability of vulnerable communities in SEA to natural disasters, with emphasis on women, boys and girls. One of the intermediate outcomes of the IFRC project is increased capacity of Southeast Asia Red Cross Red Crescent National Societies to promote community DRR issues at national level. In particular, this supports Lao Red Cross (LRC) to develop Disaster Law advocacy plans & processes which is the basis of IFRC and LRC's ongoing support to the Ministry of Labour and Social Welfare in the development of the Disaster Management Law. The IFRC project is generously funded by the Government of Canada through Canadian Red Cross.

The proposed UNDP project is also complementary to the scope of the **IFRC emergency appeal** which aims to assist the affected population throughout all phases of relief to recovery. One of the strategies of the operation is to continue supporting Lao PDR in the development of the Disaster Management Law, through enabling the Red Cross in influencing and strengthening the policy and implementing regulatory framework for climate-smart disaster risk management approaches in the country. The IFRC emergency appeal is funded by various donors.

Given the close synergies between the projects, the IFRC project and IFRC emergency appeal are considered as a collaborative direct value-added co-financing to the proposed UNDP project. The parallel contribution from the IFRC project is estimated at CHF 10,000 for until 30 September 2018, and the parallel contribution from the IFRC emergency appeal is estimated at CHF 25,000 from August 2018 until January 2020.

[www.ifrc.org](http://www.ifrc.org)  
Saving lives, changing minds.

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Ocean Tower I, 5th Floor  
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Klong-toey, Bangkok 10110  
Thailand

I look forward to continuously working with UNDP Lao PDR on this endeavour.

Sincerely,



**Hung Ha Nguyen**  
Acting Head of Country Cluster Support Office  
International Federation of Red Cross and Red Crescent Societies



Asian Development Bank

UN Lao PDR Resident Coordinator  
Lane Xang Avenue  
P.O. Box 345 Vientiane,  
Lao PDR

DATE:	24 JUL 2018
ACTION	INFO
DRR	ll
23 July 2018	
ADM	
FIN	
ENV	
FILE:	287/2018

*MJW*  
*Env Unit*

**Subject: Cofinancing for "Building Capacities for Resilient Recovery" ("Project")**

Dear Sir/Madam,

I hereby confirm that the Asian Development Bank ("ADB") agrees to provide parallel co-financing for the Project through our existing Technical Assistance 9159 REG: Legal Readiness for Climate Finance and Climate Investments ("TA 9159").

The proposed Project is complementary in scope to the ADB's TA 9159, one output of which aims to strengthen climate resilience and disaster risk management by helping the Ministry of Labour and Social Welfare (MLSW) finalize its law on disaster risk management.

Given the close synergies between the projects, a portion of TA 9159 allocated for MLSW in connection with the finalization of its disaster risk management law is considered as collaborative direct value-added co-financing to the Project. The contribution from TA 9159 to the Project is estimated at US\$122,000 for the period from 2018- 2020.

During the further implementation of the respective projects, ADB would like to request that UNDP coordinate with ADB so that potential synergies can be realized.

Best regards,

*Yasushi Negishi*  
Yasushi Negishi  
Country Director

- Cc:
- Mr. Prasong Vongkhamchan, Director General, Department of Social Welfare, MLSW
  - Mr. Vilayphong Sisomvang, Deputy Director General, Department of Social Welfare, MLSW
  - Dr Margaret Jones Williams, Head, Natural Resources Management and Climate Change, UNDP Lao PDR
  - David Salter, Principal Natural Resources and Agriculture Specialist, SEER, ADB
  - Sisavanh Phanouvong, Senior Project Officer, LRM, ADB
  - Ilaria Caetani, Principal Financing Partnerships Specialist, Office of Cofinancing Operations, ADB
  - Irum Ahsan, Senior Counsel, Office of the General Counsel, ADB
  - Christina Pak, Senior Counsel, Office of the General Counsel, ADB
  - Takako Morita, Senior Counsel, Office of the General Counsel, ADB
  - Ma. Celeste Saniel-Gois, Senior Legal Operations Officer, ADB

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