

LAO PEOPLE’S DEMOCRATIC REPUBLIC
Second Lao Environment and Social Project (LENS2)
(P128392 and P128393)

JOINT IMPLEMENTATION SUPPORT MISSION
October 26 to November 13, 2020

AIDE-MEMOIRE

I. Introduction

1. The World Bank team¹ conducted an implementation support mission from October 26 – November 13, 2020 for the Second Lao Environment and Social Project (LENS2) jointly with the Environment Protection Fund (EPF), the Ministry of Natural Resource and Environment (MONRE), and the Ministry of Agriculture and Forestry (MAF). This Aide Memoire summarizes the mission’s findings and next steps as discussed during the wrap-up meeting chaired by Mme. Phakavanh Phissamay, Acting Executive Director of EPF Office (EPFO). The aide-memoire will be publicly disclosed as per usual practice, but the government can request non-disclosure if it so wishes.
2. The objectives of the mission were to provide support for implementation of LENS2 activities, and to assess the progress made toward the Project Development Objective (PDO) since the May 2020 mission. The mission was held in part virtually due to current COVID-19 domestic travel restrictions.
3. The mission held virtual meetings for 18 sub-projects in seven provinces (Houaphanh, Xiengkhouang, Luang Prabang, Vientiane, Bolikhamxay, Khammouane, and Savannakhet) addressing Protected Areas (PAs), illegal wildlife trade and environmental and social risk management. The mission also held face-to-face meetings for 18 sub-projects at the national level. The mission team would like to thank all participants for their active participation, advice and information, whether virtually or in person. Please refer to Annex 1 for a list of people met.

II. Project Data

| | | | | | |
|-----------------------|--------------------------|---------------------------|--------------|---------------------------|--------------|
| Project Number | P128393/P128392 | Approval Date | 2 April 2014 | Effectiveness Date | 4 July 2014 |
| IDA Credit Amount | US\$32 million | IDA Disbursement | 89.8% | Closing Date | 30 June 2022 |
| GEF Grant Amount | US\$6.83 million | GEF disbursement | 82.6% | | |
| Total amount | US\$38.83 million | Total disbursement | 88.4% | | |

¹ The mission was co-led by Mr. Stephen Danyo (Senior Environmental Specialist, Task Team Leader) and Mr. Viengkeo Phetnavongxay (Senior Environmental Specialist and co Task Team Leader), and included Mr. Sybounheung Phandanouvong (Senior Social Development Specialist), Mr. John Parr (Protected Area Management Consultant), Mr. Kaysone Vongthavilay (Consultant, Environmental Management), Mr. Konesawang Nghardsaysone (Economist), Mr. Jethro Stern (SEA consultant), Ms. Malarak Souksavat (Financial Management Specialist), Mr. Khamphet Chanvongnaraz (Procurement Specialist), Ms. Alina Phonvisay (Program Assistant), and Ms. Souksavanh Sombounkhanh (Program Assistant).

| | | | | | |
|---|-------------------------|--|-------------------------|--|-------------------------|
| PDO Rating | Moderately Satisfactory | Implementation Progress Rating | Moderately Satisfactory | M&E Rating | Moderately Satisfactory |
| Component 1: Institutional Development and Capacity Building | Moderately Satisfactory | Component 2: Management of Wildlife and Protected Areas | Moderately Satisfactory | Component 3: Project Administration and EPF Capacity Building | Moderately Satisfactory |
| Safeguards Rating | Satisfactory | Financial Management Rating | Moderately Satisfactory | Procurement Rating | Satisfactory |

III. Implementation Progress and Key Findings

4. **Overall implementation progress remains moderately satisfactory but has improved since the previous mission in May 2020.** Despite some delays to project activities due to COVID-19 travel restrictions, the mission noted progress on several fronts, including the development of the Strategic Environmental Assessment (SEA) for the National Green Growth Strategy, the SEA for the National Power Development Plan, the 5-year Provincial Sector Strategic Plans, and good progress on the implementation of field activities of protected area management sub-projects. The mission noted, however, that disbursements have slowed over the past six months. It is important going forward that sub-projects that have not progressed as well focus on implementing project activities and increasing disbursements for the remaining lifetime of the project.
5. **Progress on PDO indicators.** Four of five PDO indicators are on track. However, the indicator pertaining to the number of wildlife trafficking cases involving CITES 1 listed species that are referred to the national and/or provincial public prosecutor office is not on track. The mission advised the wildlife law enforcement sub-projects to remain open until December 2021 to facilitate documentation and reporting for wildlife trafficking cases that are referred to the prosecutor's office. Furthermore, due to COVID-19 related travel restrictions, responses to wildlife trafficking have been slow, and targeted souvenir stores that sell wildlife parts have closed. Please see the Results Framework in Annex 11.
6. **Changes to the World Bank Task Team.** The mission advised that Mr. Viengkeo Phetnavongxay (Senior Environmental Specialist) will take over as Task Team Leader (TTL) of LENS2 from Mr. Stephen Danyo. A formal communication will be sent from the World Bank to key government counterparts once the hand-over process is complete.
7. **Implementation support missions in 2021.** With two remaining implementation support missions planned in 2021, and as part of the capacity building activities with the EPFO, EPFO managers have kindly agreed to lead the next two missions as well as providing a project update report before the next missions commence. The World Bank team will provide support to sub-projects which require close attention.
8. **Project extensions.** The closing date for LENS2 has been extended by twelve months from June 2021 to June 30, 2022. The mission noted that the sub-projects may be eligible for a no cost extension the closing date for their sub-projects (of no more than twelve months). For most sub-projects budget saving activities may include organizing virtual consultation meetings and

knowledge exchange events during COVID-19 and reallocating the remaining of the budget to support implementation activities. Most sub-projects have requested extensions ranging from three to twelve months. Nevertheless, there are still some sub-projects which require continued support. These include the former Pollution Control Department (PCD), Nakai Nam Theun National Park (NNT), Nam Et-Phou Louey National Park (NE-PL), Khammouane Provincial Agriculture and Forestry Office (PAFO), and the Faculty of Natural Science/Faculty of Economic and Business Management sub-projects.

9. **Sub-project implementation status.** The 36 active LENS2 sub-projects are structured under three project components: (1) institutional development and capacity building, (2) management of wildlife and protected areas, and (3) project administration and EPF capacity building. Sub-projects under components 1 and 2 cover four themes: (i) protected areas, (ii) environmental planning and management (including green growth planning), (iii) wildlife law enforcement, and (iv) education and capacity building (including communication and knowledge). The performance of individual sub-projects is highly variable as discussed below.

Protected Areas Management Portfolio (Details in Annex 3)

10. **The Department of Forestry (DOF) Protected Area Management Division (PAMD) sub-project is one of the most important sub-projects within the LENS-2 portfolio, as it is supporting the development of the emerging national park system.** The sub-project status has been upgraded to *Satisfactory*. The sub-project has made a steady progress on implementing a complex set of activities. Centralized support to the emerging national park system by the PAMD has strengthened in recent months, with increasing numbers of motivated government personnel. However, both administrative and technical supervision to the current portfolio of protected area projects are stretched as a consequence of low overall staffing levels measured against current responsibilities. There remains no dedicated expertise in tourism, outreach and law enforcement within the Division. The Master Plan for National Protected Areas (2020-2025) which provides valuable long-term guidance to the PAMD and the emerging national park system - including donor priorities- has been approved. Eight further Guidelines were finalized in September 2020. Together with the seven previously approved guidelines, they provide a framework for improving protected area management. Lao translations and dissemination of these documents are critical. The PA and tourism website should be completed to promote the tourism profiles of the emerging national park system.
11. **The management of both Nakai Nam Theun (NNT) and Nam Et-Phou Louey (NE-PL) National Parks has progressively improved, although they both are implementing sizable livelihood development programs.** The sub-project status at both reserves remains *Moderately Satisfactory*, largely because the highly intensive management programs at both sites have been slowed by COVID-19 related restrictions. The planning of the livelihood programs during the dry season (February 2020 - June 2020) in both national parks has been particularly affected. The livelihood programs at both parks have fallen out of sync with the 2020 wet season. NNT has completed the disbursement of village livelihood development grants to 15 villages, with further disbursements to 14 villages planned before the end of the year. NE-PL has disbursed grants to 30 villages. Both sites therefore have requested sub-project extensions up until December 2021 to ensure effective delivery and implementation of their village development grants, and to take account of local capacities to manage these grants.

12. **Implementation of field activities at both NNT and NE-PL National Parks continues to be excellent**, both for biodiversity monitoring/research and law enforcement. In NE-PL National Park, all enforcement indicators and deliverables are on track and are delivering excellent results. At NNT, the IUCN staffing recruitment has resulted in 42 placements, following a well-organized, transparent process and respecting IMA staffing recommendations. Management meetings have been convened on technical matters on a regular monthly basis between the senior management team of the National Park and the Consortium of Technical Experts (COTE) to strengthen effective management of the reserve. Both NNT and NE-PL are heavily reliant upon external technical support at the field level. The promotion of collaborative management remains experimental through provincial engagement but is both strong and effective at the field level through district technical teams. Guidance on the effective collaborative management systems may be provided by the seven PAFO sub-projects.
13. **Proposed coal-fired powerplant in Boualapha district, Khammouane province.** The mission was informed (as per a Minutes of Meeting dated August 28, 2020) that a coal-fired powerplant has been agreed to be located between the Nakai Nam Theun National Park (1,117 m) and buffer zone of the Hin Nam No National Park (1,776 m). This site is located in the peripheral impact zone (PIZ)^[1] of Nakai Nam Theun National Park, in accordance to Article 3 and 21 of PM Decree No. 122 on the Nam Theun 2 Watershed Management and Protection Authority dated 21 April 2017. The mission also notes that the Operational Guidelines for the Implementation of the World Heritage Convention (UNESCO) 2012 refers to the buffer zone in Articles 103-107. The mission suggested that the Nakai Nam Theun National Park Authority or NNT NPA (formerly known as the Watershed Management Protection Authority or WMPA) - in consultation with DOF - acquires more details of the proposed coal-fired powerplant development to be provided for the World Bank review, especially the environmental and social impact assessment and management plan.
14. **Tea concession in the Total Protection Zone (TPZ).** A proposal for a tea concession in the TPZ has been approved by MAF. This study should be reviewed as the proposed activity may be illegally inside the TPZ according to the Forestry Law (2019). Encroachment is also reported in the national park close to Ban Nakadok in Khamkeut District. More information has been requested as these external activities pose risks to the success of the sub-project.
15. **Steady progress by the seven sub-projects implemented by Provincial Agricultural and Forestry Offices (PAFOs).** The mission noted steady progress under six provincial PAFO sub-projects (*Satisfactory*). The Khammouane sub-project, however, is slow disbursing and requires strengthening in both its project management and financial administration of the sub-project (*Moderately Satisfactory*). All the PAFO projects continue to be valuable smaller-scale field models in protected area management, with excellent capacity building elements. All seven sub-projects have received improved assistance from DOF in participatory management planning and outreach, which has improved overall performance, and should improve the final Management Effectiveness Tracking Tool (METT) scores. All seven Project Steering Committees need to

^[1] **Peripheral Impact Zone (PIZ) or Adjacent Area** refers to territories surrounding the Nam Theun 2 Watershed Area which are inhabited by villagers from different ethnicities under the administration of Nakai, Khounkham, Gnommalath and Boualapha Districts of Khammouane Province, and Khamkeut District of Bolikhamxay Province who participate and benefit from the implementation of activities included in the Authority's Management Plan and Annual Work Plans;

strengthen partnerships with the guardian villages, rural development partners and other interested stakeholders for future financial support for their protected areas and buffer zones.

Wildlife law enforcement portfolio (Details in Annex 4)

16. **The Department of Forestry Inspection (DOFI) sub-project rating remains *Moderately Satisfactory*.** Lao-WEN and P-WEN are undergoing some very positive structural reforms, in which DOFI is a key leading agency. DOFI continues to improve their investigation capacity. However, it still has a low prosecution track-record. In the context of COVID-19, the performance of DOFI remains under additional scrutiny by the WB task team and EPFO. The number of cases opened for investigation was 33 out of an End of Project (EOP) target of 141; no data is available regarding how many of the cases will be converted into prosecutions². Five international illegal trade information reports were submitted to CITES, INTERPOL, TRAFFIC or ASEAN WEN, meeting the project’s intermediate target for 2020.
17. **The performance of all three Provincial Office of Forestry Inspection (POFI) sub-projects are performing well, but show some weaknesses, particularly for investigations and prosecutions.** All three sub-projects are currently assessed to be *Moderately Satisfactory*. Disbursements in all three sub-projects are on track. Performances in all three POFI sub-projects have been affected by the COVID-19 travel restrictions.

Table 2: Statistics for the three POFI sub-projects on selected indicators

Source: Sub-project Briefs, November 2020

| | LENS 2 Indicator | Houaphan | | Bolikhamsay | | Khammouane | |
|----|---|----------|--------|-------------|--------|------------|--------|
| | | Current | Target | Current | Target | Current | Target |
| | Activity to be assessed | | | | | | |
| SI | Number of illegal wildlife trader and network identified (of which are international trader) (annual) | 32/5 | 20/5 | 24/0 | 30/7 | 80/14 | 20/5 |
| GI | Number of wildlife trafficking cases opened for investigation (number) (cumulative) | 12 | 33 | 14 | 33 | 13 | 33 |
| SI | Wildlife crime cases detected by law enforcement officers of SDAs supported by the project (number) (cumulative) ³ | 132 | 300 | 202 | 300 | 286 | 300 |
| GI | Wildlife trafficking cases involving CITES 1 listed species that are referred to the national and/or provincial public prosecutor office (number) (cumulative) ⁴ | 6 | 9 | 2 | 9 | 5 | 9 |
| SI | Number of investigations held by public prosecutor on national and international illegal wildlife trade (annual) | 1 | 1 | 0 | 2 | 3 | 2 |
| SI | Number of inspections in wildlife farms involved in international wildlife trade (annual) | - | - | 2 | 4 | 6 | 8 |

18. **The three POFI sub-projects have been revising their Operational Guidelines on the establishment and functioning of the Provincial Wildlife Enforcement Network (P-WEN).** This key document should provide strengthened guidance on the working relations of the law enforcement agencies themselves, but also the relationship to the Provincial Administration

² Only 8 wildlife trafficking cases involving CITES I listed species were submitted to the national/provincial Public Prosecutor’s Office, out of 33 EOP target cases

³ This new indicator replaces: Patrolling that focus on wildlife crimes in border areas (annual)

⁴ This new indicator replaces the indicator: Number of wildlife trafficking cases recorded in the IMS by POFI (of which are international cases) (annual)

(notably the Vice Governor) as well as the Provincial Office of Public Prosecutions. The draft Guidelines will be finalized once final approval of the revised Decision on the functioning of Lao-WEN is complete. Of national significance, the Khammouane POFI has developed a co-operation agreement with the Nakai Nam Theun National Park Management Unit regarding the secondment of four POFI staff to work full-time within the national park. They will focus on joint patrolling, community outreach, and case processing. With major cases detected, especially with cross border cases, there remains a potential role for POFI staff in national park management. These cooperation agreements should be expanded to other protected areas within the three pilot provinces.

19. **The Lao Customs Department (LCD) and the Department of Combatting Natural Resources and Environmental Crime (DCNEC) sub-projects have made good progress and gained momentum in combating illegal wildlife trade.** However, despite strong detection efforts being made, investigation and prosecution of cases have been slow due to weak capacity for investigation and poor coordination with relevant agencies to facilitate joint investigation. The mission recommends that consultations between LCD and POFI and DCNEC should commence, establishing a Memorandum of Understanding on the scope and opportunities for operational cooperation and joint investigation.

Environmental Planning and Management portfolio (Details in Annex 5)

20. **MONRE sub-projects.** All six MONRE sub-projects remain active and have requested no-cost extensions ranging from six to twelve months. Progress since the last mission has generally been slow across the sub-projects because of COVID-19 related restrictions which has prohibited the sub-project delivery agencies to conduct meetings and field-based activities. Despite good achievements for most sub-projects, low disbursement was expected.
21. **Most sub-projects' performance is *Satisfactory*.** Two sub-projects continue to deliver good results - the former Department of Natural Resources and Environment Policy (DNEP) which is now under the Department of Environment (DOE) and the Natural Resource and Environment Research Institute (NRERI) sub-projects. The development of EIA/IEE database under the DNEP sub-project is near completion, and the sub-project is expecting to provide training to DNEP and PONRE staffs in these coming months. Similarly, website development is almost complete - www.doe-monre.gov.la is functioning, and various EIA reports have been uploaded for public comments. Several ministerial instructions and EIA technical guidelines are expected to be completed in December 2020. In addition to DNEP, NRERI has completed collecting air quality baseline data for 12 provinces and is continuing to collect the baseline data for the remaining provinces. Additionally, NRERI are discussing with Hongsa Coal-fired Power Plant for possibly connecting the air quality monitoring system of the company to the NRERI's air quality monitoring network which is publicly accessible at www.aqm.monre.gov.la. On the other hand, procurement of the additional four air quality monitoring stations has been delayed, and installation of the stations is expected in April 2021. NRERI proposed to use the remaining budget under the sub-project extension for the installation and operation of an air quality monitoring station provided by the Chinese Government (at VTE, Km 6th) to pilot the road site (line sources) monitoring activity.
22. **Outstanding progress on sub-project activities for the former Department of Environmental Quality and Promotion (DEQP), under the DOE.** The sub-project is translating the State of Environment Report for final round of consultations and is expected to submit to the MONRE

minister for approval in December 2020. The Integrated Spatial Plan (ISP) and Land Use Plan (LUP) of 5 provinces has been approved, additional 10 provinces have been consulted and are in the provincial assembly approval process, and the remaining 3 provinces are being finalized for consultations. The consolidated ISP and LUP is being contributed to the development of the 5-year social-economic development plan of provinces.

23. **The Department of Planning and Finance (DPF) sub-project has played a significant role given their contribution to the LENS2 PDO level indicator.** The first draft of the 5-year Provincial Sector Strategic Plans developed by PONREs has been reviewed, and DPF is conducting a consultation mission to PONREs. DPF is committed to deliver the 5-year plans in December 2020, but not later than March 2021.
24. **Progress has improved quickly for the former Natural Resources and Environmental Inspection Office (NEIO) sub-project under the Department of Pollution Control and Monitoring (DPCM) despite slow procurement relative to other LENS2 sub-projects.** DPCM has recently launched their website (www.dpcm.monre.gov.la/io) which is now hosting compliance monitoring reports of environmental impact category 2 projects. The sub-project is continuing to develop their database and information disclosure which is expected to be fully completed in June 2021. Environmental inspection guidelines for hydropower, mining and road sectors are being finalized and expected to be completed in December 2020.
25. **The sub-project under the former Pollution Control Department (PCD), which is now under DPCM⁵, remains a concern.** A ministerial decision on pollution control is being finalized and expected to be approved in December 2020. As for the National State of Pollution report, a consultation meeting on the first draft has been conducted for 4 provinces, including Bolikhamxay, Khammouane, Savannakhet and Xayabouly. The sub-project is aiming to complete the report in March 2021. However, it will be challenging to complete all these policy instruments because they require lengthy consultation and approval process.
26. **The mission held virtual meetings with all seven Provincial Offices of Natural Resources and Environment (PONRE).⁶** Sub-project implementation is fairly on track, though with major delay on the development of provincial environmental reports. DOE is in the process of consultation on the State of Environmental Report, which in turn will be used as a foundation for the provincial environmental report. On the other hand, data collection has begun. Furthermore, enforcement of an Environmental Impact Assessment (EIA) decree on public road construction/rehabilitation projects remains an on-going issue, none of the mentioned road projects carried out an Initial Environmental Examination (IEE) or developed an Environmental and Social Management Plan (ESMP) for the construction. Consequently, there was no Environmental Compliance Certificate (ECC) issued for public road in the provinces except for the road development projects financed by international development institutions such as the Asian Development Bank and the World Bank. Progress was made, however, for the PONREs of Savannakhet, Khammouane and Bolikhamxay provinces who were able to convince some provincial road development projects to develop and implement their ESMP during the construction period. The role and capacity in issuing ECC between province and district has been mixed and needs to be strengthened. A few

⁵ DPCM is responsible for the development of pollution monitoring and environmental management regulatory frameworks, which contribute directly to the LENS2 PDO and the Government's green growth policy framework.

⁶ Houaphanh, Xiengkhouang, Louang Phrabang, Vientiane, Bolikhamxay, Khammouane and Savannakhet provinces.

PONREs will have to catch up on issuing ECCs to mining projects, which are still behind their sub-projects' indicator target. However, the sub-projects informed the mission team that most new investment projects have conducted an IEE and ECC and were obtained before the implementation. They will continue to engage with developers and relevant sectors to ensure that existing and new investment projects comply with the EIA Decree.

27. **The National Institute of Economic Research (NIER) under MPI.** The sub-project continues to demonstrate positive progress in mainstreaming the green growth agenda into the work of government, including preparation of the 9th National Socio-economic Development Plan (NSED9). The MPI Minister has issued official guidance on integrating Green Growth into all sectoral socio-economic development plans. The Mission commended these efforts, while noting there is an opportunity to raise awareness about Green Growth among the general public; in this regard social media would be a powerful communication tool. The mission also highlighted the opportunity for Green Growth to be at the center of policies and plans for economic recovery from the impacts of COVID-19. Work has commenced on a Strategic Environmental Assessment (SEA) of the National Green Growth Strategy. The recent Inception Workshop defined the scope and approach and generated useful stakeholder comments.
28. **The Department of Energy Policy and Planning (DEPP) under MEM.** Implementation has faced some delays, particularly field work activities due to COVID-19 domestic travel restrictions. These have now been lifted, allowing consultations to go ahead with hydropower developers in 2 basins (Nam Ou and Nam Ngum) to inform the updating of the Policy Sustainable Hydropower Development (PSHD) guidelines. Recruitment of 2 national consultants to support a SEA of the national power development plan is nearing completion. DOE and DEPP are nominated jointly as the Sub-project Delivery Agency (SDA), so close inter-ministry coordination is important for effective implementation and financial management arrangements.

Education and Capacity Building Portfolio (Details in Annex 6)

29. **Four sub-projects are currently active under the management of five different faculties in the National University of Laos (NUOL).** NUOL sub-projects have maintained their strong sub-project implementation status, as assessed during the last mission in May 2020. The sub-projects have generally been managed well and remain on-track to achieve the defined objectives, almost all sub-project indicators have been achieved and a few have exceeded expectations. However, the FNS /FEBM sub-project - with the additional funding - has many activities still to be completed. The FSS and FES sub-projects are planning to deliver several trainings in the coming months including training of EIA and training of trainers on the World Bank's new Environmental and Social Framework (ESF). The FSS sub-project additional financing proposal for an amount of USD 100,000 has been approved by the technical meeting (TC). The purpose of the additional financing is to strengthen capacity of relevant government agencies and EPFO staff on the management of environmental and social risk in future investment projects. The additional financing will also support the preparation of the ESF documents for the proposed Environmental and Waste Management Project (EWMP), and initiate the capacity building activities related to ESF implementation capacity as well as integrate gender into the environmental and social management frameworks (ESMF) of the new WB financed projects, namely, the Lao Landscape and Livelihoods Improvement project (LLL), Lao COVID-19 Response Project, Lao PDR Global Partnership for Education III Project and others.

30. **The FNS sub-project has collated some very interesting biodiversity data relating to Phou Chomvoy PPA, and will convene a national workshop to promote montane forest conservation throughout Lao PDR in November 2020.** FFS/FNS will collaborate with the Department of Forestry/PAMD to promote establishing Biosphere Reserves, as a means to promote forest research close to urban centres. This also links to capacity building and training issues. FNS (in collaboration with FEBM) received supplemental funds from EPF of USD 100,000 to conduct further biodiversity surveys on fauna and flora (FNS) as well as estimations of direct and indirect resource use values. FEBM has generated some interesting results and should espouse their findings in national workshop with DOF and relevant stakeholders (ADB funded Biodiversity Conservation Corridors Project; Nakai Nam Theun NP Subproject and others). The mission recommended that FNS/FEBM should request a 12 month no-cost extension.
31. **Financial Management performance remains *Moderately Satisfactory*.** Some of the agreed actions namely submission of the IFR and Audited financial statements have been completed. The recruitment for the FM Consultant was also completed and the consultant started working with the Project in August 2020. However, some important agreed actions such as i) selection of the new accounting software and ii) closed follow-up and improvement of the monthly reporting of expenditures by many sub-projects have not been completed. According to the sub-projects register, 17 sub projects did not report on the expenditures monthly. As previously recommended, EPF FM team should further monitor and follow-up with the concerned sub-projects to reduce the numbers of irregular/late reporting of the incurred expenditures. The project is also strongly advised to complete the selection and installation of the new accounting software as soon as possible as further delay will impact the project's ability to monitor its financial status and available funds accurately. In addition, EPF is encouraged to address issues raised in the FY20 audit report.
32. **Disbursements.** The project is disbursing well. As of November 13, 2020, the overall disbursement status from all sources of funds was 84% (increased by 10% from previous May 2020 mission). Disbursement under IDA Credit 56200 was 80% (increased by 23%) leaving an undisbursed amount of USD 3.151m equivalent, and 83% under TF16619 (increased by 11%) leaving an undisbursed amount of USD 1.190m. Reporting of expenditures paid from the Designated Account (DA) was done regularly on the basis of one application each month. As the project closing date has been extended until June 30, 2022, it is important to closely monitor the remaining undisbursed funds as per the Bank's client connection record. Regularly monitoring of the remaining available funds is needed to ensure there is sufficient funds to implement the planned activities.

| Ln/Cr/TF | Approval | Signing | Effective | Closing | Net Commitment | Disbursed | Undisbursed |
|-----------|-------------|-------------|-------------|-------------|----------------|-----------|-------------|
| IDA-56200 | 29-Apr-2015 | 04-Jun-2015 | 01-Oct-2015 | 30-Jun-2022 | 15.00M | 11.75M | 3.14M |
| IDA-53830 | 02-Apr-2014 | 14-May-2014 | 04-Jul-2014 | 30-Jun-2022 | 12.50M | 11.50M | 0.00M |
| IDA-H9150 | 02-Apr-2014 | 14-May-2014 | 04-Jul-2014 | 30-Jun-2022 | 4.50M | 4.23M | 0.00M |
| TF-16619 | 14-May-2014 | 14-May-2014 | 04-Jul-2014 | 30-Jun-2022 | 6.83M | 5.64M | 1.19M |

33. **Currency fluctuation.** EPFO estimates that the project has experienced approximately USD 1.3m foreign exchange losses from SDR provided under the IDA financing. The GEF funds, meanwhile, are provided directly in USD which have provided a slight gain against the Kip. EPF was advised to retain 5%-10% of the remaining balance for future exchange loss.
34. **Unallocated budget.** The current unallocated amount is USD 0.86m equivalent of which USD 0.3m will be reserved for future currency loss. The remaining unallocated budget (USD 0.56m) will be used for (i) strengthening wildlife law enforcement sub-projects' capacity focusing on addressing PDO#2; (ii) building capacity of concern agencies in tapping fund from GCF; and (iii) advancing the preparation of a potential WB-financed project to support Lao PDR on strengthening progress on improved environmental, pollution, waste, and plastic management.
35. **Procurement management performance remains *Satisfactory*.** Contractual commitments are at USD 13.90 million (95.38% of the total planned amount of USD 14.57 million) with 76 months (91.57%) elapsed since project effectiveness. The project implementing agency has so far completed procurement of 543 packages out of total 566 packages (96%). The Bank will conduct procurement post review of the project during beginning of December 2020; and findings from post review will be shared with the EPF.
36. **Safeguards compliance by the project remains *Satisfactory*.** With no major issues raised and reported during the mission. The Community Engagement Framework (CEF) and Environmental and Social Management Framework (ESMF) were largely in compliance by the project including 7 PAFO's sub-projects for PA management, NE-PL National Park sub-project, NNT National Park and FEB sub-projects. The Community Action Plan (CAP) and Community Conservation Agreement (CCA) were completed in 146 out of total 193 villages supported by the above listed sub-projects. The CAP and CCA are expected to be completed in the remaining 47 villages by the end of March 2021. The CAP serves as an instrument for managing risks and impacts associated with access restriction and as an ethnic group development plan for addressing adverse impacts on ethnic groups identified with collective attachment to the sub-project area since this instrument is developed through the participatory planning, consultation and Free, Prior and Informed Consent (FPIC) process required in the CEF. Prior review and clearance for initial package of 5 ESMPs, CAPs and CCAs prepared during 2017-2018 was provided by the World Bank while the remaining packages have been cleared by the EPFO. The ESMPs and CAPs have been disclosed in the SDA offices and EPF's website. The World Bank also randomly conducted post-review of some ESMPs, CAPs and CCAs during the last implementation support missions.
37. **Monitoring and Evaluation (M&E) performance remains *Moderately Satisfactory*.** EPFO recruited a new M&E officer in October 2020, the previous M&E officer resigned in August 2020. An international M&E specialist recruitment was completed in June 2020. The Annual Report and sub-project briefs were received on time. Accuracy of the annual report has improved markedly. Nevertheless, quality of sub-project briefs was still variable. Information provided was still outdated and inaccurate. The EPFO M&E team will organize a series of meetings with the international M&E specialist and the Project Management Division of EPFO to discuss these issues and ways forward.
38. **Toward a new investment operation to follow LENS2.** The World Bank met with MONRE, MPWT, Vientiane City Office for Management and Service (VCOMS) and EPF to present

findings from an on-going advisory service to support Lao PDR to improve solid waste management and reduction of plastic uses. In addition, the meeting discuss a potential new WB financed investment project to support Lao PDR on strengthening progress on improved environmental, pollution, waste, and plastic management. In order to advance the advisory service and the preparation of the new potential project, the meeting agreed to establish a task force to identify priority investment, especially in light of COVID-19 pandemic when there is an urgent need to ensure that hospital wastes are effectively managed at sources and will not be combined with general wastes. EPFO also confirmed that the GOL could use LENS2 funding to advance the preparation of the proposed project.

IV. Next Steps and Agreed Action

39. **Next mission:** The next LENS2 joint implementation support mission will be led by EPF and conducted around May 2021.

Table 3: Summary of Agreed Actions

| No | Actions | Responsible | Due Date |
|--|--|---------------|--|
| Environmental Protection Fund Office (EPFO) | | | |
| 1 | Submit all sub-projects' AWPBs | EPFO and SDAs | December 15, 2020 |
| 2 | Complete the sub-project closing date extension | EPFO | December 2020 |
| 3 | Provide support to SDAs in the preparation of the subproject completion report to ensure that the report could be submitted within 30 days after closing date as per POM | EPFO | Before the closing date of the sub-project |
| 4 | Update, check accuracy and submit all sub-project briefs considering comments provided during October-November 2020 mission | EPFO | 1 week before the next mission |
| 5 | Organize BOD and TC meetings to report the progress of LENS2 in 2020 and next steps in 2021 | EPFO | December 2020 |
| 6 | Finalize the revision of Bylaws and the five-year plan (2021-2025) and submit them to BOD for approval | EPFO | December 2020 |
| 7 | Finalize drafts EPF FM, Procurement and ESMF, and submit to EPF BOD for approval | EPFO | March 2021 |
| 8 | Discuss with LE sub-projects on possible supports on wildlife cases prosecutions and referral to prosecutors. | EPFO | December 2020 |
| 9 | Discuss with NUOL sub-projects on potential collaboration implement activities that could lead to the preparation of proposals for tapping more funds for EPF. | EPFO | December 2020 |
| FM | | | |
| 10 | Complete the selection and installation and use of the new Accounting Software | EPFO | December 2020 |
| 11 | Monitor the concerned sub-projects to submit monthly reporting of expenditure in order the reduce the number of irregular/late expenditures reporting. | EPFO | December 2020 |
| 12 | Complete auditor's recommended actions as agreed in the FY19 audit report and update status in the next IFR | EPFO | February 15, 2021 |
| 13 | Submit annual work plan and budget of C3 for FY21 for review and approval | EPFO | December 18, 2020 |
| 14 | Submit request for payment for research/writing fee for FNS/FSS/FES SDAs for work performed prior to EPF's letter sent | EPFO | December 15, 2020 |

| No | Actions | Responsible | Due Date |
|---|---|--------------------------------------|-------------------------------------|
| | out in February 2020 on payment restrictions the Bank's consideration and approval | | |
| 15 | Report to the Bank on the status of sub-grants payment currency ie dollar vs kip. Provide detail and proposed solution in case of any discrepancy found. | EPFO | December 15, 2020 |
| 16 | Submit IFR covering the period from July to December 2020 | EPFO | February 15, 2021 |
| 17 | Submit FY20 audit report and management letter to the Bank | EPFO | June 2021 |
| 18 | Submit the revised FM manual to the Bank for review and approval | EPFO | January 2021 |
| 19 | Follow-up with concerned sub-projects to resolve audit findings and to prevent them to occur again in the future audit. Prepare for FY20 audit. | EPFO | March 2021 |
| 20 | Share individual SDA monthly financial report regularly | EPFO | Monthly |
| Procurement | | | |
| 21 | Manage with all red flags in STEP | EPF | December 15, 2020 |
| 22 | Support PICE-LENS2 015-PCD and PICE-LENS2 026-NEIO to increase procurement performance up to 70% completed of planed package | EPF | April 2021 |
| Safeguard | | | |
| 23 | Complete the CAP and CCA in the remaining 47 villages | NNT, NEPL | March 2021 |
| 24 | DAFOS and PAFOs continue to provide technical training and support for the VLF recipients on request | PAFOs | At least until the end of the LENS2 |
| M&E | | | |
| 25 | Submit the annual progress report of 2020 | EPFO | February 15, 2020 |
| 26 | M&E team to work with the intl' M&E Specialist and prepare a plan for preparing the PCR for LENS2 and submit to WB for comment | EPFO | March 2021 |
| 27 | Continue to provide trainings to SDAs on results reporting and data collection for preparation of PCR report for LENS2 | EPFO | Until the end of the LENS2 |
| 28 | Develop a tracking tool of sub-project indicators to support PMD.EPFO to improve subproject briefs consistency and accuracy | EPFO | March 2021 |
| Protected Areas Management Portfolio | | | |
| DPF and DOF | | | |
| 29 | Establishment of a functioning MER system | DPF | December 2020 |
| 30 | MAF Planning Guideline finalized to be applied to subprojects, PAFOs and DAFOs | DPF | December 2020 |
| 31 | A planned study tour to Nam Et-Phou Louey National Park should focus on the livelihood development program and the Community Engagement Framework through village interviews | DPF | December 2020 |
| 32 | Regular quarterly meetings of the Conservation Projects Dialogue should be convened to discuss emerging issues on protected area management. | DOF/PAMD | December 2020 (ongoing) |
| 33 | Annual National Protected Area Conference to be convened including collaborative management, national park staffing, capacity building in protected area management, and biosphere reserves | DOF/PAMD | December 2020 |
| 34 | Dissemination of the Master Plan for National Protected Areas (2020-2025), the 15 guidelines and the Optimization Report, including printing | DOF/PAMD/ all concerned stakeholders | January 2021 |
| 35 | The PAMD website and infrastructure database should be completed. | DOF/PAMD | March 2021 |

| No | Actions | Responsible | Due Date |
|--|---|-----------------|-------------------------|
| 36 | The consultation meetings and documentation for the re-designation of Phou Khao Khouay as a National Park should be completed. | DOF/PAMD | January 2021 |
| 37 | Supervise seven sub-projects (i) to use M&E Tools for livelihood and conservation activities; (ii) to conduct internal reviews on livelihood and conservation activities (AP, CAP, and CCA) and assist Livelihood Development Committee in upscaling planning; and (iii) Lessons learned exchange on CEF and Livelihood Development in Protected Areas. | DOF/PAMD | January 2021 |
| Nakai Nam Theun National Park | | | |
| 38 | A profile of all recruited national park staff positions should be prepared, showing staffing vacant gaps. | NNT | December 2020 |
| 39 | Monthly meetings should be convened monthly between the National Park Office and the COTE, with the Minutes of Meetings forwarded to Board members, DOF/PAMD, two PAFO Offices and four DAFO Offices. English versions should be prepared for IMA and WB for their information. | NNT/COTE | December (monthly) 2020 |
| 40 | A profile of the status of the village livelihoods development grants to the 48 named villages should be prepared, including the anticipated status up to December 2020 and June 2021. | NNT/COTE | December 2020 |
| 41 | The National Park Office should continue to promote a Provincial National Park “working group” in Khammouane Province as well as in Bolikhamxay Province, with meetings convened on a three-monthly basis. | NNT | December 2020 |
| 42 | The National Park Office - in consultation with DOF - should inform concerned stakeholders (NTPC, IMA, WB) about the (i) the proposed coal-fired powerplant in the buffer zone. (ii) feasibility study for a tea concession in the TPZ; (iii) the encroachment near Ban Nakadok. | NNT/DOF | December 2020 |
| 43 | The National Park Office should extend the COTE contract to support capacity building of the new national park staff | NNT/COTE | December 2020 |
| 44 | A METT evaluation should be conducted by DOF, NNT NP and COTE. | DOF/NNT NP/COTE | January 2021 |
| 45 | The National Park Office should request a three-month “no-cost” extension in consultation with EPF and NTPC. | NNT/EPF | December 2020 |
| Nam Et-Phou Louey National Park | | | |
| 46 | Monthly meetings should be continued between the National Park Office and WCS, with the Minutes of Meetings forwarded to the NP Committee members, DOF/PAMD, three PAFO Offices and 10 District Offices. These reports should be forwarded to WB for their information. | NE-PL/WCS | December (ongoing) 2020 |
| 47 | NE-PL MU should continue to mobilize the three Provincial Steering Committees/Forums to provide oversight and assistance to the ongoing livelihood development programs on a quarterly basis. | NE-PL/WCS | May 2021 |
| 48 | The delivery of the village livelihoods development grants to 38 villages should be undertaken carefully, taking accounting of local capacities, and the next wet season. | NE-PL/WCS | May 2021 (ongoing) |
| 49 | The preparation of the 5-year NE-PL National Park management plan should continue to engage the NE-PL technical teams, district working groups and provincial PA forums to develop the 5-year plan, to be approved by the NE-PL PA Committee and MAF/DOF. | NE-PL/WCS | December 2020 |

| No | Actions | Responsible | Due Date |
|---|--|--|---|
| 50 | The transferring of budgets from DOF to NE-PL NP should not be overdue. | DOF | November 2020 (based upon request from NEPL MU) |
| 51 | A METT evaluation should be conducted by DOF, NE-PL and WCS. | DOF/NE-PL /WCS | January 2021 |
| 52 | The National Park Office should request a project “no-cost” extension up to June 30, 2021. | NE-PL | December 2020 |
| PAFO | | | |
| 53 | The Steering Committees of the seven PAFO sub-projects should continue to proactively search/engage rural development NGOs and other partners (projects, guardian villages, Savannakhet University) for sustainable management to the seven reserves | Seven PAFOs/PA Steering Committees | December 2020 (ongoing) |
| 54 | The rural development NGOs and other potential partners should be proactively encouraged to attend final management planning consultations | PAFOs | December 2020 |
| 55 | Participatory management plans should be finalized under Steering Committee supervision, and approved by Provincial Governors, and DOF (nationally significant areas), as appropriate. | DOF/ PAFOs /Provincial Administrations | December 2020 |
| 56 | METT evaluations should be conducted by DOF/Steering Committees | DOF/ PAFOs /PA Steering Committees | December 2020 and January 2021 |
| 57 | PAFO Khammouane to review and strengthen supervision to the subproject. | PAFO Khammouane | December 15, 2020 |
| 58 | All seven PAFOs should request a 3 month “no-cost” extension | PAFO/EPF | December 15, 2020 |
| Wildlife law enforcement Portfolio | | | |
| DOFI | | | |
| 59 | Lao WEN Steering Committee Meeting should be convened, with a well-structured agenda to discuss COVID-19 pandemic, and improved enforcement and prosecution. | DOFI/DOF/ Lao WEN partners | March 2021 |
| 60 | Lao-WEN to continue to maintain a dedicated Wildlife Crime Task Force in Vientiane and Luang Prabang resulting in some convictions. | DOFI/ Lao WEN partners | March 2021 (next mission) |
| 61 | DOFI to prepare an outline of the Lao-WEN Cooperation Framework and circulate to other Lao-WEN members for reflection. | DOFI/Lao WEN partners | December 15, 2020 |
| 62 | DOFI to provide a status report on all cases referred to the Office of the Public Prosecutor. | DOFI | December 2020 |
| 63 | DOFI to provide a report on the status of investigations referred to in the outcome indicators. | DOFI | December 2020 |
| 64 | DOFI to provide a summary outline on the progress and utilization of the implementation of the CRIMEinfo and Offender Database Management System (ODMS) | DOFI | March 2021 |
| 65 | DOFI should request a 3 month “no-cost” extension. | DOFI | December 15, 2020 |
| POFI | | | |
| 66 | Operational guidelines should be prepared and finalized for three pilot P-WEN describing the establishment, functions, responsibilities, operational areas, and reporting of a P-WEN and its membership | DOFI//POFIs | March 2021 |
| 67 | POFIs to review POFI organizational arrangements, including the need for focal points in relation to (i) national parks and protected areas; (ii) security border zones and (iii) customs checkpoints. | DOFI/POFIs | March 2021 |

| No | Actions | Responsible | Due Date |
|--|---|-------------|-------------------|
| 68 | POFIs to review the establishment of task forces in relation to (i) national parks and protected areas; (ii) border zones and (iii) customs checkpoints. | DOFI/POFIs | March 2021 |
| 69 | POFIs to provide a status report on all cases referred to the Office of the Public Prosecutor. | POFIs | March 2021 |
| 70 | POFIs to provide a report on the status of investigations referred to in the outcome indicators. | POFIs | March 2021 |
| 71 | POFIs to provide a summary outline on the progress and utilization of the implementation of the CRIMEinfo and Offender Database Management System (ODMS) | POFIs | March 2021 |
| 72 | POFI should request a 3 month “no-cost” extension. | POFIs | March 2021 |
| LCD | | | |
| 73 | LCD’s Wildlife Operational Strategy and SOPs to be approved (delayed), as part of the Strategy | LCD | December 2020 |
| 74 | Carry out mobile randomly selected operations (patrolling) to frustrate, disrupt and inspect the targets informed by risk profiles and intelligence within the customs mandate and jurisdiction | LCD | December 2020 |
| 75 | Conduct online training on nCEN by WCO for LCD staff | LCD | December 2020 |
| 76 | Accelerate to the approve the LCD operational development plan, TOR and SOPs | LCD | December 2020 |
| 77 | Consultation on interagency cooperation MOUs (LCD and DOFI, POFI, DCNEC) | LCD | December 2020 |
| 78 | Pursue no cost extension until March 2021 | LCD | December 2020 |
| 79 | Accelerate payment to translation vendor and consultants | LCD | December 15, 2020 |
| 80 | Commence to prepare the completion report for the subproject | LCD | December 15, 2020 |
| DCNEC | | | |
| 81 | Field investigation for the Operation Predator 2019 to verify information source, collect data, evidences, open investigation of Wildlife Crime offenders | DCNEC | December 2020 |
| 82 | Continue implementing the Operation Predator 2019 with additional field works until December 2020 | DCNEC | December 2020 |
| 83 | Establish the Environmental Police Office at the remaining provinces (including Vientiane Capital, Bokeo, Luang Prabang and Xaysomboun provinces) | DCNEC | |
| 84 | Initiate consultations on a MOU between DCNEC, DOFI and Customs | DCNEC | December 2020 |
| 85 | Prepare a completion report for DCNEC subproject in collaboration with EPF | DCNEC | January 2021 |
| Environmental Planning and Management Portfolio | | | |
| MONRE | | | |
| 86 | DPF to complete 5-year provincial or sectoral development plans that include environmental planning, monitoring, assessment, or management components | DPF | March 2021 |
| 87 | DEQP to submit the State of Environment Report for Minister approval | DEQP | December 2020 |
| 88 | DEQP to complete Provincial LUP and ISPs of the remaining 13 provinces | DEQP | April 2021 |
| 89 | DEQP to complete integrating ISP into at least 4 provincial 5-year social-economic development plan | DEQP | April 2021 |
| 90 | DNEP to complete ESIA/IEE database development | DNEP | December 15, 2020 |

| No | Actions | Responsible | Due Date |
|--|---|-----------------------------------|-------------------|
| 91 | DNEP to provide training on EIA/IEE database to DOE's staff and PONREs | DNEP | December 2020 |
| 92 | DNEP to complete EIA general and specific technical guidelines, Ministerial Instruction on Environmental Management of the household business and Ministerial Agreement on the Endorsement and Promulgation of List of Investment Projects and Activities Requiring for Conducting the IEE or EIA | DNEP | April 2021 |
| 93 | DNEP to discuss with NEIO on the list of road projects with EIA | DNEP, NEIO | December 2020 |
| 94 | NEIO to complete hydropower, mining and road inspection guideline | NEIO | April 2021 |
| 95 | NEIO to prepare a list of Category 2 projects with ECC that have not started any activities | NEIO | April 2021 |
| 96 | PCD to develop a TOR for pollution sources inventory database | PCD | December 15, 2020 |
| 97 | PCD to organize a consultation meeting on Lead Exposure Reduction with relevant stakeholders | PCD | March 2021 |
| 98 | PCD to upload the National State Pollution report with the provincial pollution inventory database on the MONRE website | PCD | April 2021 |
| 99 | PCD to complete the final draft of Vision to 2030 and 10 Years Strategy (2016-2025) and 5 Years Action Plan (2016-2020) on Pollution Control for DOE consultation | PCD | April 2021 |
| 100 | PCD to initiate a consultation meeting with provincial government on the decision on toxic chemicals management/hazardous waste management/solid waste management | PCD | April 2021 |
| 101 | PCD to recruit Project Assistant | PCD | March 2021 |
| 102 | Pollution control decision to be approved | PCD | March 2021 |
| 103 | NRERI to complete installation of air quality monitoring stations | NRERI | April 2021 |
| 104 | MONRE sub-projects to request a "no-cost" extension | DPF, DEQP, DNEP, PCD, NEIO, NRERI | December 2020 |
| PONRE | | | |
| 105 | All PONREs to complete a first draft of the Provincial Environmental Report | PONREs | April 2021 |
| 106 | XK and HP PONREs to speed up issuing ECC for mining projects | XK and HP PONRE | May 2021 |
| 107 | PONRE sub-projects to request a "no-cost" extension | PONREs | December 2020 |
| MPI/NIER | | | |
| 108 | Scoping Workshop with MONRE for SEA | NIER | December 15, 2020 |
| 109 | NIER to request a "no-cost" extension | PONREs | December 2020 |
| MEM/DEPP | | | |
| 110 | DEPP to organize a Meeting to SEA Scope and Methodology with key stakeholders | DEPP, DOE | December 15, 2020 |
| 111 | DEPP to organize a SEA inception workshop | DEPP | December 2020 |
| 112 | DEPP to request a "no-cost" extension | PONREs | December 2020 |
| Education and capacity building portfolio | | | |
| 113 | FNS should coordinate with PAMD/DOF to incorporate Biosphere Reserves, and capacity building into the Annual National Protected Area Conference | FNS/DOF | December 2020 |
| 114 | FNS to convene a workshop on "Montane Forest Conservation" with DOF, and NGOs, including nature-based tourism | FNS | December 15, 2020 |
| 115 | FEBM to convene a national workshop on PES with key stakeholders | FEBM | March 2021 |
| 116 | FES to complete the assessment of training participants | FES | December 2020 |

| No | Actions | Responsible | Due Date |
|-----|--|-------------|---------------|
| 117 | FSS to submit FSS-AF proposal and AWPB2021 to the WB for NoL | FSS | December 2020 |
| 118 | FES should request a 3 month “no-cost” extension | FES | December 2020 |
| 119 | FNS/FEEM should request a 12 month “no-cost” extension | FNS/EPF | December 2020 |

Annexes:

- Annex 1. List of People Met
- Annex 2. List of Acronyms
- Annex 3. Protected Area Management Portfolio: sub-project implementation progress
- Annex 4. Wildlife Law Enforcement Portfolio: sub-project implementation progress
- Annex 5. Environmental Planning and Management Portfolio: sub-project implementation progress
- Annex 6. Education and Capacity Building Portfolio: sub-project implementation progress
- Annex 7. Project Management Implementation Progress
- Annex 8. Status of Agreed Actions from the previous AM
- Annex 9. Mission Agenda
- Annex 10. LENS2 Results Framework

Annex 1. List of People Met

The mission met with multiple government institutions and is grateful for the time and afforded. Because of the large number of people met, this annex lists only the institution, highest ranked staff person met and LENS2 sub-project coordinators. Nonetheless the mission extends its appreciation to all people met.

| INSTITUTIONS | | LEADERS/FOCAL POINTS |
|--------------|---|--|
| EPF | Environment Protection Fund | Mr. Phakkavanh Phissamay – Acting Executive Director Ms. Bounphama Phothisane – Deputy Executive Director |
| MONRE | Ministry of Natural Resources and Environment | |
| DOE | Department of Environment | Ms. Soudavee Keopaseuth, Deputy Director General Mr. Lamphoukeo Kettavong, Director Ms. Nidalone Visapra, Project accountant Ms. Oulapheng Inthavong, Coordinator Ms. Arounna Vongsakhamphoui, Project assistant |
| DPCM | Department of Pollution Control and Monitoring | Mr. Sivannakone Manivanh, Deputy Director General Mr. Aloune Sayavong, Deputy Director General Mr. Sommanat Atphasouk, Project Manager Mr. Khunsamay Silaphet, Deputy Director of pollution control and monitor Division Ms. Thithdalad Vongxaygna, Technical Officer Ms. Mukdavanh Nakhraj, Technical Officer Ms. Phayvan Bounnammeuong, Technical Officer Ms. Chiddavone Sisophone, Technical Officer |
| DPC | Department of Planning and Cooperation | Mr. Phouvong Luangxaysana, Director General Mr. Bounpakone Phongphichit, Director of Public Investment Management Division, DPC |
| NRERI | Natural Resources and Environmental Institute | Mr. Virasack Chundara, Director General Ms. Dalivanh Luanglath, Technical Officer |
| PONRE | Provincial Office of Natural Resources & Environment | |
| | Houa Phan | Mr. Keopaseuth Nuekmanyong, Deputy Director General Mr. Chomphet Phonmixay, Project Manager |
| | Luang Prabang | Mr. Phiengkham Thammavong, Deputy Director General of Natural Resources and Environment Division Mr. Vilaphong Kaiyasone, Deputy Head of Environment Division Mr. Khampadith Phonnachit, Project Manager |
| | Xieng Khouang | Mr. Bouasy Phanthavong, Deputy Director General of Natural Resources and Environment Division Mr. Singkham Thammachack, Project Manager Mr. Sinthanou Dasaophouan, Deputy Project Manager |
| | Vientiane | Mr. Kongkham, Director of Natural Resources and Environment Division Mr. Bounthavy Chanthavong, Project Manager |
| | Bolikhamsay | Mr. Somsanguan, Director of Natural Resources and Environment Division Mr. Lomyen Sisouvong – Head of Natural Resources and Environment Division |
| | Khammouane | Mr. Silikone, Deputy Director of Natural Resources and Environment Division Mr. Bounpheng Xayyasin – Vice Head of Natural Resources and Environment Division |
| | Savannakhet | Mr. Chanphengsay, Director of Natural Resources and Environment Division |

| INSTITUTIONS | | LEADERS/FOCAL POINTS |
|----------------|---|--|
| | | Mr. Sisavang Nilakone – Vice Head of Natural Resources and Environment Division |
| MOF | Ministry of Finance | |
| LCD | Lao Customs Department | Mr. Phonesavanh Thammasith, Director of Investigation and Suppression Division Mr. Kanda Sipaseuth, Deputy Director of International Customs Cooperation Division Mr. Khemthong Pongmala - LENS2 project coordinator Ms. Southida Souliyavong, LENS2 project coordinator |
| MAF | Ministry of Agriculture and Forestry (MAF) | |
| DOPF | Department of Planning and Finances | Mr. Phommy Inthichack, Deputy Director General Mr. Somphathay Liengsone, Project Manager |
| DOFI | Department of Forest Inspection | Mr. Somphone Keohavong, Director General Mr. Lomkham Sengchanoudom, Deputy Director General Mr. Oudome Sipaseuth – Deputy Director General Mr. Khamphone Bounthavy – Deputy Director of Wildlife and Aquatic Division, LENS2 Project Manager Mr. Air VILAKETH – Division Deputy Head Mr. Bounthanh PHILACHAN – Division Head Mr. Khamphui THEBVONGSA – Division Head |
| DOF | Department of Forest | Mr. Bounpone Sengthong, Deputy Director General Mr. Sangthong Southammakoth, Deputy Director General Ms. Syphavanh Inthpatha, LENS 2 Project Manager Ms. Latsamay Latsavong, National PA Expert Mr. Singha Ounniyom, National ME Expert |
| National Parks | Nakai Nam Theun National Park | Mr. Savanh Chanthakoummane – Director, Nakai Nam Theun National Park Mr. Bounsouan Phongphichith – Deputy Director, Nakai Nam Theun National Park Dr. Chanthavy Vongkhamheng – Consortium of Technical Experts Dr. Anita Bousa – Consortium of Technical Experts Mr. Sivixay Soukkharath – Consortium of Technical Experts |
| National Parks | Nam Et-Phou Louey National Park | Mr. Bounpone Phuthaamath,, Director, PAMD Mr. Outhai Vongsa, Deputy Director, PAMD Mr. Bounpheng Phoomsavath, Director, NE-PL National Park Dr. Santi Saypanya, Director, WCS |
| POFI | Provincial Office of Forest Inspection | |
| | Houaphanh | Mr. Bounpone Phomvongsay, Director of POFI and SP Coordinator |
| | Bolikhamxay | Mr. Sisouphan Souphanthong, Deputy Director of POFI Ms. Nuansa Sisunon, Deputy Head of Wildlife and Aquatic Unit Mr. Bantheung Keoketsy, Project Coordinator of POFI SP |
| | Khammouane | Mr. Khamkeo Latthayod, Director of POFI & Project Coordinator of POFI SP |
| PAFO | Provincial Agriculture and Forestry Office | |
| | Vientiane | Mr. Ounheuane Keophomma, SP Coordinator |
| | Bolikhamxay | Mr. Phonesavanh Homnabounlad, Director General Mr. Xaysomphaeng Sengkhamyong, Project Coordinator of PAFO SP |
| | Khammouane | Mr. Sila Chanthavong, Deputy Director Mr. Khamseng Sengthongnalin, Head, Forestry Section Mr. Fongsamouth Inthanam, Project Coordinator of PAFO SP |
| | Savannakhet | Mr. Keodouangsy Phasaisy, Project Coordinator of PAFO SP |

| INSTITUTIONS | | LEADERS/FOCAL POINTS |
|--------------|--|---|
| | Houaphanh | Mr. Visone Phonemisay, SP Coordinator |
| | Luangphabang | Mr. Duangkham Dungdala, SP Coordinator |
| | Xiengkhouang | Mr. Sengvong Nhoisaykham, SP Coordinator |
| MPS | Ministry of Public Security | |
| DCNEC | Department of Combating Natural Resources and Environmental Crimes | Pol.Col. Inpong Chanthavongsa, Director General Pol.Lt.Col. Anousin Sackpasert, Deputy Director General Pol.Lt.Col. Vongdao Khamone, Deputy Director General Mr. Phetmany Khemmana - LENS2 project manager Ms. Sandla Thongthimahaxay, SP Asisstant |
| MPI | Ministry of Planning and Investment | |
| NIER | National Institute of Economic Research | Dr. Saykham Voladet, Director of Social and Environmental Research Division (SERD), NIER Mr. Phanovanh Louangaphay, Technical Officer of Macroeconomic Management Planning Division, DoP Mr. Lathsavong Bounsiphom, Head of Admin Division (NIER) Ms. Sulita Soukmountry, Deputy head of Admin Division (NIER) Mr. Novan Luanaphai, Technical of DPF, MPI |
| MEM | Ministry of Energy and Mines | |
| DEPP | Department of Energy Policy and Planning | Mr. Lamphone Dimanivong, Head of Division (DEPP) Ms. Latsada Souvannalath, Technical Officer Ms. Khamsavanh, Douangthongsouk, Technical Officer |
| NUOL | National University of Laos | |
| FFS | Faculty of Forest Sciences | Dr. Somvang Phimmavong – Director Human Resources for Protected Area and Wildlife Management, Sub-project Manager Mr. Bouangeunh Khensabab, Sub-project Administrative Coordinator |
| FNS | Faculty of Natural Science | Dr. Phengxay Deevanhxay, Lecturer Chemistry Department, Sub-project Manager |
| FSS | Faculty of Social Sciences | Asst. Prof. Bounmark Inthiphone – Vice-Dean Dr. Saychai Syladeth – Sub-project Manager |
| FES | Faculty of Environmental Science | Ms. Oulavanh Sinsamphan, Project Coordinator Ms. Khemnguen |
| FEB | Faculty of Economic Business Management | Dr. Phouphet Kyophilavong - Vice Dean, Sub-project Coordinator |

Annex 2. List of acronyms

| | |
|---------|---|
| AF | Additional Financing |
| BOD | Board of Director (of EPF) |
| BLX | Bolikhambay province |
| CCA | Community Conservation Agreement |
| CAP | Community Action Plan |
| CEF | Community Engagement Framework |
| CITES | Convention on International Trade of Endangered Species |
| DCNEC | Department of Combating Natural Resource and Environmental Crime (of MPS) |
| DEPP | Department of Energy Policy and Planning |
| DEQP | Department of Environment Quality Promotion |
| DNEP | Department of Natural Resources and Environment Policy |
| DPF | Department of Planning and Finance |
| DOE | Department of Environment |
| DOF | Department of Forestry |
| DOFI | Department of Forestry Inspection (of MAF) |
| DOPF | Department of Planning and Finance (of MAF) |
| DPR PMO | Department of Public Relations Prime Minister Office |
| D-WEN | District Wildlife Enforcement Network |
| ECC | Environmental Compliance Certificate |
| EPF | Environment Protection Fund |
| ESIA | Environmental Social Impact Assessment |
| ESMF | Environmental and Social Management Framework |
| ESMP | Environmental and Social Management Policy |
| FEB | Faculty of Economic Business of National University of Laos |
| FES | Faculty of Economic Sciences of National University of Laos |
| FFS | Faculty of Forestry Sciences of National University of Laos |
| FNS | Faculty of Natural Sciences of National University of Laos |
| FSS | Faculty of Social Sciences of National University of Laos |
| GEF | Global Environment Facility |
| GG | Green Growth |
| GoL | Government of Lao PDR |
| HP | Houaphan province |
| IDA | International Development Association |
| IEE | Initial Environmental Evaluation |
| IMS | Information Management System |
| ISP | Integrated Spatial Planning |
| IWT | Illegal Wildlife Trade |
| KH | Khammouane province |
| Lao-WEN | Lao Wildlife Enforcement Network |
| LCD | Lao Customs Department (of MOF) |
| LENS2 | Second Lao Environment and Social Project |
| LPB | Luang Prabang province |
| MAF | Ministry of Agriculture and Forestry |
| M&E | Monitoring and Evaluation |
| MEM | Ministry of Energy and Mines |
| METT | Management Effectiveness Tracking Tool |
| MICT | Ministry of Information, Culture and Tourism |
| MOF | Ministry of Finance |
| MONRE | Ministry of Natural Resources and Environment |
| MPI | Ministry of Planning and Investment |
| MPS | Ministry of Public Security |
| MTR | Mid-Term Review |
| NAPA | National Academy of Public Administration |

| | |
|---------|--|
| NEIO | Natural Resources and Environment Inspection Office (of MONRE) |
| NEPL | Nam-Et Phou Louey (National Protected Area) |
| NIER | National Institute of Economic Research |
| NGGS | National Green Growth Strategy |
| NNT | Nakai-Nam Theun (National Protected Area) |
| NNT NPA | Nakai-Nam Theun National Park Authority |
| NPA | National Protected Area |
| NRERI | Natural Resources and Environment Research Institute |
| NTFP | Non-timber Forest Products |
| NSEDP | National Socio-Economic Development Plan |
| NUOL | National University of Laos |
| PA | Protected Area |
| PAMD | Protected Area Management Division (of MAF) |
| PAFO | Provincial Agriculture and Forestry Office |
| PCD | Pollution Control Department |
| PDO | Project Development Objective |
| PFRM | Provincial Office of Forestry Resource Management |
| PIM | Project Implementation Manual |
| POFI | Provincial Office of Forestry Inspection |
| PONRE | Provincial Office of Natural Resource and Environment |
| PPA | Project Preparation Advance |
| P-WEN | Provincial Wildlife Enforcement Network |
| RF | Result Framework |
| SVK | Savannakhet province |
| SDA | Sub-project Delivery Agency |
| SEA | Strategic Environmental Assessment |
| TA | Technical Assistance |
| TC | Technical Committee |
| VTP | Vientiane Province |
| WA | Withdrawal Advance |
| WMPA | Watershed Management and Protection Authority |
| WCS | Wildlife Conservation Society |
| WEN | Wildlife Enforcement Network |
| WLEAs | Wildlife Law Enforcement Agencies |
| XK | Xieng Khouang province |

Annex 3. Detailed sub-project implementation progress on the Protected Area Management Portfolio

The Department of Planning and Finance Sub-project Implementation Progress and Key Findings

1. The DPF Subproject represents one of the more significant subprojects, because it can absorb lessons learned from the wide range of LENS 2 field projects, and influence national planning and financial allocations on different aspects of natural resource management. The total budget for 2020 is US D134,714 which received no objection on January 28, 2020. Disbursement has been moderate; at US D 61,342 (45 per cent). Current functional capacity is only 36 per cent. The establishment of a MER, including a standard internal reporting system (annual) has been 90 per cent completed. A draft MAF Planning Guideline which will then be applied to the sub-projects, PAFO and DAFO (annual) is 95 percent complete. A proposed study tour to Nam Et-Phou Louey National Park should focus on the livelihood development program, and evaluation of the Community Engagement Framework (CEF) through village interviews. The subproject is rated as *Moderately Satisfactory*. Strong commitment and participation of the team need to be maintained. The subproject has requested a 3-month no-cost extension, which should be approved shortly.

Next Steps/Agreed Actions

| No | Actions | Responsible | Due Date |
|---|--|-------------|---------------|
| Department of Planning and Financing | | | |
| 1. | Establishment of a functioning MER system | DPF | December 2020 |
| 2. | MAF Planning Guideline finalized to be applied to subprojects, PAFOs and DAFOs | DPF | December 2020 |
| 3. | A planned study tour to Nam Et-Phou Louey National Park should focus on the livelihood development program and the Community Engagement Framework through village interviews | DPF | December 2020 |

The Department of Forestry Sub-project Implementation Progress and Key Findings

2. *The DOF subproject represents one of the most important subprojects within the LENS 2 subproject portfolio, being the mothership of the emerging national park system.* The sub-project status is upgraded to *Satisfactory*, to reflect the steady progress made on undertaking all the complex assemblage of activities, to high standards. The subproject strengthened on all four indicators over the previous six months. Overall project expenditure is USD 2,438,251 (93 percent) by September 30, 2020, out of the total project budget of USD 2,619,205. Approval of the AWPB 2020 for USD 694,363 was attained in January 2020. Expenditure in 2020 was US D323,626 (46.6 percent) up to September 30, 2020. The Division requires more capacity to provide technical supervision to the emerging national parks system, as espoused in MAF Decision No 3822. Although 11 volunteers were recruited in February 2020, several volunteers have left to Nakai Nam Theun National Park. Currently, there still remains very limited dedicated expertise in tourism, outreach and law enforcement within the Division.

3. Support to the seven PAFO sub-projects has been substantially strengthened through the field activities of (i) an outreach expert and (ii) a national management planning expert. The outreach expert has provided modules on different outreach topics to the target PAFO outreach staff. The participatory management planning expert has prepared draft management plans and improving the quality of the contents for all seven sites. The infrastructure/concessions database and tourism website expert is preparing the infrastructure database and the PAMD website, including tourism. A translator has been recruited to facilitate translation of key documents.

4. *The Master Plan for National Protected Areas (2020-2025) and other key documents.* The Master Plan for National Protected Areas (2020-2025) represents a particularly important legal document to guide national priorities in national parks and other preserves, including donor priorities. This Plan was completed in August 2020, but requires printing and

dissemination in both languages. Eight guidelines have been finalized and approved by the Minister of MAF in September 2020. These eight guidelines comprise the: (i) NPA Management Office; (ii) Collaborative management; (iii) Director’s supervision; (iv) administration; (v) tourism; (vi) forest fire management; (vii) NPA regulations and (viii) protected area assessments according to IUCN categories.

5. Other key documents require broader consensus and ownership. The Optimization Study was finalized in July 2020, and requires dissemination. The National Protected Area Status Report 2019 needs final review. The concession data from the Centre for Development and Environment (CDE) has been incorporated into the NPA fact sheets. Lao translations of all these key documents are essential to ensure local ownership.

6. The first ad-hoc Wildlife Committee was established under Decision No. 3250/MAF dated July 30, 2019. This committee has been tasked to revise and update the wildlife species lists. DOF formalized the Committee on Wildlife Law amendment and CITES through Decision No. 4348/DOF. The subproject has supported the preparation of the wildlife lists for Categories I, II and III which were submitted to MAF in September 2020.

7. The Subproject continued to provide excellent support to the sub-projects in Louang Prabang, Xieng Khouang, Houaphan, Khammouane, Savannakhet, and Bolikhamxay provinces and in NE-PL NP in the areas of community development and safeguards training.

8. The subproject requested a three-month “no-cost” extension.

Next Steps/Agreed Actions

| No | Actions | Responsible | Due Date |
|-------------------------------------|---|--------------------------------------|-------------------------|
| Department of Forestry (DOF) | | | |
| 1. | Regular quarterly meetings of the Conservation Projects Dialogue should be convened to discuss emerging issues on protected area management. | DOF/PAMD | December 2020 (ongoing) |
| 2 | Annual National Protected Area Conference to be convened including collaborative management, national park staffing, capacity building in protected area management, and biosphere reserves. | DOF/PAMD | December 2020 |
| 3. | Dissemination of the Master Plan for National Protected Areas (2020-2025), the 15 guidelines and the Optimization Report, including printing. | DOF/PAMD/ all concerned stakeholders | January 2021 |
| 4. | The PAMD website and infrastructure database should be completed. | DOF/PAMD | March 2021 |
| 5. | The consultation meetings and documentation for the re-designation of Phou Khao Khouay as a National Park should be completed. | DOF/PAMD | January 2021 |
| 6 | Supervise seven sub-projects (i) to use M&E Tools for livelihood and conservation activities; (ii) to conduct internal reviews on livelihood and conservation activities (AP, CAP, and CCA) and assist Livelihood Development Committee in upscaling planning; and (iii) Lessons learned exchange on CEF and Livelihood Development in Protected Areas. | DOF/PAMD | January 2021 |
| 7 | The subproject should request a three-month “no-cost” extension. | DOF/PAMD | December 2020 |

Nakai Nam Theun National Park Sub-project

Implementation Progress and Key Findings

9. ***Management of the Nakai Nam Theun (NNT) National Park Sub-project is improving.*** The AWPB (2020) was approved in May 2020. The IUCN recruitment process of national park staff has resulted in 42 positions being filled of the 56 positions. Focus should be directed to ensuring strengthened long-term supervision of the protected area, by increasing the number of Deputy Directors (to ensure strong institutional memory in senior management) and recruitment of younger senior staff, and/or local provincial expertise. The Heads of the Technical Units should play a heightened role in the senior management team.

10. The National Park Office have started to convene monthly management team meetings on a regular monthly basis (September only). This forum is aimed to strengthen technical cooperation and common short-term visioning between the government staff and the COTE team members. The Minutes of Meeting of the monthly management meeting are yet to be circulated to key national, provincial and district officials; these Minutes summarize the key collaborative management issues and resolutions. These Minutes should be translated into English, for the Independent Monitoring Agency (IMA) and the WB to assist them to monitor progress.

11. The contract for COTE engagement needs to be extended, in accordance with the five-year work plan, the recommendations of the Independent Monitoring Agency, and the stakeholder meeting convened on February 14, 2020. It should also take account of the capacity building needs of the recently appointed national park staff through the IUCN recruitment process. Weak management areas include outreach and tourism.

12. The site is moving towards becoming a national model of collaborative management excellence. The national park has made efforts to engage the key provincial administrative representatives in Khammouane Province into the current management system (e.g. Provincial ICT, National Front for Construction, Lao Women's Union). The National Park should reflect on the need to establish a Provincial level National Park Committee/working team in Khammouane Province (including district representation) which meets quarterly to review the field activities. This Committee/working team would provide summary quarterly reports to the Board.

13. Emerging threats to the national park have surfaced in recent months. The mission was informed (as per a Minutes of Meeting dated August 28, 2020, regarding the location of proposed coal-fired powerplant in Boualapha district, Khammouane province) that a coal-fired powerplant has been agreed to be located between the Nakai Nam Theun National Park (1,117 m) and buffer zone of the Hin Nam No National Park (1,776 m). This site is located in the peripheral impact zone (PIZ)^[1] of Nakai Nam Theun National Park, in accordance to Article 3 and 21 of PM Decree No 122 on the Nam Theun 2 Watershed Management and Protection Authority dated 21 April 2017. The mission also notes that the Operational Guidelines for the Implementation of the World Heritage Convention (UNESCO) 2012 refers to the buffer zone in Articles 103-107. The mission suggested that NNTNPA - in consultation with DOF - acquires more details of the proposed coal-fired powerplant development to be provided for the WB review, especially, the environmental and social impact assessment and management plan. A feasibility study for a tea concession in the Total Protection Zone (TPZ) has been approved, and more information is requested. This feasibility study should be reviewed, as this proposed activity may be illegal inside the TPZ according to the Forestry Law (2019). Encroachment is also reported in the national park close to Ban Nakadok in Khamkeut District.

14. Progress on delivery of the livelihood development programme (up to September 2020) in Nakai Nam Theun National Park is outlined in the Table below.

^[1] **Peripheral Impact Zone (PIZ) or Adjacent Area** refers to territories surrounding the Nam Theun 2 Watershed Area which are inhabited by villagers from different ethnicities under the administration of Nakai, Khounkham, Gnommalath and Boualapha Districts of Khammouane Province, and Khamkeut District of Bolikhamxay Province who participate and benefit from the implementation of activities included in the Authority's Management Plan and Annual Work Plans.

Status of the livelihood development interventions in Nakai Nam Theun National Park up to September 30, 2020.

| |
|---|
| <p>Participatory communities land use planning</p> <ul style="list-style-type: none"> Completed data collection on participatory community land use planning for 31 villages comprising 13 villages in Nakai District, 11 villages in Khamkeut District and seven villages in Gnommalath District. Completed writing report on the reviewing forest and land used for nine villages; Completed the village regulations on forest and land management for 31 villages; Completed the signboard fixing on forest and land use for eight villages, comprising six villages in Nakai District, and one each in Khamkeut and Gnommalath Districts. |
| <p>Community Action Plans (CAP)</p> <ul style="list-style-type: none"> Completed the Community Action Plans and PRA for 31 villages and to be continued for 17 more villages; Completed writing Community Actions Plans for 17 villages; Completed the Conservation Community Agreements for 15 villages. |
| <p>Establishing the village conservation fund</p> <ul style="list-style-type: none"> Completed opening bank account for 20 villages; Completed transferring money to accounts for 15 villages; Total amount of transferred funds are 7.770.918.112 kip, comprising 7.312.179.518 kip within the villages inside the national park, while transferred funds to the village outside the national park is 458.738.595 kip. |
| <p>Community actions plan implementation</p> <ul style="list-style-type: none"> Completed the Community Action Plan implementation in Ban Navang; 22 households in Ban Navang can assess to the village conservation fund; 29 households in Ban Phandang, Nakai District can access to the village conservation fund. 9 households in Ban Nahao village, Nakai district can access to the village conservation fund. One household in Ban Thongkong, Gnommalath district can access the village conservation fund; One household in Ban Phonsaat, Khamkeut district can access the village conservation fund. |
| <p>Infrastructure development activities.</p> <ul style="list-style-type: none"> Completed construction of five village offices in Ban Phongsath, Ban Navang, Ban Makfeang, Ban Thongnoi and Ban Hangkhan; Upgraded road between village to village with the length 108 Km and completed bridge repairs at 51 locations; Completed installation of solar cell systems at Teung for 178 sets; Constructed toilet units in Ban Navang for 45 sites; Carried out the potential stream to provide water for agriculture practice for five projects with a total area of about 127 ha; Completed construction of a Primary school in Ban Navang; Improved the stream system at Ban Navang and Ban Phandang. |

15. Total budget expenditure is USD 2,322,951 (85.18 percent) of the total sub-project budget of US D 2,727,075. The 2020 Annual Budget is US D 785,288 of which US D 570,683 (72.7 per cent) by mid-October 2020. A total of 35 indicators are being monitored every six months. The METT score is 56, with the national park staff being the lead implementing agency. The 5-year national park management plan is being initiated. The sub-project is rated as *Moderately Satisfactory*. A METT evaluation should be conducted by DOF, in collaboration with the NNT Management Authority and COTE. The assessments should be undertaken, taking account of Southeast Asian/Asian management goals.

16. The National Park Office requested a three-month “no-cost” extension, primarily to deliver the livelihood development grants to the full complement of 48 villages.

Next Steps/Agreed Actions

| No | Actions | Responsible | Due Date |
|--------------------------------------|--|--------------------|-------------------------|
| Nakai Nam Theun National Park | | | |
| 1 | A profile of all recruited national park staff positions should be prepared, showing staffing vacant gaps. | NNT | December 2020 |
| 2 | Monthly meetings should be convened monthly between the National Park Office and the COTE, with the Minutes of Meetings forwarded to Board members, DOF/PAMD, two PAFO Offices and four DAFO Offices. English versions should be prepared for IMA and WB for their information. | NNT/COTE | December 2020 (monthly) |
| 3 | A profile of the status of the village livelihoods development grants to the 48 named villages should be prepared, including the anticipated status up to December 2020 and June 2021. | NNT/COTE | December 2020 |
| 4 | The National Park Office should continue to promote a Provincial National Park “working group” in Khammouane Province as well as in Bolikhamxay Province, with meetings convened on a three-monthly basis. | NNT | December 2020 |
| 5 | The National Park Office - in consultation with DOF - should inform concerned stakeholders (NTPC, IMA, WB) about the (i) the proposed coal-fired powerplant in the buffer zone. (ii) feasibility study for a tea concession in the TPZ; (iii) the encroachment near Ban Nakadok. | NNT/DOF | December 2020 |
| 6 | The National Park Office should extend the COTE contract to support capacity building of the new national park staff | NNT/COTE | December 2020 |
| 7 | A METT evaluation should be conducted by DOF, NNT and COTE. | DOF/NNT NP/COTE | January 2021 |
| 8 | The National Park Office should request a three-month “no-cost” extension in consultation with EPF and NTPC. | NNT/EPF | December 2020 |

Nam Et-Phou Louey National Park Sub-project

Implementation Progress and Key Findings

17. **Implementation of the Nam Et-Phou Louey (NE-PL) National Park Sub-project remains challenging.** Approval of project implementation was delayed by two years. Consequently, the sub-project was restructured to be implemented within the restricted timeframe of 24 months. The funding was reduced to approximately USD 2,600,000. The number of target villages was reduced to 43 guardian villages. However, this number of villages remains a huge challenge in terms of effective disbursement and utilization of village livelihood grants.

18. NE-PL National Park reports that USD 1,509,807 (58 per cent) has been spent of its total budget of USD 2,599,377. The AWPB 2020 was approved on December 22, 2019 for USD 1,653,894. The subproject reports that USD 804,058 (48.6 per cent) has been spent of the annual budget by September 30, 2020. An internal evaluation using METT conducted by WCS attained a score of 57. The subproject is rated as *Moderately Satisfactory*.

19. Progress has been made on engaging the Houaphan and Luang Prabang provincial authorities in the management of Nam Et-Phou Louey National Park. Site visits were made by PAFO representatives to discuss project implementation in July and August 2020.

20. On the livelihood and buffer zone engagement, PLUP teams have completed village land use plans in 25 villages, with 18 villages remaining. A total of 30 Village Action Plans and Community Conservation Agreements have been prepared and approved. The remaining 13 villages hope to be completed by December 31, 2020. All 30 villages have received their Village Development Funds. A total of 100 households from five villages are members of an organic friendly coffee enterprise. Radio outreach campaigns are operational in all 50 target villages. The outreach team supported National Wildlife Day. The eco-tourism activities were halted by the COVID-19 crisis. Ecotourism incentives funds distribution were held in all 26 ecotourism villages.

21. Progress on delivery of the livelihood development program (up to September 2020) in Nam Et- Phouy Louey National Park is outlined in the Table below:

| |
|--|
| Participatory communities land use planning |
| <ul style="list-style-type: none"> Completed data collection on participatory community land use planning for 25 villages comprising 4 villages in Phonthong District (LPB), 3 villages in Viengkham District (LPB), 9 villages in Hiem District (HP), 5 villages in Houamueng District (HP), and 4 villages in Phoukout District (XK). Completed writing report on the forest and land used for 16 villages; Completed the village regulations on forest and land management for 25 villages; Completed the signboard printing on forest and land use for 9 villages in Hiem District. |
| Community Action Plans (CAP) |
| <ul style="list-style-type: none"> Completed the Community Action Plans and PRA for 34 villages and to be continued for 9 more villages; Completed writing Community Actions Plans for 34 villages; Completed the Conservation Community Agreements for 34 villages. |
| Establishing the village conservation fund |
| <ul style="list-style-type: none"> Completed opening bank account for 34 villages; Completed transferring money to account for 30 villages; Total amount of transferred funds are 1,955,113.000 kip. |
| Community actions plan implementation |
| <ul style="list-style-type: none"> NEPL team will provide training on financial management to 43 villages. Community action plan implementation in most villages will be started/done after ending of LENS2 project. NEPL will continue supporting the communities to implement CAP/infrastructure development activities using WCS match funding/other donor funding. |
| Infrastructure development activities |
| <ul style="list-style-type: none"> Community action plan implementation in most villages will be started/done after ending of LENS2 project. NEPL will continue supporting the communities to implement CAP/infrastructure development activities using WCS match funding/other donor funding. |

22. The law enforcement patrolling program remains extremely impressive. Enforcement operations have reached full capacity of eight forest mobile patrol teams, two sub-station teams and a response team. They have conducted 370 patrols over 2,667 patrol days, and covering a total of 25,508 km. Ranger teams have uncovered 1,255 threats of which 695 (55 per cent) are hunting related. A total of 280 guns have been confiscated, 648 snares removed and 396 hunting camps dismantled. A total of 972 people conducting illegal activities have been encountered of which 806 have been apprehended and cases made. During the 3rd quarter, 37 cases were solved. There have been 227 successful prosecutions and 575 (71 percent) cases are still pending a hearing.

23. All enforcement indicators and deliverables are on track and are delivering excellent results. The area within NE-PL National Park where the gross forest loss rate is measured is 401,720 hectares, which is the entire protected area. This target currently well exceeds the overall target of 290,000 ha. The area within NE-PL National Park where the status of selected wildlife population and threats are measured is 163,000 ha. The cumulative number of patrol days was calculated to be 1,677 days (out of a target of 2,000). The total number of wildlife crime cases detected by the NE-PL enforcement teams is 882 out of 1,000 anticipated cases at the end of the project.

24. A five-year participatory management plan (2021-2025) is being prepared. A METT evaluation should be conducted by DOF, in collaboration with the NE-PL Management Unit and WCS. The assessments should be undertaken, taking account of Southeast Asian/Asian management goals.

25. The subproject has requested an extension up to June 30, 2021 to take account of the COVID-19 pandemic, primarily to ensure the effective delivery of the village development grants. The timing of the outbreak meant that village grant delivery went out of sync with the 2020 wet season.

Next Steps/Agreed Actions

| No | Actions | Responsible | Due Date |
|--|---|---------------|--|
| Nam Et-Phou Louey National Park | | | |
| 1 | Monthly meetings should be continued between the National Park Office and WCS, with the Minutes of Meetings forwarded to the NP Committee members, DOF/PAMD, three PAFO Offices and 10 District Offices. These reports should be forwarded to WB for their information. | NE-PL/WCS | December 2020 (ongoing) |
| 2 | NE-PL MU should continue to mobilize the three Provincial Steering Committees/Forums to provide oversight and assistance to the ongoing livelihood development programs on a quarterly basis. | NE-PL/WCS | May 2021 |
| 3 | The delivery of the village livelihoods development grants to 38 villages should be undertaken carefully, taking accounting of local capacities, and the next wet season. | NE-PL/WCS | May 2021 (ongoing) |
| 4 | The preparation of the 5-year NE-PL National Park management plan should continue to engage the NE-PL technical teams, district working groups and provincial PA forums to develop the 5-year plan, to be approved by the NE-PL PA Committee and MAF/DOF. | NE-PL/WCS | December 2020 |
| 5 | The transferring of budgets from DOF to NE-PL NP should not be overdue. | DOF | December 2020 (based upon request from NE-PL MU) |
| 6 | A METT evaluation should be conducted by DOF, NE-PL and WCS. | DOF/NE-PL/WCS | January 2021 |
| 7 | The National Park Office should request a six-month “no-cost” project extension up to June 30, 2021. | NE-PL | December 2020 |

The Provincial and Agriculture Office Sub-project Implementation Progress and Key Findings

26. The mission assessed sub-project progress in all seven subprojects in the Northern provinces (Houaphan, Luang Prabang and Xieng Khouang), and in the Central Provinces (Vientiane province, Bolikhamxay, Khammouane and Savannakhet). All seven sub-projects have made very steady progress in implementing their respective sub-projects. This has been assisted by the strengthened training provided by DOF, particularly in management planning and outreach. The Khammouane subproject is being weakened by limited human resource constraints in relations to other competing projects within the province.

27. The table below outlines annual expenditure (up to September 30, 2020) and percentage budget execution in all seven subprojects. Six of the subprojects have attained *Satisfactory*. Only the PAFO Khammouane subproject is *Moderately Satisfactory*, with noticeably poorer budget execution. Performance in all seven subprojects has been affected by the COVID-19 pandemic during February 2020 - May 2020.

| Subproject | Annual budget | Expenditure (up to Sept 2020) | Per cent budget execution | Project status |
|---------------|---------------|-------------------------------|---------------------------|-------------------------|
| Houaphan | US D 116,880 | US D 86,295 | 74 % | Satisfactory |
| Luang Prabang | US D 104,656 | US D 82,124 | 78 % | Satisfactory |
| Xieng Khouang | US D 112,020 | US D 75,324 | 67 % | Satisfactory |
| Vientiane | US D 139,184 | US D 110,349 | 79 % | Satisfactory |
| Bolikhamxay | US D 123,204 | US D 80,524 | 65 % | Satisfactory |
| Khammouane | US D 138,089 | US D 64,511 | 46 % | Moderately Satisfactory |
| Savannakhet | US D 118,626 | US D 69,466 | 58 % | Satisfactory |

28. Support by DOF has significantly improved, with the provision of high-calibre expertise in participatory management planning and outreach. These capacity building inputs should increase the METT scores by 3-4 points in management planning and 1-2 points in outreach, when the final METT evaluations are conducted in December 2020/ January 2021. In summary, all seven subprojects have received technical assistance in core PA fields of expertise. These fields of expertise comprise collaborative management/ management planning, law enforcement, village land use planning, outreach and livelihood development for conservation. EPF has provided additional support, including financial administration and M&E.

29. Project implementation has been strengthened in all sub-projects through collaborative management. This has included supervision by the Protected Area Steering Committees, and the functioning of “District Working Teams”. The functioning of both institutional bodies contributes to the national dialogue on collaborative management. The Protected Area Management Office is another key institutional body, whose structural organization contributes to a higher METT score.

30. Boundary demarcation has been completed in all sub-project sites, but should be monitored, particularly in Dong Na Tard Provincial Conservation Area. Maintenance of the law enforcement programs in the sub-projects seems vulnerable, particularly the challenging database aspect of the SMART patrolling system. With all seven subprojects facing the prospects of closure in the coming five months, the long-term co-management role of the guardian villages becomes increasingly pertinent. The village land use planning, the outreach village engagement and the effectiveness of the livelihood development interventions become highly significant. The livelihood development programs in all subprojects have been successfully implemented, ably supported by the committed DOF and EPF safeguards expertise. Of further relevance, it is noted that the sub-project design involves conservation agreements linked to forest protection, which is a relatively new forest management approach in the country.

31. Participatory management planning is close to completion in all seven sub-projects. With the respective Management Offices have reduced influence, the onus on guardian villages to play a significant role in management – and therefore in the management planning – becomes important. The management plans for the nationally significant protected areas – comprising Nam Xam NPA, Phousabot-Phouchong NPA and the Upper Nam Mouane-Nam Gnoung NPtF will be

approved by the Provincial Steering Committee and DOF. The respective Provincial Governors will approve the management plans for the four provincial protected areas.

Key Challenges and Recommendations

32. The seven PAFO sub-projects should all be extended to March 2021, when they all come to a close. Khammouane PAFO is encouraged to consider a longer “no cost” extension, if need be. It is therefore important that each subproject looks for alternative funding support, and alternative management partnerships, where appropriate. It is recommended that the Steering Committees (PAFO Offices and respective District Offices) continue to proactively seek out prospective and active rural development NGOs in their provinces/guardian villages, for sustainable financing streams to the seven reserves. The onus on management will increasingly fall on the guardian villages.

33. The participatory management plans are being finalized for all seven sub-projects. It is recommended that prospective rural development NGOs or project partners are invited to the management planning consultation meetings. It is also recommended that the guardian villages be encouraged to play a larger role in management, and thence in the management plans, particularly in the four provincial PAs. The final METTs in the seven subprojects should be undertaken in December 2020 and January 2021.

34. All seven subprojects have requested a three-month “no cost” extension.

Next Steps/Agreed Actions

Action points for all seven PAFO subprojects

| No | Actions | Responsible | Due Date |
|-------------------------------|--|--|--------------------------------|
| Seven PAFO subprojects | | | |
| 1. | The Steering Committees of the seven PAFO sub-projects should continue to proactively search/engage rural development NGOs and other partners (projects, guardian villages, Savannakhet University) for sustainable management to the seven reserves | Seven PAFOs/PA Steering Committees | December 2020 (ongoing) |
| 2 | The rural development NGOs and other potential partners should be proactively encouraged to attend final management planning consultations | PAFOs | December 2020 |
| 3. | Participatory management plans should be finalized under Steering Committee supervision, and approved by Provincial Governors/PAFO, and DOF (nationally significant areas), as appropriate. | DOF/ PAFOs /Provincial Administrations | December 2020 |
| 4 | METT evaluations should be conducted by DOF/Steering Committees | DOF/ PAFOs /PA Steering Committees | December 2020 and January 2021 |
| 5. | PAFO Khammouane to review and strengthen management supervision to the subproject. | PAFO Khammouane | December 2020 |
| 6. | All seven PAFOs should request a 3 month “no-cost” extension | PAFO/EPF | December 2020 |

Annex 4. Detailed sub-project implementation progress on the Wildlife Law Enforcement Portfolio

Implementation Progress and Key Findings

See main text for summary

The Department of Forest Inspection Sub-project Implementation Progress and Key Findings

35. Project implementation over the past six months period has improved on law enforcement. Disbursement of the sub-project was US D254,899 (71 percent) up to September 30, 2020, of the planned annual budget of USD357,188. The COVID-19 pandemic caused some key delays in project activities. DOFI has completed most of the agreed actions made during the May 2020 mission.

36. Restructuring of Lao-WEN and P-WEN. The National Lao-WEN Steering Committee agreed to improve the Lao-WEN Decision in June 2020. The revised Lao-WEN Decision will expand the mandate of this interagency law enforcement body to encompass forest crime. It will also include the establishment of focal points within each law enforcement agency. The Lao-WEN Standard Operating Procedures (SOP) was also revised in September 2020. The functional capacity of Lao-WEN is estimated at 76 percent. DOFI also provided support on the establishment of operational guidelines of the Provincial Wildlife Enforcement Networks (P-WENs) in Khammouane (March 2020) and Bolikhamxay (May 2020). Draft action plans were also developed. Field coaching and IMS coaching were provided in Khammouane and Bolikhamxay in June 2020 and in Houaphan in September 2020. DOFI is in the process of strengthening some other enforcement legislation. This includes the rights and duties of DOFI through MAF Decision No. 3063; the National Guideline on Inspection and Investigation (MAF Decision 0141); and a Decision on fining rates, informant incentives and rewards. These activities replaced some international study tours.

37. *Continuing concern for DOFI's ability to investigate.* The performance of DOFI can be ascertained by the statistics provided by the Subproject. The number of wildlife cases opened for investigation is 35 out of an End-of-Project total of 141 cases. The statistics relating to wildlife species of higher conservation concern are even worse. For example, the wildlife trafficking cases involving CITES 1 listed species that are referred to the national and/or provincial public prosecutor office is only 12 cases; out of an End-of-Project target of 33 cases. Other indicators are more positive. The number of wildlife crime cases detected by law enforcement officers increased to 654 cases, out of an End-of-Project total of 150. The number of wildlife trafficking cases reported in the IMS has increased to 81 cases. The number of international illegal trade information reports submitted by DOFI to international LE or monitoring agencies, such as TRAFFIC, ASEAN-WEN, CITES, and INTERPOL is five, matching the End-of-Project total of five.

38. It is worth noting that both the Nakai Nam Theun National Park and Nam Et-Phou Louey National Park subprojects reveal intense levels of illegal activities – which have not diminished in intensity.

Key Challenges and Recommendations

39. Once the revised Lao-WEN Decision has been approved, the focal points will be appointed in each of the law enforcement agencies. The role and functions of these focal points, in terms of planning, information sharing, improved coordination, and reporting need to be clarified. The membership/role of the Public Prosecutors Office should also be clarified.

40. The Lao-WEN Standard Operating Procedures are of particular interest in the content, ownership and applicability. This document constitutes a particularly important guiding document for tackling illegal wildlife trade. The Lao version has been revised during workshops convened in September 2020, in Thalat. However, it is unclear whether the DCNEC and LCD were involved in preparing or reviewing this document and providing comments. There seems a need to start identifying the Guidelines required under the Lao-WEN, in relation to the mandates of each law enforcement agency. DOFI should generate a tentative checklist, with respect to its mandate. The draft Guideline on Forest Resource Inspection and Investigation should be circulated to other Lao-WEN members for review.

Next Steps/Agreed Actions

| No | Actions | Responsible | Due Date |
|--|--|----------------------------|---------------------------|
| Department of Forest Inspection | | | |
| 1. | Lao WEN Steering Committee Meeting should be convened, with a well-structured agenda to discuss COVID-19 pandemic, and improved enforcement and prosecution. | DOFI/DOF/ Lao WEN partners | March 2021 |
| 2. | Lao-WEN to continue to maintain a dedicated Wildlife Crime Task Force in Vientiane and Luang Prabang resulting in some convictions. | DOFI/ Lao WEN partners | March 2021 (next mission) |
| 3 | DOFI to prepare an outline of the Lao-WEN Cooperation Framework and circulate to other Lao-WEN members for reflection. | DOFI/Lao WEN partners | December 15, 2020 |
| 4. | DOFI to provide a status report on all cases referred to the Office of the Public Prosecutor. | DOFI | December 2020 |
| 5. | DOFI to provide a report on the status of investigations referred to in the outcome indicators | DOFI | December 2020 |
| 6. | DOFI to provide a summary outline on the progress and utilization of the implementation of the CRIMEinfo and Offender Database Management System (ODMS) | DOFI | March 2021 |
| 7. | DOFI should request a 3 month “no-cost” extension. | DOFI | December 15, 2020 |

The Provincial Office of Forest Inspection Sub-project Implementation Progress and Key Findings

41. The mission assessed sub-project progress in all three POFI subprojects in Houaphan, Bolikhamxay and Khammouane province. All three sub-projects have made steady progress in implementing their respective sub-projects and all three subprojects are rated as *Moderately Satisfactory*. The Houaphan POFI sub-project has an annual budget of USD 81,322, of which US D 65,316 (80 percent) has been spent up until September 30, 2020. The Bolikhamxay POFI sub-project has an annual budget of USD 73,329, of which USD 59,165 (80 per cent) has been spent up until September 30, 2020. The Khammouane POFI sub-project has an annual budget of USD 114,189; this AWPB was approved on December 19, 2019. It has spent USD 96,412 (84 per cent) up to September 30, 2020. Performances in all three POFI subprojects were affected by the COVID-19 pandemic. The Decision on the role and function of Lao-WEN is being revised. It is now understood the Lao-WEN will broaden its mandate to include forest crime. It remains unclear how much the intense revision of legislation at the national level impacts the effective functioning of the three P-WENs. It is also unclear how effective the Lao-WEN Standard Operating Procedures (SOP) is to guide the P-WENs at the field level.

42. On a very positive note, the three POFI subprojects have been revising their Operational Guidelines on the establishment and functioning of the P-WEN. This key document should provide strengthened guidance on the working relations of the law enforcement agencies themselves, but also the relationship to the Provincial Administration (notably the Deputy Governor) as well as the Provincial Office of Public Prosecutions. All three POFIs have been leading the revision of their P-WEN guidelines. These Guidelines are awaiting final approval of the revised Decision on the functioning of Lao-WEN.

43. Khammouane POFI made a co-operation agreement with the Nakai Nam Theun Management Authority regarding the appointment of four POFI staff to work within the national park. This cooperation focuses on joint patrolling, community outreach, and case processing.

44. All three POFIs struggle to meet their End-of-Project indicator targets, according to the Subproject Briefs (November 2020). The Houaphan POFI sub-project is behind on two general indicators, as well as one of its five specific indicators. The number of wildlife trafficking cases involving CITES I listed species that are referred to the national and/or provincial public prosecutor's office is six, as opposed to an End-of-Project total of nine cases. The number of wildlife trafficking cases opened for investigations was 12 out of an End-of-Project total of 33 cases. The number of wildlife crime cases detected by law enforcement officers is 132 compared with an End-of-Project target of 300 cases. The number of illegal wildlife traders identified is 32 while the five networks have been identified.

45. The Bolikhamxay POFI sub-project is underperforming on two of its three general indicators, as well as four of its five specific indicators. These relate to carrying out investigations and prosecutions. The number of wildlife crime cases detected by law enforcement officers is 130 compared with an End-of-Project target of 300 cases. The number of wildlife trafficking cases opened for investigations was 12 out of an End-of-Project total of 33 cases. The number of wildlife trafficking cases involving CITES I listed species that are referred to the national and/or provincial public prosecutor's office is two, as opposed to an End-of-Project total of nine cases. The subproject has conducted two (out of four) inspections of the wildlife farms.

46. The POFI Khammouane sub-project is underperforming on two of its general indicators, as well as three of its specific indicators. These relate to carrying out investigations and prosecutions. The number of wildlife trafficking cases opened for investigations was 13 out of an End-of-Project total of 33 cases. The number of wildlife trafficking cases involving CITES I listed species that are referred to the national and/or provincial public prosecutor's office remains at five, as opposed to an End-of-Project total of nine cases. They have conducted four inspections of the wildlife farms. The number of wildlife crime cases detected by law enforcement officers total 331 cases; which exceeds the End-of-Project total of 300 cases. It is unclear how many of these cases relate to the intensive enforcement program in Nakai-Nam Theun National Park.

Key Challenges and Recommendations

47. The three sub-projects are underperforming on investigations and prosecutions, and are in danger of being designated as *Moderately Satisfactory*.

48. All three subprojects have requested a three-month “no cost” extension. Note discussions are underway to extend the three subprojects further, in order that they can reach their indicator targets.

Next Steps/Agreed Actions

Action points for all POFI sub-projects

| No | Actions | Responsible | Due Date |
|--------------|---|-----------------------------------|----------------------|
| POFIs | | | |
| 1. | Operational guidelines should be prepared and finalized for two pilot P-WEN describing the establishment, functions, responsibilities, operational areas, and reporting of a P-WEN and its membership (including wildlife, timber and encroachment) | DOFI/TAs/ BLX-POFI KHA-POFI | December 15, 2020 |
| 2. | Pilot P-WEN action plans to be developed with technical support by DOFI staff and TA staff | DOFI/TAs/ POFIs | December 15, 2020 |
| 3. | P-WEN to conduct field investigations with coaching provided by DOFI staff and TA staff (60 per cent on wildlife) and 40 per cent (on timber and encroachment) | DOFI/TAs/ POFIs | December 15, 2020 |
| 4. | P-WENs to report on progress on processing prosecution cases, including any constraints | DOFI/TAs/ POFIs | December 15, 2020 |
| 5. | P-WEN in target provinces to use CRIMEinfo as best practice for recording law enforcement activities and build the criminal database. | DOFI/TAs/BLK- POFI/KHA POFI | December 15, 2020 |

Department of Combatting Natural Resource and Environmental Crime Sub-project

Implementation Progress and Key Findings

49. The DCNEC subproject made good progress toward achieving the subproposal objective. DCNEC has gained momentum in combating illegal wildlife trade (IWT) under LENS-2 and mainstreaming IWT into its work program related to transnational crimes under the General Department of Police, the Ministry of Public Security. It achieved targets of two subproject outcome indicators: Subproject Indicator 1: building of the functional capacity of DCNEC, and Subproject Indicator 4: Wildlife crime report. DCNEC also made some good progress in subproject indicator 2 on Wildlife trafficking cases involving CITES 1 listed species that are referred to the national and/or provincial public prosecutor office, subproject outcome indicator 2a: Number of wildlife trafficking cases opened for investigation and subproject indicator 3 on DCNEC strategic plan and standing operating procedures but still behind expectation due to administrative challenges in interagency coordination within Law enforcement network (LAO-WEN) for actions and joint or collaborative investigations were not timely in order to conclude and refer these cases to the public prosecutor. (see table below).

50. The DCNEC Subproject was extended to December 2020. Since June 2020, project activities were slow due to challenges in travel and workshop arrangement and cautions of Covid-19 pandemic. DCNEC also completed operational training, dissemination and consultations between June to September 2020 for staff and public audiences. DCNEC was able to continue implementation of the Operation Predator 2019 aiming at verifying information sources, collect data and open cases for investigation on illegal wildlife trade cases. As a result of this activity, it was able to confirm two suspects involving in illegal wildlife trade and refer to DOFI for investigation. DCNEC has not been able to organize bilateral meeting with the Thai Police Authority due to difficulty in meeting arrangement. This action was then dropped. As a result, it has about US\$12,500 in budget. The mission suggested that DCNEC should use the remaining resources to complement its work under the Operation Predator 2019, dissemination to local officials at the provinces and continue establishing the Environmental Police Office at the remaining provinces (including Vientiane Capital, Bokeo, Luang Prabang and Xaysomboun provinces) until the end of December 2020. Likewise, it needs to prepare a completion report for this subproject in collaboration with EPF by end of January 2021.

Next Steps/Agreed Actions

A. Update of the agreed action between May 2020-October 2020

| Agreed action | Status | New date |
|--|-----------|---------------|
| 1) A bilateral meeting to enhance cooperation for combating illegal cross-border wildlife trafficking between DCNEC and Royal Thai Police Commission | Dropped | June 2020 |
| 2) A meeting to review progress on the implementation of combating Wildlife Crime and the establishment of E-police division at provincial level | Completed | October 2020 |
| 3) Field investigation for the Operation Predator 2019 to verify information source, collect data, evidences, open investigation of Wildlife Crime offenders | Ongoing | December 2020 |

B. Agreed actions from October 2020 to December 2020

| Agreed action | Status | Date |
|--|-------------|-------------------|
| 1) Continue implementing the Operation Predator 2019 with additional field works until December 2020 | Ongoing | December 2020 |
| 2) Establish the Environmental Police Office at the remaining provinces (including Vientiane Capital, Bokeo, Luang Prabang and Xaysomboun provinces) | Ongoing | |
| 3) Initiate consultations on a MOU between DCNEC and Customs | Not due yet | End December 2020 |
| 4) Prepare a completion report for DCNEC subproject in collaboration with EPF | Not due yet | End January 2021. |

Sub-project's Result Framework

| Indicators | Unit | End Target (Dec-2020) | Actual Progress (Oct- 2020) |
|--|---------|-----------------------|-----------------------------|
| SP Outcome indicator 1: Score of functional capacity of DCNEC (annual) | percent | 64 | 67 |
| SP Outcome indicator 2: Wildlife trafficking cases involving CITES 1 listed species that are referred to the national and/or provincial public prosecutor office (among the number of cases opened for investigation) (number) (cumulative) | cases | 15 | 8 |
| SP Outcome indicator 2a: Number of wildlife trafficking cases opened for investigation (number) (cumulative) | cases | 30 | 16 |
| SP Outcome indicator 3: DCNEC strategic plan and standing operating procedures will be completed (cumulative) | cases | 4-/2 | 4 |
| SP Outcome indicator 4: Wildlife crime report submitted by DCNEC (annual) | report | 4 | 4 |

Source: DCNEC (2020)

Lao Customs Department Sub-project Implementation Progress and Key Findings

51. LCD has achieved majority of its subproject objective, targets and outputs contributing to the likelihood to achieve LENS-2 PDO (see update of the result framework below). Law enforcement capacity of LCD has improved significantly through increased detection of illegal wildlife and timber trade. Consultations on the wildlife operational development plan (aka strategy) was conducted in August 2020. Between January 2020 and October 2020, LCD has made good progress by detecting more than 49 criminal cases of which five cases were investigated and resolved but 44 cases are still pending with investigation stages. These cases include one NTFP, three wildlife and 45 timber cases. Two cases were referred to POFI for further investigation and processing.

52. Despite strong detection efforts being made, investigation and prosecution of cases have been slow due to weak capability of investigation and poor coordination with relevant agencies in joint investigation. The mission recommends that consultations between LCD (MOF) and POFI (MAF) and DCNEC (MOPS) should commence to establish Memorandum of Understanding on scope and elements of operational cooperation and joint investigation.

53. LCD's management approval of wildlife operational strategy and standard operating procedures (SOPs) has been slow. The introduction and use of the WCO's nCEN application have not been started due to impact of Covid-19 pandemic and travel restriction. WCO experts cannot travel to Lao PDR to conduct training on software installation and application. LCD management needs to accelerate the approval of the strategy, TOR and SOPs for the operation of the CITES Unit under the Customs Control and Suppression Division of the Lao Customs Department. Likewise, it is essential that LCD should liaison with WCO experts to conduct online training on how to install and use the nCEN application software.

Key Challenges and Recommendations

54. During the mission, team discussed in details of new deadlines for LCD to implement pending actions and activities that were affected by the Covid-19 and the new dates are presented below. LCD is planning to discuss with EPF to extend the project without costs to March 2021.

Next Steps/Agreed Actions

| No | Actions | Responsible | Due Date |
|------------|---|-------------|-------------------|
| LCD | | | |
| 1 | LCD's Wildlife Operational Strategy and SOPs to be approved (delayed), as part of the Strategy | LCD | December 2020 |
| 2 | Carry out mobile randomly selected operations (patrolling) to frustrate, disrupt and inspect the targets informed by risk profiles and intelligence within the customs mandate and jurisdiction | LCD | December 2020 |
| 3 | Conduct online training on nCEN by WCO for LCD staff | LCD | December 2020 |
| 4 | Accelerate to the approve the LCD operational development plan, TOR and SOPs | LCD | December 2020 |
| 5 | Consultation on interagency cooperation MOUs (LCD and DOFI, POFI, DCNEC) | LCD | December 2020 |
| 6 | Pursue no cost extension until March 2021 | LCD | December 2020 |
| 7 | Accelerate payment to translation vendor and consultants | LCD | December 15, 2020 |
| 8 | Commence to prepare the completion report for the subproject | LCD | December 15, 2020 |

Sub-project Results Framework

| Updated LENS2 indicators | | End Target | Current |
|--|--|------------|----------------------|
| LENS 2 General indicators | Percentage improvement of a score of functional capacity of LCD Customs Control, Inspection and Anti-smuggling Division 1, 2, 3. | 62 | 74 |
| | International illegal trade information report submitted by LCD's Customs Control, LCD Anti-Smuggling Division to Lao-WEN and international law enforcement or monitoring agencies | 5 | 11 (73 cases-timber) |
| | Staff of SDA and SDA partner institutions that received formal short training course or participate in study tours (number) | 120/20 | 253/20 |
| Specific indicators | Percentage of staff raised awareness and enhanced capabilities to address the risks posed by timber and wildlife smuggling | 85 | 90 |
| | Strengthen national wildlife and timber anti-smuggling capacity through the approved customs LE and anti-smuggling strategy for joint operation | 9 | 10 |
| | Suitable training materials on anti-smuggling and law enforcement issues developed and incorporated into curriculum of LCD training center | 6 | 6 |
| | Wildlife crime cases detected by law enforcement officers of SDA (cumulative) | 360 | 358 |
| | Degree of development, adoption and use of wildlife and timber trade control instruments | 9 | 9 |

Annex 5. Detailed sub-project implementation progress Environmental Planning and Management Portfolio

The Ministry of Natural Resources and Environment's sub-projects

Implementation Progress and Key Findings

55. **DPF:** As of September 2020, the sub-project has disbursed around 63% of project fund with \$150,000 (23.5% of the total budget) committed to be contributed to NRERI in purchasing of air quality monitoring stations. All indicators still remain on-track despite being affected by COVID-19. The first draft of the 5-year provincial or sectoral development plans (2021-2025) that include environmental planning, monitoring, assessment, or management supported by MONRE, which is also a PDO level indicator, has been reviewed. DPF is conducting a consultation mission with PONREs to finalize the 5-year plans. It is expected that the 5-year plans will be completed in December 2020, but not later than March 2021. Simultaneously, DPF is also supporting MONRE and 18 PONREs to complete the summary report of the 5-year plan (2016-2020).

56. **DNEP/DOE:** continues to perform well. As of September 2020, the sub-project has disbursed around 73% of project fund. The sub-project continues to show strong commitment to complete all activities. The development of ESIA/IEE database is near completion. The sub-project is planning to provide training on the ESIA/IEE database to DoE and PONRE staffs in November and December 2020. Similarly, the department's website is functioning, and its development is almost completed. The website is now hosting various EIA reports for public disclosure. EIA/IEE general guidelines are being revised and expected to go through internal consultation in December 2020. Simultaneously, the final draft of the specific EIA technical guidelines on hydropower, mining and road sectors have been completed, and are in the process of translating them from English to Lao for further consultation with relevant agencies. In addition, Procedures for ESIA Panel of Experts (POE) Establishment and Operation to review crucial EIA and the Ministerial Instruction on Environmental Management of the Household Business and the list of Investment Projects and Activities Requiring EIA/IEE have been developed and consulted with the department of legislation and concerned agencies. The instructions are expected to be submitted for approval in December 2021. Moreover, DNEP has achieved 100% and 50% of projects in environment impact category 2 who have ECC on hydropower and mining sectors respectively which exceeds the end of project indicators. Meanwhile, the percentage of ECC for road sector is still lacking, and is unlikely to meet the target. DNEP is requesting a 6-months extension (June 2021) with about \$270,000.

57. **DEQP/DOE:** As of September 2020, the sub-project has disbursed around 73% of project funds. The sub-project continues to demonstrate strong progress and commitment in delivering outputs. DEQP is translating the State of Environment Report for final round of consultations and expected to submit to the MONRE minister for approval in December 2020. The Integrated Spatial Plan (ISP) and Land Use Plan (LUP) of Xiengkhouang, Houaphanh, Luangnamtha, Xaysomboun and Champasack has been approved and endorsed, and additional 10 provinces have been consulted and are in the provincial assembly approval process. DEQP continues to finalize the ISP and LUP for Vientiane Capital, Vientiane Province and Oudomxay. The consolidated ISP and LUP is being contributed to the development of the 5-year social-economic development plan of provinces. DEQP is requesting a 9-months extension (September 2021) with about \$158,000 remaining.

58. **PCD/DPCM:** As of September 2020, the sub-project has disbursed around 59% of project funds. The progress has been slow, but effort for improving the sub-project implementation by the new management team has been recognized. A ministerial decision on pollution control is being finalized and expected to be approved in December 2020. A consultation meeting on the first draft has been conducted for 4 provinces including Bolikhamxay, Khammouane, Savannakhet and Xayabouly with 4 provinces (Oudomxay, Luang Prabang, Vientiane and Champasack) remaining to be consulted. The sub-project is aiming to complete the report in March 2021. The second draft of the Decision on Toxic Chemicals Management and Hazardous Chemical Management has been completed and will be discussed with the department of legislation in the coming weeks. Additionally, PCD is collecting information to update the Vision to 2030 and 10-years strategy and action plan on national pollution control. Moreover, the technical guideline on air pollution control has been completed and submitted for a vice minister approval. Meanwhile, the technical guidelines on water pollution control and hazardous chemical management are still being developed.

59. **NEIO/DPCM:** As of September 2020, the sub-project has disbursed around 37% of project funds with \$150,000 (21% of the total budget) committed to be contributed to NRERI in purchasing of air quality monitoring stations. NEIO has shown good improvement in terms of project implementation and achievement. Nevertheless, the disbursement remains low due to the nature of the sub-project requiring a lot of field activities which was affected by COVID-19 travel restriction. However, since MONRE has just relaxed travel restriction to provinces, the sub-project will fasten their field activities in the coming months. Environmental inspection guidelines for hydropower, mining and road sectors are being finalized and expected to be completed in December 2020. In addition, the department's website has been launched, and they are in the process of developing their database. Training on Monitoring and Inspection database to NEIO staffs is expected in December 2020 while training to PONREs staff is expected in the first quarter of 2021. It is expected that development of the database will be fully completed in June 2021. NEIO has not publicly disclosed any new compliance monitoring reports of projects registered in environment impact Category 2 for hydropower, mining and road sectors since the last mission.

60. **NRERI:** has completed almost all their activities. As of September 2020, the sub-project has disbursed around 97% of project funds. They have completed collecting air quality baseline data for 12 provinces, and are continuing to collect the baseline data for the remaining provinces. Additionally, they are discussing with Hongsa Coal-fired Power Plant for possibly connecting the air quality monitoring system of the company to the NRERI's air quality monitoring network which is publicly accessible at www.aqm.monre.gov.la. On the other hand, procurement of the additional four air quality monitoring stations has been delayed, and installation of the stations is expected in April 2021. NRERI proposed to use the remaining USD during the subproject extension for the installation and operation of an air quality monitoring station provided by the Chinese government (at VTE, Km 6th) and pilot the road site (line sources) monitoring activity.

The Provincial and Natural Resources and Environment Office Sub-projects Implementation Progress and Key Findings

61. **Seven PONRE sub-projects:** The mission had a virtual meeting with all PONREs. The sub-projects are progressing fairly on track. The disbursement ranges between 68-89%. There is a major delay on the development of provincial environmental reports because structure of the report has not been shared by DOE since DOE is in the process of conducting a consultation workshop on the State of Environmental Report. However, data collection has begun. It will take about 3 quarters to complete the provincial environmental reports because they will have to go through a lot of technical meetings and consultations with a provincial committee.

Key Challenges and Recommendations

62. In light of COVID-19 pandemic restrictions on travel and physical proximity from March to July 2020, the project could not organize meetings/trainings and conduct field implementation causing delay in delivering sub-project outputs which contributed to low disbursement.

63. **DPF:** requested a 6-months extension (June 2021) with about \$87,000 remaining. However, the mission recommended them to consider extending the sub-project longer. One of the reasons is that the installation of the air quality monitoring stations might be delayed. In addition, they play an important role in engaging with other MONRE sub-projects, some of which will be closed in December 2021.

64. **DNEP:** implementation of an EIA regulation remains a challenge, DNEP will have to complete as soon as possible the development of EIA technical guidelines for hydropower, mining and road sectors to ensure all sectors' development projects compliance with the EIA decree, especially the road sector. Additionally, support should be provided to PONREs to ensure that they could issue ECC for existing projects. DNEP requested a 6-months extension (June 2021).

65. **DEQP:** implementation of Strategic Environment Assessment (SEA) guideline remain an area to improve and follow up with concerned sectors. There are demands for the sectors to review their sector's strategy, therefore, DEQP will have to ensure that the guideline is understood and properly followed by the sectors. requested a 12-months extension (December 2021)

66. **PCD:** requested a 12-months extension (December 2021) with about \$413,000 remaining. Many pollution monitoring and environmental management regulatory frameworks are still on-going and will require several consultations. Additionally, development of database could be complicated. It will be challenging for the sub-project to disburse all their budget and complete all activities. Finalizing AWPB usually takes time for them, and could potentially delay the implementation further. The mission advised EPF to work closely with the sub-project.

67. **NEIO:** requested a 12-months extension (December 2021) with about \$300,000 remaining. It will be challenging for the sub-project to disburse all their budget.

68. **NRERI:** requested a 12-months extension (December 2021) to support the installation of the air quality monitoring stations. Nevertheless, installation of air quality monitoring stations might take time and/or be delayed due to COVID-19. The mission advised EPF to work closely with the sub-project to fasten the procurement process.

69. **PONRE:** All PONREs requested a 12-months extension (December 2021) to implement existing activities, particularly the provincial environmental report which will take time. Structure of the provincial environmental report has not been shared by DOE. Additionally, they will have to rely on MONRE departments to help collect some environmental data because of lacking equipment. The issue was discussed with DOE during the mission, and it is expected that the structure of report will be shared with PONREs in December.

70. In addition, enforcement of an EIA regulation on public road construction/rehabilitation projects remains an on-going issue, none of the mentioned road projects were carried out an Initial Environmental Examination (IEE), and develop an Environmental and Social Management Plan (ESMP) for the construction. Consequently, there was no Environmental Compliance Certificate (ECC) issued for public road in the provinces except for the road development projects financed by international financial institutions like the Asian Development Bank and World Bank. However, with efforts, PONRE of Savannakhet, Khammouane and Bolikhamxay provinces were able to convince some provincial road development projects to develop and implement their ESMP during the construction period. The role and capacity in issuing ECC between province and district has been mixed and need to be strengthened. A few PONREs will have to catch up on issuing the ECC to mining project which is still behind their subprojects' target. However, the sub-projects informed that most of new investment projects have conducted an IEE and ECC was obtained before the implementation, and they will continue to engage with developers and relevant sectors to ensure that existing and new investment projects comply with the EIA Decree.

The National Institute of Economic Research's Sub-project on green growth mainstreaming Implementation Progress and Key Findings

71. **NIER.MPI sub-project:** As of September 2020, the sub-project has disbursed around 87% of project funds. The sub-project continues to demonstrate progress in mainstreaming the green growth agenda into the work of government, including preparation of the 9th National Socio-economic Development Plan (NSED9). MPI Minister has issued official on integrating Green Growth into all sectoral socio-economic development plans. The Mission commended these efforts, while noting there is an opportunity to raise awareness about Green Growth among the general public; in this regard social media would be a powerful communication tool. The mission also highlighted the opportunity for Green Growth to be at the center of policies and plans for economic recovery after Covid-19. Work has commenced on a Strategic Environmental Assessment of the National Green Growth Strategy. The recent Inception Workshop defined the scope and approach, and generated useful stakeholder comments. Other activities are progressing well overall. Covid-19 is currently not impeding work-plan implementation with the exception of study tours involving international travel; these funds have been redistributed to other activities including the SEA.

Key Challenges and Recommendations

72. **NIER:** The Mission discussed and agreed in principle a no-cost extension until December 2021 to provide adequate time for all activities to be implemented. In particular, this will allow communication and dissemination activities to continue, and the Strategic Environmental Assessment of the National Green Growth Strategy to be completed and inform future national green growth planning and policy initiatives.

Enhancing Implementation of the Policy on Sustainable Hydropower Development

Implementation Progress and Key Findings

73. **DEPP.MEM sub-project:** As of September 2020, the sub-project has disbursed around 8% of project funds. Sub-project implementation has faced some delays, particularly field work activities, due to Covid-19 domestic travel restrictions. These have now been lifted, allowing consultations to go ahead with hydropower developers in 2 basins (Nam Ou and Nam Ngum) to inform updating of PSHD guidelines. Recruitment of 2 national consultants to support a Strategic Environmental Assessment (SEA) of the national power development plan is nearing completion, having taken longer than expected. Recruitment of a project assistant is judged by DEPP to be no longer required so allocated funds will be redirected.

Key Challenges and Recommendations

74. **DEPP:** The mission discussed and agreed a no cost extension to December 2021. DOE and DEPP are nominated jointly as the Subproject Delivery Agency (SDA), so close inter-ministry coordination is important for effective implementation and financial management arrangements. It's recommended EPF to continue to provide guidance concerning recruitment and procurement.

Next Steps/Agreed Actions

| Environmental Planning and Management Portfolio | | | |
|---|---|------------|-------------------|
| MONRE | | | |
| 1 | DPF to complete 5-year provincial or sectoral development plans that include environmental planning, monitoring, assessment, or management components | DPF | March 2021 |
| 2 | DEQP to submit the State of Environment Report for Minister approval | DEQP | December 2020 |
| 3 | DEQP to complete Provincial LUP and ISPs of the remaining 13 provinces | DEQP | April 2021 |
| 4 | DEQP to complete integrating ISP into at least 4 provincial 5-year social-economic development plan | DEQP | April 2021 |
| 5 | DNEP to complete ESIA/IEE database development | DNEP | December 15, 2020 |
| 6 | DNEP to provide training on EIA/IEE database to DOE's staff and PONREs | DNEP | December 2020 |
| 7 | DNEP to complete EIA general and specific technical guidelines, Ministerial Instruction on Environmental Management of the household business and Ministerial Agreement on the Endorsement and Promulgation of List of Investment Projects and Activities Requiring for Conducting the IEE or EIA | DNEP | April 2021 |
| 8 | DNEP to discuss with NEIO on the list of road projects with EIA | DNEP, NEIO | December 2020 |
| 9 | NEIO to complete hydropower, mining and road inspection guideline | NEIO | April 2021 |
| 10 | NEIO to prepare a list of Category 2 projects with ECC that have not started any activities | NEIO | April 2021 |
| 11 | PCD to develop a TOR for pollution sources inventory database | PCD | December 15, 2020 |
| 12 | PCD to organize a consultation meeting on Lead Exposure Reduction with relevant stakeholders | PCD | March 2021 |
| 13 | PCD to upload the National State Pollution report with the provincial pollution inventory database on the MONRE website | PCD | April 2021 |

| | | | |
|-----------------|---|-----------------------------------|-------------------|
| 14 | PCD to complete the final draft of Vision to 2030 and 10 Years Strategy (2016-2025) and 5 Years Action Plan (2016-2020) on Pollution Control for DOE consultation | PCD | April 2021 |
| 15 | PCD to initiate a consultation meeting with provincial government on the decision on toxic chemicals management/hazardous waste management/solid waste management | PCD | April 2021 |
| 16 | PCD to recruit Project Assistant | PCD | March 2021 |
| 17 | Pollution control decision to be approved | PCD | March 2021 |
| 18 | NRERI to complete installation of air quality monitoring stations | NRERI | April 2021 |
| 19 | MONRE sub-projects to request a “no-cost” extension | DPF, DNEP, DEQP, PCD, NEIO, NRERI | December 2020 |
| PONRE | | | |
| 20 | All PONREs to complete a first draft of the Provincial Environmental Report | PONREs | April 2021 |
| 21 | XK and HP PONREs to speed up issuing ECC for mining projects | XK and HP PONRE | May 2021 |
| 22 | PONRE sub-projects to request a “no-cost” extension | PONREs | December 2020 |
| MPI/NIER | | | |
| 23 | Scoping Workshop with MONRE for SEA | NIER | December 15, 2020 |
| 24 | NIER to request a “no-cost” extension | NIER | December 2020 |
| MEM/DEPP | | | |
| 25 | DEPP to organize a Meeting to SEA Scope and Methodology with key stakeholders | DEPP, DOE | December 15, 2020 |
| 26 | DEPP to organize a SEA inception workshop | DEPP | December 2020 |
| 27 | DEPP sub-projects to request a “no-cost” extension | DEPP | December 2020 |

Annex 6. Detailed sub-project implementation progress Education and capacity building portfolio

Implementation Progress and Key Findings

75. **The FFS subproject** continues to act as a role model for other subprojects, and remains “Highly Satisfactory.” The AWPB FY 2020 was approved 14 January 2020, for US \$278,696.00. Only US\$ 48,033 (17.23 percent) was spent up until March 31, 2020. A proposed Workshop on evaluating Biosphere Reserves and capacity building has been incorporated into the agenda of the Annual National Protected Area Conference.

76. **The FNS Subproject** has delivered some outstanding results. Approval for Additional Funding (US \$100,000) was provided on January 15, 2020. The FNS submitted a revised AWPB 2020 for US \$282,063, which received WB “no objection” on January 28, 2020. The total number of tasks were reduced from 39 to 35 including four tasks of FEBM. FNS will conduct 31 tasks. A total of US \$ 119,376 (42 percent) was spent by September 30, 2020, of the total of US \$ 282,063.

77. Activities completed include an assessment of the improvement of teaching effectiveness; biodiversity surveys (both flora and fauna) in Phou Chomvoy Provincial Protected Area; and a workshop on biodiversity and environment (based upon research at Phou Chomvoy PPA). Financial issues which remain to be resolved include payments relating to publications; the rules for producing publications were modified in February 2020. All requested documents relating to the FNS publications were submitted to EPF in November 2020. The FNS could not perform several tasks from during mid-March to May, 2020, because of the COVID-19 pandemic. The FNS team requested a no-cost extension for 12 months to ensure quality delivery.

78. **The FEBM subproject** completed all of its field activities in 2019. It spent a total budget of US \$ 799,997. It was awarded Additional Financing worth US\$ 52,500 for 2020. The four proposed field activities proposed under the Additional Financing have been affected by the COVID-19 pandemic. These include the recruitment of the international consultant, as well as the Benefit Transfer Approach (BT) for estimation of biodiversity; the ecosystem services in Phou Chom Voy; the use market-based approach for estimation of direct use values of PCV PA and the non-market-based approach for estimation of indirect use values of PCV PA. FEBM has generated some interesting results, and should espouse their findings in national workshop with DOF and concerned stakeholders (ADB funded Biodiversity Conservation Corridors Project; Nakai Nam Theun NP Subproject and others).

79. **The FES sub-project:** continues to demonstrate strong commitment to deliver all activities, the sub-project has disbursed around 91% of project funds. The sub-project has achieved its project objectives, and all sub-project indicators are on-track to be achieved by project closure. The sub-project has developed 5 EIA training courses and provided 18 trainings, and is planning to provide additional 3 trainings in the coming months. Assessment of training participants is ongoing and expected to be completed by December 2020. FES requested a no-cost extension for 3 months to ensure quality delivery of completion report.

80. **The FSS sub-project:** continues to deliver excellent results. As of September 2020, the sub-project has disbursed around 92% of their total sub-project and all sub-project indicators have already been exceeded. FSS has conducted 16 trainings on social safeguard policies, social impact assessment and resettlement management to government officers, resettlement committees, developers, consulting companies, private sectors and villagers. FSS also held the 2nd National Seminar on Lessons Learned and Challenges from Resettlement and Development in June 2020. The seminar discussed findings and recommendation of 5 research cases on social resettlement management caused by development projects in Lao PDR. FSS also completed 16 textbooks and 3 training manuals. FSS is planning to deliver several trainings in the coming months including training of EIA and training of trainers on the World Bank’s new Environmental and Social Framework (ESF). The FSS subproject additional financing proposal has been approved by the technical meeting (TC). The purpose of the additional financing is to strengthen the ESF for the Environmental Protection Fund Office, the relevant ministries, local administrations and the community in the preparation, implementation and evaluation of investment projects; to assess and build capacity on the preparation of the ESF for the Environmental and Waste Management Project (EWMP) and the Lao Landscape and Livelihoods Improvement project (LLL); and to integrate gender into the implementation of environmental and social frameworks of investment projects. The next step is to submit AWPB2021 and proposal to the World Bank for No Objection.

Key Challenges and Recommendations for all subprojects

81. The promotion of the biosphere reserves cannot be funded by FFS. However, the Protected Area Management Division, DoF have agreed to incorporate biosphere reserves and capacity building in the Annual National Protected Area Conference scheduled to be convened in December 2020.

82. The FNS subproject has organized a workshop on Montane Forest Conservation with the Department of Forestry and the conservation NGOs, linking to nature-based tourism in November 2020.

83. The FNS subproject should request a 12-month “no-cost” extension. This should cover the 12-month no cost extension for the FEBM activities.

84. The FSS additional financial proposal has been approved by the TC. However, the proposal including the AWPB2021 has not been submitted to the World Bank for No Objection. This might delay the implementation of planned activities. The mission recommended EPF to work closely with FSS to submit the AWPB2021 to the WB.

Next Steps/Agreed Actions

| No | Actions | Responsible | Due Date |
|-------------------------|---|-------------|-------------------|
| NUOL subprojects | | | |
| 1. | FNS should coordinate with PAMD/DOF to incorporate Biosphere Reserves, and capacity building into the Annual National Protected Area Conference | FNS/DOF | December 2020 |
| 2 | FNS to convene a workshop on “Montane Forest Conservation” with DOF, and NGOs, including nature-based tourism | FNS | December 15, 2020 |
| 3. | FEBM to convene a national workshop on PES with key stakeholders | FEBM | March 2021 |
| 4. | FES to complete the assessment of training participants | FES | December 2020 |
| 5. | EPF to submit FSS-AF proposal and AWPB2021 to the WB for NoL | FSS | December 2020 |
| 6. | FES should request a 3 month “no-cost” extension | FES | December 2020 |
| 7 | FNS/FEBM should request a 12 month “no-cost” extension | FNS/EPF | December 2020 |

Annex 7. Detailed project management implementation progress

85. **Procurement Management:** Procurement rating is remained at “Satisfactory” based on the overall project procurement performance. Contractual commitments are at US\$ 13.90 million (95.38% of the total planned amount of US\$14.57 million) with 76 months (91.57%) elapsed since project effectiveness. The project implementing agency has so far completed procurement of total 543 packages out of total 566 packages (95.94%). Number of packages planned and procured per each SDA are stipulated in the table below. For the project to obtain Highly Satisfactory procurement performance rating, 1) all packages should be procured as planned in the approved procurement plans, 2) all sub-projects should get percentage of procurement completed more than percentage of time elapsed at the report time, and 3) there should be no any red flags indicated in the STEP.

86. The Bank will conduct procurement post review of the project during beginning of December 2020; and findings from post review will be shared with the EPF in a notification letter.

| No. | Name of Component and SDAs | Number Packages | | % Procured |
|-----|----------------------------|-----------------|----------|----------------|
| | | Planned | Procured | |
| 1 | Component 3 EPF | 82 | 81 | 98.8% |
| 2 | PICE-PAW 001-DOF | 27 | 27 | 100.0% |
| 3 | PICE-PAW 002-DOFI | 40 | 40 | 100.0% |
| 4 | PICE-PAW 003-NUOL.FFS | 28 | 28 | 100.0% |
| 5 | PICE-PAW 004-DPR | 2 | 2 | 100.0% |
| 6 | PICE-PAW 005-DPC | 12 | 11 | 91.7% |
| 7 | PICE-LENS2 006-NUOL.FSS | 13 | 13 | 100.0% |
| 8 | PICE-LENS2 007-PPA | - | - | no Procurement |
| 9 | PICE-LENS2 008-NUOL.FEB | 18 | 18 | 100.0% |
| 10 | PICE-LENS2 009-NUOL.FES | 9 | 9 | 100.0% |
| 11 | PICE-LENS2 010-NUOL.FNS | 11 | 11 | 100.0% |
| 12 | PICE-LENS2 011-LCD | 11 | 11 | 100.0% |
| 13 | PICE-LENS2 012-DCNEC | 13 | 13 | 100.0% |
| 14 | PICE-LENS2 013-DESIA(DNEP) | 14 | 13 | 92.9% |
| 15 | PICE-LENS2 014-DEQP | 8 | 7 | 87.5% |
| 16 | PICE-LENS2 015-PCD | 19 | 11 | 57.9% |
| 17 | PICE-LENS2 016-NREI | 18 | 16 | 88.9% |
| 18 | PICE-LENS2 017-NIER | 6 | 6 | 100.0% |
| 19 | PICE-LENS2 018-NAPA | 11 | 11 | 100.0% |
| 20 | PICE-LENS2 019-PONRE-HP | 3 | 3 | 100.0% |
| 21 | PICE-LENS2 020-PONRE-XK | 3 | 3 | 100.0% |
| 22 | PICE-LENS2 021-PONRE-LPB | 3 | 3 | 100.0% |
| 23 | PICE-LENS2 022-PONRE-VTP | 6 | 6 | 100.0% |
| 24 | PICE-LENS2 023-PONRE-BLX | 4 | 4 | 100.0% |
| 25 | PICE-LENS2 024-PONRE-KM | 3 | 3 | 100.0% |
| 26 | PICE-LENS2 025-PONRE-SVK | 4 | 4 | 100.0% |
| 27 | PICE-LENS2 026-NEIO | 5 | 2 | 40.0% |
| 28 | CBI-LEN2-001-PFRM-BLX | 8 | 8 | 100.0% |
| 29 | CBI-LEN2-002-PFRM-HP | 9 | 9 | 100.0% |
| 30 | CBI-LEN2-003-PFRM-LPB | 11 | 11 | 100.0% |
| 31 | CBI-LEN2-004-PFRM-XK | 12 | 12 | 100.0% |
| 32 | CBI-LEN2-005-PFRM-KM | 9 | 9 | 100.0% |
| 33 | CBI-LEN2-006-POFI-BLX | 15 | 15 | 100.0% |

| | | | | |
|----|-----------------------|-----|-----|---------------|
| 34 | CBI-LEN2-007-POFI-KM | 16 | 16 | 100.0% |
| 35 | CBI-LEN2-008-POFI-HP | 16 | 16 | 100.0% |
| 36 | CBI-LEN2-009-NT2-PPA | 4 | 4 | 100.0% |
| 37 | CBI-LEN2-011-PAFO.BLX | 11 | 11 | 100.0% |
| 38 | CBI-LEN2-012-PAFO.SVK | 9 | 8 | 88.9% |
| 39 | CBI-LEN2-013-PAFO.VTE | 12 | 12 | 100.0% |
| 40 | CBI-LEN2-014-WMPA | 1 | 1 | 100.0% |
| 41 | CBI-LEN2-016 PAFO KM | 10 | 10 | 100.0% |
| 42 | CBI-LEN2-017 PAFO HP | 8 | 8 | 100.0% |
| 43 | CBI-LEN2-018 PAFO LPB | 9 | 9 | 100.0% |
| 44 | CBI-LEN2-019 PAFO XK | 10 | 9 | 90.0% |
| 45 | CBI-LEN2-020 NEPL | 23 | 19 | 82.6% |
| | TOTAL | 566 | 543 | 95.38% |

87. **Financial Management: performance remains “Moderately Satisfactory”.** Some of the agreed actions namely submission of the IFR and Audited financial statements have been completed. The recruitment for the FM Consultant was also completed and the consultant started working with the Project in August 2020. However, some important agreed actions such as i) selection of the new accounting software and ii) closed follow-up and improvement of the monthly reporting of expenditures by many sub-projects have not been completed. According to the sub-projects register, 17 sub projects did not report on the expenditures monthly. As previously recommended, EPF FM team should further monitor and follow-up with the concerned sub-projects to reduce the numbers of irregular/late reporting of the incurred expenditures. The project is also strongly advised to complete the selection and installation of the new accounting software as soon as possible as this is critical and impact the project ability to monitor its financial status and available fund accurately.

Furthermore, several issues were raised by the auditor in the FY20 audit report and management letter such as late clearance of advances, non-compliance with regulation No. 4000, inadequate information in supporting documents, inadequate fixed assets management, vehicle’s logbook not updated. These non-compliances are recurring issues from previous year that remained unresolved. Therefore, we strongly recommend that EPFO together with concerned SDAs are requested to take immediate actions to resolve those issues and prevent them from recurring in the future. EPFO should closely monitor those SDAs with most medium and high issues and provide more frequent hands-on support, follow-up and monitor their performance.

89. **Disbursement:** *see main text*

90. **Safeguards:** Safeguards compliance by the project remains Satisfactory, with no major issues raised and reported during the mission. The Community Engagement Framework (CEF) and Environmental and Social Management Framework (ESMF) were largely in compliance by the project including 7 PAFO’s sub-projects for PA management, NEPL NPA subproject, NNT National Park and FEB subprojects. The Community Action Plan (CAP) and Community Conservation Agreement (CCA) were completed in 146 out of total 193 villages supported by the above listed subprojects. The CAP and CCA are expected to be completed in the remaining 47 villages by the end of March 2021. The CAP serves as an instrument for managing risks and impacts associated with access restriction and as an ethnic group development plan for addressing adverse impacts on ethnic groups identified with collective attachment to the subproject area since this instrument is developed through the participatory planning, consultation and Free, Prior and Informed Consent (FPIC) process required in the CEF. Prior review and clearance for initial package of 5 ESMPs, CAPs and CCAs prepared during 2017-2018 was provided by the World Bank while the remaining packages have been cleared by the EPFO. The ESMPs and CAPs have been disclosed in the SDA offices and EPF’s website. The World Bank also randomly conducted post-review of some ESMPs, CAPs and CCAs during the last implementation support missions.

91. As of October 31, 2020, about 225 grievances were received from the total 193 target villages. These grievances are mainly centered around suggestions and requests for further technical training and extension support from the SDAs, PAFOs and DAFOs to strengthen and sustain their livelihood activities funded through VLF.

6. **Monitoring and Evaluation:** *see main text*

Annex 8. Status of Agreed Actions from the previous aide-memoire

| No | Actions | Responsible | Due Date | Status as of October |
|----------------|--|-------------|------------------|--|
| EPFO | | | | |
| 1 | Send Letter requesting for project extension to the WB (the letter should come from MOF) | EPFO, MOF | End of June 2020 | Completed: MOF sent a letter to WB on 29 June 2020. WB approval (dated 28 August 2020) has been issued. |
| 2 | Compile a list of SDAs who are planning to extend closing date and assist them in updating AWPB. | EPFO | End of June 2020 | Completed: The list of SDAs who sent a request for extension of the subproject closing date and shared it with WB on 5 June 2020. Of the 38 SPs, 29 SPs proposed to extend their sub-projects duration beyond 2020. |
| 3 | Send the updated EPF Bylaw to the WB for comments | EPFO | End of June 2020 | Completed: EPFO completed the revision of the By-Law and submitted to WB for comment on 9 October 2020 |
| 4 | Send TOR templates to SDAs who are planning to recruit accountant and project assistant and facilitate the process | EPFO | End of June 2020 | Completed: Standard ToR template for recruiting an accountant and project assistant was sent to respective SDA; namely, DPCM and DEPP. |
| 5 | Investigate the NUOL publication payment issue | EPFO | End of June 2020 | In progress. EPF has worked with NUOL SPs (FNS, FSS, FES) to investigate issues and aggregate evidence-based data in response to delayed publication payment. A summary of issues including supporting documents such as service agreements between SDAs and consultants, invoice, payment request have been compiled and sent to WB for technical review and comment twice on 8 & 24 June. On 9 July WB feedbacked and required EPF to seek additional information to fulfill determined requirements. Full clarification as well as supporting documents were provided to EPF. Third week of October EPF finance and coordinator met with WB finance to find proper way of address. It's advised that EPF to send a payment request to WB on publication as agreed by WB and EPF. While other pending publications need to be further investigated and resolved. |
| EPFO-FM | | | | |

| | | | | |
|-------------------------|---|---------|--------------------|---|
| 6 | Update the WB on the accounting software issue | EPFO | End of June 2020 | <p>In progress: By working with accounting software provider, EPFO has tried its best endeavor to fix technical issues. Series of meeting and consultation were held with software provider, WB, and GIZ yet the issues persist. EPFO considered that it is not possible to completely resolve the issues during the course of LENS2. To this end, EPFO decided to recruit the qualified independent firm to design and develop a new software that can be applied to all EPFO projects as a whole and a draft TOR has been cleared by WB and procurement process has been initiated. The advertisement on newspaper and website was made and it is expected that a firm to be onboard by the end of 2020 (The payment for this task will be charged from GIZ project). The objectives are to review the existing Accounting Software, identify gaps and problems and provide recommendations to improve into the new design and develop an effectiveness Accounting Software. However, in the meantime LENS2 continues using APIS program to the end of 2020.</p> <p>Second week of October, EPF invited interesting consulting firms to introduce their service package, history and expertise in accounting software development. EPF later decided for shortlist and final selection, it's now under procurement processing and the winning firm is preparing a full proposal for submission.</p> |
| 7 | Follow up with concerned sub-projects to report on the actual expenditures at least monthly | EPFO | End of June 2020 | Completed: EPF submitted sub-grant register form to WB on 17 June 2020. |
| 8 | Provide comment on the submitted Financial Management Manual for EPF | EPFO/WB | End of June 2020 | Completed: EPFO submitted the revised draft to WB for comments on 1 August 20. |
| 9 | Submit FY19 audit report and management letter to the Bank | EPFO | End of August 2020 | Completed: Audit Report was submitted to WB on 28 July 2020. |
| 10 | Submit IFR covering the period from January to June 2020 | EPFO | August 15, 2020 | Completed: As a part of bi-annual report, the IFR was submitted to WB on 14 Aug. |
| EPFO-Procurement | | | | |
| 11 | Conduct virtual meeting with SDAs procurement staff to share lesson learnt of finding of procurement Ex-Post review of contracts award during the period (from April 01, 2019 to October 1, 2019) | EPFO | End of June 2020 | Completed: Following the COVID-19 relaxation on restriction on travelling and face-to-face meetings, EPFO conducted a meeting with the central SDAs on 30th June, 2020. Participants learnt about the updated public procurement law and instruction on public procurement law as well as the updated revised RFQ and NCB for goods and works and share the key findings and lessons learnt from the WB Ex-post review of contracts awarded during April to October 2019. |

| 12 | Encourage and gather information of SDAs operating in Vientiane those want to attend the monthly procurement clinic offered by the Bank | EPFO | End of June 2020 | Completed: Action was conducted on 2 July 2020. Delegates from some SDAs expressed their interest in joining the procurement clinic and list of participants was shared with WB for training scheduling accordingly. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|-----------------------|---|--------------------------------|------------------------------|--|--|------------------------|-------------|--|--|--|--------------------------------|--|---------------------------|--|--------------------|------------------------------|--------------------|--|------|----|----|----|----|----|------|----|----|----|----|---|--------------|-----------|-----------|-----------|-----------|-----------|
| 13 | Guide and on the job training SDAs on procurement regulations and processing | EPFO | End of June 2020 | In progress: The coaching on procurement process and stages have been so far performed with following SDAs; namely, DOF, DOFI, FES, FSS, LCD, DCNEC, PCD, NIER, DEQP, NREI. It focused on enhancing understanding on goods, works and consultancy regulations. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| EPFO-Safeguard | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 14 | Completed the disbursement of VLF in NNT and NEPL National Park sub-projects | WMPA, NEPL | End of September 2020 | <p>In progress. Currently, NNT-WMPA sub-project has completed the CAP / CCA and the transfer of funds to the Village Development Fund for 16 villages in September and plans to complete the CAP / CCA in October for an additional 13 villages, including 23 target villages. Disbursement for villages development fund now already grant 16 villages (EPF's fund). -PL check if this is the Village Development Fund of Village Conservation Fund. Also clarify the last sentence.</p> <p>For NEPL sub-project has completed the CAP/CCA and the transfer of funds to the Village Development Fund for 30 villages in September 2020 and an additional 13 villages are to complete the CAP and transfer money to the Village Development Fund by November 2020, for a total of 43 villages of the NEPL sub-project. Same as above</p> <p>Disbursement for villages development fund now already grant 30 villages (EPF's fund)</p> <table border="1"> <thead> <tr> <th rowspan="3">Sub-project</th> <th rowspan="3">Number Target villages</th> <th colspan="4">CEF Process</th> </tr> <tr> <th colspan="2">Completed until September 2020</th> <th colspan="2">Plan end of December 2020</th> </tr> <tr> <th>SER, PRA, CAP, CCA</th> <th>Transferred Fund to Villages</th> <th>SER, PRA, CAP, CCA</th> <th>Currently completed data collection (Villages)</th> </tr> </thead> <tbody> <tr> <td>WMPA</td> <td>50</td> <td>16</td> <td>16</td> <td>34</td> <td>20</td> </tr> <tr> <td>NEPL</td> <td>43</td> <td>30</td> <td>30</td> <td>13</td> <td>7</td> </tr> <tr> <td>Total</td> <td>93</td> <td>46</td> <td>46</td> <td>47</td> <td>27</td> </tr> </tbody> </table> | Sub-project | Number Target villages | CEF Process | | | | Completed until September 2020 | | Plan end of December 2020 | | SER, PRA, CAP, CCA | Transferred Fund to Villages | SER, PRA, CAP, CCA | Currently completed data collection (Villages) | WMPA | 50 | 16 | 16 | 34 | 20 | NEPL | 43 | 30 | 30 | 13 | 7 | Total | 93 | 46 | 46 | 47 | 27 |
| Sub-project | Number Target villages | CEF Process | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | Completed until September 2020 | | Plan end of December 2020 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | SER, PRA, CAP, CCA | Transferred Fund to Villages | SER, PRA, CAP, CCA | Currently completed data collection (Villages) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| WMPA | 50 | 16 | 16 | 34 | 20 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| NEPL | 43 | 30 | 30 | 13 | 7 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total | 93 | 46 | 46 | 47 | 27 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| EPFO-M&E | | | | |
|---|---|-----|--------------------------------|---|
| 15 | Sign contract with International M&E specialist | | End of June 2020 | Completed: George Collett was selected for the post as the M&E specialist (MES). A contract between EPFO and the MES was signed on 1st June 2020 and the closing date is end March 2021 for the assignment of 60 man-days. Payment will be made in lump sum against specific outputs. In light of restriction on international travelling due to Covid-19 pandemic and the extension of LENS2 closing date to end June 2022, EPFO will propose for extension of the closing date of this contract to end June 2022 with no additional cost. Details will be discussed during October to November 2020. |
| 16 | Continue to provide trainings to SDAs on results reporting | | End of July 2020 | Completed: During 22 June-3 July 2020, the EPFO M&E team conducted on-th-job training to the central SDAs (especially within MONRE) on daily data collection and entry to ensure SP outputs and outcomes values are regularly monitored and validated including key information necessary for report preparation. The EPFO M&E team also provided training on developing data entry format and results reporting for SDAs from the central provinces that was held in Bolikhamxay on 7-9 July 2020 and a similar workshop was taken place in Luangprabang between 14-16 July 2020 for the SDAs in the north. It's anticipated that on-the-job training in Year 2021 will focus more on the preparation of project completion report for the subproject. |
| 17 | Submit the first bi-annual progress report of 2020 | | August 15, 2020 | Completed: The semester report 2020 was submitted to WB on 15 August 2020 as schedule. |
| 18 | Update and submit all sub-project briefs considering comments provided during May 2020 mission and progress | | 1 week before the next mission | Completed: All SDAs submitted the implementation progress to EPFO before 15 October 2020 |
| Protected Areas Management Portfolio | | | | |
| DPF and DOF | | | | |
| 19 | Establishment of a functioning MER system | DPF | End of November 2020 | In progress: Due date has not been reached, this activity has achieved at 80% approximately. Currently, it's in process of improving and it will be further discussed at the planned workshop scheduled in first week of Aug. organized by MAF DPF. It's expected that all SDAs under MAF will be invited to the workshop. |
| 20 | MAF Planning Guideline finalized to be applied to subprojects, PAFOs and DAFOs | DPF | End of November 2020 | In progress: Due date has not been reached, 80% completed and it is on processing of improving and organize the first workshop on MAF Planning Guideline in Aug 2020. |
| 21 | DPF requests a 3 month "no-cost" extension. | DPF | August 2020 | Completed: Letter of intention by DPF was sent to EPF in May 2020 and the extension was granted. |

| | | | | |
|--------------------------------------|---|--------------------------------------|-----------------------|--|
| 22 | Regular quarterly meetings of the Conservation Projects Dialogue convened to discuss emerging issues on protected area management. | DOF/PAMD | June 2020 (ongoing) | Completed: DOF/PAMD conducted a meeting on 22 June 2020 with participation of WB, ASIAN ARKS, LENS2, GIZ, ICBF, WCS, IUCN, WWF, WCA, BCC, NNT NP, NE-PL NP, HNN NP, and DOF This meeting was focused on law enforcement and tourism in line with the sustainable financing. |
| 23 | National workshop convened on national park staffing and capacity building in protected area management | DOF/PAMD | End of November 2020 | In progress: Due date has not been reached, DOF/PAMD has been coordinated with the national park staff (NP Unit) to organize a national workshop on capacity building in protected area management in Q4 of 2020. This workshop will be put in agenda for the NPA Annual Meeting in Nov 2020 |
| 24 | Recruitment of (i) Infrastructure Database Expert and (ii) Translator. | DOF/PAMD | End of June 2020 | Completed: A translator has been mobilized in June 2020 and an infrastructure database expert has been mobilized in August 2020. |
| 25 | Structured review continued of the Master Plan for National Protected Areas (2020-2025), and approval | DOF/PAMD/ all concerned stakeholders | End of August 2020 | Completed and approved by DOF, August 2020 |
| 26 | Eight Guidelines (regulations) to be thoroughly reviewed and approved | DOF/PAMD/ Experts | End of September 2020 | Completed and approved by MAF, September 2020 |
| 27 | The committee of experts should finalize updating of the wildlife lists. | DOF/PAMD | End of September 2020 | Completed: - List of III Completed and approved by MAF, September 2020 - List of I and II have submitted to MAF and waiting for approval process by PM |
| 28 | DOF/EPF to convene a meeting to discuss extensions on National PA Expert, National Management Planning Expert (2 months) and Outreach Expert (2 months) | DOF/PAMD/EPF | End of June 2020 | - Completed extensions on National PA Expert (3 months) till mid September. - Expected 2 months extension contract for Outreach expert but cannot accept by the expert. - On-going of preparation contract extension for National Management Planning Expert to November under the recent contract lumpsum. |
| 29 | DOF requests a 3 month “no-cost” extension. | DOF | August 2020 | Completed: The requested letter was submitted to EPF in May. |
| Nakai Nam Theun National Park | | | | |
| 30 | A well-organized recruitment process should be implemented to fill 45 vacant national park positions. | NNT/IUCN | End of July 2020 | Completed: The recruitment process has been implemented and NNT-NP unit (WMPA) will sign a contract with the selected staff after Board approval. Up to now a total of 42 Positions (including 1 Director and 2 Deputies) are on board. Salary range have been in place by categorizing of junior and senior based on qualifications and years of experience |

| | | | | |
|----|--|----------|-------------------------|---|
| 31 | The AWPB 2020 (which includes the regional study tour), should be approved | NNT/COTE | End of June 2020 | Completed: The AWPB 2020 (which includes the regional study tour) was approved. The 2020 AWPB also included a study visit abroad to the world heritage site (e.g., India), but due to the restriction on travelling due to COVID-19 pandemic, this study visit will be postponed to 2021. This study visit aims to raise international recognition of the National Park status of the Green List under IUCN. |
| 32 | The Minutes of Meeting (Lao version) for February 14th, 2020 Stakeholders Forum meeting should be circulated to DOF, NNT stakeholders and two PAFOs. | NNT | End of June 2020 | Completed: The Minutes of Meeting (Lao version) for February 14th, 2020 was translated and shared with DOF and other stakeholders. |
| 33 | Monthly meetings should be convened between the National Park Office and the COTE, with the Minutes of Meetings forwarded to Board members, DOF/PAMD, two PAFO Offices and 4 DAFO Offices. | NNT/COTE | November 2020 (monthly) | Completed: Regular meeting between the COTE Team and the NNT.NP have been organized monthly: two times in September 2020 and minutes available, upon which the monthly plan are prepared and approved. However, the minutes are shared internally in NNT.NP but not yet shared with other stakeholders and BoD. |
| 34 | The delivery of the village livelihoods development grants to 29 villages should be undertaken carefully, taking accounting of local capacities, and the wet season. | NNT/COTE | May 2020 (ongoing) | Completed: To date, 17 villages has received budget in their account whereas other six villages will be released the fund in Q4 2020. |
| 35 | A review should be conducted by the National Park Office to evaluate the need to establish a Provincial National Park working group in Khammouane Province as well as in Bolikhamxay Province. | NNT/COTE | End of July 2020 | <p>Not in progress. This activity hasn't been done yet because it is not our role and responsibility. It's under the MAF, especially the DOF to conduct an establishment of provincial National Park working group in Khammouane province as well as in Borlikhamsay province.</p> <p>However, we have worked closely with PAFOs of Khamouan and Bolikhamxay to address the trafficking of wildlife/timbers and</p> |
| 36 | The National Park Office should facilitate a Coordination meeting in Khammouane Province on park management and tourism development with GIZ, IUCN, Asian Arks and Khammouane Tourism Network | NNT/COTE | End of November 2020 | <p>Not in progress: We have not organized a meeting with the government and other organizations, e.g. GIZ and Asian Arks.</p> <p>However, we organize a series of meetings by getting the Provincial Tourism Office of Khammouan and District tourism offices of Nakai, Boualapha, Gnommalath and Khamkert (Bolkhamxay Province) and other government sectors involved in developing tourism regulation on Eco-tourism in NNT.NP.</p> |

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| 37 | The National Park Office should request a 12-month “no-cost” extension in consultation with NTPC. | NNT | End of June 2020 | In progress: NNT appreciates to extend SP duration in 2021. Letter of extension is being prepared and will be submitted to EPF soon this year. |
| Nam Et-Phou Louey National Park | | | | |
| 38 | Monthly meetings should be continued between the National Park Office and WCS, with the Minutes of Meetings forwarded to the NP Committee members, DOF/PAMD, three PAFO Offices and 10 District Offices. | NEPL/WCS | May 2020 (ongoing) | Completed: Monthly meetings continue to be held by the NEPL MU with their active participation of WCS, relevant district officials and other Gol agencies. Minutes of meetings are kept, and continue to be forwarded to NP committee members. |
| 39 | NE-PL MU should consider mobilizing the three Provincial Steering Committees to provide oversight and assistance to the ongoing livelihood development programs on a quarterly basis | NEPL/WCS | End of November 2020 | Completed: While the majority of inter-agency communication, support and assistance is provided through the district levels, NEPL are working closely with the Provincial committees in areas where a broader approach needs to be taken, such as Phati road, and the improvement of prosecution case flow. Key provincial level meetings during this report period include: <ul style="list-style-type: none"> • July – Houaphan PAFO committee visited NEPL NP office to discuss challenges to project implementation • Aug – Houaphan Provincial committee meeting with villages of Ban Houyma regarding Phati road. • Aug – LPB Provincial committee members visited NEPL NP office to discuss project implementation in relation to LPB province. |
| 40 | The delivery of the village livelihoods development grants to 38 villages should be undertaken carefully, taking accounting of local capacities, and the wet season. | NEPL/WCS | May 2020 (ongoing) | In progress: Currently 30 villages have received VDF’s based on the community engagement framework required for this project. Full FPIC processes have been followed and will continue to be followed during the continuation of these CCA and CAP activities. COVID 19 did impact on activity implementation shutting down the activities for a period of around 3 months. |

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| 41 | The consultant working on the participatory management plan for NEPL needs to submit potential approaches to provincial level engagement based on discussions with the NEPL MU and WCS technical staff that are in line with the broader NP Decree also currently under development. | NEPL | End of November 2020 | <p>Completed: The consultant is currently in the process of arranging consultations for the first draft of the NEPL MP.</p> <ul style="list-style-type: none"> • The first draft was drawn up during consultation with the NEPL MU in July. • Information was gathered during a number of visits and meetings with relevant GoL agencies in Houaphan and Luang Prabang Provinces. • Feedback meeting were also held with DOF officials in Vientiane. <p>Based on these meetings and workshops, a first draft management plan has been developed. A next round of consultations will be held during October and November involving:</p> <ul style="list-style-type: none"> • NEPL MU / WCS technical staff • Xiengkhouang PAFO • Houaphan PAFO • LPB PAFO |
| 42 | The National Park Office should request a meeting between NE- PL, DOF, EPF and the WB to discuss a project extension. | NEPL | End of June 2020 | <p>Completed: All official documentation required from EPF to request a project extension was Completed and submitted to DoF and EPF July. A NC extension was approved in September.</p> <p>The next step in this process is to determine the actual length of NC extension required (Maximum of 12 months) to adequately Completed project activities. This will occur during October.</p> |
| PAFO | | | | |
| 43 | The Steering Committees of the seven PAFO sub-projects should proactively search for prospective and active rural development NGOs with livelihood development agendas in their guardian villages, for sustainable financing streams to the seven reserves | Seven PAFOs | May 2020 (ongoing) | <p>Completed: May and Jun 2020 for 7 PAFOs to consult with PAFO steering committee, there are some projects and NGO existing in those areas such as Luxemburg and Biodiversity Offset for BLX; Poverty Reduction Fund and Livestock Raising for XK; Nutrition-PRF, GREK, CliPAD-TC, REDD and WCS for PAFO-HP; F-REED for PAFO-LPB.</p> |
| 44 | The prospective and active rural development NGOs with livelihood development agendas in PAFO Project guardian villages should be proactively encouraged to attend management planning consultations | PAFOs | End of November 2020 | <p>In progress: All concerned NOGs will be invited to these consultation meetings accordingly.</p> |
| 45 | Outreach training should be continued for subproject PA staff and district counterparts. | DOF/PAFOs | End of November 2020 | <p>Completed: All PAFOs were trained on Outreach for step 1 and 2</p> |

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| 46 | Participatory management plans should be continued involving PA staff under Steering Committee supervision. | DOF/ PAFOs | End of November 2020 | Completed: draft for all 7 PAFOs; conducted consultation meeting at provincial level for HP, XK and VTE; and Namxam NPA strategy plan (HP) already submitted to DOF for approval |
| 47 | Supervision should be continued for livelihood grant implementation and monitoring. | DOF/PAFOs /EPF | End of November 2020 | In progress: Due date has not been reached, Monitoring and supervision in regularly by quarterly. Especially PAFO-KM, SVNK, LPB, NEPL, BLX, VTE and XK were supervised with DOF's consultant. |
| 48 | All seven PAFOs requested a 3 month "no-cost" extension | PAFO/EPF | June 2020 | Completed: All requests has been submitted to EPF in May 2020 |
| Wildlife Law Enforcement Portfolio | | | | |
| DOFI | | | | |
| 49 | Lao-WEN Steering Committee Meeting should be convened, with a well-structured agenda to discuss COVID-19 pandemic, and improved enforcement and prosecution. | DOFI/DOF/ Lao-WEN partners | End of August 2020 | Completed: A Lao-WEN Steering Committee meeting was conducted on 3rd June 2020. The meeting discussed the implementation and readiness to collaborate with potential LLL3 Project, the establishment of Lao-WEN main focal point for DOFI and Sub focal points for Department of Environmental Police and Department of Customs. Preparing to conduct Lao-WEN meeting to amend the current Lao-WEN decision, improving TORs of Lao-WEN, TORs of Main focal point, LAOWEN Sub focal points, discussing on the LAOWEN SOP gaps (Meeting will be held during the second week of August 2020). |
| 50 | Lao-WEN to continue to maintain a dedicated Wildlife Crime Task Force in Vientiane and Luang Prabang resulting in some convictions. | DOFI/ Lao-WEN partners | End of November 2020 | In progress: Due date has not been readhed, Sub project team had discussed with the head of LAOWEN central coordinator (head of Wildlife and Aquatic life Inspection Division) confirmed that waiting for new normal situation from COVID 19, regular opening shops, foreigner group tour come to visit after that MAF will assign the inspecting task force team to detect, disrupt a target sites in Luangprabang province and Vientiane Capital. There are still important things that can be done prior to any action. Although the physical shops are closed traders are still very active on, We Chat and Tao bao Recommendation The TA can develop an action plan in preparation for the lifting of restrictions and enforcement action. The plan would include the mapping of traders and online trade and potential actions that can be taken |
| 51 | DOFI staff and TA staff to provide technical support to the development of pilot P-WEN action plans. | DOFI/TAs/ BLX-POFI KHA-POFI | End of November 2020 | In progress: Due date has not been readhed, Piloting of P-WEN cooperation agreements has commenced in addition to the mapping of operational areas. This is now under review |

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| 52 | DOFI staff and TA staff to provide coaching in field investigations (60 per cent on wildlife) and 40 per cent (on timber and encroachment). | DOFI/TAs/ BLX-POFI KHA-POFI | End of November 2020 | Completed: The field coaching in Khammuane province (date 8th to 12th June 2020) and Bolikhamxay province (date 22nd to 25th June 2020) Proposed field coaching in Houaphan in August 2020. The focus of the field coaching has been on mapping risks associated to the CIVID-19 pandemic and conducting inspection of potential hotspots |
| 53 | DOFI to prepare a summary outline of all Guidelines required for its involvement in interagency law enforcement and to circulate the draft Guideline on Forest Resource Inspection and Investigation to other Lao-WEN members for review | DOFI/Lao-WEN partners | End of November 2020 | Completed: o DOFI presented its compliments to Minister of MAF to approve the decision on investigation authority of forest officials (according to article 145 in forestry law); o DOFI had sent the official letters to 18 POFIs to send the needed inputs to improve the current national guideline (0141) on inspection and investigation of forest resource, aquatic life and wildlife, waiting to gather the input comments from each POFI; o Regular coordination among the legislation preparation team (166, 3063) to support their contribution This is in reference to the proposed Lao WEN cooperation framework that is being developed This has been shared with DOFI for comment. Recommendation: Distribute the framework to Lao WEN agency partners so that the framework can be developed. |
| POFIs | | | | |
| 54 | Operational guidelines should be prepared and finalized for two pilot P-WEN describing the establishment, functions, responsibilities, operational areas, and reporting of a P-WEN and its membership (including wildlife, timber and encroachment) | DOFI/TAs/ BLX-POFI KHA-POFI | End of November 2020 | Completed: This has been prepared and presented to P-WEN agencies in Khammoune on the 19th March 2020 and Bolikhamxay on 25th May 2020 |
| 55 | Pilot P-WEN action plans to be developed with technical support by DOFI staff and TA staff | DOFI/TAs/ POFIs | End of November 2020 | Completed: Annual action plans have been developed by Khammoune and Bolikhamxay P-WENs |
| 56 | P-WEN to conduct field investigations with coaching provided by DOFI staff and TA staff (60 per cent on wildlife) and 40 per cent (on timber and encroachment) | DOFI/TAs/ POFIs | End of November 2020 | Completed: The field coaching in Khammuan province (date 8th to 12th June 2020) and Bolikhamxay province (date 22nd to 25th June 2020) Proposed field coaching in Houaphan in August 2020. The focus of the field coaching has been on mapping risks associated |

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| | | | | to the COVID-19 pandemic and conducting inspection of potential hotspots. |
| 57 | P-WENs to report on progress on processing prosecution cases, including any constraints | DOFI/TAs/ POFIs | End of November 2020 | In progress: DOFI investigation team attended a meeting with LPB POFI in September 2020 to obtain status updates on current investigations and prosecution referrals. |
| 58 | P-WEN in target provinces to use CRIME info as best practice for recording law enforcement activities and build the criminal database. | DOFI/TAs/BLK- POFI/KHA POFI | End of November 2020 | In progress: The DOFI IMS expert travelled to Khammoune and Bolikhamxay on the 30-31 March 2020 to conduct follow up coaching. |
| 59 | Coordination should be strengthened with Houaphanh P-WEN on development of P-WEN regulation, Houaphanh P-WEN action plan development and prosecutions resolutions | DOFI TA/ HOUA P-WEN/ NEPL | End of November 2020 | In progress: The results of the pilot P-WEN operation guidelines will be shared with Houaphanh-WEN and used to strengthen P-WEN in that province. |
| LCD | | | | |
| 60 | LCD's Wildlife Operational Strategy and SOPs to be approved (delayed), as part of the Strategy | LCD | End of June 2020 | Completed: The consultation meeting on draft strategy, a standard operating procedure (SOP) for law enforcement, Terms of Reference (TOR) and skill criteria for anti-smuggling staff was held during 13-14 August 2020. The technical meeting on revision of those 4 documents was held on 28 September 2020. It is expected to be approved by the end of December |
| 61 | LCD to produce a CITES video campaign | LCD | End of June 2020 for public release | Completed: This action was completely finished by the end of December 2019 (This activity was also mentioned in the 2019 annual report, which already submitted to EPF). The CITES video completely produced, and it was showed in the consultation meeting on draft strategy, a standard operating procedure (SOP) for law enforcement, and Terms of Reference (TOR) and skill criteria for anti-smuggling staff on 13 August 2020. In November 2020, LCD is planning to present the CITES video to LCD's officers who work on wildlife enforcement and anti-smuggling issue at border checkpoints as well as promote CITES video via social media such as Facebook, YouTube and television channels. |
| 62 | Contact WCO to obtain and use the standalone nCEN applications | LCD | End of June 2020 | Delayed: This action is delayed due to communication restriction with nCEN provider overseas. It's expected to be completed by end of September 2020 |

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| 63 | Translation materials to support to LCD on nCEN implementation | LCD | End of June 2020 | Completed: This action was Completed. It is now under process of payment |
| 64 | Set up CITES Unit, the objectives of the meeting is to discuss, adopt, disseminate, rescind and implement strategy, SOP, TOR and skills standards for LCD's officers (The Consultation Meeting on Drafted Strategies, Law Enforcement Operations Guideline, SOP, TOR for LCD's officers is expected to organize at Champasak province in March 2020. | LCD | End of June 2020 | In progress: This action is expected to Completed by end of September 2020 |
| 65 | Attend, participate or implementation closely CITES working of other projects (follow invitation) | LCD | End of September 2020 | Completed: Follow invitation |
| 66 | Carry out mobile randomly selected operations (patrolling) to frustrate, disrupt and inspect the targets informed by risk profiles and intelligence within the customs mandate and jurisdiction | LCD | End of September 2020 | Completed: Between 8-31 July 2020 in Vientiane Capital and Bolikhamxay provinces, and LCD will continue to conduct this activity in other provinces (Q3). |
| DCNEC | | | | |
| 67 | A bilateral meeting to enhance cooperation for combating illegal cross-border wildlife trafficking between DCNEC and Royal Thai Police Commission | DCNEC | End of June 2020 | Cancelled: The planned meeting was cancelled due to COVID-19 limiting people gathering and international travel. This amount will be considered to reallocate to related activity. |
| 68 | A meeting to review progress on the implementation of combating Wildlife Crime and the establishment of E-police division at provincial level | DCNEC | End of June 2020 | Postponed: Referring to the project plan approved by the World Bank, the meeting set to be held on March 2020 yet due to COVID-19 pandemic this action will be rescheduled to 25th August 2020. |

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| 69 | Field investigation for the Operation Predator 2019 to verify information source, collect data, evidences, open investigation of Wildlife Crime offenders | DCNEC | End of December 2020 | <p>In progress: Since February 2020, DCNEC conducted surveillance at target provinces namely Luangprabang, Vientiane, Khammouan, Bolikhamxay and Vientiane Capital. As the result, DCNEC can proved that two targets in Laungprabang involves in illegal wildlife trafficking, therefore DCNEC cooperated with DOFI for further actions. Due to the COVID-19 outbreak, the further actions have to be postponed; however DCNEC and DOFI will resume taking action on those targets on September.</p> <p>In addition, DCNEC contacted with E-police of Vietnam to conducted investigation of the seven tiger cubs case. Base on the supported evidences are given by the representatives from MoPS of Vietnam who had been working in Laos on 16th September 2019. DCNEC found that the criminal gang (Nguyen Huu Hue, Pham Van Vui, Ho Anh Tu who were arrested by E-police of Vietnam had smuggled the seven tiger cubs from some farm in Laos with a facilitation from a man who lives in Laos.</p> <p>On earlier of July 2020, DCNEC has confiscated 20 kg of tiger bones and arrested 01 suspect (Vietnam nationality), the case is under investigating.</p> <p>DCNEC Investigation Team is going to conduct surveillances of targets in Bolikamxay province on October 2020 (based on information from the Washington Post regarding illegal tiger trading operated by some tiger farms).</p> |
| Environmental Planning and Management Portfolio | | | | |
| MONRE | | | | |
| 70 | DPF to Completed 5-year provincial or sectoral development plans that include environmental planning, monitoring, assessment, or management components | DPF | End of December 2020 | <p>In progress: Up to now, DPF has been conducting the support mission for Five-Year Action Plan Development for PONREs across the country.</p> <p>DPF has received 18 first drafts of the next five-year plans (2021-2025) from 18-line PoNREs, 17 drafts had been reviewed.</p> <p>DPF will continue following up on 5 new line departments of MONRE's five-year plan (2021-2025).</p> |
| 71 | DPF to discuss with MONRE and PONRE sub-projects on how long they would like to extend the closing date | DPF, MONRE, PONREs | End of June 2020 | Completed: all SDAs under MoNREs and PoNREs had sent the request letter to EPF for extend the contract with no cost in June 2020. |
| 72 | DPF to publicize departments' websites that disclose information | DPC, DNEP, NEIO, NRERI | End of June 2020 | Completed: DPF had supported DNEP/NEIO/NRERI to disclose the information and report into the website of each department. |

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| 73 | PCD to recruit accountant and project assistant to work on a daily basis | PCD | End of June 2020 | Completed: The accountant was recruited, while the project assistant had been canceled and that work will be responded by the inhouse PCDM's officer. |
| 74 | Pollution control decision to be approved | PCD | End of July 2020 | In progress: The final consultation will be held in November 2020 share by Vice Minister, and expect to be approved by Q4 of 2020, and expect to be approved by Q4 of 2020. |
| 75 | PCD to organize a meeting on Lead Exposure Reduction | PCD | End of June 2020 | In progress: Decision on lead in paint (Zero draft) was expected to have final consultation by end of November 2020. |
| 76 | PCD to Completed waste and hazardous chemical management decision/solid waste management; | PCD | End of December 2020 | In progress: The national consultation will be hold by end of 2020, and expects to be approved by Q1 of 2021. |
| 77 | PCD to Completed Vision to 2030- and 10-Years Strategy and 5 Years Action Plan on Pollution Control | PCD | End of December 2020 | In progress: Current updating latest data and technical comments for reporting to the Minister, The national consultation with line ministry and provincial agency will be hold be end of 2020. Expects to be approved by Q3 2021. |
| 78 | PCD to initiate the procurement process for pollution source inventory database | PCD | End of June 2020 | In progress: The finalized ToR had drafted, expect to be recruited on Q4 2020. |
| 79 | PCD to submit AWPB 2020 with detailed roadmap of key activities and send to EPF and the WB | PCD | End of June 2020 | Completed: the revised AWPB 2020 (including the roadmap had been approved by WB, and that had shared to EPF. |
| 80 | DNEP to provide trainings on IEE database to PONREs | DNEP | End of September 2020 | In progress: Expects to conduct on Q4 of 2020. |
| 81 | DEQP to send SOER for the WB comments | DEQP | End of June 2020 | Completed: SOER was sent to WB 29 June 2020, Ref.No 561/DoE MoNRE |
| 82 | DEQP to inform DEPP on transaction and change of signature | DEQP, DEPP | End of June 2020 | Completed in June 2020, the new Project's supervisor (Department Director) had been official assigned and be replaced the signature into the project's documentation. |
| 83 | DEQP to hold a meeting with DEPP to discuss SEA process (and consider inviting MPI/NIER if meeting restriction is not a concern) | DEQP, DEPP | End of June 2020 | Completed: DEQP had unofficial discussed with DEPP.MEM on the SEA process on June 2020. The NIER.MPI has consulted with DoE.DEQP on the SEA process by 08 July 2020. And the DoE.DEQP had shared comments to the Draft SEA to NIER.MPI. |
| 84 | DEQP to Completed integrating ISP into at least 4 provincial 5- year social-economic development plan | DEQP | End of December 2020 | In progress: Current 02 provinces have completed, and the rest 05 provinces are on the data collection and finalizing into the report, which expects to be completed by Q1 of 2021. |
| 85 | DNEP to Completed ESIA/IEE database development | DNEP | End of August 2020 | In progress: The database installation has progress in 60% of target, and expect to complete 90% by Q4 of 2020. |

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| 86 | DNEP to conduct training on EIA/IEE database for DOE's key staff and 18 PONREs | DNEP | End of September 2020 | Expect to proceed on Q1 of 2021. |
| 87 | DNEP to Completed EIA general and specific technical guidelines, Ministerial Instruction on Environmental Management of the household business and Ministerial Agreement on the Endorsement and Promulgation of List of Investment Projects and Activities Requiring for Conducting the IEE or EIA | DNEP | End of August 2020 | In progress: The mine and road specific technical guidelines had been completed and processing the request for ministerial agreement, expects to be agreed by end of year 2020. The Ministerial Instruction on Environmental Management of the household business guideline had completed and proceeding the endorsement. |
| 88 | NEIO to Completed hydropower, mining and road inspection guideline | NEIO | End of September 2020 | In progress: The final version had been completed and proceeding the ministerial agreement, and expects to be endorsed by Q1 of 2021. |
| 89 | NRERI to Completed installation of air quality monitoring stations | NRERI | End of September 2020 | Completed: There are 4 stations had been installed, 01 in Luangprabang, and 3 stations at Vientiane. And currently additional support on the new purchase for PM2.5 under DPC+NEIO budget plan. |
| PONREs | | | | |
| 90 | DPF, DNEP, PONREs and EPF to organize a knowledge sharing meeting on issuance of ECC for provincial road projects | PONREs, EPF, DPF, DNEP | End of June 2020 | In progress: DPF had completed the meeting with those PoNREs on the un-achievable ECC number, and the notice report are preparing by DPF and to be shared to EPFO by end of year 2020. |
| 91 | Update AWPB to include the use of contingency fund. | PONRE HP and XK | End of June 2020 | Completed: XK and HP had having the internal discussion, and already submitted the plan on August 2020 |
| 92 | Provide more information on 3 road projects supported by the WB project that have not received ECC | PONRE XK | End of June 2020 | Completed in July 2020, SDA had shared the related documentation to EPF. |
| 93 | Update AWPB to include ISP meeting and purchase of office equipment | PONRE VTP | End of June 2020 | Completed: The revised AWPB 2020 had been approved by WB in October 2020. |
| MPI/NIER | | | | |
| 94 | Draft outline of SEA of NGGS | NIER | End of June 2020 | In progress: DoE_DEQP and NIER.MPI had a consultation meeting for reviewing and be advised on the Draft content of NGGS SEA on 08 July 2020. And expect to have a final outline by end of 2020. |
| MEM/DEPP | | | | |
| 95 | Prepare ToR for project assistant using EPF template | DEPP | End of June 2020 | Completed: The ToR had been acknowledged in June 2020. |

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| 96 | Recruitment of two national consultants | DEPP | End of June 2020 | In progress: On the final procurement stage, expects to complete the recruitment by November 2020. |
| 97 | Define scope of SEA in consultation with stakeholders | DEPP | End of June 2020 | In progress: Currently, DEPP is on coordination with DoE in order to arrange the consultation which expects to arrange in December 2020. |
| Education and Capacity Building Portfolio | | | | |
| 98 | Three Faculties to convene workshop to discuss piloting Biosphere Reserves, with potential sites in Phou Phanang NPA (a portion), Dong Na Tard PPA or even Phou Chomvoy PPA. | FNS/FFS/FEBM | End of August 2020 | Delayed. It was expected to use FFS's contingency to convene the workshop, but FFS could not use that due to over budget expenditure. FNS had also allocated the remained budget to its planned activities and could not secure budget for this activity it present. To date no meeting is held but nonetheless, it'll be rescheduled on three Faculties convenience. |
| 99 | Completion report to be prepared, with recommendations on PES / PA management | FEBM | End of June 2020 | Completed: The SP completion report was submitted to EPF where recommendations on PES/PA management will be provided separately soon. |
| 100 | Meeting to be convened on FEBM subproject findings | FEBM/DOF/EPF | End of June 2020 | Completed: The meeting was held on 14 May with participation of DOF, MONRE DPF and local stakeholders. |
| 101 | FNS to convene a workshop on "Montane Forest Conservation" with DOF, and NGOs, including nature-based tourism | FNS | End of November 2020 | In progress. FNS planned to organize the workshop in the end of September, 2020. However, it is postponed to organize in November 26-27 th , 2020. |
| 102 | Resolve publications payment issue | EPF/FNS/FSS | End of June 2020 | Please refer to the update #5 under EPFO |
| 103 | The FSS to provide new proposed activities and roadmap for implementation as part of project extension request. | FSS | End of November 2020 | Completed. FSS submitted an AF proposal to TC in Sep. and was then approved with condition. The AF proposal package is being improved and finalized and expected to be endorsed at BoD meeting scheduled in Dec. |

Annex 9. Mission Agenda
Lao PDR Environment and Social Project (LENS2)
Joint EPF/ WB Implementation Support mission
October 26 - November 13, 2020

| Day/Date | Time | Activities | Participants from EPF | Participants from WB | Venue |
|---------------------|---------------|--|-----------------------|--|---|
| Monday Oct. 26th | 8:00 – 8:45 | Mission team meeting | | Steve / Viengkeo / Syboun / Khamphet / Malarak / Konesavang / Souksavanh / Kaysone / John / Arturo Reserved 2F Conference Room | WB Join Using WebEx Meeting number: 172 578 2856 Meeting password: Hpn3mkXTz83 |
| | 10:30 – 12:00 | Mission kick-off Meeting <ul style="list-style-type: none"> - Introductions (<i>Led by EPF</i>) - Mission Objectives (<i>Presented by World Bank</i>) - LENS2 project and next steps: <ul style="list-style-type: none"> • Updates on LENS2 Implementation and Progress since the last mission • EPF action plan • Subproject update Mission Agenda and Recommendations (<i>Presented by EPF</i>) | EPF, MONRE, MAF | Steve / Viengkeo / Syboun / Khamphet / Malarak / Konesawang / Souksavanh / Kaysone / John / Arturo / Luck | EPF |
| | 13:30 – 16:30 | Meeting with DPF/MAF (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance. (<i>Presented by DPF</i>) | EPF, DOF, DPF | John / Arturo / Kaysone | DPF |
| Tuesday | 9:00 – 12:00 | Meeting with DOFI | Phornsamay | John / Konesavang / Arturo / Kaysone | DOFI |

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| Oct. 27th | | (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance. <i>(Presented by DOFI)</i> | | | |
| | 14:00 – 16:00 | Meeting with DCNEC (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by DCNEC)</i> | Phornsamay | John / Konesavang / Arturo / Kaysone | DCNEC |
| Wednesday Oct. 28th | 9:00 – 12:00 | Meeting with WMPA (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance | Mme. Bounphama / Phornsamay | Steve / John / Arturo / Kaysone / Viengkeo / Syboun 2F Conference Room | Join Using WebEx Meeting number: 172 160 2935 Meeting password: qtTuwhqe326 |
| | 14:00 – 16:00 | Meeting with LCD (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by LCD)</i> | Phornsamay | John / Konesavang / Arturo / Kaysone | LCD |
| Thursday Oct. 29th | 9:00 – 12:00 | Meeting with NEPL (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance | Mme. Bounphama / Saysana | Steve / John / Arturo / Kaysone / Viengkeo / Syboun 2F Conference Room | DOF |
| | 14:00 – 16:00 | Meeting with DOF/MAF (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by DOF)</i> | Saysana | John / Arturo / Kaysone | DOF |
| Friday Oct. 30th | 9:00 – 12:00 | Meeting with National University of Laos subprojects (i) Review progress of the AWPB 2020 and results indicators; (ii) Discuss on PDO Indicator (if any) <i>(Presented by NUOL Faculties)</i> Includes NUOL FFS, FES, FNS, FEBM, and FSS | Bounhieng | Viengkeo / Kaysone / John / Arturo | Dong Dok Campus |

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| | PM | Follow up meeting with specific NUOL SPs (extended SPs need to revise their WPB) Progress, issue and next steps | Bounhieng | Viengkeo / Kaysone / John / Arturo | Dong Dok Campus |
| Saturday and Sunday Oct. 31st and Nov. 1st | | | | | |
| Monday Nov. 2nd | 9:00 – 11:00 | Meeting with POFI Bolikhamxay (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by POFI)</i> | Phornsamay / Maniphone | John / Arturo / Kaysone 2F conference Room | WebEx Join Using WebEx Meeting number: 172 392 8527 Meeting password: EJs7rG3rmW2 |
| | 14:00 – 16:00 | Meeting with POFI Khammouan (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by POFI)</i> | Phornsamay / Maniphone | John / Arturo / Kaysone 2F Conference Room | WebEx Join Using WebEx Meeting number: 172 070 6549 Meeting password: J2a3CZ3pVA6 |
| Tuesday Nov. 3rd | 9:00 – 11:00 | Meeting with POFI Huaphanh (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance <i>(Presented by POFI)</i> | Phornsamay / Maniphone | John / Arturo 2F Conference Room | WebEx Join Using WebEx Meeting number: 172 440 3719 Meeting password: yyD3cF8f5Xk |

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| | 14:00 – 16:00 | Meeting with PAFO Huaphanh (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by PAFO)</i> | Saysana | John / Arturo 2F Conference Room | WebEx Join Using WebEx Meeting number: 172 274 0345 Meeting password: QKgG9bWFP56 |
| | 14:00 – 16:00 | Meeting with PCDM (NEIO sub-project) (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by PCDM)</i> | Souksakhone | Steve / Viengkeo / Kaysone | PCDM |
| Wednesday Nov. 4th | 9:00 – 12:00 | Meeting with PCDM (PCD sub-project) (i) Review progress of the AWP 2020 and results indicators; (ii) PDO Indicator performance; (iii) organization restructuring; (iv) implementation constraints due to COVID-19 <i>(Presented by PCDM)</i> | Mme. Bounphama /Souksakhone | Steve / Viengkeo / Kaysone | PCDM |
| | 14:00 – 16:00 | Meeting with DOE (DNEP sub-project) (i) Review progress of the AWP 2020 and results indicators; (ii) PDO Indicator performance; (iii) organization restructuring; (iv) implementation constraints due to COVID-19 <i>(Presented by DOE)</i> | Mme. Bounphama /Souksakhone | Steve / Viengkeo / Kaysone | DOE |
| | 9:00 – 11:00 | Meeting with PAFO LPB (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by PAFO)</i> | Saysana | John / Arturo 2F Conference Room | WebEx Join Using WebEx Meeting number: 172 343 5856 Meeting password: MXgPn7j2mD6 |

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|----------------------|---------------|--|-----------------------------|-------------------------------------|--|
| | 14:00 – 16:00 | Meeting with PAFO XK (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by PAFO)</i> | Saysana | John / Arturo 2F Conference Room | WebEx Join Using WebEx Meeting number: 172 104 8951 Meeting password: iwMCw2JDq93 |
| Thursday Nov. 5th | 8:30 – 10:00 | Meeting with NRERI (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by NRERI)</i> | Souksakhone | Steve / Viengkeo / Kaysone | NRERI |
| | 10:10 – 12:00 | Meeting with DOE (DEQP sub-project) (i) Review progress of the AWP 2020 and results indicators; (ii) PDO Indicator performance; (iii) organization restructuring; (iv) implementation constraints due to COVID-19 <i>(Presented by DOE)</i> | Mme. Bounphama /Souksakhone | Steve / Viengkeo / Kaysone | DOE |
| | 14:00 – 16:00 | Meeting with DPF/MONRE (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by DPF)</i> | Souksakhone | Steve / Viengkeo / Kaysone | DPF |
| | 9:00 – 11:00 | Meeting with PAFO VTP (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by PAFO)</i> | Saysana | John / Arturo 2F Conference Room | WebEx Join Using WebEx Meeting number: 172 516 9431 Meeting password: 2pqB3hBmkr4 |

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| | 14:00 – 16:00 | Meeting with PAFO BLKX (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by PAFO)</i> | Saysana | John / Arturo 2F Conference Room | WebEx Join Using WebEx Meeting number: 172 902 8857 Meeting password: 2pTTspamD22 |
| Friday Nov. 6th | 9:00 – 11:00 | Meeting with NIER (i) Review progress of the AWPB 2020 and results indicators; (ii) GG DPO Indicator performance; <i>(Presented by NIER)</i> | Souksakhone / Maniphone | Steve / Viengkeo / Kaysone / Jethro | NIER |
| | 14:00 – 16:00 | Meeting with DEPP (i) Review progress of the AWPB 2020 and results indicators; (ii) GG DPO Indicator performance; <i>(Presented by DEPP)</i> | Souksakhone / Maniphone | Steve / Viengkeo / Kaysone / Jethro | DEPP |
| | 9:00 – 11:00 | Meeting with PAFO KHM (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by PAFO)</i> | Saysana | John / Arturo 2F Conference Room | WebEx Join Using WebEx Meeting number: 172 141 2988 Meeting password: CdHcPXyS698 |
| | 14:00 – 16:00 | Meeting with PAFO SVNK (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; <i>(Presented by PAFO)</i> | Saysana | John / Arturo 2F Conference Room | WebEx Join Using WebEx Meeting number: 172 069 1069 Meeting password: M6teQnaWA34 |
| | Saturday and Sunday Nov. 7th and Nov. 8th | | | | |

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| Monday Nov. 9th | 9:00 – 12:00 | Meeting with Central and Southern PONREs (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; Includes VTP, BLKX, KHM, SVNK | Souksakhone / Maniphone | Viengkeo / Kaysone 2F Conference Room | WebEX Join Using WebEx Meeting number: 172 648 2643 Meeting password: teAmFVM3J38 |
| | 13:30 – 16:30 | Meeting with Northern PONREs (i) Review progress of the AWPB 2020 and results indicators; (ii) PDO Indicator performance; Includes HP, XK, LPB | Phornsamay / Maniphone | Viengkeo / Kaysone 2F conference Room | WebEX Join Using WebEx Meeting number: 172 691 9704 Meeting password: JvMwPP3Kf35 |
| Tuesday Nov. 10th | 10:15 – 12:00 | EPF Component 3 Sub-project: (i) Review progress of the AWPB 2020 and results indicators; (ii) Discuss on PDO Indicator; (iii) Discuss on EPF action plan and HR action plan implementation; (iv) Discuss on FM and PM issues; and (v) Discuss on safeguard issue and action plan; | EPF | Steve / Viengkeo / Syboun / Khamphet / Malarak / Kaysone / John | EPF |
| | 13:00 – 15:00 | Meeting with EPF on subprojects extension (i) AWPB2021; (ii) duration of extension | EPF | Steve / Viengkeo / Kaysone / John | EPF |
| | 15:00 – 16:30 | Meeting with DOE (DEQP sub-project) (i) Review progress of the AWP 2020 and results indicators; (ii) PDO Indicator performance; (iii) organization restructuring; (iv) | Mme. Bounphama /Souksakhone | Steve / Viengkeo / Kaysone | DOE |

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| | | implementation constraints due to COVID-19 (<i>Presented by DOE</i>) | | | |
| Wednesday Nov. 11th | AM | Aide-Memoire preparation | | | |
| | PM | Aide-Memoire preparation | | | |
| Thursday Nov. 12th | 11:00 – 12:30 TBC | Pre Wrap-up Meeting | EPF leadership | Steve / Viengkeo / Syboun / Khamphet / Malarak / Konesavang / Souksavanh / John Parr / Kaysone / Arturo | EPF |
| | 13:30 – 16:30 | Meeting with MONRE and MPWT Consultation workshop on Solid and Plastic Waste Management in Lao PDR | | Steve / Viengkeo / Kaysone / Klaus | EPF |
| Friday Nov. 13th | 9:00 – 12:00 | Wrap-up Meeting | EPF and all central SDAs | Steve / Viengkeo / Syboun / Khamphet / Malarak / Konesavang / Souksavanh/ John Parr / Kaysone / Arturo / Luck | MONRE (Nong Buek) |
| | End of the mission | | | | |
| Please note that FM team and Procurement team will be in touch with EPF FM team to schedule meetings to discuss and do the transaction review. FM team will pick sub-projects or transactions for review. | | | | | |

Annex 10. LENS2 Results Framework
Revised Results Framework and Monitoring Indicators
Country: Lao PDR

Project Name: Second Lao Environment and Social Project
Updated Nov 13, 2020 - based on EPF 2019 LENS2 Annual Report and Oct/Nov 2020 mission

Notes: All indicators refer to support provided by the project between 2014 - June 2021 and are cumulative, unless otherwise noted. Baseline dates vary depending on the indicator.

Project Development Objective and Global Environmental Objective

Current PDO/GEO Statement

To help strengthen selected environmental protection management systems, specifically for protected areas conservation, enforcement of wildlife laws and environmental assessment management.

These results are at | Project Level

PDO/GEO Indicators

| Indicator Name | Baseline | Cumulative Target Values (unless otherwise noted) | | | | | | | |
|--|-------------|---|-----------|-----------|-----------|-----------|----------|-----------|----------------------|
| | | Dec. 2015 | Dec. 2016 | Dec. 2017 | Dec. 2018 | Nov. 2019 | May 2020 | Nov. 2020 | End Target June 2021 |
| Revised indicator 1. (replaces original indicator 1) Increased score on Protected Area Management Effectiveness Tracking Tool (METT) (number) | 0 (2016) | - | 0 | 0 | 2 | 5 | 7 | 7 | 10 |
| <i>Achievements:</i> | 0 | - | 0 | 1.7 | 9 | 11.8 | 19.4 | 22 | |
| <i>Indicator definition:</i> The indicator supports the PDO dimension “protected areas conservation.” It measures the strength and effectiveness of institutions in managing protected areas (PA) and biodiversity on 1,297,469 ha in 11 PAs using the standardized Management Effectiveness Tracking Tool (METT) for PAs. The 11 PAs are Nakai-Nam Theun 438,000 ha, Nam Et-Phou Louey 420,000 ha, Upper Nam Mouane 107,000 ha, Dong Natad 6,300 ha, Phoumeuth-Phousankheuan 24,307 ha, Nam Xam 70,000 ha, Tad Kuang Xi 34,934 ha, Phou Saboth Pong Chong 149,030 ha, Nam-In Phou Hinleckfai 16,898 ha, Phou Chomvoy 23,000 ha and Phou Khao Khoay 8,000 ha. Each individual PA sub-project under implementation with LENS2 financing will be scored separately, and averaged together for aggregated reporting in this results framework. Individual scores for each PA will be presented in the EPF’s semi-annual M&E reports for LENS2. Baseline METT score is 22 and end of project target is 32, which is an increase of 10 compared to the baseline year. The 10 sub-projects supporting the 11 PAs are scheduled to all be under implementation in calendar year 2018 after sub-project proposals were completed and submitted to EPF in 2017. | | | | | | | | | |
| Revised indicator 2. (replaces original indicator 2) | 0 (2016) | - | 0 | 2 | 18 | 55 | 75 | 75 | 75 |

| | | | | | | | | | |
|---|--------------|---|----|----|----|------|-----|-----|-----|
| Wildlife trafficking cases involving CITES 1 listed species that are referred to the national and/or provincial public prosecutor office (number) | | | | | | | | | |
| <i>Achievements:</i> | 0 | - | 0 | 4 | 10 | 22 | 24 | 32 | |
| <p><i>Indicator definition:</i> The indicator supports the PDO dimension “enforcement of wildlife laws.” This indicator measures the relative strength of the Lao Wildlife Enforcement Network (Lao-WEN) agencies (DOFI and POFI, Environmental Police, Customs) to enforce wildlife trafficking laws involving CITES 1 listed species, including capacity to detect, investigate and ultimately prosecute wildlife trafficking cases. Any Lao-WEN agency can open an investigation but only the public prosecutor’s office can prosecute; when a case is referred to the public prosecutor’s office for prosecution, the case is counted as ‘1’ and reported in this matrix.</p> <p><i>Sub-indicator 1a:</i> This sub-indicator counts the number of wildlife trafficking cases involving CITES 1 and non-CITES listed species opened for investigation by any of the Lao-WEN agencies. Opening a case for investigation is the intermediary step within the law enforcement process (detection, investigation, prosecution), and allows law enforcement agencies to investigate, search and gather evidence necessary for prosecution. A case is considered open for investigation when a search warrant is issued. Any Lao-WEN agency can open an investigation; when this happens, and the agency is supported directly or indirectly by the LENS2 project, a case is counted as ‘1’ and reported in this matrix.</p> | | | | | | | | | |
| Revised sub-indicator 2a. Number of wildlife trafficking cases involving CITES1 and non-CITES listed species opened for investigation (number) | 0 (2016) | - | 0 | 20 | 65 | 145 | 250 | 250 | 250 |
| <i>Achievements:</i> | 0 | - | 0 | 9 | 68 | 86 | 86 | 88 | |
| Revised indicator 3. (replaces original indicator 3) Score of functional capacity of Environment Protection Fund (EPF) and key institutions implementing sub-projects (number) (annual) | 11 (2016) | - | 11 | 18 | 23 | 27 | 30 | 30 | 31 |
| <i>Achievements:</i> | 11 | - | 11 | 19 | 26 | 35.8 | 43 | 43 | |

Indicator definition: The indicator supports all PDO dimensions. This indicator measures the level of improvement of functional capacity of mentioned agencies and institutions. The calculation relies on a matrix developed by targeted agencies and institutions (with Environment Protection Fund team technical support) combined with a self-assessment approach. This matrix, named Index of Functional Capacity, is made of 10 criteria, each scored from 1 to 10 for a potential of 100 for each SDA. Each targeted institution implementing sub-projects with LENS2 financing will be scored separately and averaged for reporting on this indicator in this results framework.

Sub-indicators 3a to 3f: The sub-indicators disaggregate the parent indicator to track the level of improvement of functional capacity of the Environment Protection Fund (EPF), the relevant Department of Forestry (DOF) under Ministry of Agriculture and Forestry (MAF) supported by LENS2 project to supervise management of the National Protected Areas (NPAs) systems of Lao PDR and strengthen the management capacities of the Protected Area and Protection Forest and wildlife conservation (ex-DFRM), the National Academy of Public Administration (NAPA), the Department of Public Relation of the Prime Minister Office (DPR-PMO), the group of Faculties⁷, and the group of Protected Areas Management Units⁸.

| | | | | | | | | | |
|--|--------------|----|----|----|----|------|------|------|----|
| Revised sub-indicator 3a. <i>Score of functional capacity of Environment Protection Fund (EPF) (number) (annual)</i> | 22 (2015) | 22 | 22 | 30 | 35 | 45 | 52 | 52 | 52 |
| <i>Achievements:</i> | 22 | 22 | 28 | 33 | 52 | 62 | 68.5 | 68.5 | |
| Revised sub-indicator 3b. <i>Score of functional capacity of Department of Public Relations of the Prime Minister Office (DPR PMO) (number) (annual)</i> | 11 (2015) | 11 | 11 | 29 | 34 | 34 | 34 | 34 | 34 |
| <i>Achievements:</i> | 11 | 11 | 20 | 27 | 33 | 33 | 33 | 33 | |
| Revised sub-indicator 3c. <i>Average of score of functional capacity of Faculties (NUOL FFS, FSS, FNS, FES, FEB) (number) (annual)</i> | 11 (2016) | - | 11 | 17 | 22 | 25 | 28 | 28 | 28 |
| <i>Achievements:</i> | 11 | | 13 | 21 | 27 | 38.4 | 38.4 | 38.4 | |

⁷ This group includes National University of Laos (NUOL) Faculty of Forestry Science (FFS), Faculty of Social Science (FSS), Faculty of Natural Science (FNS), Faculty of Environmental Science (FES) and Faculty of Economic and Business Management (FEBM).

⁸ This group includes Nam-Et Phou Louey NPA Management Unit, Nakai-Nam Theun NPA Management, Dong Natad PPA Management Unit (PAFO Savannakhet), Nam Xam NPA Management Unit (PAFO Houaphan), Phou Sabot Pong Chong NPA Management Unit (PAFO Xieng Khouang), Tag Kuang Xee PPA (PAFO Luang Prabang), Upper Nam Mouane NPA (PAFO Bolikhamxay), Nam-In Phou Hinleckfai PPA (PAFO Khammouane), Phou Meud – Phou San PPA (PAFO Vientiane).

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|---|--------------|----|----|----|----|------|------|------|----|
| Revised sub-indicator 3d. <i>Average of score of functional capacity of Protected Area Management Units (NEPL, WMPA, PAFO LPB, PAFO HUA, PAFO XKG, PAFO BLX, PAFO KHA, PAFO SVK and PAFO VTP) (number) (annual)</i> | 11 (2016) | - | 11 | 11 | 17 | 24 | 30 | 30 | 31 |
| <i>Achievements:</i> | 11 | - | 11 | 12 | 22 | 25.7 | 29.1 | 29.1 | |
| Revised sub-indicator 3e. <i>Score of functional capacity of MAF DOF Protected Area Management Division (ex-DFRM) (number) (annual)</i> | 10 (2014) | 11 | 13 | 19 | 20 | 20 | 22 | 22 | 22 |
| <i>Achievements:</i> | 10 | 12 | 13 | 15 | 17 | 31 | 56 | 56 | |
| Revised sub-indicator 3f. <i>Score of functional capacity of National Academy of Public Administration (NAPA) (number) (annual)</i> | 1 (2016) | - | 1 | 6 | 11 | 13 | 13 | 13 | 13 |
| <i>Achievements:</i> | 1 | - | 1 | 6 | 6 | 25 | 40 | 40 | |

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|--|-------------|---|---|--|--|---|----|----|----|
| Revised indicator 4. (replaces original indicator 4) Up-to-date reports published on relevant government websites including (i) compliance monitoring for Category 2 projects, and (ii) state of air and noise quality and (iii) national pollution inventory (number) | 0 (2017) | - | 8 | 21 | 43 | 55 | 87 | 87 | 87 |
| <i>Achievements:</i> | 0 | - | 0 <i>(Note: 8 reports prepared but not disclosed on website)</i> | 0 <i>(Note: 13 reports prepared but not disclosed on website as of Dec. 2017)</i> | 0 <i>(Note: 15 reports prepared but not disclosed on website as of June 2018)</i> | 18 <i>(Note: 55 reports prepared but not disclosed on websites as of Nov 2019)</i> | 99 | 99 | - |
| <p><i>Indicator definition:</i> The indicator supports the PDO dimension “environmental management and assessment.” This indicator measures delivery and disclosure of reports on regulatory compliance, an important feature of good environment management and assessment, including governance and transparency. The indicator counts the number of reports, disaggregated into five sub-indicators which measure the individual strengths of relevant MONRE departments to monitor pollution and mitigate environmental impact of large Category 2 projects (energy production, extractive industry, road infrastructure) that have potentially severe environment and social impact (comparable to the World Bank Category A).</p> <p><i>Sub-project indicators 4a to 4c:</i> The sub-indicators disaggregate the parent indicator to track the effort and outcomes of relevant MONRE department work to monitor the level of compliance of investment projects registered in Category 2 with Environmental and Social Impact Assessment (ESIA) / Initial Environmental Examination (IEE) regulations and ensure public information disclosure.</p> <p><i>Sub-project indicator 4d and 4e:</i> The sub-indicators disaggregate the parent indicator to track the effort and outcomes of relevant MONRE work to monitor pollution in targeted provinces and/or at national level, as well as ensure public information disclosure.</p> | | | | | | | | | |
| Revised sub-indicator 4a. <i>Compliance monitoring reports for hydropower projects registered in environment impact Category 2 published on the MONRE website (number)</i> | 0 (2017) | - | 7 | 16 | 24 | 32 | 40 | 40 | 40 |
| <i>Achievements:</i> | 0 | - | 0 | 0 | 0 | 0 | 39 | 39 | |

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|--|-------------|---|---|---|---|----|----|----|----|
| Revised sub-indicator 4b. <i>Compliance monitoring reports for mining projects registered in environment impact Category 2 published on the MONRE website (number)</i> | 0 (2017) | - | 1 | 5 | 7 | 10 | 24 | 24 | 24 |
| <i>Achievements:</i> | 0 | - | 0 | 0 | 0 | 0 | 38 | 38 | |
| Revised sub-indicator 4c. <i>Compliance monitoring reports for road projects registered in environment impact Category 2 published on the MONRE website (number)</i> | 0 (2017) | - | 0 | 0 | 2 | 4 | 7 | 7 | 7 |
| <i>Achievements:</i> | 0 | - | 0 | 0 | 0 | 0 | 4 | 4 | |
| New sub-indicator 4d. <i>State of air and noise quality report published on the MONRE website (number)</i> | 0 (2017) | - | 0 | 0 | 1 | 3 | 7 | 7 | 7 |
| <i>Achievements:</i> | 0 | - | 0 | 0 | 0 | 18 | 18 | 18 | |
| New sub-indicator 4e. <i>National pollution inventory report published on the MONRE website (number)</i> | 0 (2017) | - | 0 | 0 | 3 | 6 | 9 | 9 | 9 |
| <i>Achievements:</i> | 0 | - | 0 | 0 | 0 | 0 | 0 | 0 | |

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|--|-------------|---|---|---|---|---|---|----|----|----|
| New indicator 5. (replaces original indicator 5 moved to intermediate level) 5-year provincial or sectoral development plans that include environmental planning, monitoring, assessment, or management components supported by MONRE or MPI (number) | 0 (2017) | - | 0 | 0 | 0 | 0 | 0 | 20 | 20 | 20 |
| <i>Achievements:</i> | 0 | - | 0 | 0 | 0 | 0 | 0 | 2 | 2 | |
| <p><i>Indicator definition:</i> The indicator supports all PDO dimensions. The new indicator measures the number of development plans (sectoral or provincial) that incorporate at least one environmental management component developed or promoted by LENS2 sub-projects implemented by MPI and MONRE. The four components are:</p> <ol style="list-style-type: none"> 1. “Review of environmental monitoring arrangements” -- a section in the plan that defines effective environmental monitoring; 2. “Integrated Green Growth (GG) M&E framework” -- the inclusion of GG indicators in the plan’s M&E framework with a section on how the sector or province contributes to the country’s GG priorities. 3. “Review of Integrated Spatial Plans (ISP)” -- an ISP annexed to the plan and a section listing investment projects that potentially conflict with land use plans; 4. “Review of Strategic Environmental Assessment (SEA) recommendations” -- a section in the plan that lists SEA recommendations and how each one has been or will be addressed. <p>Development plans refer to:</p> <ul style="list-style-type: none"> • 5-year Sector Strategic Plan developed by relevant ministry departments and approved by Minister (MONRE, MAF, MOICT, MPTW, MEM) • 5-year Provincial Sector Strategic Plans developed by provincial agencies (PONRE). • 5-year Provincial Socio-Economic Development Plans developed and implemented by provincial government. <p><i>Sub-project indicators 5a to 5c:</i> The sub-indicators disaggregate the parent indicator to track the relative strength of relevant MONRE and MPI or NIER in supporting provinces and sectors to integrate environmental management into development planning in line with the country’s new Green Growth priorities.</p> | | | | | | | | | | |
| Sub-indicator 5a. <i>Plans supported by MONRE departments on environmental monitoring arrangements (number)</i> | 0 (2017) | - | 0 | 0 | 0 | 0 | 0 | 8 | 8 | 8 |
| <i>Achievements:</i> | 0 | - | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |
| Sub-indicator 5b. | 0 (2017) | - | 0 | 0 | 0 | 0 | 0 | 7 | 7 | 7 |

| | | | | | | | | | |
|---|-------------|---|---|---|---|---|---|---|---|
| <i>Plans supported by MONRE departments on ISP and/or SEA (number)</i> | | | | | | | | | |
| <i>Achievements:</i> | 0 | - | 0 | 0 | 0 | 0 | 2 | 2 | |
| <i>Sub-indicator 5c.</i> <i>Plans supported by MPI or NIER on GG M&E (number)</i> | 0 (2017) | - | 0 | 0 | 0 | 0 | 5 | 5 | 5 |
| <i>Achievements:</i> | 0 | - | 0 | 0 | 0 | 0 | 0 | 0 | |

Intermediate Results Indicators

| Indicator Name | Baseline | Cumulative Target Values | | | | | | | |
|--|-------------|--------------------------|-----------|-----------|-----------|-----------|----------|-----------|----------------------|
| | | Dec. 2015 | Dec. 2016 | Dec. 2017 | June 2018 | Nov. 2019 | May 2020 | Nov. 2020 | End Target June 2021 |
| Revised indicator 1 (replaces original indicator 1.1). Staff of SDA and SDA partner institutions that received formal short courses or participate in study tours under the project (number) | 0 (2015) | - | 1,300 | 1,500 | 2,500 | 2,700 | 3,000 | 3,000 | 3,000 |
| <i>Achievements:</i> | 0 | - | 1,315 | 3,713 | 4,913 | 8,203 | 10,851 | 12,935 | |
| <i>Indicator definition:</i> The intermediate indicator supports all PDO dimensions. It measures the number of individual staff of Sub-project Delivery Agencies (SDAs) and SDA partner institutions that receive eligible training and so, indirectly the strengthening of SDA and partners' institutions capacities. "Formal short courses" refers to training with longer than 16 hours and less than 80 hours qualify. A person receiving several courses can be counted more than once. | | | | | | | | | |
| <i>Sub-indicator 1a:</i> The sub-indicator disaggregates the parent indicator to measure the level of female participation in training and track potential gender issues. The female beneficiary refers to the number of female participants in the total number of staff of SDAs and SDA partner's institutions that receive formal short courses or participate in study tours. | | | | | | | | | |
| Revised sub-indicator 1a. Female staff (Number) | 0 (2015) | - | - | 260 | 300 | 500 | 540 | 600 | 600 |
| <i>Achievements:</i> | 0 | - | - | 404 | 917 | 1,226 | 2,657 | 3,074 | - |
| Revised indicator 2 (replaces original indicator 1.3). Score tracking the development and management of a NPA system (point) | 0 (2014) | 0 | 0 | 25 | 50 | 70 | 90 | 90 | 90 |
| <i>Achievements:</i> | 0 | 0 | 0 | 0 | 25 | 32 | 70 | 80 | |
| <i>Indicator definition:</i> The intermediate indicator supports the PDO dimension "protected areas conservation" and "enforcement of wildlife laws." It uses point-based cumulative scoring to measure progress toward developing and managing a National Protected Area system [including "National Conservation Forests | | | | | | | | | |

(NCF)” and “National Protection Forests (NPF)”. The indicator calculation is based on a point system for key elements of a strong NPA management system, as below:

Point system: 100 points total are potentially available for scoring, broken down as follows: Final report on *Optimization of the NPA Management System*, including legal, policy, institutions, and financing (15 points); Baseline NPA Information Available (24 Final NCF Reports or 1 point each for 24 points total); NPA Master Plan approved (21 points); NPA Management Guidelines officially approved by MAF (15 Guidelines or 1 point each for 15 points total); MAF DOF Website Operational (7 points); Database for Tracking Investments in NPAs (8 points); Draft Decrees formulated to establish Two National Parks (5 points for each park’s decree for 10 points total).

| | | | | | | | | | |
|--|--------------|---|----|----|----|----|----|----|----|
| Revised indicator 3. (replaces original indicator 1.4) Category 1 and Category 2 projects that are under design, construction, or operation that have a valid Environmental Compliance Certificate (ECC) (percentage) | 19 (2016) | - | 19 | 20 | 30 | 40 | 50 | 50 | 50 |
| <i>Achievements:</i> | 19 | - | 19 | 36 | 45 | 47 | 62 | 63 | |
| <i>Indicator definition:</i> This indicator supports the PDO dimension: “environmental assessment management.” It measures the strength and effectiveness of the provincial office of Natural Resources and Environment (PONRE) and relevant MONRE department in monitoring and managing the compliance of investment projects classified as Category 1 (investment projects that have potentially limited environment and social impact) within the 7 provinces targeted and as Category 2 (investment projects that have potentially severe environment and social impact) in the whole country with environmental laws and Environmental Impact Assessment (EIA)/Initial Environmental Examination regulations. This indicator includes sub-indicators disaggregated by category and by sector that together provide a relatively full picture of progress toward improving environmental and social risk management and assessment. | | | | | | | | | |
| New sub-indicator 3a. <i>Category 1 hydropower projects with ECC (percentage)</i> | 35 (2016) | - | 35 | 35 | 40 | 45 | 50 | 50 | 85 |
| <i>Achievements:</i> | 35 | - | 35 | 51 | 39 | 52 | 62 | 62 | |
| New sub-indicator 3b. <i>Category 1 mining projects with ECC (percentage)</i> | 11 (2016) | - | 11 | 20 | 30 | 40 | 50 | 50 | 50 |
| <i>Achievements:</i> | 11 | - | 11 | 37 | 57 | 79 | 83 | 86 | |
| New sub-indicator 3c. | 0 | - | 0 | 10 | 30 | 40 | 50 | 50 | 50 |

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|--|--------------|---|----|----|----|----|----|-----|----|
| <i>Category 1 roads projects with ECC (percentage)</i> | (2016) | | | | | | | | |
| <i>Achievements:</i> | 0 | - | 0 | 21 | 50 | 50 | 50 | 50 | |
| <i>New sub-indicator 3d.</i> <i>Category 2 hydropower projects with ECC (percentage)</i> | 65 (2016) | - | 65 | 70 | 75 | 80 | 85 | 85 | 85 |
| <i>Achievements:</i> | 65 | - | 65 | 78 | 85 | 60 | 62 | 100 | |
| <i>New sub-indicator 3e.</i> <i>Category 2 mining projects with ECC (percentage)</i> | 10 (2016) | - | 10 | 20 | 25 | 30 | 45 | 45 | 50 |
| <i>Achievements:</i> | 10 | - | 10 | 29 | 34 | 15 | 17 | 49 | |
| <i>New sub-indicator 3f.</i> <i>Category 2 road and railway projects with ECC (percentage)</i> | 0 (2016) | - | 0 | 10 | 20 | 30 | 40 | 40 | 50 |
| <i>Achievements:</i> | 0 | - | 0 | 13 | 36 | 9 | 12 | 26 | |
| <i>New indicator 4. (replaces original indicator 1.2 dropped)</i> Score tracking the design and adoption of pollution management instruments (point) | 0 (2017) | - | - | 0 | 0 | 20 | 60 | 60 | 80 |
| <i>Achievements:</i> | 0 | - | - | 0 | 30 | 30 | 30 | 30 | |
| <i>Indicator definition:</i> This new indicator supports the PDO dimension: “environmental management and assessment.” By using a cumulative point-based scoring system, it aims to track progress in development of pollution management instruments at national level and submission to the relevant authorities or processes for approval. It is calculated on the basis of a cumulative point system, as below: | | | | | | | | | |
| <i>Point system:</i> 100 points total are potentially available for scoring, broken down as follows: (a) Pollution Prevention and Control Regulation submitted for approval (30 points), (b) Waste and Hazardous Chemical Management Regulation submitted for approval (20 points); (c) National Environmental Standard Regulation submitted for approval (30 points); (d) National Pollution Control planning documents approved (20 points) including: Vision to 2030, 10-Year Strategy (2016-2025), and 5-Year Action Plan (2016-2020). | | | | | | | | | |
| <i>New indicator 5.</i> | 0 | - | - | 0 | 50 | 75 | 90 | 90 | 90 |

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|---|-------------|---|----|----|-----|-----|------------------------------------|-----|-----|-----|
| (replaces original indicator 3.2 dropped) Score tracking the development of national, provincial or sectoral guiding documents and planning tools that integrate environment into development planning (point) | (2017) | | | | | | | | | |
| <i>Achievements:</i> | 0 | - | - | 0 | 60 | 60 | 60 | 60 | | |
| <p><i>Indicator definition:</i> This indicator supports the PDO dimension: “environmental management and assessment.” By using a cumulative point-based scoring system, it aims to track delivery of specific guiding documents and planning tools supported by MPI/NIER and relevant MONRE (DPC and DEQP) sub-projects and submitted to relevant authorities or processes for approval. It is on the basis of a cumulative point system, as presented below:</p> <p><i>Point system:</i> 100 points total are potentially available for scoring, broken down as follows: (a) National GG Strategy (15 points), (b) Integrated Spatial Planning Guidelines (15 points), (c) SEA Guidelines (10 points), (d) 6 Provincial Integrated Spatial Plans (5 points each for 30 points total), (e) 2 SEAs (10 points each for 20 points total), and (f) ENR M&E Guidelines (10 points).</p> | | | | | | | | | | |
| Revised indicator 6. (replaces original indicator 2.1) Village organizations that meet the terms of Conservation Agreements, and as a result, receive grants for implementing their action plans (number) | 0 (2014) | 0 | 10 | 55 | 150 | 170 | 190 | 190 | 190 | 190 |
| <i>Achievements:</i> | 0 | 0 | 0 | 0 | 14 | 106 | 124* (including 5 VFI villages) | 148 | | |
| <p><i>Indicator definition:</i> This indicator supports the PDO dimension “protected area conservation.” It measures the strength and effectiveness of Protected Area conservation at village/community level in and surrounding the 11 PAs supported by the project (see PDO indicator 1). Protected Area conservation is carried out through the development and implementation of village/community Conservation Agreements, a process that includes action plans, grant management, and participatory land use plans (PLUP).</p> <p><i>Sub-indicator 6a:</i> The sub-indicator measures the participation of women in development and implementation of village/community Conservation Agreements process.</p> | | | | | | | | | | |

| | | | | | | | | | |
|--|-------------------|---|---------|---------|---------|-----------|------------|------------|------------|
| Revised sub-indicator 6a. <i>Village organizations with at least 40% female participation (number)</i> | 0 (2014) | 0 | 10 | 35 | 100 | 130 | 160 | 160 | 160 |
| <i>Achievements:</i> | 0 | 0 | 0 | 0 | 12 | 12 | 79 | 117 | |
| New indicator 7. (replaces original indicator 2.2) Area within selected PAs where the status of selected wildlife population and threats are measured (hectare) (annual) | 242,000 (2016) | - | 242,000 | 242,000 | 400,000 | 500,000 | 634,000 | 634,000 | 634,000 |
| <i>Achievements:</i> | 242,000 | - | 242,000 | 0 | 316,374 | 499,160 | 358,459 | 431,856 | |
| <i>Indicator definition:</i> This indicator supports the PDO dimension “protected area conservation” and “wildlife law enforcement” by tracking the area within the 11 Protected Areas (see PDO indicator 1) in which a regular wildlife assessment takes place. The assumption is that effective and efficient PA management requires access to reliable management information. The measurement of the status of the selected wildlife population and threats is carried out on the basis of patrolling activities. Patrolling activities are conducted by patrol teams (foot patrols and mobile patrols) which involve protected area staff and law enforcement staff (army, police, DOFI). It includes data collection (measurement of the status of selected wildlife species), monitoring and reporting, wildlife crime prevention and detection as well as threat identification. | | | | | | | | | |
| New indicator 8. Area within selected PAs where the gross forest loss rate is measured (hectare) | 305,000 (2016) | - | 305,000 | - | - | 1,174,853 | 1,250,000* | 1,250,000* | 1,250,000* |
| <i>Achievements:</i> | 305,000 | - | 305,000 | 0 | 487,554 | 781,946 | 1,195,514 | 1,244,501 | |
| <i>Indicator definition:</i> This indicator supports the PDO dimension “protected area conservation” by tracking the area within the 11 Protected Areas (see PDO indicator 1) in which gross forest cover change is tracked. The gross forest loss rate is based on remote sensing analysis. | | | | | | | | | |
| Revised indicator 9. (replaces original indicator 2.3) Wildlife crime cases detected by law enforcement officers of | 188 (2016) | - | 188 | 630 | 1445 | 2040 | 3100 | 3100 | 3100 |

| | | | | | | | | | |
|---|----------------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|
| SDAs supported by the project (number) | | | | | | | | | |
| <i>Achievements:</i> | 188 | - | 188 | 349 | 2,189 | 2,440 | 3,188 | 4,313 | |
| <i>Indicator definition:</i> This indicator supports the PDO dimension: “wildlife law enforcement.” It aims at measuring the strength and effectiveness of Sub-project Delivery Agencies (SDAs) to prevent and detect international and domestic wildlife crimes through the implementation of their core activities such as patrolling, check point control, etc. Wildlife crime cases detected refers to domestic and/or international evidence of a potential crime detected, inspected, found and/or confiscated. | | | | | | | | | |
| Revised indicator 10. (replaces original indicator 3.1) Financing mobilized by EPF each year from (a) public sources and (b) private sources (US\$) (annual) | 800,000 (2014) | 800,000 | 850,000 | 1,100,000 | 1,300,000 | 1,500,000 | 1,600,000 | 1,600,000 | 1,600,000 |
| <i>Achievements:</i> | 800,000 | 1,124,000 | 1,023,000 | 1,336,000 | 1,584,000 | 1,584,000 | 620,000 | 1,216,061 | |
| <i>Indicator definition:</i> This indicator measures the capacity of the Environment Protection Fund (EPF) to raise or convene financing to implement its priorities related to LENS2 objectives and the country’s emerging Green Growth strategy. <i>Sub-indicator 10a and 10b:</i> These sub-indicators disaggregate the parent indicator to measure the share of public and private sources in financing mobilized by EPF. | | | | | | | | | |
| Sub-indicator 10a. <i>Funds from public sources (US\$) (annual)</i> | 350,000 (2014) | 350,000 | 350,000 | 450,000 | 550,000 | 650,000 | 700,000 | 700,000 | 700,000 |
| <i>Achievements:</i> | 350,000 | 309,000 | 376,000 | 305,000 | 554,000 | 554,000 | 110,000 | 250,849 | |
| Sub-indicator 10b. <i>Funds from private sources (US\$) (annual)</i> | 450,000 (2014) | 450,000 | 500,000 | 650,000 | 750,000 | 850,000 | 900,000 | 900,000 | 900,000 |
| <i>Achievements:</i> | 450,000 | 815,000 | 647,000 | 1,031,000 | 554,000 | 554,000 | 510,000 | 965,212 | |

