



ສາທາລະນະລັດ ປະຊາທິປະໄຕ ປະຊາຊົນລາວ
Lao People's Democratic Republic



ອົງການສະຫະປະຊາຊາດເພື່ອການພັດທະນາ
United Nations Development Programme

**Government of Lao People's Democratic Republic
Ministry of Natural Resources and Environment (MONRE)
Department of Environment and Social Impact Assessment (DESIA)**

United Nations Development Programme

**PROJECT ID: 00072674
PROJECT TITLE: "POVERTY ENVIRONMENT INITIATIVE,
OUTPUT 3"**

FOURTH QUARTERLY PROJECT REPORT

Reporting period: October – December 2011

I. PROJECT INFORMATION AND RESOURCES

Project number and title:	00072674 “ Poverty Environment Initiative (PEI, Output 3)”
Implementing Partner:	Environmental and Social Impact Assessment (ESIA) Department of the Ministry of Natural Resources and Environment (MONRE)
Responsible Parties (if applicable):	
Donors:	UNEP - UNDP

Project Starting date		Project completion date	
Originally planned	Actual	Originally planned	Current estimate
May 2009	November 2009	December 2011	December 2011

Period covered by this report:	3 months (October – December 2011)
Date of annual review: <i>[Indicate if planned or actual]</i>	

Total Budget	Original Budget (US\$)	Latest Signed Revision (US\$)
	1,495,363	300,000

Resources	Donor	Amount
	UNDP	300,000

II. PURPOSE

[To be completed in cooperation with UNDP Programme Analyst; Summarizes Main objectives of the project and link to MDG/NSEDP/UNDAF as per the approved UNDP Country Programme Document and Country Programme Action Plan and/or project document]

The project “Environmental and Social Impact Assessment: Reducing Negative Social and Environmental Impacts of Investment in Lao PDR” is one of the four outputs of the Poverty Environment Initiative (PEI) Framework in Lao PDR. Supported by UNDP/UNEP, PEI in Lao PDR aims to strengthen capacity of targeted central and provincial authorities to integrate poverty-environment concerns and opportunities in key development planning processes.

Corresponding to output 3 of the PEI Lao PDR, this project aims to support the Environmental and Social Impact Assessment (ESIA) Department of the Ministry of Natural Resources and Environment (MONRE) at the national and provincial level in order to address growing environmental threats and to prevent and minimize negative environmental and social impacts of the rapid development activities in key sectors, such as agriculture, hydropower, mining, industry and infrastructure.

The specific objective of the project is to enhance capacities of the ESIA Department of MONRE to ensure comprehensive review and approval processes of environmental and social assessments based on the law and good science in effective coordination with the concerned line ministries and state enterprises.

UNDAF Outcomes/Indicators: UNDAF Outcome 1: By 2011, the livelihoods of poor, vulnerable and food insecure populations are enhanced through sustainable development (within DMG framework).

Expected Outcomes/Indicators: Outcome 1.1: Improved and equitable access to land, markets and social and economic services, environmentally utilization of natural resources, with balance population growth.

Expected Outputs/Indicators: Output 1.1: Improved and diversified incomes of rural household, with a focus on increased market accessibility, through implementation of human development and infrastructure initiatives. Outcome 1.1.3: Enhance knowledge and management capacity of ecosystems, biodiversity, natural resources and environment, and population dynamics.

III. PROJECT PERFORMANCE AND RESULTS FOR 3rd QUARTER 2011

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

<p>Outcome 3: Capacities of the ESIA Department of MONRE to ensure comprehensive review and approval processes of environmental and social assessments based on the law and good science in effective coordination with the concerned line ministries and state enterprises increased. <i>[Indicate if included in SRF]</i></p>				
<p>Progress towards achieving outcome <i>[A brief analysis of the status of the situation and any observed change, any project contribution.]</i></p> <p>The fourth quarter of 2011 has been achieved remarkably against most planned activities including completing a revised draft EIA guideline and a consultation workshops on the revised draft, training on EIA guidelines, a 2nd roundtable meeting between DESIA and IPD, an external consultation workshop with concerned line ministries on the second revised draft reviewing and monitoring guidelines Lao-version, and an internal consultation workshop to finalize the reviewing and monitoring procedures guidelines Lao-version.</p> <p>However, a planned study exchange of DESIA staff with MNRE Thailand to learn and exchange on EIA was not realized during the reporting period due to unforeseen long extending flood situation in Bangkok and therefore required to postpone further into 2012 plan. The specific date will be informed by MNRE Thailand in a later stage.</p> <p>Despite the study exchange did not proceed as planned, the PEI Outcome 3 project was reallocated budget to organize three important events with cooperate from Word Bank through Lao Additional Fund - 007 Project. These events were not planned during this quarter which include workshop on lessons learned of strengthening capacity of PWREO and relevant sectors of 9 provinces in reviewing of IEE reports and monitoring of the implementation of environment measures, workshop on lessons learned of the implementation of the decree on EIA, and training workshop on strengthening capacity of DNRE and relevant sectors of 8 provinces in reviewing of IEE reports and monitoring of the implementation of environment measures. The objectives of the events are to evaluate effective of the strengthening capacity of PWREO and relevant sectors of 9 provinces and train DNRE and relevant sectors of remain 8 provinces, and to review the EIA decree application to ensure that the decree has been applied efficiently and base on that the decree will be revised to fit with the new role of MONRE.</p>				
<p>Quarterly outputs and indicators <i>[According to project document and/or quarterly work plan]</i></p>	<p>Key activities completed during reporting period</p>	<p>Expenditures <i>[Actual expenditures against activities completed]</i></p>	<p>Progress towards achieving outputs and targets achieved against indicators</p>	<p>Reasons if progress below target and response strategies <i>[If applicable, explore underlying factors and reasons for gaps in output and target]</i></p>

<p>Output 3.1 A system for obtaining funds to substantially cover the cost of operating the ESIA Department developed and implementing. The system works and is audited in accordance with international standards for financial management</p> <p>Indicators: - DESIA Financial Management Manual completed and applied by DESIA for obtaining and management of environment monitoring budget from development projects - At least 10 staffs of DESIA and EMU were trained and applied the manual (3 of 10 staffs are women)</p>	<p>- There was no activity related to this output has been implemented during this reporting period.</p>	<p>No expenditure</p>	<p>- Two activities which are parts of DESIA financial and accounting management manual including consultation workshop on the draft manual with MOF at DG level and sustainable financing study will be implemented in Q2 - 2012.</p> <p>- Due to internal restructure of MONRE the two related activities have been shifted to Q2-2012.</p>	<p>- Revision and submission of the draft manual were delayed due to internal restructure of MONRE which might effect to the draft financial management manual therefore it must wait until the internal restructure completed and the draft manual will then be revised before conducting the consultation with MOF.</p> <p>- Due to resignation of national financing assessment consultant in Q3 – 2011 has not been filled due to no application for the position, the TOR for national financing assessment expert had been revised to extend the period of consultancy service up to 6 months to attract applicant. An advertisement for the position will be done in Q1 – 2012.</p>
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<p>Output 3.2 Technical guidelines and procedures that support the ESIA Department, concerned ministries, state enterprises and developers to conform to best environmental and social assessment and mitigation practices developed and/or updated.</p> <p>Indicators:</p> <ul style="list-style-type: none"> - The three technical guidelines completed - At least 2 workshops with concerned line ministries on draft reviewing and monitoring guidelines organized. - At least 20% applied the three guidelines at the central and provincial levels. 	<ul style="list-style-type: none"> - The draft EIA guidelines had been revised base on DESIA's comments as well as comments from EMSP's chief technical advisor and ADPC's comments - Consultation workshop with DESIA staff and concerned line agencies on the revised draft EIA guidelines had been conducted on 22 November 2011. - Consultation workshop with consulting firms and developers on the revised draft EIA guidelines had also been implemented on 24 November 2011. - External consultation workshop with concerned line agencies on the second revised draft reviewing and monitoring guidelines Lao-version was conducted on 5 December 2011. - Internal consultation 	<p>USD 31, 144.41</p>	<ul style="list-style-type: none"> - The draft EIA general technical guidelines will be finalized and sent to DESIA. It is expected that the finalized EIA guideline will be sent to DESIA in early January 2012. - The EIA general review guideline had been completed since August 2010. However, the review guideline has to be in line with the EIA guideline, therefore, the review guideline will be updated by EMSP-TA using similar format and contents as the EIA guideline in 2012. 	<ul style="list-style-type: none"> - An email to follow-up the work with the international expert will be sent out. - Restructuring the reviewing and monitoring guidelines chapter by chapter is needed using similar format and contents as the EIA guideline. - A specific technical guideline for agriculture and plantation sector will be developed in 2012.
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	<p>workshop to finalize the reviewing and monitoring guidelines Lao – version was organized on 6-7 December 2011.</p> <ul style="list-style-type: none"> - Collaboration between DESIA and IPD has been continued through 2nd round table meeting and will further continue. The 3rd round table meeting between the two departments will be host by IPD. - Three unplanned consultation workshops were organized including workshop on lessons learned of strengthening capacity of PWREO and relevant sectors of 9 provinces in reviewing of initial environment examination reports and monitoring of the implementation of environment measures, and a workshop on lessons 			
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	learned of the implementation of the decree on environmental impact assessment.			
<p>Output 3.3</p> <p>Through the implementation of the capacity building program, the personnel of the ESIA Department is capable of carrying out their tasks and functions in accordance with the expected future mandate of the ESIA Department.</p> <p>Indicators:</p> <ul style="list-style-type: none"> - Completed the technical training materials - Number of training conducted - Staff of concerned line ministries/agencies were trained - 100 staffs at central and 	<ul style="list-style-type: none"> - The technical training material on the EIA guidelines had been developed as a draft. - In addition, an unplanned activity was conducted namely training on strengthening capacity of DNRE and relevant sectors of 8 provinces in reviewing of IEE reports and monitoring of the implementation of environment measures. - The study exchange of DESIA staff to MNRE Thailand to learn and exchange experience on EIA has not been implemented as planned 	USD 29,619.35	<ul style="list-style-type: none"> - The draft technical training material on EIA guidelines is expected to be finalized in early January 2012. An email to follow-up work with the international expert will be done by DESIA team. Furthermore, the draft technical training materials was used and trained DESIA staff, consulting firms, and developers on 29 – 30 November and 1 December 2011. The draft technical training material will then be revised and sent to DESIA. - The study exchange has been postponed to 2012. Instead, budget allocation 	<ul style="list-style-type: none"> - Delay in submission of the final EIA technical training materials will cause the delay in conducting training. It is expected that the final training material will be ready by January 2012. An email to follow-up work with international expert will be done by DESIA team. - Due to long extending of flood event in Bangkok the study exchange has been shifted to conduct in 2012. Currently an email from MNRE Thailand had been sent to DESIA and proposed to organize on 2-5 April 2012. The DESIA team has discussed on the issue. However, base on the agenda the study exchange

<p>provincial levels were trained this year</p> <ul style="list-style-type: none"> - Lesson learn from study exchange applied to improve quality of ESIA system in Laos - Junior staffs have basic knowledge on environment and science. 	<p>and shifted to 2012 because of long extending flood situation in Thailand.</p> <ul style="list-style-type: none"> - The intensive course has been postponed to Q1 - 2012 due to limited budget and dense schedule in Q4 - 2011 as well as internal restructure of MONRE. 		<p>for this activity was reallocated to organize three important events which were not planned during this quarter. The events include workshop on lessons learned of strengthening capacity of PWREO and relevant sectors of 9 provinces in reviewing of IEE reports and monitoring of the implementation of environment measures, workshop on lessons learned of the implementation of the decree on EIA, and training workshop on strengthening capacity of DNRE and relevant sectors of 8 provinces in reviewing of IEE reports and monitoring of the implementation of environment measures.</p> <ul style="list-style-type: none"> - The TOR for intensive course on environment science basic knowledge 	<p>shall be 5 days including field visits, therefore, an email to discuss about it will be sent to MNRE Thailand with the assistance and coordination of UNDP.</p>
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			has been revised and advertised on the UNDP website. A recruitment of expert will be followed UNDP system and it is expected that the course will be conducted in Q1-2012.	
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2. Update on implementation of the Vientiane Declaration and its Action Plan

[Brief update on any achievement and/or problem related to the implementation of the Vientiane Declaration. It should also include issues related to the introduction of HACT and actions planned for the following period.]

- The PEI-DESIA has taken a strong ownership and strengthened capacity in terms of technical and management aspects. Trainings of trainers have been conducted to improve ESIA technical challenge, while project and financial management trainings were carried out regularly to improve the management issue. In terms of financial management for instance, procurement regulations and recruitment processes have been based on the Vientiane Declaration.
- The PEI-DESIA staffs now has all position filled in November 2009 and all staffs are now fully oriented to the project/HACT, system and policies.

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

- Coordination between PEI-ESIA and PEI-IPD has been continued through a second roundtable meeting and will further continue. The second round table meeting was host by DESIA with co-chair by DDG of DESIA and IPD. The second roundtable meeting is a direct follow-up activity to address some of the topics highlighted in the first meeting. The objective of this second roundtable meeting was to share information on key areas of work of the two departments. Furthermore, coordination between the DESIA and IPD will further continue. A third round table meeting will be host by IPD with focus on how to share information and joint monitoring of development project in selected areas/provinces.
- Several internal consultations, meetings and monthly meetings between PEI-ESIA and UNDP were organized to ensure smooth implementation of the project and preparation for PEI Phase II and will further continue.
- Coordination and knowledge sharing between all PEI components had been started through PEI retreat on 19 – 21 December 2011 in Luangphabang province.

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

N/A

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

There is no audit during this reporting period. However, a UNDP spot check was carried out on 11th October 2011. Key recommendations include:

- The project was recommended to inform DIC/MPI of project extension that is already agreed upon by UNDP.

- The project drafts an exit strategy from the beginning of project extension to be commenced in January 2012.
- The project needs to spend 100% of Q2 advance during Q3 before requesting for Q4 advance.
- Current advance should be spent for at least 80% to request new advances. The project should carefully plan and review activities to ensure that project delivery in accordance with AWP and QWPs.
- Pre-payment requested for a particular activity should be cleared within 2 months. If the activity cannot be conducted as planned, the prepayment should be “cancelled” and “returned” to bank account. For this particular issue observed, we recommend the project to follow up and clear all prepayment immediately

The draft minutes of the spot check had been drafted by UNDP spot check team and sent for comments. A comment was sent to the spot check team and now waiting for final report from the spot check team.

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

- Due to long extending flood event in Thailand the DESIA study exchange to MNRE Thailand had not been organized as planned and postponed to 2012. This may delay the implementation of some activities in 2012.
- Due to internal restructure of MONRE the two activities which are parts of DESIA financial and accounting management manual including consultation workshop on the draft manual with MOF at DG level and sustainable financing study are expected to be implemented in Q2 – 2012.

7. Rating on progress towards results

Output: [From table 1. Contribution to Strategic Goals]		
Output 3.1	<input checked="" type="checkbox"/>	Positive change
	<input type="checkbox"/>	Negative change
	<input type="checkbox"/>	Unchanged
Output 3.2	<input checked="" type="checkbox"/>	Positive change
	<input type="checkbox"/>	Negative change
	<input type="checkbox"/>	Unchanged
Output 3.3	<input checked="" type="checkbox"/>	Positive change
	<input type="checkbox"/>	Negative change
	<input type="checkbox"/>	Unchanged

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

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

- 1) PEI-ESIA internal meetings to discuss on challenges, achievements, spot check preparation, and quarter 4 work plan.
- 2) Monthly meeting between PEI-ESIA and UNDP to discuss on the way forward for smooth project implementation.
- 3) The 2nd roundtable meeting between PEI-ESIA and PEI-IPD hosted by DESIA.
- 4) The Poverty-Environment Initiative Phase II Planning Retreat.

V. FUTURE WORK PLAN

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

1st quarterly work plan 2012 (January – March 2012) includes:

1. 2011 Annual project review meeting.
2. Consultation workshop on the draft DESIA financial and accounting management manual with MOF at DG/DDG level;
3. Internal consultation workshop to finalize DESIA monitoring procedures guideline.

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

N/A

3. Estimated total budget required for the following quarter:

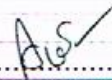
32,945 USD

VI. ANNEXES

1. Annex 1: Quarter 4 Work plan 2011
2. Annex 2: Project Risk Log
3. Annex 3: Project Issues Log
4. Annex 4: Lessons learned log
5. Annex 5: Quarter 1 Work plan 2012


PREPARED BY

Prepared by:


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PEI-Output 3


Date: ..20/01/2012

Approved by:


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Date: ..20/01/2012




.....
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Deputy Director General of DESIA
Alternate PEI-Output 3, National Project Director

Date: ..20/01/2012

Project ID: 00072674
 Project Name: Poverty Environment Initiative (PEI)
 Output 3: (ESIAD)

Q4 Work plan and Budget plan

EXPECTED CP OUTPUTS and indicators including baseline and annual target	Key Activities (List all the activities to be undertaken during the year towards stated output)	Activity Descriptions	TIME FRAME			RESPONSIBLE PARTY	Source of Funds	PLANNED BUDGET		
			10	11	12			Code	Budget Description Name	USD
Activity Result 3.1. WREA has developed and is implementing a system for obtaining funds to substantially cover the costs of operating the ESIA Dept. The system works and is audited in accordance with international standards for financial management										
Baselines	Activity Result 3.1: WREA has developed and is implementing a system for obtaining funds to substantially cover the costs of operating the ESIA Dept. The system works and is audited in accordance with international standards for financial management	2. Salary for Project accountant (\$652/month x 3 months Plus 5% increase)	X	X	X	ESIA	TRACI00012	71400	National Accountant	2,054
3.2.1 Final Draft EIA Guideline (English version) completed but not yet finalized		3. Management costs (26 % of All Management Activities)	X	X	X	ESIA	TRACI00012		Miscellaneous	354
3.2.2 Completed and Finalized reviewing and monitoring guidelines (English version)								72400	Communication charge	95
3.2.3 Draft reviewing and monitoring guidelines (Lao version) still in draft, not yet finalized and therefore required consultations								72500	Stationery	120
Indicators								72800	IT Maintenance	45
3.2.1 The three technical guidelines completed								73400	Maint, Oper of Transport Equip	30
3.2.2 At least 2 workshops with concerned line ministries on draft reviewing and monitoring guidelines organized.								74200	Copy document for Management	21
3.2.3 At least 20% applied the three guidelines of the central and provincial levels.								74500	Bank Charge	6
3.2.3 At least 20% applied the three guidelines of the central and provincial levels.		4. Finance and Admin Training cost	X	X	X	ESIA	TRACI00012	74500	Sundry	36
								71600	Finance and Admin Training Cost	1,500
								71600	DSA	1,000
								71600	Travel Cost	500
Total Activity Result 3.1										3,908
Activity Result 3.2. WREA/ESIA Dept has developed and/or updated technical guidelines and procedures that support the ESIA Dept, concerned ministries, state enterprises and developers to conform to best environmental and social assessment and mitigation practices										
Targets	Action 3.2.1:	1. Salary for National consultant (\$1,562/month x 3 months Plus 5% increase)	X	X	X	ESIA	TRACI00012	71400	National Assistant to PM	4,731
Year 2	Support materials and draft general technical guidelines for reviewing ESIA reports as well as start the development of general technical guidelines for developers and consultants for the preparation of ESIA reports and monitoring guideline. The development of three guidelines will be through analysis and extensive consultation.	2. Management costs (60 % of All Management Activities)	X	X	X	ESIA	TRACI00012		Miscellaneous	1,417
3.2.2 Reviewing and training material completed								72400	Communication charge	384
3.2.3 Training on reviewing and monitoring guidelines conducted								72500	Stationery	480
Indicators	1.Guidelines / Checklist development (Reviewing guideline, writing guidelines for developers and monitoring guideline)							72800	IT Maintenance	180
3.2.1 Completed the technical training materials								73400	Maint, Oper of Transport Equip	120
3.2.2 Number of training conducted								74200	Copy document for Management	84
3.2.3 Staff of concerned line ministries/agencies were trained								74500	Bank Charge	25
3.2.4 100 staffs at central and provincial levels were trained this year								74500	Sundry	144
3.2.5 Lesson learn from study town applied to improve quality of ESIA system in Laos		3.2.1.1. Annual Review Meeting (inside VTE, 1day, 30pers.)		X		ESIA	TRACI00012		Sub Total for 3.2.1.1	2,538
3.2.6 Junior staffs have basic knowledge on environment and science								72500	Office supplies	300
								73100	Conference room rental	863.00
								73100	LCD Rental	300
								73100	CellPhone	300
								74200	Copying hand out	300
								74200	Translator fee	400
								73400	Rental of bus or Van	50
								71600	Fuel Reimbursement	25

Project ID: 00072674
 Project Name: Poverty Environment Initiative (PEI)
 Output 3: (ESIAD)

O4 Work plan and Budget plan

EXPECTED CP OUTPUTS and indicators including baseline and annual target	Key Activities (List all the activities to be undertaken during the year towards stated output)	Activity Descriptions	TIME FRAME			RESPONSIBLE PARTY	Source of Funds	PLANNED BUDGET			
			10	11	12			Code	Budget Description Name	USD	
		3.2.3.1 Study Exchange to Thailand of PEI-ESIA staff to learn and exchange experience on ESIA (1 time, 5 days/time, 12 pers in Thailand)		X		UNDP/ESIA	TRAC/00012		Sub Total for 3.2.3.1	40,674	
								71600	DSA	30,345	
								71600	Airfare	7,429	
								73400	Bus Rental and Terminal Cost	2,100	
								73400	Copying hand-out & reports	500	
								74500	Sundry	300	
		3.2.3.2 Round Table Meeting between IPD & DESIA (1 Times inside VTE, 35Pers, 1 Days)		X		ESIA	TRAC/00012		Sub Total for 3.2.2.5	2,383	
								73100	Conference room rental	1,008	
								73100	LCD & Projector Rental	300	
								73400	Bus Rental	50	
								72500	Office supplies	300	
								71600	Fuel Reimbursement	25	
								74200	Copying hand-out	300	
								74200	Translation fee	400	
Subtotal Activity Result 3.2.3										43,657	
Total Activity Result 3.2 (3.2.1 + 3.2.2 + 3.2.3)										74,092	
Grand Total (Activity 3.1 + Activity 3.2):										78,000	
										UNDP	39,874
										ESIA	38,126

Prepared by:

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Certified by:

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Ms. Phakharin PHISSAMAY
 Project Manager

Date: 07 OCT 2011

Approved by:

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**Annex 2
OFFLINE RISK LOG**

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

Project Title: Poverty Environment Initiative – Output 3	Award ID: 00072674	Date: 30 December 2011
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#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
	Enter a brief description of the risk <i>(In Atlas, use the Description field. Note: This field cannot be modified after first data entry)</i>	When was the risk first identified <i>(In Atlas, select date. Note: date cannot be modified after initial entry)</i>	Environmental Financial Operational Organizational Political Regulatory Strategic Other Subcategories for each risk type should be consulted to understand each risk type (see Deliverable Description for more information) <i>(In Atlas, select from list)</i>	Describe the potential effect on the project if this risk were to occur Enter probability on a scale from 1 (low) to 5 (high) P = Enter impact on a scale from 1 (low) to 5 (high) I = <i>(in Atlas, use the Management Response box. Check “critical” if the impact and probability are high)</i>	What actions have been taken/will be taken to counter this risk <i>(in Atlas, use the Management Response box. This field can be modified at any time. Create separate boxes as necessary using “+”, for instance to record updates at different times)</i>	Who has been appointed to keep an eye on this risk <i>(in Atlas, use the Management Response box)</i>	Who submitted the risk <i>(In Atlas, automatically recorded)</i>	When was the status of the risk last checked <i>(In Atlas, automatically recorded)</i>	e.g. dead, reducing, increasing, no change <i>(in Atlas, use the Management Response box)</i>
1	Recruitment for a short term national financing assessment expert was not possible during the	October 2011	Operational Organizational	Unavailability of national financing assessment expert will cause the delay in activities related to financing assessment; P = 5	The TOR for national financing assessment expert had been revised to extend the period of consultancy service up to 6	DESIA, UNDP	PM	December 2011	Pending

	implementation period due to no applicant's application			I = 5	months to attract applicants. An advertisement for the position will be announced in Q1-2012.				
2	Internal restructure of MONRE	October 2011	Organizational	Due to internal restructure of MONRE some activities were not seen as implementable even during Q1-2012 for instance consultation workshop on the draft manual with MOF at DG level and sustainable financing study. This long delay may cause the delay in other activities which related to sustainable financing manual that need to be finalized through the above consultation process	Follow-up actions need to be taken with concerned agencies during Q1-2012 to schedule the activities as seen feasible.	DESIA	PM	December 2011	Pending
3	Due to long extending flood event in Thailand the DESIA study exchange to MNRE Thailand had not been realized and postponed further into 2012 work plan.	December 2011	Organizational Regulatory	Postpone study exchange into 2012 work plan may delay the implementation of some activities in 2012 if the schedule for such purpose has not yet been set and agreed upon. P=5 I=5	A follow-up communication with MNRE Thailand to set the visit schedule shall be done as soon as possible since the arrangement will take even more than one month. In addition budget for the visit will be sought.	DESIA and UNDP	PM	December 2011	Pending

**Annex 3
OFFLINE ISSUES LOG**

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

Project Title: Poverty Environment Initiative – Output 3	Award ID: 00072674	Date: 30 December 2011
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#	Description	Date Identified	Type	Impact & Priority	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
	Enter a brief description of the issue <i>(In Atlas, use the Description field. Note: This field cannot be modified after first data entry)</i>	When was the issue first identified <i>(In Atlas, select date. Note: date cannot be modified after initial entry)</i>	Request for Change Problem Other <i>(In Atlas, select from list)</i>	Describe the potential effect on the project Enter priority on a scale from 1 (low) to 5 (high) Priority = <i>(in Atlas, use the Management Response box)</i>	What actions have been taken/will be taken to address this issue <i>(in Atlas, use the Management Response box)</i>	Who has been appointed to address this issue <i>(in Atlas, use the Management Response box)</i>	Who submitted the issue <i>(In Atlas, automatically recorded)</i>	When was the status of the issue last checked <i>(In Atlas, automatically recorded)</i>	e.g. pending, solved <i>(in Atlas, use the Management Response box. If solved, check the “Solved” box)</i>
1	Recruitment for a short term national financing assessment expert was not possible during	October 2011	Other	Unavailability of national financing assessment expert will cause the delay in activities related to financing assessment Priority = 5	The TOR for national financing assessment expert had been revised to extend the period of consultancy service up to 6 months to attract applicants. An advertisement for the position will be announced	DESIA, UNDP	ESIA Department	December 2011	Pending

	the implementation period due to no applicant's application				in Q1-2012.				
2	Internal restructure of MONRE	October 2011	other	Due to internal restructure of MONRE some activities were not seen as implementable even during Q1-2012 for instance consultation workshop on the draft manual with MOF at DG level and sustainable financing study. This long delay may cause the delay in other activities which related to sustainable financing manual that need to be finalized through the above consultation process Priority = 5	Follow-up actions need to be taken with concerned agencies during Q1-2012 to schedule the activities as seen feasible.	ESIA Department	ESIA Department	December 2011	Pending
3	Due to long extending flood event in Thailand the DESIA study exchange to MNRE Thailand had not been realized and postponed further into 2012 work plan.	December 2011	Other	Postpone study exchange into 2012 work plan may delay the implementation of some activities in 2012 if the schedule for such purpose has not yet been set and agreed upon. P=5	A follow-up communication with MNRE Thailand to set the visit schedule shall be done as soon as possible since the arrangement will take even more than one month. In addition budget for the visit will be sought.	ESIA Department UNDP	ESIA Department	December 2011	Pending

Annex 4
LESSONS LEARNED LOG

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

Project Title: Poverty Environment Initiative – Output 3	Award ID: 00072674	Date: 30 December 2011
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#	Type	Date Identified	Successes	Shortcomings	Recommended Solutions	Submitted, updated by
	Project Management Project Results Human Factor Other		<i>Describe what has worked well. What factors supported this success?</i>	<i>Describe the challenges or areas for improvement and what was unanticipated</i>	<i>How were challenges overcome and how should things have been done differently/better?</i>	
1	Project Management	December 2011	Technical cooperation between PEI-DESIA & EMSP has been strengthened. Revised draft EIA Guidelines have been completed with consultation process among line agencies and private sectors (developers) jointly conducted by EMSP-TA and the PEI-DESIA team.	The technical training material on the EIA guidelines is still in draft version which required to be finalized as soon as possible.	An email to follow-up work with the international expert is needed. The draft technical training material on EIA guidelines is expected to be finalized in early January 2012.	ESIA Department
2	Project Management	December 2011	Despite study exchange of DESIA staff to MNRE Thailand was not achieved during the reporting period but the arrangement was discussed and planned to be undertaken in 2012. Study exchange will enhance capacity strengthening of DESIA staff on EIA related works and issues.	Study exchange was planned for Q4 2011 but was not succeeded because unforeseen flood event in Bangkok has been prolonged and shut down most public infrastructure.	Coordination and communication for rearrangement of the visit will be done through official and non-official means to set up schedule for the visit to MNRE Thailand with the assistance of UNDP.	ESIA Department

Project ID: 00072674
 Project Name: Poverty Environment Initiative (PEI)
 Output 3: (ESIAD)

Quarterly Work plan 2012: Q1/2012

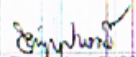
EXPECTED CP OUTPUTS and indicators including baseline and annual target	Key Activities (List all the activities to be undertaken during the year towards stated output)	Activity Descriptions	TIME FRAME			RESPONSIBLE PARTY	PLANNED BUDGET			Funded Amount-USD 2012		
			1	2	3		Source of Funds	Budget Description				
								Code	Name			
Activity Result 3.1. WREA has developed and is implementing a system for obtaining funds to substantially cover the costs of operating the ESIA Dept. The system works and is audited in accordance with international standards for financial management												
Targets 3.1.1 Funding mechanism developed approved by government, and applied by DESIA 3.1.2 Sustainable financing assessment study produced Baseline: 3.1.1 Draft DESIA Financial and Accounting Management Manual Indicator: 3.1.1 DESIA Financial Manual completed and applied by DESIA for obtaining management of environment monitoring budget from development projects 3.1.2 Result on sustainable financing assessment study was applied by DESIA for sustainable financing of ESIA monitoring 3.1.3 Consultation workshop with MOF at DG Level organized	Action 3.1: Support the development and operation of sustainable ESIA funding system through finalizing the "financial and Accounting management regulator/manual" for ESIA Department, as well as assist ESIA Department with the implementation of the manual, by supporting specific training on financial management and budgeting as needed by different levels within the department, (for more detail please see the supporting document)	1. Salary for project accountant (12 months)	X	X	X	ESIA	TRAC/00012	71400	National Accountant	2,054		
		2. Management costs (20 % of All Management Activities)	X	X	X	ESIA	TRAC/00012		Miscellaneous	504		
									72400	Communication charge	96	
									72500	Stationery	120	
									72800	IT Maintenance	45	
									73400	Maint, Oper of Transport Equip	180	
									74200	Copy document for Management	21	
									74500	Bank Charge	6	
									74500	Sundry	36	
										Total for FN and ACC Training/Workshop	5,300	
				3. Financial and accounting training/ Workshop								
				3.1.1 Consultation workshop on the draft DESIA financial and accounting management manual and procurement and inventories/ fixed assets management policies with MOF at Director general level (1 time, inside VTE, 2 days/time, 35 pers.)				ESIA	TRAC/00012		Sub Total for 3.1.1	5,300
										71600	DSA	2,215
										71600	Fuel Reimbursement	89
										72400	Communication charge	63
								72500	Office supplies/Stationery	89		
								73100	Conference room rental	1,241		
								73100	LCD Rental	300		
								73400	Rental of Bus or Van	949		
								74200	Copying hand-out and Report	354		
Total Activity Result 3.1:										7,858		
Activity Result 3.2. WREA/ESIA Dept has developed and/or updated technical guidelines and procedures that support the ESIA Dept, concerned ministries, state enterprises and developers to conform to best environmental and social assessment and mitigation practices												
Target 3.2.1.1 EIA general technical guideline developed 3.2.1.2 EIA general technical guideline-Lao version completed 3.2.1.3 EIA Technical guidelines for agriculture and forestry plantation sectors produced 3.2.1.4 Updated EIA review guideline to inline with EIA reporting writing guideline 3.2.1.5 Field test of monitoring and review guideline carried out 3.2.1.6 Draft of monitoring checklist/guidelines carried out 3.2.1.7 EIA general technical guidelines-English & Lao version finalized Baseline 3.2.1.1 EIA general technical guidelines - English version drafted 3.2.1.2 Drafted EIA general technical guidelines-Lao version 3.2.1.3 Drafted reviewing and monitoring procedures guidelines (Lao version) Indicator 3.2.1 EIA general technical guidelines-English version finalized 3.2.2 Number of consultation conducted 3.2.3 The updated EIA review guideline applied	Action 3.2.1: Support materials and draft general technical guidelines for reviewing ESIA reports as well as start the development of general technical guidelines for developers and consultants for the preparation of ESIA reports and monitoring guideline. The development of three guidelines will be through analysis and extensive consultation. 1.Guidelines / Checklist development (Reviewing guideline, writing guidelines for developers and monitoring guideline)	1. Salary for National consultant (12 months)	X	X	X	ESIA	TRAC/00012	71400	National Assistant to PM	4,673		
		2. Equipment and Furniture								13,575		
							ESIA	TRAC/00012	72200	Furniture	1,895	
							UNDP	TRAC/00012	72805	Informatic Equipments	11,580	
		3. Management costs (80 % of All Management Activities)	X	X	X	ESIA	TRAC/00012		Miscellaneous	2,017		
									72400	Communication charge	384	
									72500	Stationery	480	
									72800	IT Maintenance	180	
									73400	Maint, Oper of Transport Equip	720	
									74200	Copy document for Management	84	
									74500	Bank Charge	25	
									74500	Sundry	144	
				D. Internal consultation workshop to finalize monitoring procedures guideline for DESIA (1 time inside VTE, 3 days, 30 pers)				ESIA	TRAC/00012		Sub Total for 3.2.1.5.	4,622

Project ID: 00072674
 Project Name: Poverty Environment Initiative (PEI)
 Output 3: (ESIAD)


Quarterly Work plan 2012: Q1/2012

EXPECTED CP OUTPUTS and indicators including baseline and annual target	Key Activities (List all the activities to be undertaken during the year towards stated output)	Activity Descriptions	TIME FRAME			RESPONSIBLE PARTY	PLANNED BUDGET		Funded Amount:USD 2012	
			1	2	3		Source of Funds	Budget Description		
								Code		Name
							71600	Fuel Reimbursomont	89	
							72400	Communication charge	63	
							72500	Office supplies/Stationery	76	
							73100	Conference room rental	3,190	
							73100	LCD Rental	900	
							74200	Copying hand-out and Report	304	
Subtotal Activity Result 3.2.1:		Sub total							4,622	
Total Activity Result 3.2 (3.2.1 + 3.2.2 + 3.2.3):		Sub total							25,087	
Grand Total (Activity 3.1 + Activity 3.2):		Sub total							32,945	
								UNDP	11,680	
								ESIA	21,265	

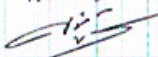
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Date: 10 January 2012