

# Project Performance Report

## Overview

Period of Report (Dates)	6/5/2023 - 6/4/2024
Project Title	Building climate and disaster resilience capacities of vulnerable small towns in Lao PDR
Project Summary	
Database Number	AF00000159
Implementing Entity (IE)	UN-Habitat
Type of IE	Multilateral Implementing Entity
Country(ies)	Lao People's Democratic Republic
Relevant Geographic Points (i.e. cities, villages, bodies of water)	Sayphoutong and Sethamouk towns, Savannakhet province
Name of Implementing Entity Focal Point	Avi Sarkar, avi.sarkar@un.org

Project Milestones	
AFB Approval Date	7/8/2019
IE-AFB Agreement Signature Date	10/24/2019
Start of Project/Programme	6/5/2020
Actual Mid-term Review Date (if applicable)	10/15/2023
Original Completion Date	6/4/2024
Revised Completion Date after approval of extension request (if applicable)	6/4/2026

## Were there any approval condition for this Project?

No

List each approval condition, if any, and report on the status of meeting them	
Category of condition	
Condition or Requirement	
Current Status	
Planned actions, including a detailed time schedule	

## List (only) inception report/ extension request(s)/ MTR that have been prepared for the project and provide date(s) of submission for each

The final version of the Mid-term review report was submitted in October 2023

## List the Website address (URL) of project

<https://www.adaptation-fund.org/project/building-climate-disaster-resilience-capacities-vulnerable-small-towns-lao-pdr-3/> <https://unhabitat.la/projects/af2/>

## Project Contacts

National/Regional Project Manager/Coordinator	Name	Email	Date
Implementing Entity	Avi Sarkar	avi.sarkar@un.org	4/1/2024
National Project Manager	Buahom Sengkhamyong	bouahoms@gmail.com	4/1/2024
Government(s) DA	Syamphone Sengchandala	syamphone.s@gmail.com	4/1/2024
Executing Agency	Viengkhek Hansana	hansana.vk01@gmail.com	4/1/2024

## Financial Data

Disbursement of AF grant funds	
Cumulative total disbursement from Trustee to IE as of date (\$)	\$5,153,876.00
Estimated cumulative total disbursement from IE to EEs as of date (\$)	\$4,128,801.00
Project disbursement rate (%)	94.12
Project execution rate (%)	81.45
Add any comments on AF Grant Funds	<p>1. Instalment from AFB to IE 1.1. During the reporting period: USD 4,349,484 1.2. The cumulative instalments until the reporting period: USD 5,153,876 2. Disbursement from IE to EE 2.1. During the reporting period: USD 3,539,891 2.2. The cumulative disbursement until the reporting period: USD 4,128,801 3. IE's expenditure during the reporting period: USD 3,962,890 3.1. Y4 Disbursement to EE: USD 3,539,891 3.2. Y4 Programme Execution: USD 163,745 3.3. Programme Cycle Management Costs: USD 259,254 4. EE's expenditure of Y4 (expenditure of project activities reported to IE) was: USD 3,268,190 5. Estimated cumulative total disbursement: USD 4,320,797 5.1. Cumulative total disbursement of Y1 to Y3: USD 617,161 5.2. Y4 Disbursement to EE: USD 3,539,891 5.3. Y4 Programme Execution: USD 163,745 * As discussed, Programme Cycle Management Costs is NOT included. 6. Total cumulative expenditure including Programme Cycle Management Costs was: USD 4,625,156 6.1. Excluding Programme Cycle Management Costs of Y1 to Y4: USD 4,320,797 6.2. PCM of Y1 to Y4: USD 304,358 7. Funds utilization rate (a total cumulative expenditure including Programme Cycle Management Costs vs. a total receipt of IE, %): 89.7%</p>
Investment Income (\$)	\$0.00
Cumulative Investment Income since inception (\$)	\$0.00

## Expenditure Data

Output	Amount (\$)
Output 1.1.1 - Training provided to district, provincial and national government staff on resilient infrastructure design. Female government staff must be represented	\$50,040.00

Output 1.2.1 - Training provided to district, provincial and national government staff on climate action mainstreamed urban planning. Female government staff must be represented	\$50,050.00
Output 1.3.1 - Two master plans developed, using knowledge generated by the project, to both provide sustainable adaptation benefits to the infrastructure designed under this project and to enable the government to better plan for adaptation in other infrastructure, beyond that in the project area. The master plans will include specific provisions for the development and climate change resilience of women.	\$5,000.00
Output 2.1 - New resilient infrastructure constructed in response to climate change impacts, including variability.	\$3,070,000.00
"Output 3.1 - Project activities and results are captured and disseminated through appropriate information for the beneficiaries, partners and stakeholders and the public in general"	\$86,300.00
Output 3.2 - Climate policy - especially the National Adaptation Plan and post-Paris agreement reporting - influenced to reflect the challenges of climate change adaptation in basic service and protective infrastructure, including the provision of infrastructure in a way that benefits women	\$6,800.00
IE fee (\$)	\$163,745.00
Execution cost (\$)	\$259,254.00

### Planned Expenditure Schedule

Output	Projected Cost (\$)	Estimated Completion Date
Output 1.1.1 - Training provided to district, provincial and national government staff on resilient infrastructure design. Female government staff must be represented	\$50,000.00	6/4/2026
Output 1.2.1 - Training provided to district, provincial and national government staff on climate action mainstreamed urban planning. Female government staff must be represented	\$50,000.00	6/4/2026
Output 1.3.1 - Two master plans developed, using knowledge generated by the project, to both provide sustainable adaptation benefits to the infrastructure designed under this project and to enable the government to better plan for adaptation in other infrastructure, beyond that in the project area. The master plans will include specific provisions for the development and climate change resilience of women.	\$0.00	6/4/2026
Output 2.1 - New resilient infrastructure constructed in response to climate change impacts, including variability.	\$500,000.00	6/4/2025
"Output 3.1 - Project activities and results are captured and disseminated through appropriate information for the beneficiaries, partners and stakeholders and the public in general"	\$73,200.00	6/4/2026
Output 3.2 - Climate policy - especially the National Adaptation Plan and post-Paris agreement reporting - influenced to reflect the challenges of climate change adaptation in basic service and protective infrastructure, including the provision of infrastructure in a way that benefits women	\$57,257.00	6/4/2026
IE fee (\$)	\$289,570.00	
Execution cost (\$)	\$126,517.00	

### Actual co-financing (if the MTR or TE have not been undertaken this reporting period, do not report on actual co-financing)

Does this Project have Co-Financing ?	No
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How much of the total co-financing as committed in the Project Document has actually been realized? (\$)	\$0.00
Estimated cumulative actual co-financing as verified during Mid-term Review (MTR) or Terminal Evaluation (TE). (\$)	\$0.00
Add any comments on actual co-financing in particular any issues related to the realization of in-kind, grant, credits, loans, equity, non-grant instruments and other types of co-financing.	

## Risk Assessment

### Identified Risks

List all Risks identified in project preparation phase and what steps are being taken to mitigate them

Identified Risk	Current Status	Steps taken to mitigate risk
1. Environmental/social: Current climate and seasonal variability and/or hazard events result in infrastructure construction delays or undermine confidence in adaptation measures by local communities.	Low	The awareness raising activities have contributed to avoid losing communities' confidence in adaptation measures. More notification boards were placed as the construction began in different sites (e.g. the construction started in extra 2 sites in Sayphouthong Town during the reporting period: water treatment plant and overhead tank). The communities have been reachable to EE with any concerns. EE plans the meeting with beneficiaries by the end of 2024, which is in the next reporting period.
2. Institutional: Loss of government support (at all levels) for the project (activities and outputs) may result in a lack of prioritization of AF project activities.	Low	EE made a field visit to check the progress of the physical construction work, and the sub-national government was involved in all related activities at the sites. Another site visit is also planned in July 2024 (after this reporting period) to display the impact of the project to the line ministries at the national level. The project is ensuring robust participation of Government partners at both the national and sub-national levels.
3. Institutional: Capacity constraints of local institutions may limit the effective implementation of interventions.	Low	After the completion of the project's capacity building activities, the institutional knowledge of designing riverbank protection has been and will be maintained through the training programme in the line ministry. IE is also continuously involved in augmenting capacity of district, provincial and national partners.
4. Institutional/social: Lack of commitment/buy-in from local communities may result in delay at intervention sites.	Low	Discussions have been organised to increase the engagement of communities and village chiefs. The construction sites are open to public with in-advance registration. The visitors are required to follow the safety instructions from the construction site manager(s). The visibility fostered trust in infrastructure.
5. Institutional/social Disagreement amongst stakeholders with regards to adaptation measures (infrastructure) and site selection.	Low	All stakeholders are kept briefed of the project.
6. Institutional: Communities may not	Low	The project involves and will continue to involve

adopt activities during or after the AF project, including infrastructure maintenance.		communities in the project implementation ensuring total community participation.
7. Financial: Complexity of financial management and procurement. Certain administrative processes could delay the project execution or could lack integrity.	Low	IE and EE followed the processes and regulations established by own organizations. NPSE Savannakhet, is governed by Government of Lao PDR's established admin and financial regulations, which are subjected to interim and financial audits by external auditors.
8. Institutional: Delays in project implementation, and particularly in the development of infrastructure interventions.	Moderate	Project implementation schedule is constantly revised with implementing partners to re-arrange activities and make sure that the project is on track despite challenges. A delay in approval of town master plan by the local assembly created a impact on the re-arrangement of the schedule of Component 2. AFB and IE agreeded on the 12-month no-cost extension.
9. Institutional: A lack of coordination between and within national government Ministries and Departments.	Low	Actions taken to mitigate risks ensure that coordination between and within ministries and other government agencies continues to be effective.
10. Legal: Delays or barriers in gaining approval for infrastructure and housing due to delays in the development process or due to land tenure issues.	Low	The PMC and the LCC are tasked to ensure close collaboration with the provincial line departments of Public Works and Transport, Natural Resources and the Environment, NPSE Savannakhet and Planning and Investment.

### Critical Risks Affecting Progress (Not identified at project design)

Are there any critical risks with a 50% or > likelihood of affecting progress of project? No

Identify Risks with a 50% or > likelihood of affecting progress of project

Identified Risk	Current Status	Steps taken to mitigate risk
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### Risk Measures

Were there any risk mitigation measures employed during the current reporting period? If so, were risks reduced? If not, why were these risks not reduced?

## ESP Compliance

### Section 1: Identified ESP Risk Management

Was the ESP risks identification complete at the time of funding approval? Yes

#### 1.Compliance with the law

Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	No
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require	

management actions to prevent unacceptable impacts? (as per II.K/II.L)	
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	
List the monitoring indicator(s) for each impact identified.	
State the baseline condition for each monitoring indicator	
Describe each safeguard measure that has been implemented during the reporting period	
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	
Describe remedial action for residual impacts that will be taken	
<b>2.Access and equity</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Without any safeguarding measures built into the project, the adaptation benefits of the project may not be distributed equally among the target beneficiaries. It may lead to some people being without benefits.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	[Safeguard measures in Table 5.9] 1. While extensive consultations have taken place, monitoring throughout the project will continue to capture all needs of the target communities/households and the activities have been designed according to their 'access and equity' needs. 2. Mapping all the groups and their needs, planning/ management and monitoring process for implementing all components and community management with rules ensuring that equal 'access and equity' is guaranteed. A pro-poor tariff will be implemented to reduce the possibility that people can't access the services.
List the monitoring indicator(s) for each impact identified.	All indigenous groups have the same access rights to water/infrastructure.
State the baseline condition for each monitoring indicator	Indigenous groups have little or no access to infrastructure or improved, climate resilient water.
Describe each safeguard measure that has been implemented during the reporting period	[Note] During the reporting period, 3 activities were taken place: - Outcome 2 - 57,144 people, 53.5% of whom are female, who currently have inadequate water and/or protective infrastructure, have access to year-round, clean water and protective infrastructure



	<p>despite current climate hazards and future changes in climate. - Outcome 3 - Project implementation is fully transparent. All stakeholders, including women, are informed of products and results and have access to these for replication. 1. EE consulted with the targeted villages to identify the vulnerable households such as low-income and female-headed. This was a preliminary study to ensure equal access to safe water through the water distribution system which will start the construction after this reporting period. Additionally, The project monitoring was continued with the communication with the government at the national and sub-national levels, such as the land status of the planned physical construction work areas were still public land. 2. All the groups and their needs, especially for women, youth, and indigenous groups, were considered. The monitoring mechanism at the village level was continuously operated. It will report discriminatory practices or behaviour towards the indigenous groups to village chiefs.</p>
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	<p>The following impact was identified during the project design. IP and EE are aware and keep monitoring it through the reporting period. "Without any safeguarding measures built into the project, the adaptation benefits of the project may not be distributed equally among the target beneficiaries. It may lead to some people being without benefits. "</p>
Describe remedial action for residual impacts that will be taken	<p>IE will ensure that: 1. The monitoring throughout the project will continue to capture all needs of the target communities/households and the activities have been designed according to their 'access and equity' needs. 2. Planning/ management and monitoring process for implementing all components and community management with rules ensuring that equal 'access and equity' will be guaranteed. A pro-poor tariff will be implemented to reduce the possibility that people can't access the services.</p>
<b>3.Marginalized and vulnerable Groups</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Without mitigation measures, the presence of indigenous, female, poor and illiterate people could be marginalized.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	1. Community management with rules ensuring that equal access is guaranteed, including for women and indigenous people. This means that all consultations and meetings should be made accessible in indigenous languages, where people cannot, or do not

	<p>wish to communicate in the Lao Language. This includes providing all information orally to people, as literacy rates are low throughout the project area. 2. The domestic tariff is a rising 3-block structure to ensure affordability by the low-income group (LIG), this special tariff measures will be created to ensure that poor households have continued access to water supply, despite their low incomes. 3. Female headed households will be prioritised to receive connections first. 4. Because of high rates of illiteracy (especially among women and indigenous people) information generated by the project will never be presented solely in writing. Village chiefs and other local elders will be responsible for providing information orally to people, if this is more suitable for them.</p>
List the monitoring indicator(s) for each impact identified.	See "2 - Access and equity"
State the baseline condition for each monitoring indicator	See "2 - Access and equity"
Describe each safeguard measure that has been implemented during the reporting period	<p>[Note] During the reporting period, 2 activities were taken place: - Outcome 2 - 57,144 people, 53.5% of whom are female, who currently have inadequate water and/or protective infrastructure, have access to year-round, clean water and protective infrastructure despite current climate hazards and future changes in climate. - Outcome 3 - Project implementation is fully transparent. All stakeholders, including women, are informed of products and results and have access to these for replication. In addition to the reports in "2 - Access and equity": 1. &amp; 4. There was no direct communication from IE to the direct beneficiaries in the villages during the reporting period. IE ensured with EE that they orally communicated in the indigenous languages in their villages if needed. (2. &amp; 3. No actions taken during the reporting period.)</p>
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	<p>The following impact was identified during the project design. IP and EE are aware and keep monitoring it through the reporting period. "Without mitigation measures, the presence of indigenous, female, poor and illiterate people could be marginalized."</p>
Describe remedial action for residual impacts that will be taken	<p>IE will ensure that: 1. Community management with rules ensuring that equal access is guaranteed, including for women and indigenous people. This means that all consultations and meetings should be made accessible in indigenous languages, where people cannot, or do not wish to communicate in the Lao Language. This includes providing all information orally to people, as literacy rates are low throughout the project area. 2. The special tariff measures for the low-income group (LIG) will be created to ensure that poor households have continued access to water supply, despite their low incomes. 3. Female headed households will be</p>



	prioritised to receive connections first. 4. Because of high rates of illiteracy (especially among women and indigenous people) information generated by the project will never be presented solely in writing. Village chiefs and other local elders will be responsible for providing information orally to people, if this is more suitable for them.
<b>4.Human rights</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Human rights breaches can arise from denying access to water and other basic services, or from land conflicts, for example. However, the risk of this is very low, under the proposed activities under component 2, as the project (and its supporting structures) are being created to provide continuity of clean water supply to people. All construction works are taking place on public land, and water supplies will be provided to all people in the target towns.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	See 3) Marginalized and vulnerable Group. * Notes: Table 5.9 notes that "See measures of other risk categories. The specific Human rights risks are negligible." Table 5.11 notes "See measures of other risk categories, particularly marginalised and vulnerable groups. The specific Human rights risks are negligible."
List the monitoring indicator(s) for each impact identified.	See 3) Marginalized and vulnerable Group.
State the baseline condition for each monitoring indicator	See 3) Marginalized and vulnerable Group.
Describe each safeguard measure that has been implemented during the reporting period	See 3) Marginalized and vulnerable Group.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	The following impact was identified during the project design. IP and EE are aware and keep monitoring it through the reporting period. "Human rights breaches can arise from denying access to water and other basic services, or from land conflicts, for example. However, the risk of this is very low, under the proposed activities under component 2, as the project (and its supporting structures) are being created to provide continuity of clean water supply to people. All construction works are taking place on public land, and water supplies will be provided to all people in the target towns. "
Describe remedial action for residual impacts that will be taken	See 3) Marginalized and vulnerable Group.
<b>5.Gender equality and women's empowerment</b>	
Are environmental or social risks present as per table	Yes

II.K (II.L for REG) of the proposal?	
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Without measures to ensure and enhance women's participation in the project and enable them to benefit from the pro-poor tariff, they may see disproportionately less reduction in their vulnerability.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	The project has set quotas for female participation and benefits in Components 1 and 2. 1. Quotas for female participation in decision making at all levels. Engagement will take place throughout the project with the Lao Women's Union and the Women's representative, which exists in every village. 2. The project will seek to ensure that female-headed households benefit from the pro-poor tariff. (*For this measure, please see "3. Marginalized and vulnerable Groups".)
List the monitoring indicator(s) for each impact identified.	Women have equal access and are included on all village-level management committees.
State the baseline condition for each monitoring indicator	Few provisions for women to manage infrastructure.
Describe each safeguard measure that has been implemented during the reporting period	[Note] During the reporting period, 2 activities were taken place: - Outcome 2 - 57,144 people, 53.5% of whom are female, who currently have inadequate water and/or protective infrastructure, have access to year-round, clean water and protective infrastructure despite current climate hazards and future changes in climate. - Outcome 3 - Project implementation is fully transparent. All stakeholders, including women, are informed of products and results and have access to these for replication. 1. The Lao Women's Union attended and represented women's rights at the consultation workshop. There was no direct engagement with the beneficiaries at village level during the reporting period. 2. See "3. Marginalized and vulnerable Groups".
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	The following impact was identified during the project design. IP and EE are aware and keep monitoring it through the reporting period. "Without measures to ensure and enhance women's participation in the project and enable them to benefit from the pro-poor tariff, they may see disproportionately less reduction in their vulnerability."
Describe remedial action for residual impacts that will be taken	IE will ensure that: 1. Quotas for female participation in decision making at all levels. Engagement will take place throughout the project with the Lao Women's Union and the Women's representative, which exists in every village. 2. The project will seek to ensure that female-headed households benefit from

	the pro-poor tariff. (*For this measure, please see "3. Marginalized and vulnerable Groups".)
<b>6.Core labour rights</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Failure to safeguard core labour rights could result in exploitation, underpaid or insecure work, hence why mitigation measures are needed.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	[#2 - 4 are copied from Table 5.9] 1. All community contracts must be scrutinised to ensure they comply with both national law and international standards. Where community members provide their labour to the project, they will be paid above minimum wage, the right to organise, and access to all required safety and protective equipment. 2. The project will monitor that international and national labour laws are respected, for any work that may be carried out in relation to the project. 3. AoCs stipulate the need to respect core labour rights in line with international norms/ILO standards. 4. The project will ensure that, if and when community labour is used, that labourers will be paid above the minimum wage, have the right to organize, have access to safety gear, and sex-segregated sanitary facilities and necessary basic training, in addition to provisions made in the ESMP, below.
List the monitoring indicator(s) for each impact identified.	Everyone working for the project is at least 18, and is formally contracted.
State the baseline condition for each monitoring indicator	The winning companies of bidding employed the workers. EE supervises them to comply with the government's labour rights regulations.
Describe each safeguard measure that has been implemented during the reporting period	[Note] During the reporting period, 2 activities were taken place: - Outcome 2 - 57,144 people, 53.5% of whom are female, who currently have inadequate water and/or protective infrastructure, have access to year-round, clean water and protective infrastructure despite current climate hazards and future changes in climate. - Outcome 3 - Project implementation is fully transparent. All stakeholders, including women, are informed of products and results and have access to these for replication. 1. EE complied with both national and international standards. 2. IE and EE ensured that international and national labour laws are respected, for any work that may be carried out in relation to the project. 3. (No new AoC was signed during the reporting period.) 4. (No community labour was mobilised during the reporting period.)
Describe the residual impact for each impact	The following impact was identified during the

identified - if any - using the monitoring indicator(s)	project design. IP and EE are aware and keep monitoring it through the reporting period. "Failure to safeguard core labour rights could result in exploitation, underpaid or insecure work, hence why mitigation measures are needed."
Describe remedial action for residual impacts that will be taken	IE will ensure that: 1. All community contracts must be scrutinised to ensure they comply with both national law and international standards. Where community members provide their labour to the project, they will be paid above minimum wage, the right to organise, and access to all required safety and protective equipment. 2. The project will monitor that international and national labour laws are respected, for any work that may be carried out in relation to the project. 3. AoCs stipulate the need to respect core labour rights in line with international norms/ILO standards. 4. The project will ensure that, if and when community labour is used, that labourers will be paid above the minimum wage, have the right to organize, have access to safety gear, and sex-segregated sanitary facilities and necessary basic training, in addition to provisions made in the ESMP, below.
<b>7.Indigenous people</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	See "3 – Marginalized and vulnerable Groups"
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	In addition to "3 – Marginalized and vulnerable Groups", 1. The State pursues the policy of promoting Unity and Equality among all ethnic groups. All ethnic groups have the rights to protect, preserve and promote the fine customs and cultures of their own tribes and the nation. All Acts of creating Division and Discrimination among ethnic groups are forbidden. The State implements every measure to gradually develop and upgrade the economic and social level of all ethnic groups. 2. While extensive consultations have taken place, monitoring throughout the project to capture all issues and needs of all communities (as the indigenous people, make up the majority of the population nationwide and in the target areas) and particular impacts on- and needs of indigenous people and other communities will be assessed throughout the project.
List the monitoring indicator(s) for each impact identified.	See "3 – Marginalized and vulnerable Groups"
State the baseline condition for each monitoring indicator	They have minimal access to infrastructure.

Describe each safeguard measure that has been implemented during the reporting period	<p>[Note] During the reporting period, 2 activities were taken place: - Outcome 2 - 57,144 people, 53.5% of whom are female, who currently have inadequate water and/or protective infrastructure, have access to year-round, clean water and protective infrastructure despite current climate hazards and future changes in climate. - Outcome 3 - Project implementation is fully transparent. All stakeholders, including women, are informed of products and results and have access to these for replication. 0. See "3 – Marginalized and vulnerable Groups" 1. The rights of all ethnic groups were protected, preserved and promoted the fine customs and cultures of their own tribes and the nation. All Acts of creating Division and Discrimination among ethnic groups were forbidden. The State implemented every measure to gradually develop and upgrade the economic and social level of all ethnic groups. 2. At the discussion with the communities, the particular impacts on- and needs of indigenous people and other communities were assessed in the related villages. The monitoring mechanism at the village level was continuously operated. It will report discriminatory practices or behaviour towards the indigenous groups to village chiefs.</p>
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	No residual impacts.
Describe remedial action for residual impacts that will be taken	<p>In addition to "3 – Marginalized and vulnerable Groups", IE will ensure that: 1. The State pursues the policy of promoting Unity and Equality among all ethnic groups. All ethnic groups have the rights to protect, preserve and promote the fine customs and cultures of their own tribes and the nation. All Acts of creating Division and Discrimination among ethnic groups are forbidden. The State implements every measure to gradually develop and upgrade the economic and social level of all ethnic groups. 2. While extensive consultations have taken place, monitoring throughout the project to capture all issues and needs of all communities (as the indigenous people, make up the majority of the population nationwide and in the target areas) and particular impacts on- and needs of indigenous people and other communities will be assessed throughout the project.</p>
<b>8.Involuntary resettlement</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard	Eviction arising from conflicts over land ownership

measures are required (as per II.K/II.L)	is very unlikely. All infrastructure investments are being made on land currently owned by the government. No land acquisition is required by the project. There is currently no one living on or immediately adjacent to any of the project's construction sites, and the sites are not being used for livelihood activities like agriculture or informal markets. This includes the check dam structure and surrounding embankment on the Sethamouak River, as well as the structures in Sayphouthong.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	1. No activity will be implemented where there is the possibility, however small, of forced eviction. Agreement of Cooperation (AoCs) and contracts will include standard clauses stating that target communities will not be 'involuntary resettled, also after the project. 2. The status of the land will be checked again before the start of construction. Land ownership and occupation can change quickly in growing settlements. Construction can only begin once it is clear that no one is living on or adjacent to the land, or dependent on it for their livelihood.
List the monitoring indicator(s) for each impact identified.	1. AoCs and contracts include standard clauses stating that target communities will not be 'involuntary resettled', also after the project. 2. The status of the land will be checked again before the start of construction. Land ownership and occupation can change quickly in growing settlements. Construction can only begin once it is clear that no one is living on or adjacent to the land, or dependent on it for their livelihood.
State the baseline condition for each monitoring indicator	The target communities will be 'involuntary resettled', also after the project.
Describe each safeguard measure that has been implemented during the reporting period	[Note] During the reporting period, 2 activities were taken place: While extensive consultations have taken place, monitoring throughout the project to capture all issues and needs of all communities (as the indigenous people, make up the majority of the population nationwide and in the target areas) and particular impacts on- and needs of indigenous people and other communities will be assessed throughout the project. 1. (No new AoCs and/or contracts were signed during the reporting period. ) 2. The status of the land was checked again before the start of the physical construction work. It remained as public land and there was no risk of involuntary resettled.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	No residual impact occurred. However, monitoring will be continued to ensure all construction work will take place on public land so no involuntary resettlement will be required.
Describe remedial action for residual impacts that will be taken	IE will ensure that: 1. No activity will be implemented where there is the possibility, however small, of forced eviction. Agreement of Cooperation (AoCs) and contracts will include standard clauses

	<p>stating that target communities will not be 'involuntary resettled, also after the project. 2. The status of the land will be checked again before the start of construction. Land ownership and occupation can change quickly in growing settlements. Construction can only begin once it is clear that no one is living on or adjacent to the land, or dependent on it for their livelihood.</p>
<b>9. Protection of natural habitats</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	<p>[*This section 9 is also applicable to "10. Conservation of biological diversity" and "15. Lands and Soil Conservation" as stated in the proposal, pp.172-174.] Without mitigation measures, river habitats (and thus fish and aquatic plant life) could suffer. There is no risk to the river ecology or downstream livelihoods for the investment at Sayphouthong because of the very small amount of water being extracted from the river at that point. At Sayphouthong the Mekong river never goes below 6.5m deep in the dry season (and can be over 13m in the rainy season) and is about 1.16km wide at that point, from bank to bank. Minimum river flow around Sayphouthong is about 2,000m<sup>3</sup>/s; per second in the dry season (and as much as 7 times this in the rainy season), meaning the maximum daily usage of river water for the system is equal to less than 2 seconds of river flow – a miniscule amount that will not have effects on the downstream hydrology or ecology of the river. On the Sethamouak River, the embankment is about 65 metres in total, while the check dam structure is about 42 metres across the river. Without specific design provisions this could cause risk to downstream water flow, affecting downstream livelihoods and water access, fish and causing upstream flooding.</p>
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	<p>1. Incorporating protection of habitats and ecosystems into action planning under Component 1. Designing infrastructure so that it complements nature. 2. The water supply system design includes riverbank protection and stabilisation. This is designed to ensure that the construction of the intake and associated infrastructure doesn't destabilise the banks, which may have knock-on impacts on the riverbank protection.</p>
List the monitoring indicator(s) for each impact identified.	No negative affects on the natural environment.



State the baseline condition for each monitoring indicator	The natural environment has been threatened by other infrastructure development projects.
Describe each safeguard measure that has been implemented during the reporting period	[Note] During the reporting period, 2 activities were taken place: - Outcome 2 - 57,144 people, 53.5% of whom are female, who currently have inadequate water and/or protective infrastructure, have access to year-round, clean water and protective infrastructure despite current climate hazards and future changes in climate. - Outcome 3 - Project implementation is fully transparent. All stakeholders, including women, are informed of products and results and have access to these for replication. 1. The EE and construction companies company with national conservation laws regarding protection of natural habitats. 2. EE followed the specific design provisions to minimize the risk as well as assure riverbank protection and stabilisation when they developed the master plans and designed the water supply system.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	The following impact was identified during the project design. IP and EE are aware and keep monitoring it through the reporting period. "Without mitigation measures, river habitats (and thus fish and aquatic plant life) could suffer. There is no risk to the river ecology or downstream livelihoods for the investment at Sayphouthong because of the very small amount of water being extracted from the river at that point. At Sayphouthong the Mekong river never goes below 6.5m deep in the dry season (and can be over 13m in the rainy season) and is about 1.16km wide at that point, from bank to bank. Minimum river flow around Sayphouthong is about 2,000m <sup>3</sup> per second in the dry season (and as much as 7 times this in the rainy season), meaning the maximum daily usage of river water for the system is equal to less than 2 seconds of river flow – a miniscule amount that will not have effects on the downstream hydrology or ecology of the river. On the Sethamouak River, the embankment is about 65 metres in total, while the check dam structure is about 42 metres across the river. Without specific design provisions this could cause risk to downstream water flow, affecting downstream livelihoods and water access, fish and causing upstream flooding. "
Describe remedial action for residual impacts that will be taken	IE will ensure that: 1. Incorporating protection of habitats and ecosystems into action planning under Component 1. Designing infrastructure so that it complements nature. 2. The water supply system design includes riverbank protection and stabilisation. This is designed to ensure that the construction of the intake and associated infrastructure doesn't destabilise the banks, which may have knock-on impacts on the riverbank protection.

<b>10.Conservation of biological diversity</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	No additional risks other than those identified in protection of natural habitats. See Protection of 9) Natural Habitats
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	See Protection of 9) Natural Habitats
List the monitoring indicator(s) for each impact identified.	See Protection of 9) Natural Habitats
State the baseline condition for each monitoring indicator	See Protection of 9) Natural Habitats
Describe each safeguard measure that has been implemented during the reporting period	See Protection of 9) Natural Habitats
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	See Protection of 9) Natural Habitats
Describe remedial action for residual impacts that will be taken	See Protection of 9) Natural Habitats
<b>11.Climate change</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Without mitigation measures, the infrastructure may not function properly. This is particularly prevalent in Sethamouak Town, and extensive provisions have been incorporated into the design.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	1. Incorporating waste management and disposal into design and operating procedures for the construction. 2. The infrastructure has been designed to avoid 'maladaptation' by ensuring that hazards are not shifted onto other locations not covered by the project. The project will not cause upstream flooding, downstream water shortage or detract from the ability of any other towns or villages to access water for drinking, domestic or agricultural purposes. Analysis has been conducted that shows that at Sayphouthong the maximum amount of water taken from the river will be 0.002% of the daily total flow in the dry season (and substantially less in the rainy season) 3. Climate Change policies and guidelines to be

	explained to understood by project personnel prior to implementation and monitored by implementing partners.
List the monitoring indicator(s) for each impact identified.	Climate adaptation and mitigation measures are mainstreamed through project implementation.
State the baseline condition for each monitoring indicator	Existing infrastructures do not consider climate change effects.
Describe each safeguard measure that has been implemented during the reporting period	[Note] During the reporting period, 2 activities were taken place: - Outcome 2 - 57,144 people, 53.5% of whom are female, who currently have inadequate water and/or protective infrastructure, have access to year-round, clean water and protective infrastructure despite current climate hazards and future changes in climate. - Outcome 3 - Project implementation is fully transparent. All stakeholders, including women, are informed of products and results and have access to these for replication. 1. Two town master plans were approved by the local Assembly. Construction has started. The approved master plans were incorporating waste management and disposal into design and operating procedures for the construction. 2. The infrastructure has been designed to avoid 'maladaptation' by ensuring that hazards are not shifted onto other locations not covered by the project. 3. (n/a. Climate Change policies and guidelines were explained at the training held during the previous reporting period.)
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	The following impact was identified during the project design. IP and EE are aware and keep monitoring it through the reporting period. "Without mitigation measures, the infrastructure may not function properly. This is particularly prevalent in Sethamouak Town, and extensive provisions have been incorporated into the design."
Describe remedial action for residual impacts that will be taken	IE will ensure that: 1. Incorporating waste management and disposal into design and operating procedures for the construction. 2. The infrastructure has been designed to avoid 'maladaptation' by ensuring that hazards are not shifted onto other locations not covered by the project. 3. Climate Change policies and guidelines to be explained to understood by project personnel prior to implementation and monitored by implementing partners.

## 12.Pollution prevention and resource efficiency

Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard	Improper waste disposal and management procedures

measures are required (as per II.K/II.L)	would lead to pollution of the local area with waste associated with construction. This could cause damage to land and soil, water and the local area generally.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	1. Incorporating public health considerations (Especially relating to water contamination) into training under Component 1. 2. The project will use local materials for construction where possible. The project will ensure that all waste materials generated in the course of construction are recycled where possible, and where this is not possible, they are disposed of in proper facilities according to the law and in compliance with guidance from the Ministry of Natural Resources and the Environment.
List the monitoring indicator(s) for each impact identified.	All materials used in construction are properly disposed of.
State the baseline condition for each monitoring indicator	Waste disposal systems are not always in place.
Describe each safeguard measure that has been implemented during the reporting period	1. (n/a. Component 1 has been completed by the previous reporting period). 2. The project used local materials for construction where possible. The project ensured that waste all materials generated in the course of construction were recycled where possible, and where this was not possible, they were disposed of in proper facilities according to the law and in compliance with guidance from the Ministry of Natural Resources and the Environment.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	The following impact was identified during the project design. IP and EE are aware and keep monitoring it through the reporting period. "Improper waste disposal and management procedures would lead to pollution of the local area with waste associated with construction. This could cause damage to land and soil, water and the local area generally."
Describe remedial action for residual impacts that will be taken	IE will ensure that: 1. Incorporating public health considerations (Especially relating to water contamination) into the project activities of physical construction work. 2. The project will use local materials for construction where possible. The project will ensure that all waste materials generated in the course of construction are recycled where possible, and where this is not possible, they are disposed of in proper facilities according to the law and in compliance with guidance from the Ministry of Natural Resources and the Environment.
<b>13.Public health</b>	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable	Yes

impacts? (as per II.K/II.L)	
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Failure to incorporate public health into the design could lead to the spread of water and vectorborne disease.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	Incorporating public health considerations (Especially relating to water contamination)
List the monitoring indicator(s) for each impact identified.	All water provided meets Ministry of Health guidelines
State the baseline condition for each monitoring indicator	Public health issues are common in the target areas.
Describe each safeguard measure that has been implemented during the reporting period	IE incorporated public health considerations (Especially relating to water contamination) through the training under Component 1.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	The following impact was identified during the project design. IP and EE are aware and keep monitoring it through the reporting period. "Failure to incorporate public health into the design could lead to the spread of water and vectorborne disease."
Describe remedial action for residual impacts that will be taken	IE will ensure to keep incorporating public health considerations (Especially relating to water contamination) into the project activities of physical construction work.

#### **14. Physical and cultural heritage**

Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	No
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	
List the monitoring indicator(s) for each impact identified.	
State the baseline condition for each monitoring indicator	
Describe each safeguard measure that has been implemented during the reporting period	
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	
Describe remedial action for residual impacts that will be taken	

#### **15. Lands and soil conservation**

Are environmental or social risks present as per table	Yes
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II.K (II.L for REG) of the proposal?	
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	See Protection of 9) Natural Habitats
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	See Protection of 9) Natural Habitats
List the monitoring indicator(s) for each impact identified.	See Protection of 9) Natural Habitats
State the baseline condition for each monitoring indicator	See Protection of 9) Natural Habitats
Describe each safeguard measure that has been implemented during the reporting period	See Protection of 9) Natural Habitats
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	See Protection of 9) Natural Habitats
Describe remedial action for residual impacts that will be taken	See Protection of 9) Natural Habitats

## Section 2: Monitoring for unanticipated impacts / corrective actions required

Has monitoring for unanticipated ESP risks been carried out?	Yes
Have unanticipated ESP risks been identified during the reporting period?	No
If unanticipated ESP risks have been identified, describe the safeguard measures that have been taken in response and how an ESMP has been prepared/updated	

## Section 3: Categorisation

Is the categorisation according to ESP standards still relevant?	Yes
If No, please describe the changes made at activity, output or outcome level, approved by the Board, that resulted in this change of categorization.	

## Section 4: Implementation arrangements

What arrangements have been put in place by the Implementing Entity during the reporting period to implement the required ESP safeguard measures?	The IE has briefed the PMC and EE on the implementation arrangement of ESP safeguard measures. This is also reflected in the Agreements of Cooperation developed with the EE
Have the implementation arrangements been effective during the reporting period?	Yes
What arrangements have been put in place by each Executing Entity during the reporting period to implement the required ESP safeguard measures?	Village chiefs have been made aware of the ESP and the grievance mechanism. All contractors were requested to follow the ESP as per the project



	document
Have the implementation arrangements at the EEs been effective during the reporting period?	Yes

### Section 5: Projects/programmes with unidentified sub-projects (USPs). This section needs to be completed only if the project/proramme includes USPs.

Have the arrangements for the process described in the ESMP for ESP compliance for USPs been put in place?	
Is the required capacity for ESMP implementation present and effective with the IE and the EE(s)? Please provide details.	
Have all roles and responsibilities adequately been assigned and positions filled?	
Has the overall ESMP been updated with the findings of the USPs that have been identified in this reporting period?	

Identified USPs in the reporting period	Application of ESMP to the USP	ESP risks identified for the USP	Has an impact assessment been carried out?	Consultation held for risks and impacts identification for USP	Gender disaggregation to identify risks and impacts	Safeguard measures identified for the USP	Monitoring indicator(s) for each impact
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### Section 6: Grievances

Was a grievance mechanism established capable and known to stakeholders to accept grievances and complaints related to environmental and social risks and impacts?	Yes
Were grievances received during the reporting period?	No

List all grievances received during the reporting period regarding environmental and social impacts; gender related matters; or any other matter of project/programme activities	For each grievance, provide information on the grievance redress process	Provide the status/outcome
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Comments

## GP Compliance

### Section 1: Quality at entry

Was an initial gender assessment conducted during the preparation of the project/programme's first submission as a full proposal? Yes
Does the results framework include gender-responsive indicators broken down at the different levels (objective, outcome, output)? Yes



## List the gender-responsive elements that were incorporated in the project/programme results framework

Gender-responsive element	Level	Indicator	Baseline	Target	Rated result for the reporting period
Outcome 1.1 - 40 government staff, at least 15 of whom female, have increased capacity to design climate resilient urban infrastructure in small towns	Outcome	Number of trainees - sex disaggregated; Training materials	0	At least 15 female trainees have increased capacity to design climate resilient urban infrastructure in small towns	Satisfactory
Output 1.1.1 Training provided to district, provincial and national government staff on resilient infrastructure design. Female government staff must be represented	Output	Number of government staff trained, disaggregated by sex	0	40 government staff trained, 15 of whom are female.	Satisfactory
Outcome 1.2 - 60 government staff, at least 20 of whom are female, have capacity to develop climate resilient town master plans and two master plans approved, that support the development of resilient infrastructure, serving 57,144 people, 53.5% of whom are female.	Outcome	Number of trainees - sex disaggregated; Training materials; masterplans that contain specific activities, targets and objectives for women; Focus group Discussion documentation (photographs, attendance, etc)	0	60 government staff, at least 20 of whom are female, have capacity to develop climate resilient town master plans and two master plans approved, that support the development of resilient infrastructure, serving 57,144 people, 53.5% of whom are female.	Satisfactory
Outcome 1.2 60 government staff, at least 20 of whom are female, have capacity to	Output	No. of staff trained disaggregated by sex	0	60 staff, 20 of whom female, trained.	Satisfactory

develop climate resilient town master plans and two master plans approved, that support the development of resilient infrastructure, serving 57,144 people, 53.5% of whom are female.					
Output 1.3.1 Two master plans developed, using knowledge generated by the project, to both provide sustainable adaptation benefits to the infrastructure designed under this project and to enable the government to better plan for adaptation in other infrastructure, beyond that in the project area	Output	Developed adaptation plans	0	60 staff trained, 20 of whom female. 2 masterplans developed. The master plans will include specific provisions for the development and climate change resilience of women.	Satisfactory
Outcome 2 - 57,144 people, 53.5% of whom are female, who currently have inadequate water and/or protective infrastructure, have access to year-round, clean water and protective infrastructure despite current climate hazards and future changes in climate	Outcome	Focus group Discussion documentation (photographs, attendance, etc)	0	57,144 people, 53.5% of whom are female, have access to affordable, clean and climate-resilient water supply	Satisfactory
Outcome 3 - Project implementation	Outcome	Case studies; Other awareness-training materials	0	At least 100, including at least 35 women,	Satisfactory

is fully transparent. All stakeholders, including women, are informed of products and results and have access to these for replication.				government staff are aware of the project's activities and have improved knowledge and capacity to replicate its benefits	
Output 3.2 Climate policy – especially the National Adaptation Plan and post-Paris agreement reporting – influenced to reflect the challenges of climate change adaptation in basic service and protective infrastructure, including the provision of infrastructure in a way that benefits women	Output	Output 3.2 Climate policy – especially the National Adaptation Plan and post-Paris agreement reporting – influenced to reflect the challenges of climate change adaptation in basic service and protective infrastructure, including the provision of infrastructure in a way that benefits women	National Climate change related policies show some consideration of urban infrastructure adaptation	NAP and all post-Paris climate policy thoroughly reflects urban and basic service adaptation priorities	Satisfactory

## Section 2: Quality during implementation and at exit

List gender equality and women's empowerment issues encountered during implementation of the project/programme. For each gender equality and women's empowerment issue describe the progress that was made as well as the results.

Gender equality and women's empowerment issues	Rated result for the reporting period	Provide justification of the rating provided
Under Outcome 1.1, it is possible that the following possible gender-related risks occur: [Outcome 1.1] 40 government staff, at least 15 of whom female, have increased capacity to design climate resilient urban infrastructure in small towns. [Potential Risk] The number of female participants in the series of training will not reach the target. As a result, females will remain in the limited roles to enhance the institutional knowledge.	Good	15 participants out of 40 were female (37.5%). The national and sub-national governments were aware of the importance and value of women- empowerment for further development. IE also invited representatives of the Lao Women's Union to the consultation workshop which was designed as the preliminary step of technical training.
Under Outcome 1.2, it is possible that the following possible gender-related risks occur:	Satisfactory	20 participants out of 60 were female (33.3%). Considering the ratio of female staff in urban

[Outcome 1.2] 60 government staff, at least 20 of whom are female, have capacity to develop climate resilient town master plans and two master plans approved, that support the development of resilient infrastructure, serving 57,144 people, 53.5% of whom are female. [Potential Risk] The same risk of Outcome 1.1 was anticipated.		development, especially the expertise in engineering, tends to be smaller than male staff, reaching the minimum line should not be the best but satisfactory.
Under Outcome 2, it is possible that the following possible gender-related risks occur: [Outcome 2] 57,144 people, 53.5% of whom are female, who currently have inadequate water and/or protective infrastructure, have access to year-round, clean water and protective infrastructure despite current climate hazards and future changes in climate. [Potential Risk] Women will be excluded from the communication between EE and targeted communities. As a result, the water supply pipes will not be installed in their houses, especially the female-headed households.	Good	The Project Implement Unit (PIU) in each town certified the village chiefs of the targeted villages to identify and keep the records of the low-income households in their own villages. The prior aim of this process is to clarify the prioritised households to install the water supply pipes. This indirectly helps to avoid the discrimination of the female-headed households which tend to fail to the group of low-income households. Also, as the identification process were proceeded based on the provincial criteria of "low-income", it prevented ignoring women's voices just because it was women's voices.
Under Outcome 3, it is possible that the following possible gender-related risks occur: [Outcome 3] Project implementation is fully transparent. All stakeholders, including women, are informed of products and results and have access to these for replication. [Potential Risk] Women will be eliminated from public communication by denying access.	Good	The notification boards, written in both the local language and English, were located near the construction sites and open to public. EE and PIUs understand the necessity of verbal communication with the village chiefs and beneficiaries and put it into practice. PIUs and/or EE paid attention to not being male-dominant communication when they met the communities by collecting voices from the vulnerable people including women directly and/or indirectly.

### Section 3: Implementation arrangements

What arrangements have been put in place by the Implementing Entity during the reporting period to comply with the GP	Encouraging EE and government partners to promote female representatives and participants at events including discussions with communities and site visits. The events have been arranged with an emphasis on gender equality and women's empowerment.
Have the implementation arrangements at the IE been effective during the reporting period?	Yes
What arrangements have been put in place by each Executing Entity during the reporting period to comply with the GP?	The EE has ensured that women have greater involvement in decision making process, especially at the village level, and especially with regard to ESP compliance (see previos tab). Community level WATSAN committees will include at least 30% women representatives.
Have the implementation arrangements at the EE(s) been effective during the reporting period?	Yes
Have any capacity gaps affecting GP compliance been identified during the reporting period and if so, what remediation was implemented?	No

## Section 4: Grievances

Was a grievance mechanism established capable and known to stakeholders to accept grievances and complaints related to gender equality and women's empowerment?	Yes
Were grievances received during the reporting period?	No

List all grievances received through the grievance mechanism during the reporting period regarding gender-related matters of project/programme activities [6]	For each grievance, provide information on the grievance redress process used	Provide the status/outcome
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Comments

## Rating

### Implementing Entity

Project components/outcomes	Alignment with AF outcomes	Expected Progress	Progress to date	Rating
Outcome 2 57,144 people, 53.5% of whom are female, who currently have inadequate water and/or protective infrastructure, have access to year-round, clean water and protective infrastructure despite current climate hazards and future changes in climate	Outcome 4	Construction underway.	Ontrack	Marginally Satisfactory
Outcome 3 Project implementation is fully transparent. All stakeholders, including women, are informed of products and results and have access to these for replication.	Outcome 1	Rise awareness of the communities. Gain institutional knowledge by documentations.	Ontrack	Satisfactory
Outcome 1.1 40 government staff, at least 15 of whom female, have increased capacity to design climate resilient urban infrastructure in small towns	Outcome 2	(Complete before the reporting period.)	Completed	Satisfactory
Outcome 1.2 60 government staff, at least 20 of whom are female, have capacity to develop climate resilient town master plans and two master plans approved, that support the development of resilient infrastructure, serving 57,144 people, 53.5% of whom are female	Outcome 2	(Complete before the reporting period.)	Completed	Satisfactory

Please provide the Name and Contact information of the person(s) responsible for completing the Rating section

Name	Email
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Avi Sarkar	avi.sarkar@un.org
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**Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.**

The overall progress has still been behind the original schedule mainly because of COVID-19 restrictions, the delay in the 2nd and 3rd instalments of the fund during the previous reporting period (PPR3), and the local assembly's approval on the town master plan. Project component 2 made significant progress; the construction of riverbank protection infrastructure in Sayphouthong Town was completed by February 2024; and the one in Sethamouak Town was reached approximately 51% of completion and is expected to be completed by December 2024. Some delays were caused by the climate and/or materials' logistics. Those were reasonable to assure the safety in the construction site and the quality of infrastructure. Despite the challenging financial status, the project has made reasonable progress, and this is the reason for a satisfactory rate of progress.

### Executing Entity / Project Coordinator

Project components/outcomes	Alignment with AF outcomes	Expected Progress	Progress to date	Rating
Outcome 2 57,144 people, 53.5% of whom are female, who currently have inadequate water and/or protective infrastructure, have access to year-round, clean water and protective infrastructure despite current climate hazards and future changes in climate	Outcome 4	Construction underway.	Ontrack	Highly Satisfactory
Outcome 3 Project implementation is fully transparent. All stakeholders, including women, are informed of products and results and have access to these for replication.	Outcome 1	Rise awareness of the communities. Gain institutional knowledge by documentations.	Ontrack	Highly Satisfactory
Outcome 1.1 40 government staff, at least 15 of whom female, have increased capacity to design climate resilient urban infrastructure in small towns	Outcome 2	(Complete before the reporting period.)	Completed	Highly Satisfactory
Outcome 1.2 60 government staff, at least 20 of whom are female, have capacity to develop climate resilient town master plans and two master plans approved, that support the development of resilient infrastructure, serving 57,144 people, 53.5% of whom are female	Outcome 2	(Complete before the reporting period.)	Completed	Satisfactory

**Please provide the Name and Contact information of the person(s) responsible for completing the Rating section**

Name	Email	Institution
Viengkhek Hansana	hansana.vk01@gmail.com	NPSE Savannakhet

**Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.**

Overall progress is highly satisfactory. The one of the highlights during this reporting period was the progress of the construction of the physical work. Sayphouthong Town (Physical work cost USD3,200,000)

splitted in 3 sub-projects: i) Sub-project 1 “Construction of riverbank protection and water raw intake along Mekong River” with the contract amounts USD 325.281,84, commencement date July 2023 and completion date February 2024, 100% of the physical work was completed; ii) Sub-project 2 “Construction of the water treatment plan 3,600 m3/day capacity” with the contract amounts USD 1,551,835.72, commencement date December 2023 and completion date December 2024, 78.10% of the physical work was completed. Sethamouak Town (Physical work cost USD800,000) one sub-project: “Construction of the water treatment plan 1,200 m3/day capacity” with the contract amounts USD 770,839.84, commencement date December 2023 and completion date December 2024, as per report period 51.63% of the physical work was completed. Another highlight is the generation of knowledge products and outreach activities. With the support of UN-Habitat, the project information became reachable through UN-Habitat’s website in January 2024 (<https://unhabitat.la/projects/af2>). This is considered as an extra output under Component 3 which was not mentioned in the approved (original) project proposal. (very good) Despite the delay in the transfer of funds, the project team was able to make progress including the launch of the web page on UN-Habitat’s website. Thus, although this project has not fully recovered from the behind schedule, considering the achievements in this challenging situation, I am providing the overall rating to be highly satisfactory.

## Other

Project components/outcomes	Alignment with AF outcomes	Expected Progress	Progress to date	Rating
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Please provide the Name and Contact information of the person(s) responsible for completing the Rating section

Name	Email
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Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.

## Overall Rating

### Overall rating

Marginally Satisfactory

Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.

Despite the challenges in Finance, the official approval procedure, and a recovering from COVID-19 impact, the physical construction work made progress without major safety issues. The project visibility was increased by launching the project web page in English, which was not planned in the approved project proposal. Those factors contribute to the marginally satisfactory rating attained.

## Project Indicators

### List of indicators

Type of Indicator (indicators towards Objectives, Outcomes, etc...)	Indicator	Baseline	Progress Since Inception	Target for Project End
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Outcomes	Level of capacity at the subnational level increased	Capacity to autonomously plan adaptation projects at the sub-national level is limited	2 project documents have been developed and financially secured. Other 2 project documents are under development in collaboration with the government at national level.	5 New adaptation projects prepared by sub-national staff
Outputs	Number of government staff trained, disaggregated by sex	There is constrained capacity for government staff to plan for new resilient infrastructure	Three planned training have been provided.	40 government staff trained, 15 of whom are female
Outcomes	Comprehensive adaptation action plans in place for Sayphouthong and Sethamouak Towns	0	Two town-level master plans were accredited by the local assembly.	Sayphouthong and Sethamouak Towns have comprehensive adaptation action plans in place that consider infrastructure, as well as economic, social and environmental adaptation actions beyond the life of this project.
Outputs	No. of staff trained disaggregated by sex	There is very limited capacity at all levels to plan for climate change adaptation actions	Three planned training have been provided.	60 staff, 20 of whom female, trained
Outputs	Developed adaptation plans	0	Two town-level master plans were accredited by the local assembly.	60 staff trained, 20 of whom female. 2 masterplans developed. The master plans will include specific provisions for the development and climate change resilience of women.
Outcomes	The target population has access to clean, year-round water supply, which is able to withstand current and anticipated future climate extremes	0	Relevant activities are in progress	57,144 people, 53.5% of whom are female, have access to affordable, clean and climate-resilient water supply
Outputs	Physical	0	The activity is in	Once 2 town master

	infrastructures and connections in place		progress	plans are adopted by the Provincial assemble, two new resilient water infrastructures are expected to be constructed: (i) WTP 3,600m <sup>3</sup> /day with 48,200 people beneficiaries; (ii) WTP 1,200m <sup>3</sup> /day with 8,944 people beneficiaries with adaptation solution 24/7 water supply in response to climate change impact.
Outcomes	Level of awareness at the local and national level of climate change adaptation actions and potential for replication	Awareness of the need to take adaptation actions and the potential for replication remains very low aside from specialists in climate change adaptation	Ongoing	At least 100, including at least 35 women, government staff are aware of the project's activities and have improved knowledge and capacity to replicate its benefits
Outputs	No. of knowledge products generated by the project (knowledge products could be newspaper articles, published case studies and tools or guidelines)	0	6 knowledge products by Y4. [Y1-3] 6 technical guidelines. 1 TV news video. [Y4] 2 leaflets. 1 webpage within IE's website.	At least 20 knowledge products generated by the project by its end (see indicators column)
Outputs	NAP and post-Paris climate policies and reporting reflect urban adaptation and basic service provision priorities, and issues relating to women	National Climate change related policies show some consideration of urban infrastructure adaptation	Relevant activities are in progress	NAP and all post Paris climate policy thoroughly reflects urban and basic service adaptation priorities

## Comments

## Lessons Learned

Implementation and Adaptive Management		
Describe any changes undertaken to improve results on the ground or any changes made to project outputs (i.e.	Challenges & Opportunities	While AFB approved an extension of the project duration without extra cost, the

changes to project design)		project design remains unchanged.
Have the environmental and social safeguard measures that were taken been effective in avoiding unwanted negative impacts?	Opportunities	Yes, environmental and social safeguards have been effective in avoiding unwanted negative impacts.
How have gender considerations been taken into consideration during the reporting period? What have been the lessons learned as a consequence of inclusion of such considerations on project performance or impacts? List lessons learned specific to gender, detailing measures and project/programme-specific indicators highlighting the role of women as key actors in climate change adaptation.	Challenges & Opportunities	Gender considerations have been applied by encouraging EE to communicate with the direct beneficiaries in the targeted villages. A pre-survey of checking the existence of female-headed households in the village was effective. Engagement with Lao Women's Union is highly effective.
Were there any delays in implementation? If so, include any causes of delays. What measures have been taken to reduce delays?	Challenges	There have been delays in implementation. The causes are 1) the lockdown related to COVID-19, 2) the delay in the 2nd financial instalment from AFB to IE, and 3) the re-schedule of the local assembly which was the accreditation body of the town master plans. In terms of measures, the partners have been kept continuously kept informed.
What implementation issues/lessons, either positive or negative, affected progress?	Challenges & Opportunities	Gender considerations remained as a challenge. Lessons learned: To reach out to the female beneficiaries in the communities, using the institutional approach was effective. Just like we collaborated with the government and Lao Women's Union to invite the female staff to the workshops and trainings, EE coordinated with the village chiefs to check the existence of female-headed households, for example. The female-headed households are not the only target group for a topic of gender consideration. However, their understanding is crucial because they are the direct decision-makers at household level on whether or not they will pay for the water when the service starts.

## Has the project already reached mid term or project completion?(yes/no).

Yes

Climate Resilience Measures	
What have been the lessons learned, both positive and negative, in implementing climate adaptation measures that would be relevant to the design and implementation of future projects/programmes for enhanced resilience to climate change?	1. Remain flexible in project design to the extent possible to respond to emergencies like pandemics. 2. Consider incorporating contingency allowances for physical infrastructure. 3. Plan for higher disbursements from AF at the beginning of the project implementation to ensure that activities are not stalled due to want of funds.
What is the potential for the climate resilience measures undertaken by the project/programme to be replicated and scaled up both within and outside the project area?	The potential is high as it is noted that the Government has already adopted the UN-Habitat's method of climate risk and vulnerability analysis. Now the efforts are on to mainstream that throughout all the provinces of Laos.
Readiness Interventions (Applicable only to NIEs that received one or more readiness grants)	
What have been the lessons learned, both positive and negative, in accessing and implementing climate finance readiness support that would be relevant to the preparation, design and implementation of future concrete adaptation projects/programmes?	N/A
How have the outputs (such as manuals, guidelines, procedures or the experience from providing peer support, etc) from employing readiness grants been used to inform institutional capacity needs, gender issues, and environmental and social aspects in developing and implementing concrete projects/programmes for enhanced resilience to climate change?	N/A
Concrete Adaptation Interventions	
What have been the lessons learned, both positive and negative, in implementing concrete adaptation interventions that would be relevant to the design and implementation of future projects/programmes implementing concrete adaptation interventions?	In the realm of implementing concrete adaptation interventions, valuable lessons have emerged to guide future projects. Community engagement has emerged as a vital positive factor, underscoring the significance of involving local stakeholders right from the planning phase. Integrating their insights not only tailors interventions to local needs but also promotes ownership, thus bolstering effectiveness. This community engagement, informed by climate risk and vulnerability assessments, foster resilience in the long term. Collaborations across diverse stakeholders have brought expertise and resources together, enhancing the holistic impact of interventions. Equally important, successful capacity-building initiatives have empowered local partners to sustain and expand these adaptations beyond project timelines, ensuring a lasting legacy of resilience. The issue of inadequate long-term funding highlights the challenge of sustaining and building on adaptation projects. When adaptation initiatives heavily rely on

	<p>short-term funding, their overall effectiveness and continuity are jeopardized. Without a well-defined plan for securing funding beyond the initial project period, the potential larger benefits of these interventions may remain unrealized. Ensuring the resilience of communities and ecosystems requires a commitment to long-term funding strategies that can support the diversification, implementation and maintenance of adaptation measures well beyond the initial phases.</p>
<p>What is the potential for the concrete adaptation interventions undertaken by the project/programme to be replicated and scaled up both within and outside the project area?</p>	<p>The potential for replication and scaling up of the adaptation interventions is promising due to their alignment with local needs, adaptability to diverse contexts, and demonstrated successes. Strategic documentation, collaboration, and emphasis on the far-reaching benefits can collectively contribute to their wider adoption, ultimately enhancing resilience and sustainability on a broader scale.</p>
<b>Knowledge Management</b>	
<p>How has existing information/data/knowledge been used to inform project development and implementation? What kinds of information/data/knowledge were used?</p>	<p>Existing information, data, and knowledge have been integral to shaping project development and implementation. This has encompassed climate risk assessments, ecological insights, scientific research, socio-economic data, and experiential knowledge from local communities. Leveraging these diverse sources has enabled informed decision-making, tailoring interventions to community needs, and optimizing strategies based on past successes and challenges.</p>
<p>Has the existing information/data/knowledge been made available to relevant stakeholder? If so, what channels of dissemination have been used?</p>	<p>The existing information, data, and knowledge have been effectively disseminated to relevant stakeholders through various channels. Regular stakeholder consultations, workshops, and community meetings have facilitated direct engagement, enabling sharing of insights and findings. Additionally, reports, fact sheets, and informational materials have been produced to condense and communicate key information in an accessible manner. By leveraging these dissemination channels, the project has ensured that vital information reaches stakeholders comprehensively and on time.</p>
<p>Please list any knowledge products generated and include hyperlinks whenever possible (e.g. project videos, project stories, studies and technical reports, case studies, training manuals, handbooks, strategies and plans developed, etc.)</p>	<p>6 PDF and 1 video which was broadcasted on the local TV programme: Guideline on flood management using GIS ArcMAP (PTRI) .pdf, Guideline on management town mainstreaming with CC (PTRI) .pdf, Guideline on resilient infrastructure design (PTRI)_1.pdf, Guideline on town planning (PTRI) .pdf, Guideline on vulnerability assessment (PTRI) .pdf, Urban Planning Manual.pdf.</p>
<p>If learning objectives have been established, have they been met? Please describe.</p>	<p>At the activity level for outputs 1.1.1 and 1.2.1, the learning objective is to conduct training needs assessments through workshops, with the aim of creating knowledge products to raise awareness</p>

	among partners.
Describe any difficulties there have been in accessing or retrieving existing information (data or knowledge) that is relevant to the project. Please provide suggestions for improving access to the relevant data.	Project information and technical knowledge sharing and transfer primarily occur through workshops conducted from the Implementing Partner (IP) to the Implementing Entity (IE). Closer follow-up and communication with the IE would enhance access to relevant information.
Has the identification of learning objectives contributed to the outcomes of the project? In what ways have they contributed?	The workshops have been designed based on learning objectives identified through training needs assessment. This represents a significant contribution to the attainment of Outcome 1.1.
<b>Innovation</b>	
Describe any innovative practices or technologies that figured prominently in this project.	N/A
<b>Complementarity/ Coherence with other climate finance sources</b>	
Has the project been scaled-up from any other climate finance? Or has the project build upon any other climate finance initiative?	No
If you answered yes, kindly specify the name of the Fund/Organization.	

## Results Tracker

**Goal:** Assist developing-country Parties to the Kyoto Protocol and the Paris Agreement that are particularly vulnerable to the adverse effects of climate change in meeting the costs of concrete adaptation projects and programmes in order to implement climate-resilient measures.

**Impact:** Increased resiliency at the community, national, and regional levels to climate variability and change.

**Is this the mid-term or terminal project performance report?** Midterm

### Impact: Increased resiliency at the community, national, and regional levels to climate variability and change

<b>Core Indicator: No. of beneficiaries</b>				
		<b>Total</b>	<b>% of female beneficiaries</b>	<b>% of Youth beneficiaries</b>
Baseline information	Direct beneficiaries supported by the project	0	0	
Baseline information	Indirect beneficiaries supported by the project			
Baseline information	Total (direct + indirect beneficiaries)	0	0	
Target performance at completion	Direct beneficiaries supported by the project	57144	53.5	

Target performance at completion	Indirect beneficiaries supported by the project			
Target performance at completion	Total (direct + indirect beneficiaries)	57144	26.75	
Performance at mid-term	Direct beneficiaries supported by the project	63694	53	
Performance at mid-term	Indirect beneficiaries supported by the project			
Performance at mid-term	Total (direct + indirect beneficiaries)	63694	26.5	
Performance at completion	Direct beneficiaries supported by the project			
Performance at completion	Indirect beneficiaries supported by the project			
Performance at completion	Total (direct + indirect beneficiaries)	0	0	

## Outcome 1: Reduced exposure to climate-related hazards and threats

### Indicator 1: Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis

	Number of targeted stakeholders - Total	Number of targeted stakeholders - % of female targeted	Hazards information generated and disseminated	Overall effectiveness
Baseline information	0	0	Inland flooding	1: Ineffective
Target performance at completion	57144	53.5	Inland flooding	5: Very effective
Performance at mid-term	63694	53	Inland flooding	5: Very effective
Performance at completion				

### Output 1.1 Risk and vulnerability assessments conducted and updated

Indicator 1.1: No. of projects/programmes that conduct and update risk and vulnerability assessments

	No. of projects/programme that conduct and update risk and vulnerability assessments	Sector	Scale	Status
Baseline information	0	Multi-sector	Local	1: No plans conducted or



				updated
Target performance at completion	2	Multi-sector	Local	3: Risk and vulnerability assessments completed or updated
Performance at mid-term	2	Multi-sector	Local	3: Risk and vulnerability assessments completed or updated
Performance at completion				

## Output 1.2 Targeted population groups covered by adequate risk reduction systems

Core Indicator 1.2: No. of Early Warning Systems

	No. of adopted Early Warning Systems	Category targeted	Hazard	Geographical coverage	Number of municipalities
Baseline information					
Target performance at completion					
Performance at mid-term					
Performance at completion					

## Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses

Indicator 2: Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased

	Number of staff targeted - Total	Number of staff targeted - % of female targeted	Sector	Capacity level
Baseline information	0	0	Multi-sector	2: Low capacity
Target performance at completion	100	35	Multi-sector	4: High capacity
Performance at mid-term	100	35	Multi-sector	4: High capacity
Performance at completion				

## Output 2.1 Strengthened capacity of national and sub-national centres and networks to respond rapidly to extreme weather events

Indicator 2.1.1: No. of staff trained to respond to, and mitigate impacts of, climate-related events

	Total staff trained	% of female staff trained	Type
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Baseline information	0	0	Public
Target performance at completion	100	35	Public
Performance at mid-term	100	35	Public
Performance at completion			

Indicator 2.1.2: No. of targeted institutions with increased capacity to minimize exposure to climate variability risks

	Type	Scale	Sector	Capacity Level
Baseline information	Public	Local	Multi-sector	2: Low capacity
Target performance at completion	Public	Local	Multi-sector	4: High capacity
Performance at mid-term	Public	Local	Multi-sector	4: High capacity
Performance at completion				

## Output 2.2. Increased readiness and capacity of national and sub-national entities to directly access and program adaptation finance

Indicator 2.2.1: No. of targeted institutions benefitting from the direct access and enhanced direct access modality

	Number of beneficiaries	Scale	Sector	Capacity Level
Baseline information				
Target performance at completion				
Performance at mid-term				
Performance at completion				

## Outcome 3: Strengthened awareness and ownership of adaptation and climate risk reduction processes

Indicator 3.1: Increase in application of appropriate adaptation responses

	Percentage of targeted population applying adaptation measures	Sector
Baseline information		
Target performance at completion		
Performance at mid-term	0	
Performance at completion		

Output 3.1: Targeted population groups participating in adaptation and risk reduction awareness activities

Indicator 3.1.1: Percentage of targeted population awareness of predicted adverse impacts of climate change, and of appropriate responses

	No. of targeted beneficiaries	% of female participants targeted	Level of awareness
Baseline information			
Target performance at completion			
Performance at mid-term			
Performance at completion			

### **Output 3.2: Stenghtened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning**

Indicator 3.2.1: No. of technical committees/associations formed to ensure transfer of knowledge

	No. of technical committees/associations	% of women represented in committes/associations	Level of awareness
Baseline information			
Target performance at completion			
Performance at mid-term			
Performance at completion			

Indicator 3.2.2: No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders

	No. of tools and guidelines	Type	Scale
Baseline information			
Target performance at completion			
Performance at mid-term	0		
Performance at completion			

### **Outcome 4: Increased adaptive capacity within relevant development sector services and infrastructure assets**

Indicator 4.1: Increased responsiveness of development sector services to evolving needs from changing and variable climate

	Project/programme sector	Geographical scale	Response level
Baseline information			
Target performance at completion			

Performance at mid-term			
Performance at completion			

#### **Core Indicator 4.2: Assets produced, developed, improved or strengthened**

	<b>Sector</b>	<b>Targeted asset</b>	<b>Changes in asset (quantitative or qualitative)</b>
Baseline information	Water management	2: Physical asset (produced/improved/strengthened)	1: Not improved
Target performance at completion	Water management	2: Physical asset (produced/improved/strengthened)	5: Fully improved
Performance at mid-term	Water management	2: Physical asset (produced/improved/strengthened)	5: Fully improved
Performance at completion			

#### **Indicator 4.1.1: Vulnerable development sector services and infrastructure assets strengthened in response to climate change impacts, including variability**

Indicator 4.1.1: No. and type of development sector services to respond to new conditions resulting from climate variability and change

	<b>Number of services</b>	<b>Type</b>	<b>Sector</b>
Baseline information			
Target performance at completion			
Performance at mid-term			
Performance at completion			

### **Outcome 5: Increased ecosystem resilience in response to climate change and variability-induced stress**

#### **Indicator 5: Ecosystem services and natural resource assets maintained or improved under climate change and variability-induced stress**

	<b>Natural resource improvement level</b>	<b>Sector</b>	<b>Type</b>
Baseline information			
Target performance at completion			
Performance at mid-term			
Performance at completion			

#### **Output 5: Vulnerable ecosystem services and natural resource assets strengthened in response to climate change impacts, including variability**

Core Indicator 5.1: Natural Assets protected or rehabilitated

	<b>Natural asset or</b>	<b>Total number of</b>	<b>Unit</b>	<b>Effectiveness of</b>
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	Ecosystem (type)	natural assets or ecosystems protected/rehabilitated		protection/rehabilitation
Baseline information	Catchment area/Watershed/Aquifer	0		2: Partially effective
Target performance at completion	Catchment area/Watershed/Aquifer	2		4: Effective
Performance at mid-term	Catchment area/Watershed/Aquifer	2		4: Effective
Performance at completion				

## Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas

### Indicator 6.1: Increase in households and communities having more secure access to livelihood assets

	No. of targeted households	% of female headed households	Improvement level
Baseline information			
Target performance at completion			
Performance at mid-term			
Performance at completion			

### Indicator 6.2: Increase in targeted population's sustained climate-resilient alternative livelihoods

	No. of targeted households	% of female headed households	% increase in income level vis-à-vis baseline	Alternate Source
Baseline information				
Target performance at completion				
Performance at mid-term				
Performance at completion				

## Output 6 Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability

Indicator 6.1.1: No. and type of adaptation assets created or strengthened in support of individual or community livelihood strategies

	Number of Assets	Type of Assets	Sector	Adaptation strategy
Baseline information				
Target performance at completion				
Performance at mid-term				
Performance at				

completion				
Core Indicator 6.1.2: Increased income, or avoided decrease in income				
	Number of households (total number in the project area)	Income source	Income level (USD)	
Baseline information				
Target performance at completion				
Performance at mid-term				
Performance at completion				

## Outcome 7: Improved policies and regulations that promote and enforce resilience measures

### Indicator 7: Climate change priorities are integrated into national development strategy

	Integration level
Baseline information	2: Most not integrated
Target performance at completion	4: Most
Performance at mid-term	4: Most
Performance at completion	

### Output 7: Improved integration of climate-resilience strategies into country development plans

Indicator 7.1: No. of policies introduced or adjusted to address climate change risks

	No. of Policies introduced or adjusted	Sector	Scale	Type
Baseline information				
Target performance at completion				
Performance at mid- term				
Performance at completion				

### Indicator 7.2: No. of targeted development strategies with incorporated climate change priorities enforced

	No. of Development strategies	Regulation	Effectiveness
Baseline information	0	1: Not enforced (No elements implemented))	1: Ineffective
Target performance at completion	2	4: Enforced (Most elements implemented)	5: Very effective
Performance at mid-term	2	4: Enforced (Most elements implemented)	5: Very effective
Performance at completion			

## Outcome 8: Support the development and diffusion of innovative adaptation practices, tools and technologies

**Indicator 8: Innovative adaptation practices are rolled out, scaled up, encouraged and/or accelerated at regional, national and/or subnational level**

	Sector of innovative practice	Geographic Scale	Type
Baseline information			
Target performance at completion			
Performance at mid-term			
Performance at completion			

**Output 8: Viable innovations are rolled out, scaled up, encourages and/or accelerated**

**Indicator 8.1: No. of innovative adaptation practices, tools and technologies accelerated, scaled-up and/or replicated**

	No. of innovative practices/ tools technologies	Sector	Status	Effectiveness
Baseline information				
Target performance at completion				
Performance at mid-term				
Performance at completion				

**Indicator 8.2: No. of key findings on effective, efficient adaptation practices, products and technologies generated**

	No. of key findings generated	Type	Effectiveness
Baseline information			
Target performance at completion			
Performance at mid-term			
Performance at completion			