



2019 – Revised Template

Period covered: 1 July 2018 to 30 June 2019



1. Basic Project Data

General Information

Region:	Asia and Pacific
Country (ies):	Lao PDR
Project Title:	Climate Change Adaptation in Wetlands Areas (CAWA) in Lao PDR
FAO Project Symbol:	GCP/LAO/022/LDF
GEF ID:	5489
GEF Focal Area(s):	Climate Change Adaptation
Project Executing Partners:	Ministry of Natural Resources and Environment (MONRE) International Union for Nature Conservation (IUCN)
Project Duration:	5 years

Milestone Dates:

GEF CEO Endorsement Date:	23 October 2015
Project Implementation Start Date/EOD :	31 May 2016
Proposed Project Implementation End Date/NTE¹:	30 May 2021
Revised project implementation end date (if applicable) ²	N/A
Actual Implementation End Date³:	

Funding

GEF Grant Amount (USD):	4,717,579
Total Co-financing amount as included in GEF CEO Endorsement Request/ProDoc⁴:	15,367,380
Total GEF grant disbursement as of June 30, 2019 (USD m):	2,195,177
Total estimated co-financing materialized as of June 30, 2019⁵	8,770,000

¹ as per FPMIS

² In case of a project extension.

³ Actual date at which project implementation ends/closes operationally -- only for projects that have ended.

⁴ This is the total amount of co-financing as included in the CEO document/Project Document.

Review and Evaluation

Date of Most Recent Project Steering Committee:	28 December 2018
Mid-term Review or Evaluation Date planned (if applicable):	11 November 2019
Mid-term review/evaluation actual:	
Mid-term review or evaluation due in coming fiscal year (July 2019 – June 2020).	Yes
Terminal evaluation due in coming fiscal year (July 2019 – June 2020).	No
Terminal Evaluation Date Actual:	
Tracking tools/ Core indicators required⁶	Yes

Ratings

Overall rating of progress towards achieving objectives/ outcomes (cumulative):	MS	
Overall implementation progress rating:	MS	
Overall risk rating:	Low	

Status

Implementation Status (1st PIR, 2nd PIR, etc. Final PIR):	3 rd PIR
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⁵ Please see last section of this report where you are asked to provide updated co-financing estimates. Use the total from this Section and insert here.

⁶ Please note that the Tracking Tools are required at mid-term and closure for all GEF-4 and GEF-5 projects. Tracking tools are not mandatory for Medium Sized projects = < 2M USD at mid-term, but only at project completion. The new GEF-7 results indicators (core and sub-indicators) will be applied to all projects and programs approved on or after July 1, 2018. Also projects and programs approved from July 1, 2014 to June 30, 2018 (GEF-6) must apply core indicators and sub-indicators at mid-term and/or completion

Project Contacts

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1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
<p>Objectives:</p> <p>Environmental/Adaptation Objective: Reduce climate change vulnerability of the local communities and the fragile wetland ecosystems upon which they depend in the two Ramsar-designated wetlands in Lao PDR</p> <p>Project Development Objective: Lessons learned in the two wetlands regarding community-based vulnerability risk assessment and strategies for climate change adaptation, based on principles of EBA and sustainable use, will be replicated elsewhere in Lao PDR, the greater Mekong region and beyond</p>						
<p>Outcome 1: Improved understanding of CC impacts and risks, in XC and BKN wetlands</p>	<p>Outcome Indicator 1.1: Perceptions and understandings of CC impacts and risks resulting from training and from vulnerability assessments in PONRE, DONRE, PAFO and DAFO and communities around the target wetlands</p>	<p>Some limited awareness of CC vulnerability due to a) the CC and wetlands study in XC by the MRC, and in BKN due to Mekong Water Dialogues work and b) MRC CCAI work in Savannakhet, and c) PPG discussions</p>		<p>70% of members of PONRE, DONRE, PAFO and DAFO staff covering the target wetlands (28 out of 40) and 70% of members of community organizations (both men and women) in the target villages are aware of CC impacts and risks</p>	<p>May 2018 KAP survey results suggest 98% of staff members involved in the CAWA project stated that they are aware of Climate Change (CC) impacts and risks; 55% (weighted average) of villagers (49% of people in BKN and 55% of people in XC) are aware of CC impacts and risks. Alternative analysis may be conducted by of government agency (DEQP, PONRE, DONRE, PAFO, DAFO) and village community attendance to the following 8 CAWA CC risk and</p>	<p>MS</p>

⁷ This is taken from the approved results framework of the project. Please add cells when required in order to use one cell for each indicator and one rating for each indicator.

⁸ Some indicators may not identify mid-term targets at the design stage (refer to approved results framework) therefore this column should only be filled when relevant.

⁹ Use GEF Secretariat required six-point scale system: **Highly Satisfactory (HS)**, **Satisfactory (S)**, **Marginally Satisfactory (MS)**, **Marginally Unsatisfactory (MU)**, **Unsatisfactory (U)**, and **Highly Unsatisfactory (HU)**.

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
					<p>CCA awareness raising events: a) two VA team village assessments (XCP – 16 villages Aug. 2017 & BKN 8 villages, Sept, 2017; ~30 participants per village) at least 720 persons – 50% women; b) two VA validation workshops (XC & BKN Apr. 2018), unlisted number of attendants; and c) four CCA planning workshops (XC May & Oct. 2018; BKN Aug. & Oct. 2018) – total 217 participants govt. agency & community. DEQP MONRE plus, PONRE, DONRE, PAFO & DAFO staff in Savannakhet and Champasak provinces were involved in above 8 events. Number participants & gender can be given - but not % of total staff of each organization as this figure is unknown. Similarly, estimated number of community participants from 8 and 16 target villages in XC & BKN Ramsar sites are given above (~ 50 % women reported). Yet the % of total village populations is not given. The target villages are represented 50% or less of the 40 and 16 villages in the actual XC and BKN wetland landscapes.</p>	

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
Outcome 2: Efficient and cost-effective adaptation measures in place to reduce the impact of CC and natural disasters on wetlands eco-systems and local livelihoods	Outcome indicator 2.1: Numbers of families, in the 20 villages within the current Ramsar site boundaries, involved in adaptive agricultural practices, systems and infrastructure (e.g. climate smart agriculture, improved cropland management, dry and wet season rice cultivation, livestock production, aquaculture)	160 families apply two or more of these practices		1,280 families (total 8,400 family members) apply two or more of these practices	Around 310 families apply one or more adaptive agricultural practices, systems or infrastructure. The focus on climate change adaptation with a strong emphasis on flood or drought adaptation appears to have been missing in many interventions. This will need to be improved in upcoming new LoA. This Outcome indicator and its target are under revision for clarification and adjustment. It is also suggested to shift of focus to the wetland boundaries, as this is an adaptation project, not a Ramsar conservation project. Further surveys will be undertaken to precisely inform this indicator prior to the midterm review.	MS
	Outcome indicator 2.2: Number of families in the 20 villages of Ramsar site boundaries acquiring at least one additional livelihood support option as a CC fall-back option	50% of vulnerable people surveyed have no reliable fall-back livelihood support option if their main option fails due to climate change		800 families (5,250 family members) have received with equal benefits for men and women	Around 56 families will benefit from 5 ecotourism site developments (Tetraktys) in XC. Unknown number of families will benefit from NTFP and wetland product value adding / value chain development for minimum 16 villages (IUCN) in XC. Unknown number of families will benefit from agro-forest, bamboo	MS

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
					<p>and fruit tree establishment as part of XC forest restoration program (IUCN) in minimum 10 villages in XC.</p> <p>Unknown number of families are benefitting from the 8 existing fish conservation zones (FCZ) in BKN and XC, or from the planned 8 to 10 FCZ scheduled for development in XC and BKN.</p>	
	<p>Outcome indicator 2.3: Numbers of families in 40 other villages within the proposed expanded Ramsar site boundaries with improved and more sustainable access to wetland products and services</p>	Baseline to be established in year 1		6400 families with total of 42,000 family members, with equal benefits for men and women	There has been no progress or agreed plans over the reporting period, or 2016 – 2019 total project period, to expand project activities away from the 16 and 8 existing XC and BKN Ramsar site villages, to the estimate 40 and 8 additional XC and BKN villages within the total wetland landscape.	U
	<p>Outcome indicator 2.4: Area of target wetlands under effective management and protection to promote resilience and the flow of ecosystem services</p>	Baseline values to be determined in project year 1		Indices of management effectiveness are maintained at least at baseline levels over the entire area of the target wetlands (around 47,360 ha)	<p>The current index used for the Management Effectiveness Assessment score (data sheet 4) is the Ramsar-Management Effectiveness Tracking Tool (R-METT) where project recorded values are:</p> <ul style="list-style-type: none"> • BKN (May 2018) 50/108 (47%); • XC (June 2019) 47/108 (43.5%). <p>Problem exists that no R-METT assessment was conducted in</p>	U

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level		Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
						<p>project year 1 on both sites, thus no baseline values were determined.</p> <p>More serious problem is that the R-METT system is focused on Ramsar site management, and does not provide focus on resilience or flow of ecosystem services from the total wetland landscape. The R-METT management effectiveness score cannot be considered an adequate proxy for this <u>Outcome indicator 2.4</u>. Further evaluation is needed to develop a specific indices of management effectiveness might be required to measure this outcome.</p>	
	<p>Outcome indicator 2.5: Area of wetland habitats in XC and BKN under improved forms of direct management to address CC-induced risks</p>	Practices	ha		ha	ha	U
		Improved management of forests to increase resilience to effects of CC (floods, erosion etc.)	0		200	<p style="text-align: center;">240</p> <p>Identified priority reforestation areas in 16 Ramsar villages in XC - over-emphasis on riparian forests – implementation not yet started</p> <p>New focus under design to include greater emphasis on flooded forest and key wetland habitats across the total wetland landscape of XC and BKN</p>	

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level		Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
		Invasive species management	0		200	<p style="text-align: center;">7.5</p> <p>Figure includes both Mimosa (invasive shrub) and water hyacinth (invasive water weed) control.</p> <p>Continued effort is needed to draw conclusions from current action research on mimosa control, and apply best-practice controls over a much-expanded implementation area.</p>	
		Water flow improved due to wetland re-opening	0		20	<p style="text-align: center;">7.5</p> <p>Program needs significant expansion across total XC and BKN wetlands, with focus upon floating water weed removal.</p> <p>Indicator requires rewording to emphasis that water flow is not the target but improved aquatic habitat</p>	
		Protection of habitats and nesting sites (e.g. lakes for crocodiles, forest patches for bird nesting)	2,550		600	<p style="text-align: center;">1,657</p> <p>Identified conservation areas – implementation ongoing. Yet establishment of well demarcated, sign-boarded and community agreed preservation sites is still pending</p>	
		Controlled burning	0		200	<p style="text-align: center;">N/A</p> <p>Recommended for removal due to probable negative impact on wetland habitat, soils, catchment condition and wildlife. Natural</p>	

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
					habitats are already under enough pressure – burning will increase the pressure.	
<p>Outcome 3: Efficient and cost-effective CC adaptation and disaster management measures in wetlands integrated and budgeted in local and national planning processes</p>	<p>Outcome Indicator 3.1: Number of local, regional and national level plans that incorporate CC vulnerability assessments, CCA measures and analyses (and mitigation measures as needed) of impacts on wetlands, with corresponding budget allocation</p>	<p>No local plans provide for application of CC/DRM assessment approaches</p> <p>At least 1 national plan provides for application of CC/DRM assessment approaches</p>		<ul style="list-style-type: none"> - All projects and plans developed by PONRE/DONRE and PAFO/DAFO that directly affect the target wetlands - At least 50% of all other provincial and district plans and projects in the target provinces and districts - BKN Ramsar site management plan - Water allocation and abstraction management plans/rules at district level in the target districts - At least 5 national plans related to natural resources management and agriculture¹⁰ 	<p>- Development of Strategy for Management of Ramsar wetlands in Lao PDR and National Guideline on Management of Ramsar wetlands is planned for preparation by National Ramsar Secretariat of MONRE, DEQP with CAWA support. Will provide opportunity for inclusion of CAWA field lessons on CC VA, CCA and DRM with focus on wetland flood and drought adaptation or avoidance. This work has not yet commenced but is planned for <insert month>.</p> <p>- Beung Kiat Ngong Ramsar Site Management Plan 2019-2023 (under finalization - MRWP) and Xe Champhone Ramsar Site Management Plan (under preparation - CAWA) both require re-design and analysis to ensure adequate attention to CCA and DRM. Currently plans lack focus on total wetland landscape, and focus ecosystem, wildlife and community livelihood</p>	U

¹⁰ Including the 15-year MONRE Action Plan, the NAPA, the CC Sub-sector working group strategy and the National Strategy on Environment and Climate Change Education and Awareness

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
				provide application of CC/DRM assessment approaches.	issue, minus adequate attention to catchment function, hydrology disturbance, preservation of flood patterns or enhanced groundwater aquifer recharge. All aspects which need attention to preserve wetland function and address flood and drought. - Integrated Spatial Plan of Champhone District (under finalization - DEQP, MONRE) requires further support to map and preserve wetland habitats, and weave flood and drought avoidance strategies into the land use planning process	
	Outcome indicator 3.2: Number of institutions adopting tools for participatory CCA and DRM planning and M&E in wetlands	None		- Participatory CCA and DRM planning and M&E is used in 2 other districts within the province, and for 2 other wetlands nationally - DONRE and DAFOs in four districts	According to the KAP survey report, '52% of [project] staff interviewed said that their institutions adopted and used the tools for participatory CCA and DM planning and M&E in wetlands'. This indicator will be updated after further trainings on application of related tools. Evidence is yet to be seen in the VDRA, land use and wetland management planning process, that flood and drought avoidance strategies (or measures to preserve wetland and hydraulic function – flood retention and aquifer recharge) as the basis of CCA and DRM.	U

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
	<p>Outcome indicator 3.3: Perceptions of effectiveness of institutional coordination at national level in support of CCA</p>	<p>TBD through baseline evaluation of perceptions</p>		<p>70% of members of the institutions targeted for improved institutional coordination have favorable perceptions of the effectiveness of this coordination</p>	<p>Project focus during the report period did not support a strong national linkage on this topic.</p> <p>Project national and provincial (PSC / PPC) meetings were held (Dec. 2018) – yet with focus on project progress. National-level workshops were attended on ‘Enhancing the Climate Investment Plans’ (ADB, Sept. 2018, Vientiane) and ‘Cambodia - Lao PDR on Water Resources Development and Management (MRC, Nov. 2018. Pakse). Yet with no direct linkage to CCA and DRM in wetlands.</p> <p>No national-level Ramsar Steering Committee meetings; CAWA facilitated Lao Wetlands Group; MONRE and UNDP Sub Sector Working Group Meeting on Disasters, Climate Change and Environment were held in which CCA and DRM in wetlands could be discussed.</p> <p>CAWA work plan and budget revision has been conducted to provide a stronger CAWA national-level program focus to address above shortcomings. CAWA support is planned for MONRE Ramsar National</p>	<p>U</p>

1. Progress towards achieving project objectives and outcomes (cumulative)

Project objective and Outcomes	Description of indicator(s) ⁷	Baseline level	Mid-term target ⁸	End-of-project target	Level at 30 June 2019	Progress rating ⁹
					Secretariat, inclusive of support for National Ramsar Steering Committee meetings, and development of draft national strategy and management guidelines for wetlands in Lao PDR. This should provide opportunity for CAWA CCA and DRM outputs to support progress on Outcome 3.3.	

Action plan to address MS, MU, U and HU rating ¹¹

Outcome	Action(s) to be taken	By whom?	By when?
<p>Outcome 1: Improved understanding of CC impacts and risks, in XC and BKN wetlands</p>	<p>Update risk assessment defined from VDRA, R-METT and strategic studies (Output 1.1, 1.4 & 2.1).</p> <p>Improve understanding of link between current risk, CCA and DRM approach, and wetland and livelihood management (Output 1.2).</p>	<p>LTO, CTA and Task Force</p> <p>CTA and CAWA – SAMIS – IUCN - DEQP Task Force</p>	<p>September 2019</p> <p>October 2019</p>
<p>Outcome 2: Efficient and cost-effective adaptation measures in place to reduce the impact of CC and natural disasters on wetlands ecosystems and local livelihoods</p>	<p>Review current adaptation measures to confirm CCA and DRM linkage to current risk (Outputs 2.1, 2.2, 2.3, 2.4 and 2.5).</p>	<p>LTO, CTA and Task Force</p>	<p>October 2019</p>
<p>Outcome 3: Efficient and cost-effective CC adaptation and disaster management measures in wetlands integrated and budgeted in local and national planning processes</p>	<p>Ensure CAWA field-level lessons on CCA and DRM for wetlands and community livelihoods inform Provincial and National steering committees (Ramsar and DRM), and are represented in National Ramsar strategy and guideline documents.</p>	<p>LTO, CTA and CAWA – DEQP National Ramsar Secretariat support team</p>	<p>December 2019</p>
<p>Outcome 4: System developed and implemented for monitoring, systematization and dissemination of results and lessons learned</p>	<p>Recognise Component 4 is missing from past PIR and PPR, and ensure Project M&E, Knowledge Management systems and communications products will provide improved visibility of project effectiveness and activities.</p>	<p>LTO, CTA and Task Force</p>	<p>October 2019</p>

¹¹ To be completed by Budget Holder and the Lead Technical Officer

2. Progress in Generating Project Outputs

Outputs ¹²	Expected completion date ¹³	Achievements at each PIR ¹⁴					Implement. status (cumulative)	Comments. Describe any variance ¹⁵ or any challenge in delivering outputs
		1 st PIR	2 nd PIR	3 rd PIR	4 th PIR	5 th PIR		
Output Indicator 1.1.1. State of development and use of pilot methodological tool for participatory CC VDRA in wetlands	Q1 Y4	During Y1, a review was carried out of Vulnerability Assessment (VA) methodologies and existing baseline surveys conducted by the MRC, IUCN and FAO. Primary VA tools developed, tested and translated into Lao language for initial validation in April 2017. Progressive validation of VA tools will be	A Climate Change (CC) Vulnerability Assessment (VA) tool and process (guide notes) have been developed, tested, revised and validated for use in the CAWA project. Largely completed but following application of VA results/CCA priorities it will be determined if any further adjustments to the tool are	Completed. In May 2018 the section for climate change adaptation (CCA) planning was updated by IUCN and incorporated into the VA guidelines document, i.e. Chapter 8 – Adaptation Planning - of 'Guidance notes for rapid climate change vulnerability and disaster risk assessment for the CAWA and Mekong WET Projects' - DRAFT V.0.7 and subsequently translated into Lao language. In July 2018, the full VA process (following implementation in all Mekong countries) was reviewed by IUCN prior to the regional IBRRI meeting with contributions from IUCN Laos, no additional changes were made and is considered the final review/validation of the VA tool.			95%	VDRA needs to be reviewed and updated in 2019 by CAWA and DEQP.

¹² Outputs as described in the project logframe or in any updated project revision. In case of project revision resulted from a mid-term review please modify the output accordingly or leave the cells in blank and add the new outputs in the table explaining the variance in the comments section.

¹³ As per latest work plan (latest project revision); for example: Quarter 1, Year 3 (Q1 y3)

¹⁴ Please use the same unity of measures of the project indicators, as much as possible. Please be extremely synthetic (max one or two short sentence with main achievements)

¹⁵ Variance refers to the difference between the expected and actual progress at the time of reporting.

		continued until Y3.	required for future implementation (completed end of LoA2 with IUCN).VA guide notes and tools are available in both Lao and English languages.					
Output Indicator 1.2.1. Numbers of stakeholders trained in participatory CC vulnerability and DRM management (CCA Outcome 2.1 Indicator 5)	Q2 Y5	Review of CBNA was done in PY1 by IUCN. The processes of pre-selection and baseline assessment of candidates were rapidly done through the discussion with DEQP, IUCN and FAO during late of PY1. The initial training on climate change and climate vulnerability concepts, and the use of VA tools as structuring element of capacity building program have been conducted on 20-21 June 2017 for 25	Climate Change Adaptation (CCA) planning workshop in XC involved 18 government staff at provincial and district level and 15 villagers in May 2018. The same workshop initially planned for the 31 May – 1 June 2018 in BKN, is postponed due to unavailability of provincial counterparts. Based on the outcomes of the CCA planning workshop in both sites, more sessions on CCA/NRM will be delivered according to the	As of now, trainings conducted include: Climate Change at local level - CC VA training for government staff - Awareness sessions on 'CC and vulnerability' for communities - CCA planning workshop for government staff and village heads - CCA planning workshop for communities Wetlands management and Ramsar implementation - Wetland management training for community and government site managers Information storage, analysis and dissemination - GIS training 1 - GIS training 2 Total : ● 30 provincial staff ● 22 district staff ● 540 villagers			70%	The end-of-project targets for government staff seem to be initially overestimated (60 staff for both provinces and 60 for three districts) given that PONRE, PAFO, DONRE and DAFO have each only 5-6 technical staff maximum (not including project committee members) who are <u>working directly with</u> CAWA project and receiving related trainings. New targets proposed (project logframe

		participants from local government at provincial and district level including local academic institutions.	needs in Y3.					revision): Total: <ul style="list-style-type: none"> • 30 provincial staff • 30 district staff
Output Indicator 1.3.1. Numbers of participatory VDRA's carried out ¹⁶ in wetland communities, addressing aspects of wetlands, wetland based livelihoods and gender	Q1 Y3	Participatory planning of vulnerability assessment on a community-by-community basis was not carried out in Y1. Instead, the participatory VA planning with communities and VA will be conducted at the same time during Y2; where the progressive validation of VA tools will be continued until Y3.	Completed. The Vulnerability assessments were conducted for 16 villages in XCP in August 2017 and for 8 villages in BKN in September 2017 with total 540 villagers (equal number of men and women) across two sites. Then a CC Vulnerability Assessment (VA) report was drafted for each site. The VA results were validated through workshops at village level for both sites in April 2018, with total 147 villagers (including 58 women) across	Completed.			100%	

¹⁶ By District Implementation Teams (DONRE, DAFO, communities) with technical and facilitation support from Provincial Project Units

			the two sites. The VA reports of XC and BKN are finalized and available in May 2018.				
Output Indicator 1.4.1. Number of studies generated ¹⁷ on CC-related issues affecting the target wetlands, including analysis of gender dimensions	Q1 Y5	1. <i>Invasive plants in Xe Champhone Ramsar Site, Savannakhet Province, Lao PDR</i> by CAWA Project team, December 2016 (English & Lao); 2. <i>Gender Report - Xe Champhone Ramsar Site, Lao PDR</i> by IUCN, January 2017 (English & Lao); 3. <i>Fisheries Survey Report in Xe Champhone Ramsar Site, Savannakhet Province, Lao PDR</i> by CAWA Project team, February 2017 (English); 4. <i>Institutional Mechanisms for Wetlands Governance in</i>	1. <i>Hydrological assessment of the Xe Champhone and Beung Kiat Ngong wetlands</i> by IWMI, September 2017 (English & Lao); 2. <i>Identification of spatial priorities for the re-opening of wetlands to maintain the water flow required for ecological functioning, biological connectivity and habitat maintenance</i> by IUCN, December 2017 (English); 3. <i>Ecotouristic development of Xe Champhone – touristic diagnosis</i> by Tetraktys, May 2018 (English);	1. <i>Assessment of human-wildlife conflict issues, ecotourism and management implications for the Rhesus macaque population of the Monkey Forest, Champhone, Savannakhet Province, Lao PDR</i> by IUCN, October 2018 (English); 2. <i>Assessment of the distribution, status and conservation priorities of freshwater turtles from Xe Champhone and Beung Kiat Ngong Ramsar sites, Lao PDR</i> by IUCN, December 2018 (English); 3. <i>Developing priorities for landscape restoration to support improved Xe Champhone Wetland and Watershed Management in Champhone District, Savannakhet Province, Lao PDR</i> by IUCN, December 2018 (English).		100%	Cumulative number of studies (11) has exceeded the indicative list of 9 reports available on the key topics. However additional studies will need to be conducted to inform strategic project CCA and DRM actions (cf. latest workplan).

¹⁷ With support from external consultants hired by the project, working in collaboration with national and regional institutions

		<i>the Lao PDR in the Context of the Ramsar Convention for CAWA</i> by Dr. Rita Gebert, April 2017 (English).	<i>4. Key income sources of households in Xe Champhone wetlands</i> by Dr. Lilao Bouapao, June 2018 (English & Lao).				
Output Indicator 2.1.1. Numbers of plans that incorporate CCA considerations	Q3 Y5	Progress to be made from Y2 onwards.	The Integrated Spatial Planning (ISP) approach is under implementation for XC wetlands by DEQP. An ISP training workshop was conducted in May 2018 in Champhone.	<ul style="list-style-type: none"> - Integrated Spatial Plan of Champhone District (under finalization - DEQP, MONRE); - Beung Kiat Ngong Ramsar Site Management Plan 2019-2023 (under update and finalization - MRWP); - Xe Champhone Ramsar Site Management Plan (under preparation - CAWA); 			30%
Output Indicator 2.1.2. Frequency of meeting of coordination mechanisms that embrace CCA in target wetlands and buffer zones	Q4 Y5	<ol style="list-style-type: none"> 1. Ramsar National and Provincial Committees' members meeting for the presentation of findings from the assessment of the institutional mechanisms for wetlands governance in Lao PDR, in Vientiane (21 Mar 2017); 2. CAWA Project Steering Committee (PSC) 	<ol style="list-style-type: none"> 2. CAWA Provincial Project Committee (PPC) meeting in Savannakhet (16 Oct 2017). 	<ol style="list-style-type: none"> 1. Ramsar Provincial Steering Committee meeting in Champasak (29 Oct 2018); 2. Ramsar Provincial Steering Committee meeting in Savannakhet (31 Oct 2018); 3. Ramsar National Secretariat meeting in Vientiane (16 Nov 2018); 4. CAWA PPC meeting in Champasak (18 Dec 2018); 5. CAWA PPC meeting in Savannakhet (20 Dec 2018); 6. CAWA PSC meeting in Vientiane (28 Dec 2018). 			30%

		meeting in Vientiane (16 May 2017);						
Output indicator 2.2.1: Capacities of user and governance groups	Q4 Y5	Participatory analyses regarding governance needs and capacities were not done in second half of Y1, and a capacity development plan has not yet been formulated. However, the review of CBNA led by IUCN conducted in Y1 would form a foundation of the participatory analyses.	Increase in capacities to be assessed in midterm review, namely on fishery management groups.	The KAP survey report by consultant does not specifically inform this indicator, i.e. non conclusive (cf. KAP survey report). Periodic follow up and assessment of capacities will be undertaken by the project team to inform this indicator.			25%	
Output Indicator 2.2.2: Number of villages in wetland and buffer areas covered by effective governance groups and water user groups	Q4 Y5	Progress to be made from Y2 onward.	Ongoing establishment of FCZs and Fisheries Committees in total 8 villages across both sites: -Agreement drafted in 4 villages (Phapho, Nongmak Ek, Phommaleu, Phakkha) in BKN; -Agreement approved in 3	As of now in both sites: <ul style="list-style-type: none"> Water Management Committees established in 10 villages; Fisheries Committees established in 10 villages. Total 18 villages with at least one of these committees established.			30%	Delays in sub-activity 'water use management plan at village level' implementation under DEQP LoA2, which will be undertaken in 2019.

			(Taleo, Nonsithan, Phaleng) and drafted in 1 village (Kadan) in XC.				
Output Indicator 2.3.1: numbers of families (male and female led) benefiting from one or more forms of direct investment in CCA	Q3 Y5	Direct investment in CCA strategies will mainly be carried out between Y3 and Y5.	As of now, direct investments in CCA are focused on physical reopening of wetlands and management/elimination of invasive species in total 4 villages (Kengkokdong, Hoamoung, Kadan, Tansoum) in XC. Total 875 families from these 4 villages benefit from direct investment in CCA.	As of now, direct investments in CCA include: <ul style="list-style-type: none"> - Physical re-opening of critical wetlands and management/elimination of invasive species in 4 villages; - Protection of habitats and nesting sites (FCZs) in 10 villages. Total 5,721 families from 11 target villages benefit from direct investments in CCA.			60%
Output Indicator 2.3.2: number of villages with value-adding facilities for NTFPs established, benefiting men and women	Q1 Y5	Progress to be made from Y2 onward.	Progress to be made in midterm review.	Program on value adding to wetland resources and NTFPs in Xe Champhone to support adaptation through alternative livelihood development and promotion of sustainable NRM, is currently under planning phase (IUCN LoA3) starting with research and preparation for consultation with the local communities.			10%

Output Indicator 2.3.3: number of villages with visitor facilities for ecotourism established benefiting men and women	Q3 Y4	Progress to be made from Y2 onward.	According to the touristic diagnosis of Xe Champhone by Tetraktys, two villages have visitor facilities (guesthouses, homestays): Kengkokdong and Dongmuang.	8 villages are concerned by direct investments in visitor facilities in the 5 targeted touristic sites in Xe Champhone, and is currently under implementation (under Tetraktys LoA2 and Service Agreements with those villages).			30%	
Output Indicator 2.3.4: number of semi-natural reservoirs established benefiting men and women	Q2 Y5	Progress to be made from Y2 onward.	Progress to be made in midterm review.	Feasibility, design and planning for repair of existing weir at Nong Dern lake Xe Champhone near complete (Feb – Jun, 2019 CAWA – DONRE – PONRE review). Feasibility of CAWA input on small weir construction (2 units), and ESS supervision for large weir construction, in Beung Kiat Ngong conducted over Feb – May, 2019 (CAWA – PONRE – IUCN – MWRP review).			20%	
Output Indicator 2.3.5: Area of riparian forest replanted (ha)	Q2 Y5	Progress to be made from Y2 onward.	Progress to be made not until end of IUCN LoA2 or into LoA3 as dependent on all activities/outputs implemented after this period.	The ‘restoration’ study by IUCN in December 2018 identified 6 priority areas (in 4 zones) and a preliminary selection of 293 ha across the site for restoration with community consultation to validate and agree on priority areas. A redefined priority area of 240 ha was calculated that includes only villages of the 16 working with the CAWA project. Implementation starting and ongoing.			10%	Proposed to broaden area to include not only ‘riparian’, but also ‘flooded’ forests (project logframe revision).
Output Indicator 2.4.1: Number of men and women with increased	Q4 Y5	Progress to be made from Y2 onward.	Progress made in 2018 after the commencement of CD program. There will be an assessment of knowledge and	According to the KAP survey report by the consultant: ‘Only 4% of people interviewed in XC and 25% in BKN Ramsar sites stated that they applied knowledge learned from CAWA project into practice’. But these findings are based on a sample of the population size of the target villages of			20%	Output indicator 2.4.1 proposed to be adjusted ‘Number of men and women trained [...]’ (project

knowledge and awareness to apply CC-resilient wetlands management, CC-resilient agricultural practices and/or non-agricultural livelihood support options			awareness to apply CC-resilient strategies of target population at the midterm review.	CAWA project, thus showing a modest percentage against the original indicator target of '50% of men and women's population in project target area', which does not reflect the project focus on communities' "champions" whose role is to apply and share knowledge and information received from project trainings with their community members, in line with the 'peer-to-peer' approach to knowledge transfer.			logframe revision). The project team will subsequently conduct periodic follow up and assessment, and inform the indicator prior to the mid-term review.
Output Indicator 2.5.1: Effectiveness of early warning systems in 20 target villages, as measured by promptness of receipt of, and effectiveness of response to, early warning messages	Q3 Y5	Progress to be made from Y2 onward.	In 2018, DEQP in cooperation with PONRE and DONRE in both provinces will assess the functioning of existing early warning systems, and propose early recovery measures and system for CAWA project.	CAWA and SAMIS project teams increased coordination to improve the effectiveness of the early warning systems in the target villages of Champhone. Subsequently, joint data collection will be undertaken to inform this indicator by year 5.		30%	Output Indicator 2.5.1 proposed to be disaggregated into 2 output indicators (project logframe revision): 2.5.1: Effectiveness of early warning systems in 20 target villages, as measured by promptness of receipt of early warning messages; 2.5.2: Effectiveness of response to early warning messages.
Output Indicator 3.1.1: Numbers of methodological	Q3 Y5	Progress to be made from Y3 onward.	N/A – until midterm review.	The 'Guidance notes for rapid climate change vulnerability and disaster risk assessment for the CAWA and Mekong WET projects' (V.0.7_updated Aug 2018) -		20%	New Output Indicator 3.1.2 proposed to be added (project

guidelines used in planning instruments at different levels				developed under Output 1.1 - will be used to integrate CCA and DRM into the Xe Champhone Ramsar Site Management Plan, but also for other future plans at national and local levels (planned activities in Y4-5).				logframe revision): 3.1.2: Number of plans at different levels adopting/incorporating methodological guidelines.
Output Indicator 3.2.1: Numbers of stakeholders effectively trained in participatory adaptation and DRM planning and M & E	Q4 Y5	Participatory analyses of priority strategies and needs for learning/capacity strengthening were not carried out in Y1; instead the implementation of these analyses will be carried over to Y2.	CCA planning workshop in May 2018 in XC, with total 46 attendees, included stakeholders from province (PONRE, PAFO: 8), district (DONRE, DAFO: 7) and villages (15). CCA planning workshop in BKN initially planned for May 2018 was postponed due to unavailability of government counterparts. More trainings will be conducted from Y3 onward.	As of now, trainings conducted include: CCA Planning - CCA planning workshop for government staff and village heads - CCA planning workshop for communities Total: <ul style="list-style-type: none"> • 18 provincial staff • 16 district staff • 136 Villagers Additional trainings on how to apply the tools for the planning of CCA and DRM and how to develop and implement corresponding M&E protocols will be conducted after development and finalization of the methodological guidelines proposed under Output 3.1.			50%	

<p>Output Indicator 3.3.1: Existence and frequency of meeting of coordination mechanisms for CC resilience in wetlands</p>	<p>Q3 Y5</p>	<p>It is planned that coordination mechanisms will be reviewed and prioritized for the coordination support in Y2. However, assessment of Ramsar institutional functionality at national and sub-national levels carried out in March 2017; report is available in English, summary available in Lao.</p>	<p>The Ramsar National Focal Points (NFPs) were reorganized, with a new NFP, a new Communication, Capacity development, Education, Participation and Awareness (CEPA) Focal Point, and a new Scientific and Technical Review Panel (STRP) Focal Point. CAWA participated in The Sub Sector Working Group Meeting on Disasters, Climate Change and Environment, organized by MONRE and UNDP in April 2018.</p>	<p>Revision of members of the following wetlands management committees (agreements pending Minister of Natural Resources and Environment's signature):</p> <ul style="list-style-type: none"> - Ramsar National Committee - Ramsar National Secretariat - Ramsar National Focal Points 		<p>30%</p>	<p>Output Indicator 3.3.1 proposed to be disaggregated into 3 output indicators (project logframe revision): 3.3.1: Existence of coordination mechanisms for CC resilience in wetlands; 3.3.2: Frequency of meeting of coordination mechanisms for CC resilience in wetlands; 3.3.3: Perceptions of effectiveness of mechanisms for intersectoral coordinating CC resilience in wetlands at national level.</p>
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NB:

Reporting in the table above, rectified information and data previously reported under the '1st PIR' and '2nd PIR' columns, to ensure accurate, clear and concise reporting against the output indicators (cf. first two PIRs for reference). The following rectifications have been made:

- Reporting of non-related and inaccurate data and information that do not fall under the indicator definition, are removed;
- Outputs or activities that were still ongoing and not yet available/completed at the end of the reporting period, are removed;
- Outputs or activities that were missing, are added.

Information on Progress, Outcomes and Challenges on project implementation.

Please briefly summarize main progress achieving the outcomes (cumulative) and outputs (during this fiscal year):

Component 1:

The full VA process was reviewed by IUCN prior to the regional IBRRI meeting, no additional changes were made and is considered the final review/validation of the VA tool, the latter aiming for national replication, will become the methodological basis to further develop related training tools and guidelines for integration of CCA and DRM into local and national plans (Output 1.1). A series of three CCA planning workshops were organized (in BKN and XC), and a wetland management training (in XC), were conducted to strengthen capacities of the local government and communities (Output 1.2). Three studies related to species conservation and management, and reforestation were additionally undertaken, gathering data and evidence for planning and implementation of direct investments in CCA (Output 1.4).

Component 2:

The Integrated Spatial Planning (ISP) for Champhone District has been carried out by DEQP and is currently under finalization and project review. The Ramsar-Management Effectiveness Tracking Tool (R-METT) assessment led by IUCN was also conducted which will inform the process of developing the Xe Champhone Ramsar Site Management Plan in Y4. Three Ramsar-related and three CAWA-related meetings were organized to discuss issues and challenges encountered, and overall contributed to strengthen coordination mechanisms, in addition to CAWA's budget planned to support the elaboration of a Strategy and a Guideline for the Management of the Ramsar wetlands in Lao PDR in Y4-5 (Output 2.1). The project team has supported the establishment of 11 FCZs and related Fisheries Committees in 7 villages of BKN and XC (Output 2.2). Various direct investments in CCA measures have been implemented such as: i) wetlands reopening and invasive plants management in 4 villages in XC; ii) identification and mapping of priority conservation areas in BKN and XC; iii) Planning of reforestation priority areas and establishment of nurseries in XC; iv) preparation for repair of an existing weir in XC, feasibility of CAWA input on two small weir construction and ESS supervision for a large weir construction in BKN; and v) implementation of direct investments in 5 ecotourism sites in XC after consultation and validation by the local government and village authorities (Output 2.3). Adaptive agricultural livelihood trainings have been implemented through PAFO Savannakhet's LoAs activities – aquaculture, livestock, compost, rice seed production, sustainable rice farming – with particular attention needed in Y4-5 to increasingly transfer existing knowledge and awareness from the current trained beneficiaries to a wider population in the target communities by emphasizing on the peer-to-peer and agricultural extension approaches (Output 2.4).

Component 3:

At policy level, CAWA has been working more closely with the Ramsar National Secretariat to influence and integrate CCA and DRM in national planning processes (Output 3.1). At organizational level, members of the three national Ramsar management committees i.e. the Ramsar National Committee, the Ramsar National Secretariat and the Ramsar National Focal Points, have been revised (Output 3.3).

What are the major challenges the project has experienced during this reporting period?

Management and staffing

The CAWA-FAO project team was newly formed after the resignation of 3 staff in early 2018 – 5 new people for 5 positions except Driver (new Knowledge Management Expert, Capacity Development Expert, Livelihood Facilitator, Operations Officer and Project Administrator) onboard since April-May 2018 (end of Y2). This team had worked only 2-3 months with the former CTA, with very little guidance and time for the handover process by the former team and CTA. Therefore, a significant bottleneck in institutional memory has affected the continuity and fluidity of implementation of some activities. Furthermore, the absence of a new CTA for 7 months (5 July 2018 – 3 February 2019) had led to extra workload pressure upon the project team to keep the project on track and running smoothly as possible, despite numerous issues and obstacles encountered during project implementation (cf. summary 'Key management and financial issues' in the last PPR July-December 2018).

Letters of Agreement (LoA) with partners

IUCN for several reasons (cf. 'c) Problems encountered' in the last PPR) requested the carry-over of two major activities from their LoA2 in 2018 to LoA3 in 2019 (i.e. development of the Xe Champhone Management Plan; and Conservation Program for protection of habitats and nesting sites). DEQP alternatively submitted their LoA2 final report with a cover letter explaining that the total expenditure had exceeded the total amount provided in the LoA2. This was due to additional activities implemented in early 2018 which were not included in LoA2. Project efforts have been on-going over March – June 2019, in effort to close the DEQP LoA2 with appropriate document support. In addition, DEQP's LoA on the Integrated Spatial Planning (ISP), implemented by the Environmental Assessment Division, requested a no-cost extension (6 months from 31 August 2018 to 28 February 2019) due to delays in the comprehensive harmonization between the Integrated Spatial Planning (ISP) and the Land Allocation approaches within MONRE policy. These delays had affected the process of coordination and data-sharing, and had caused an overall delay in the LoA activity implementation. Furthermore, the Savannakhet PAFO-Crop Section's LoA (expired Dec. 2019) has remained unclosed to end of reporting period, due to deficiency in progress reports and documentary evidence.

Lastly, the project has suffered in terms of sub-national client relations and implementation effectiveness due to the lack of direct LoAs with Provincial and District agencies of MONRE and MAF. This shortcoming was further exacerbated by a lack of balance in LoAs between MONRE and MAF, and work focus between Savannakhet and Champasak provinces. One past LoA did exist with PONRE Champasak (2017), none with PONRE Savannakhet or DONRE at either site, and none active with sub-national MONRE during the report period. Despite the active role these MONRE agencies have played in support of project field implementation since project commencement. This was balanced against three LoAs with PAFO Savannakhet, and none with PAFO Champasak. Overall most sub-national partner agencies expressed disquiet and discontent (in Provincial Project Committee's meetings - Dec. 2018) with the unbalanced and overly centralized structure of CAWA LoAs, and resultant inefficiencies in coordination, communication and implementation effectiveness that they perceived to prevail within CAWA implementation over the reporting period due to the structure and lack of LoAs.

Coordination and Communication

Coordination and Communication between government agencies, from central (DEQP) to local levels (PONRE, DONRE) had remained challenging throughout the reporting period, with information flow and lines of communication appearing neither fluid nor systematic. DEQP input has also been challenged by a lack of involvement / assignment of additional technical staff to support project activities. This has subsequently caused delays and difficulty in coordination, planning and implementation of some activities. DEQP staff commitment to day-to-day project tasks has remained predominantly as only the NPC and Finance Officer over the reporting period. These staff were additionally challenged in regard to project time input due to their regular duties within their Department and Ministry, as well as other projects in 2018-2019. PPC meetings conducted in both provinces in December 2018 (and subsequent meetings during LTO mission) revealed a desire for improved communication and coordination across the project in regard to FAO, NGO (IUCN, IWMI and Tetraktys) and government partner activities, and a desire for direct project budget and task allocation to sub-national government partners in form of new decentralized LoAs.

Logframe

The project 'Results Matrix' or logframe had been revised, and a M&E plan created by a short-term M&E Consultant in 2017 (yet with a lack of project publishing of the draft report). M&E challenges exist in that no record or notes have been found on the accepted/approved previous changes made to the logframe based on the M&E Consultant's recommendations. Similarly, no record was found of the former team's review comments on the logframe. Nor any reasons or notes to explain the conflicting information currently presented in the Prodoc, M&E Plan, M&E Consultant's revised logframe, previous PPRs and PIRs, and the FPMIS.

Some baseline information neither has been defined (Outcome indicators 2.3, 2.4, 3.3), nor related surveys undertaken in project Year 1. Such as, a comprehensive KAP survey (Outcome indicators 1.1, Output indicators 2.2.1, 2.4.1). 'Mini KAP' community surveys were undertaken in both sites toward the end of 2017, yet cannot be considered as KAP with valid and reliable results, due to the absence of a methodology and sampling plan, and the limited small and insufficient set of questions and the small sample. The recent KAP survey in February 2019, conducted by a project Consultant, has provided some useful information, which was missing from the beginning of the project. The findings are as yet not considered satisfactory and conclusive. Many indicators, as originally defined in the Prodoc, are unclear and lack relevance to the current context/ approach of the project. Therefore, an overall revision of the logframe is needed to significantly adjust and finalize the definition of indicators which are more 'SMART'. This review will require further submission for review and approval of the Project Task Force, however, a logframe revision draft is currently available for consultation if required.

Development Objective Ratings, Implementation Progress Ratings and Overall Assessment

	FY2019 Development Objective rating¹⁸	FY2019 Implementation Progress rating¹⁹	Comments/reasons justifying the ratings for FY2019 and any changes (positive or negative) in the ratings since the previous reporting period
Project Manager / Coordinator	MS	MS	Development objective progress remains suitably focussed, yet slow due to the project risk factors and implementation issues. Implementation progress and spending slowed over 2019 period relative to 2018 Suitable rating. This due to delay in partner LoA renewal, lack of expansion of LoA partners, activities, areas and communities of focus, and challenges in management, coordination and direction induced by CTA absence, staff turnover and an over-centralised implementation structure.
Budget Holder	MS	MS	The project is progressing toward meeting objectives. The project is catching up with the underspending from the previous years, and substantially progresses with results in the field (direct investments and livelihood programmes) and with provincial and district government partnerships. However, budget revision should be conducted to cover the consultant and contract budget lines due to the change of implementation modality.

¹⁸ **Development/Global Environment Objectives Rating** – Assess how well the project is meeting its development objective/s or the global environment objective/s it set out to meet. Ratings can be Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U) or Highly Unsatisfactory (HU). For more information on ratings, definitions please refer to Annex 1.

¹⁹ **Implementation Progress Rating** – Assess the progress of project implementation. For more information on ratings definitions please refer to Annex 1.

Lead Technical Officer²⁰	MS	MS	<p>The human resource and partnering issues mentioned in this PIR have resulted in the 'MS' rating – however there is now a concerted effort by the relatively new leadership team (CTA, LTO and country representative) to improve project performance and overall impact. New partnerships, increased frequency and quality of engagement with government and communities plus closer adhesion of all project activities to the LCDF funding criteria should see an improved rating for the next PIR.</p>
GEF Funding Liaison Officer	MS	S	<p>The project needs to ensure, as the LTO has stressed, that it is focused on increasing climate resilience of people and ecosystems at the project site. The project has completed most of the planning and assessments under Outcome 1 and that should provide a good basis for accelerating implementation of activities under other Outcomes. The project should be planning midterm review prior to the next PIR.</p>

²⁰ The LTO will consult the HQ technical officer and all other supporting technical Units.

3. Risks

Environmental and Social Safeguards (Under the responsibility of the LTO)

Overall Project Risk classification (at project submission)	Please indicate if the Environmental and Social Risk classification is still valid ²¹ . If not, what is the new classification and explain.
Low at project submission, yet classified Category B – where all project activities need analysis to assess potential positive and negative impacts prior to implementation	The rating of low risk remains, under assurance that suitable Category B project social and environmental impact assessment, activity design and management / monitoring procedures are implemented as part of the project work plan. Focus remains upon the design and facilitation of CCA and DRM orientated community livelihood diversification / improvement, direct investments and wetland / landscape management interventions which will result in reduced impact on the wetland landscape and ecosystem, sustainable NRM as basis of livelihoods and a positive balance of social impact.

Please make sure that the below risk table include also Environmental and Social Management Risks captured by the Environmental and social Management Risk Mitigations plans.

Risk ratings

RISK TABLE
<i>The following table summarizes risks identified in the Project Document and reflects also any new risks identified in the course of project implementation. The <u>Notes</u> column should be used to provide additional details concerning manifestation of the risk in your specific project, as relevant.</i>

²¹ **Important:** please note that if the Environmental and Social Risk classification is changing, the ESM Unit should be contacted and an updated Social and Environmental Management Plan addressing new risks should be prepared.

	Risk	Risk rating ²²	Mitigation Action	Progress on mitigation actions ²³	Notes from the Project Task Force
1	Continued low staffing and technical capacities in MONRE, the national executing partner, which is a newly established ministry and is only progressively establishing its provincial and district level structures.	Medium	Strengthening of community-based governance structures as a complement to limited Government resources and capacities. Strengthening of capacities for the ongoing delivery of capacity development in Government agencies (training of trainers), to contribute to further closing of capacity gaps post project.	The implementation modality, budget and capacity building focus shift from over-burdened national partners to previously under-utilised provincial and district government partners (with stronger mandates), should alleviate the lack of government staffing and technical support. Expanded community-based governance structures and planned engagement of local and national NGOs should also any limitation in government partners implementation capacity and improve option of future sustained effort.	

²² GEF Risk ratings: Low, Medium, Substantial or High

²³ If a risk mitigation plan had been presented as part of the Environmental and Social management Plan or in previous PIR please report here on progress or results of its implementation. For moderate and high risk projects, please Include a description of the ESMP monitoring activities undertaken in the relevant period”.

	Risk	Risk rating ²²	Mitigation Action	Progress on mitigation actions ²³	Notes from the Project Task Force
2	Continued focus by national actors on sector-specific rather than integrated and collaborative approaches to sustainable natural resources management, climate change adaptation and rural development in general.	Medium	Continued use and strengthening of established multi-sector mechanisms such as the Provincial Ramsar Committees and the District Ramsar Implementation Teams for project implementation, with linkages to River Basin Committees and Disaster Management Committees, in order to generate concrete experiences and evidence of the practicalities and benefits to be achieved through integrated and collaborative approaches.	Shift of capacity building focus, budgets and task allocation from national to sub-national, community and local NGO partners should markedly improve the inter-sectoral coordination, communication and efforts to integrate CCA – DRM – NRM. Increased support for District, Provincial and National Ramsar steering committees and DRM forums should also facilitate improved inter-sectoral interaction and better district – province – national planning and policy linkage.	

	Risk	Risk rating ²²	Mitigation Action	Progress on mitigation actions ²³	Notes from the Project Task Force
3	Continued growth in pressures on wetlands eco-systems (including implications of climate change) beyond the coping limits of the currently proposed adaptation strategies.	High	Development of capacities and mechanisms at institutional and community levels to monitor ecosystem status and pressures, and to innovate and adapt resource management and livelihood support strategies accordingly.	Enhanced effort to progress with implementation of on-ground investments and development of community, NGO, district and provincial government capacities, to facilitate improved assessment, planning and mitigating and monitoring actions across the wetland landscape and catchments to address the growing pressures on water, wetland and land resources. Combined with continued effort to strengthen community utilization and profit from wetland landscape and resource utilization, in the hope of fostering community awareness of the greater livelihood value of intact wetland and functioning catchments versus increased crop encroachment, increased flood damage and reduced dry season water supply.	

Project overall risk rating (Low, Medium, Substantial or High):

FY2018 rating	FY2019 rating	Comments/reason for the rating for FY2019 and any changes (positive or negative) in the rating since the previous reporting period
Medium	Medium	Project has made progress reduce the medium level risk of limited national government staffing input and technical capacity and the challenge of national-level of inter-sectoral planning, collaboration and implementation effort. The shift of these two risk categories more towards low, yet this has been offset by an increased risk that increased growth and development pressures may overcome the project’s mitigating efforts to protect that adaptive function of the wetland landscape. The sum of the two reduced ‘medium’ risks and an increased ‘high’ risk is suggested to remain at an overall project ‘medium’ risk, or the same risk as previously in 2018.

4. Adjustments to Project Strategy

Please report any adjustments made to the project strategy, as reflected in the results matrix, in the past 12 months²⁴

Change Made to	Yes/No	Describe the Change and Reason for Change
Project Outcomes	Yes	<p>Outcome 1 – VDRA risk update of the wetland landscape (not the Ramsar site) is required, with support from added catchment, water resource and flood risk studies, to adjust stakeholder CC & DRM risk understanding to current reality. This may result in proposed changes to results matrix and indicators.</p> <p>Outcome 2 – Revised VDRA and catchment / flood outputs above may require adjusted CCA and DRM approach. Under this heading the project already has strategy to: a) diversify livelihoods away from flood risky and wetland damaging rice cropping is one example; b) adjust spatial focus to wetland landscape and catchment, rather than Ramsar boundaries, as more relevant to CCA and DRM efforts; c) increase flood and water resource data collection as part of the early warning system in face of current lack of data. These shifts may result in proposed changes to results matrix and indicators.</p> <p>Outcome 3 - Revised VDRA and catchment / flood outputs above, will likely result in revised input to CCA and DRM guidelines, planning process and training. The project strategy to increase support to the National Ramsar Secretariat work program will open an avenue for better integration of project field level CCA and DRM lessons learnt into national wetland and DRM policy and planning processes. These shifts may require additional adjustment to the results matrix and indicators</p> <p>Outcome 4 – registered in the FPMIS yet not in the project results matrix, the project proposes the recognition of an M&E and knowledge management Outcome 4. Which will require changes to result matrix and indicators.</p>
Project Outputs	Yes	<p>Outcome 1 – Updated VDRA (Output 1.1) and added catchment and flood risk studies (Output 1,4), will lead to updated training on VDRA output and DRM / CCA risk assessment (Output 1.2). This may result in proposed changes to result matrix and indicators,</p>

²⁴ Minor adjustments to project outputs can be made during project inception. Significant adjustments can be made only after a mid-term review/evaluation or supervision missions. The changes need to be discussed with the FAO-GEF Coordination Unit, then approved by the whole Project Task Force and endorsed by the Project Steering Committee.

	<p>which will be presented before the MTR.</p> <p>Outcome 2 – Updated VDRA, risk studies and project strategy on livelihood diversification, adjusted spatial focus and added data collection, will transform into adjustments in CCA and DRM planning (Output 2.1), government capacity development (Output 2.2), direct investments (Output 2.3), community livelihood adaptations (Output 2,4) and early warning system development (Output 2.5). This may result in proposed changes to result matrix and indicators, which will be presented before the MTR.</p> <p>Outcome 3 - Updated VDRA and risk studies, adjusted CCA – DRM strategies, added flood – hydro-metric data collection, and strategy to expand support for national-level policy and coordination institutions, may transform into adjustments in CCA and DRM inputs to provincial and national planning process (Output 3.1), training in planning and M&E process (Output 3.2) and lessons learnt delivered to institutional and policy coordinating bodies (Output 3.3). This may result in proposed changes to result matrix and indicators, which will be presented before the MTR.</p> <p>Outcome 4 – The strategy of adding Outcome 4, is accompanied by added: Results based M&E system developed (Output 4.1); Midterm and final evaluation implemented (Output 4.2); and Best practices and lessons learned collected and disseminated (Output 4.3) (cf. ‘Request for CEO endorsement’ document, page 3). This will result in proposed changes to result matrix and indicators, which will be presented before the MTR.</p>
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Adjustments to Project Time Frame

If the duration of the project, the project work schedule, or the timing of any key events such as project start up, evaluations or closing date, have been adjusted since project approval, please explain the changes and the reasons for these changes. The Budget Holder may decide, in consultation with the PTF, to request the adjustment of the EOD-NTE in FPMIS to the actual start of operations providing a sound justification.

Change	Describe the Change and Reason for Change
Project extension	<p>Original NTE: Revised NTE:</p> <p>Justification:</p>

5. Gender Mainstreaming

Information on Progress on gender-responsive measures as documented at CEO Endorsement/Approval in the gender action plan or equivalent (when applicable)?

Was a gender analysis undertaken or an equivalent socio-economic assessment? Please briefly indicate the gender differences.

Does the M&E system have gender-disaggregated data? How is the project tracking gender impacts and results?

Does the project staff have gender expertise?

With the technical support of IUCN, a village gender assessment was conducted in Xe Champhone in January 2017, resulting in a *Gender Report*. The latter analyzes and points out gender differences in terms of i) poverty concerning a small population with women in particular with lack of social capital/livelihood assets, and access to knowledge/skills as factors, ii) unequal power relations present in the wider community and local government structures, iii) lack of access to information that could strengthen the capacity of women, and iv) a prevailing perception that ‘technical matters’ such as wetland/resource management is a male domain, and not the concern of women.

The *Gender Report* provided information to validate the ‘Annex 8. Gender Analysis and Strategies’ in the Prodoc, and together with the Vulnerability Assessment (VA) findings, shape the gender mainstreaming strategy (GMS). The *Gender Mainstreaming Framework and Strategy* report was finalized in December 2017. The GMS contains a theory of change as a framework to design gender mainstreaming actions, and strategic considerations for mainstreaming gender in the outputs of the project.

The project has been requesting for equal representation of women and men, and women’s groups (but not always achieved) and implementing gender-disaggregated data collection for most activities/trainings (in particular VA, CCA and wetland management-related activities – even though women’s groups were often too small). With the current revision and finetuning of the logframe and M&E Plan (as explained in the summary section on ‘major challenges’), gender-specific indicators and a gender marker system will be integrated to the M&E framework to highlight how the project contributes to the achievement of related gender objectives. The project team will follow up and ensure gender-sensitive planning, implementation, capacity development and monitoring of activities with possibly the additional engagement and support from a new national partner, i.e. Lao Women’s Union and the identification of other ‘gender champions’.

A Gender Specialist (from FAORAP or external consultant) will also be expected to review and support the project gender mainstreaming actions, and possibly train the project team and key partners.

6. Indigenous Peoples Involvement

Are Indigenous Peoples involved in the project? How? Please briefly explain.

If applies, please describe the process and current status of on-going/completed, legitimate consultations to obtain Free, Prior and Informed Consent (FPIC) with the indigenous communities

The findings on village demographics from the VA indicate that in both sites where the project is active, the population is predominantly Lao Loum (the main ethnicity in Lao PDR). In Beung Kiat Ngong, there is only one ethnic group, Lao Loum, present amongst the core villages surrounding the Ramsar site, so additional vulnerability due to ethnicity is not considered an issue at the site. In Xe Champhone, three ethnic groups are present within the communities surrounding the XC Ramsar site. The most common group and dominant within the lowland Lao PDR is Lao Loum making up twelve of the villages surveyed; one village, Nakhathang is Makong and three villages, Dondaeng, Taleo and Phomkhor are Phouthai. The minority ethnic groups were not identified as especially more vulnerable compared with the dominant Lao Loum ethnic group.

7. Stakeholders Engagement

Please report on progress, challenges and outcomes on stakeholder engagement (based on the description of the Stakeholder engagement plan included at CEO Endorsement/Approval (when applicable))

If your project had a stakeholder engagement plan, specify whether any new stakeholders have been identified/engaged:

If a stakeholder engagement plan was not requested for your project at CEO endorsement stage, please

- list all stakeholders engaged in the project;
- briefly describe stakeholders' engagement events, specifying time, date stakeholders engaged, purpose (information, consultation, participation in decision making, etc.) and outcomes.

Stakeholder	Related departments / projects	Stakeholder's engagement/involvement
Government Agencies and Committees		
MONRE	<ul style="list-style-type: none"> - DEQP - DWR - LNMCS 	<ul style="list-style-type: none"> - DEQP LoA1 (Sep 2016 – Sep 2017): coordination and organization of overall project activities/meetings - DEQP LoA2 (Dec 2017 – Nov 2018): same role as above - DEQP-ISP LoA (Feb 2018 – Feb 2019): Integrated Spatial Planning (ISP) for Champhone District - DWR: coordination meetings on Mekong-IWRM, river basins and Ramsar-related works - LNMCS: coordination meetings on CAWA-MRWP activities in BKN (before MRWP management transferring to PONRE Champasak in 2018)
Ramsar National Committee		<ul style="list-style-type: none"> - Ramsar National Steering Committee meeting in Vientiane (June 2017)
Ramsar National Secretariat		<ul style="list-style-type: none"> - Ramsar National Secretariat meeting in Vientiane (16 Nov 2018)
PONRE Champasak		<ul style="list-style-type: none"> - PONRE CPS LoA (Nov 2017 – Oct 2018): hydrological data collection and invasive species survey - Coordination meetings on CAWA-MRWP activities in BKN
PONRE Savannakhet		<ul style="list-style-type: none"> - Coordination and organization of project activities/meetings at provincial level
PAFO Savannakhet	<ul style="list-style-type: none"> - Crop Section - Livestock and Fisheries Section - PALaM 	<ul style="list-style-type: none"> - PAFO SVK-Crop Section LoA (Apr 2018 – Dec 2018): reduction of pesticide use and sustainable rice farming - PAFO SVK-Livestock and Fisheries Section LoA (Aug 2018 – Aug 2019): aquaculture and livestock - PAFO SVK-PALaM LoA (Nov 2018 – Oct 2019): community-based rice seed and compost production

Ramsar Provincial Committee		<ul style="list-style-type: none"> - Ramsar Provincial Steering Committee meeting in Champasak (29 Oct 2018) - Ramsar Provincial Steering Committee meeting in Savannakhet (31 Oct 2018)
DONRE Champhone		- Coordination and organization of project activities/meetings at district and village levels
DAFO Champhone		- Fish catch monitoring data collection (implemented under DEQP LoA2)
Academic Institutions		
National University of Laos (NUOL)	- Faculty of Environmental Sciences	- Organization of the World Wetlands Day 2019 celebration and awareness raising at NUOL (22 Feb 2019)
Savannakhet University (SKU)	- Faculty of Agriculture	- SKU LoA (May 2017 – Dec 2017): pilot pasture development and community fish pond
International Organizations and NGOs		
ADB		- Coordination meetings on ADB irrigation and river basin projects
FAO	- SAMIS (GEF)	- Coordination meetings and cooperation on FFS-related activities in XC
GIZ	- ProCEEEd	- Cooperation and exchange on IEC materials related to CC and environmental management
IRRI	- CCAFS-CSV	- Cooperation and knowledge exchange on FFS-related activities in Champhone, including the implementation of the community-based rice seed production with CUSO International
IUCN		<ul style="list-style-type: none"> - IUCN LoA1 (Aug 2016 – Nov 2017): technical lead in implementation of project activities/trainings and delivery of outputs (capacity development plan, gender mainstreaming, VA tool, VA surveys, CC-related studies) - IUCN LoA2 (Jan 2018 – Dec 2018): same role as above (VA data analysis and reporting, CCA and wetland management trainings, CC-related studies) - IUCN LoA3 (Feb 2019 – Jul 2019): same role as above (R-METT assessment, conservation programs, value-adding to wetlands/NTFPs resources program)
IWMI		<ul style="list-style-type: none"> - IWMI LoA1 (Dec 2016 – Aug 2017): hydrological study of the BKN and XC wetlands - IWMI LoA2 (Dec 2018 – Jun 2019): mapping of erosion-prone areas of the XC catchment
KfW	- MRWP	- Coordination meetings on CAWA-MRWP activities in BKN

Tétraktys		<ul style="list-style-type: none"> - Tétraktys LoA1 (Dec 2017 – Nov 2018): community ecotourism development in XC - Tétraktys LoA2 (Feb 2019 – Jan 2020): same role as above
UNDP	- SAFE (GEF)	- Coordination meetings on related activities in project districts in Savannakhet province and at UNDP Vientiane
World Bank		- Coordination meetings on support to demarcation and wetland management as part of the co-financing (M-IWRM) and on potential infrastructure projects in XC
WCS		- Coordination meetings on conservation in XC

8. Knowledge Management Activities

- Please tell us the story of your project, focusing on how the project has helped to improve people's livelihood and how it is contributing to achieve the expected global environmental benefits
- Please provide the links to publications, video materials, etc.

Knowledge management and communication activities have been pending since the former CTA left in July 2018. Indeed, during the absence of a new CTA for 7 months, the newly arrived Knowledge Management and Participation Expert took the role of the project focal point and main responsibilities of the CTA in terms of planning, coordination and liaison with all partners especially DEQP and IUCN, monitoring of overall activities, preparation of new LoAs, reporting on project progress, organization of one PSC and two PPC meetings, and day-to-day management. He also supported the new CTA during the first half of 2019 with various tasks including revision of the logframe, preparation of the workplan and progress reporting. From now on, he will solely focus on leading the urgent M&E, knowledge management and communication processes, i.e. project component 4, especially: i) collect, review and register details of all project knowledge products since the beginning in 2016 (strategic plans, progress reports, technical reports, guidelines, newsletters, IEC materials, maps, datasets) to establish a timeline and bibliography of past project knowledge outputs and archive knowledge materials and information; ii) update, publish and share project knowledge and information products to support a broad and effective communication with all stakeholders, and increase the project visibility and its knowledge impact, disseminated via project products, publications, guidelines, website (<http://www.fao.org/in-action/cawa/en/>) and data portal (<https://cawa-hqfao.opendata.arcgis.com/>); and iii) organize knowledge sharing workshops in coordination with GEF-funded FAO-SAMIS project, to increase awareness and disseminate project best practices and lessons learned from climate change and adaptation.

9. Co-Financing Table

Sources of Co-financing ²⁵	Name of Co-financer	Type of Co-financing	Amount Confirmed at CEO endorsement / approval	Actual Amount Materialized at 30 June 2019-	Actual Amount Materialized at Midterm or closure (confirmed by the review/evaluation team)	Expected total disbursement by the end of the project
National Government	MONRE	In kind	500,000	150,000		
National Government	MAF	In kind	500,000	150,000		
Bilateral Aid Agency	KfW	Cash	2,187,380	200,000		
Other Multilateral Agency	World Bank	Grant	8,430,000	7,000,000		
Other Multilateral Agency	IWMI	In kind	600,000	75,000 USD (CCAFS in 2016) + 50,000 USD (CCAFS in 2017) + 20,000 USD in 2018		
Other	IUCN	In kind	750,000	615,000 (BMUB)		

²⁵ Sources of Co-financing may include: Bilateral Aid Agency(ies), Foundation, GEF Agency, Local Government, National Government, Civil Society Organization, Other Multi-lateral Agency(ies), Private Sector, Beneficiaries, Other.

Multilateral Agency				280,000 (KfW) 30,000		
Other Multilateral Agency	FAO	In kind	750,000	200,000		
TOTAL			13,717,380	8,770,000		

Please explain any significant changes in project co-financing since Project Document signature, or differences between the anticipated and actual rates of disbursement

There is a discrepancy in the “Amount Confirmed at CEO endorsement / approval” from the co-financer IUCN, between the figure in the CAWA Project document (2,400,000 USD) and the figure in the co-financing letter from IUCN “Co-financing of the FAO/Global Environment Facility (GEF) project ‘Climate Adaptation in Wetland areas (CAWA) in Lao PDR (GCP/LAO/022/LDF)’” dated 20 May 2015 (750,000 USD).

Annex 1. – GEF Performance Ratings Definitions

Development/Global Environment Objectives Rating – Assess how well the project is meeting its development objective/s or the global environment objective/s it set out to meet. **DO Ratings definitions:** **Highly Satisfactory (HS)** - Project is expected to achieve or exceed **all** its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”); **Satisfactory (S)** - Project is expected to achieve **most** of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings); **Moderately Satisfactory (MS)** - Project is expected to achieve **most** of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve **some** of its major global environmental objectives or yield some of the expected global environment benefits); **Moderately Unsatisfactory (MU)** - Project is expected to achieve of its major global environmental objectives with major shortcomings or is expected to achieve only **some** of its major global environmental objectives); **Unsatisfactory (U)** - Project is expected **not** to achieve **most** of its major global environment objectives or to yield any satisfactory global environmental benefits); **Highly Unsatisfactory (HU)** - The project has failed to achieve, and is not expected to achieve, **any** of its major global environment objectives with no worthwhile benefits.)

Implementation Progress Rating – Assess the progress of project implementation. **IP Ratings definitions:** **Highly Satisfactory (HS):** Implementation of all components is in substantial compliance with the original/formally revised implementation plan for the project. The project can be resented as “good practice”. **Satisfactory (S):** Implementation of most components is in substantial compliance with the original/formally revised plan except for only a few that are subject to remedial action. **Moderately Satisfactory (MS):** Implementation of some components is in substantial compliance with the original/formally revised plan with some components requiring remedial action. **Moderately Unsatisfactory (MU):** Implementation of some components is not in substantial compliance with the original/formally revised plan with most components requiring remedial action. **Unsatisfactory (U):** Implementation of most components is not in substantial compliance with the original/formally revised plan. **Highly Unsatisfactory (HU):** Implementation of none of the components is in substantial compliance with the original/formally revised plan.