

MONITORING MANUAL FOR CONCESSION INVESTMENT IN LAO PDR 2021

Ministry of Planning and Investment

Preface

The Monitoring Manual for Concession Investment in Lao PDR is developed by the Ministry of Planning and Investment (MPI) with the support from Poverty-Environment Action for Sustainable Development Goals (PEA) Lao PDR.

This Monitoring Manual provides important guidelines for technical officials to conduct the effective monitoring of concession investments to ensure the compliance with obligations, terms and conditions stipulated in investment agreements and relevant regulations, especially the environmental management and mitigation measures. This Manual is developed based on lessons learnt and challenges from investment monitoring and knowledge exchange with relevant stakeholders on regulating investment concessions in Lao PDR.

This Manual may not be applicable to all monitoring considering the local context, or may become irrelevant in the future considering the shift in economic trend, the Ministry of Planning and Investment will revise this Manual from time to time.

Hence, we sincerely hope that this Manual will be a useful tool for government officials, especially the Investment Promotion Department, the local Planning and Investment Departments and Offices, to monitor investments in the country more efficiently.

Vientiane, 17 December 2021

Deputy Prime Minister
Minister of Planning and Investment



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Regulating Concession Agreement

Concession Investment Regulating Agencies

With the introduction of the new economic in 1986, Laos has opened itself to the rest of the world and has since consistently embarked on improving its business environment to make the country more investor-friendly. The inclusion of provisions that favor investors and facilitate their businesses as well as protecting social and environmental benefit undertakings in the more recently revised Law on Investment Promotion (2016). In accordance with the Article 98 of the Law on Investment Promotion, the Government supervises investment promotion in a centralized and uniformed manner throughout the country by assigning the Planning and Investment Sector to be directly responsible for regulating concession investment in coordination with Industry and Commerce Sector, relevant sector authorities and local administrative authorities.

The Article 75 of the Law has clearly defined that the Investment Promotion and Supervision Committee or “IPSC” has a mandate to promote and supervise the investment projects. The committee consists of two levels being: **1)** Investment Promotion and Supervision Committee of Central Investment Promotion and Supervision Committee or “CIPSC” and **2)** Investment Promotion and Supervision Committee of Provincial Investment Promotion and Supervision Committee or “PIPSC”.

The duty of IPSC is to promote and regulate domestic and foreign investments, review, report, consider investment application, amendment, transfer of shares, renewal, improvement, cancellation of investment activities or Memorandum of Understanding (MOU), Project Development Agreement (PDA) and Concession Agreement (CA) and other (as specified in the Article 77 and 79 of the Law on Investment Promotion, 2016).

The Central Investment Promotion and Supervision Committee consists of:

- (i) Deputy Prime Minister as chair;
- (ii) Minister of Planning and Investment as deputy chair and standing member;
- (iii) Minister of Industry and Commerce as deputy chair;
- (iv) Deputy Minister of Planning and Investment as standing member;
- (v) Deputy Minister of Finance as member;
- (vi) Deputy Minister of Natural Resources and Environment as member;
- (vii) Deputy Minister of Energy and Mines as member;
- (viii) Deputy Minister of Agriculture and Forestry as member;
- (ix) Deputy Minister of Labor and Social Welfare as member;
- (x) Deputy Minister of Public Works and Transport as member;
- (xi) Deputy Minister of Information, Culture and Tourism as member;
- (xii) Deputy Minister of Public Security as member;

The Provincial Investment Promotion and Supervision Committee consists of:

- (i) Provincial Governor, Vientiane Capital Governor as chair;
- (ii) Deputy Governor, Deputy Mayor as deputy chair;
- (iii) Director General of Department of Planning and Investment as standing member;
- (iv) Director General of Department of Industry and Commerce as member;
- (v) Director General of Department of Finance as member;
- (vi) Director General of Department of Natural Resources and Environment as member;
- (vii) Director General of Department of Energy and Mines as member;
- (viii) Director General of Department of Agriculture and Forestry as member;
- (ix) Director General of Department of Labor and Social Welfare as member;
- (x) Director General of Department of Public Works and Transport as member;
- (xi) Director General of Department of Information, Culture and Tourism as member;
- (xii) Director General of Department of Public Security as member;

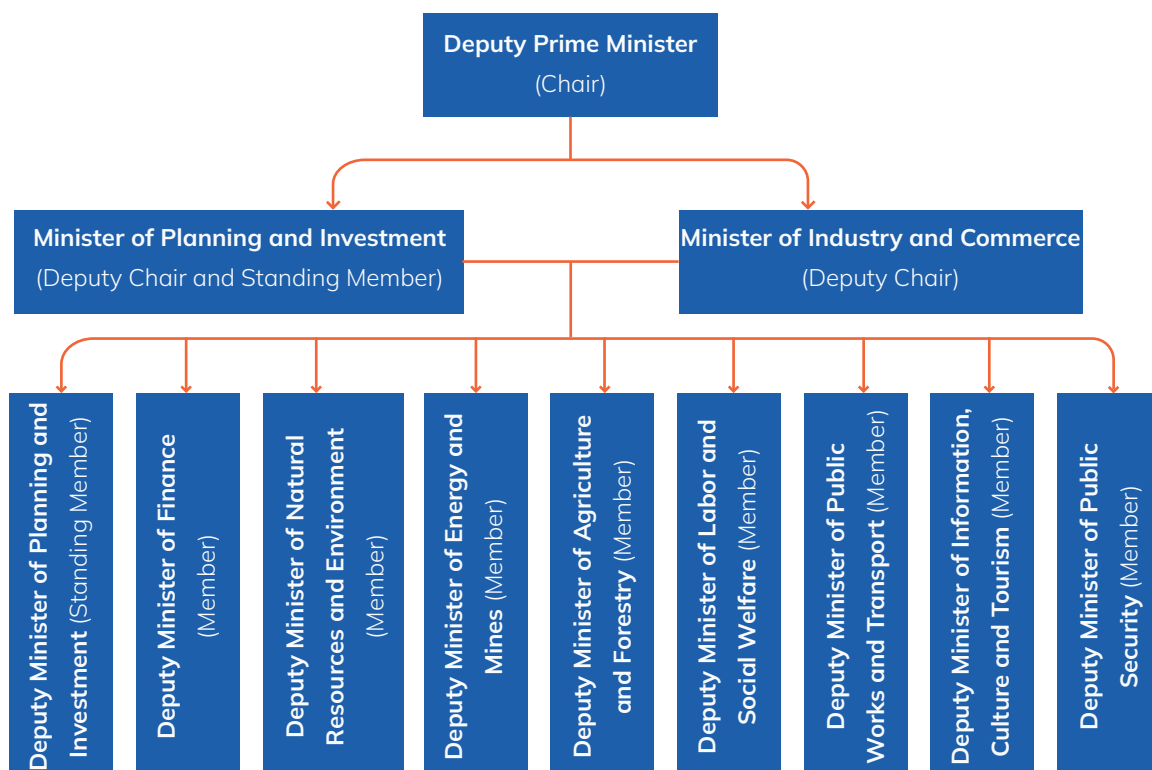


Figure 1. The Central Investment Promotion and Supervision Committee

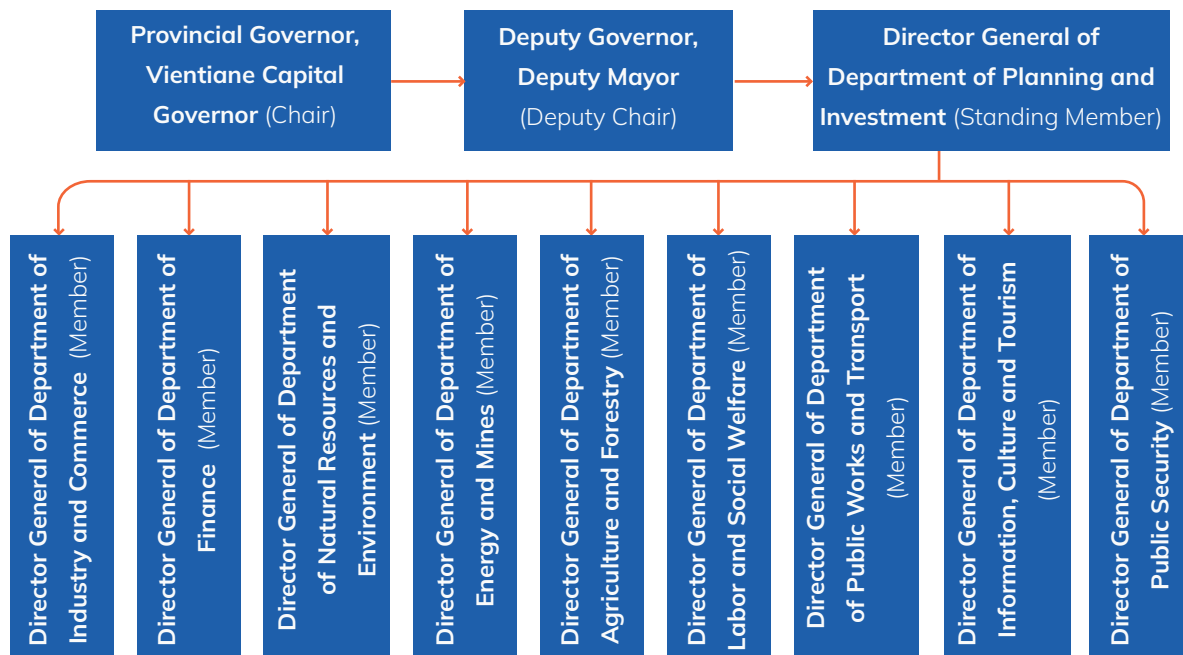
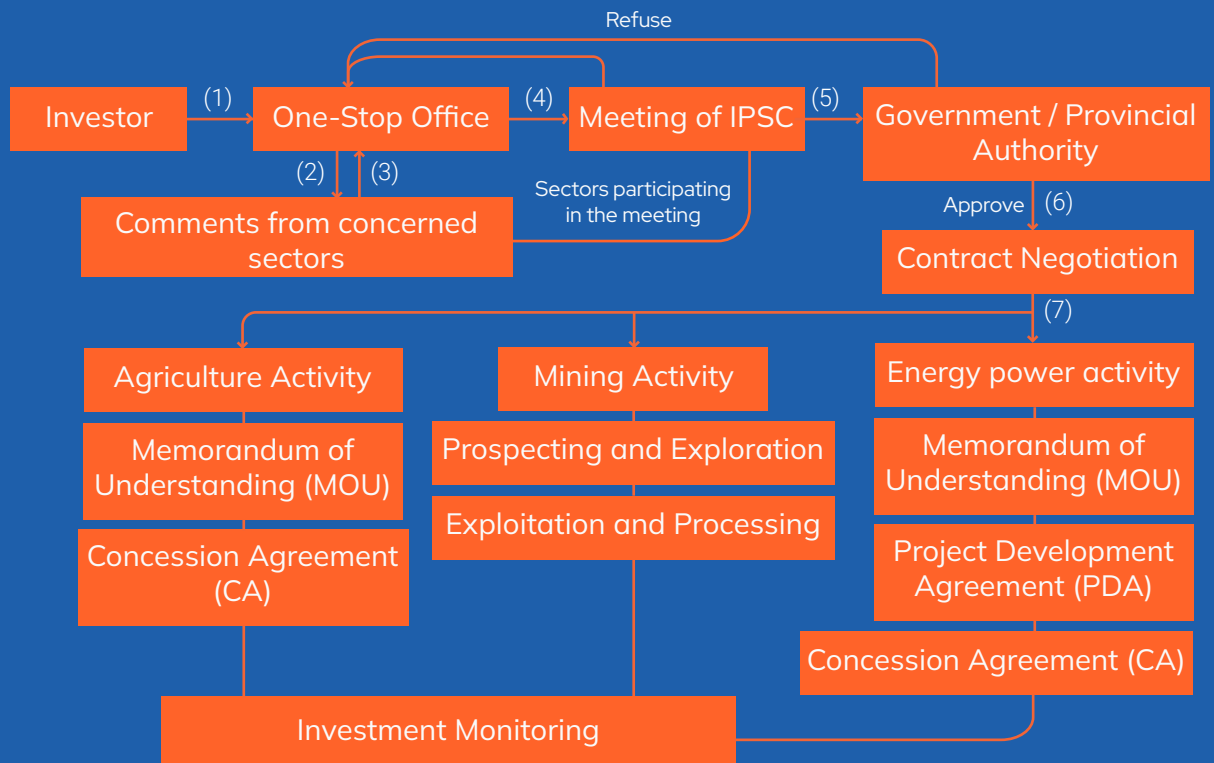


Figure 2. The Provincial Investment Promotion and Supervision Committee

In order to implement the Government's policy in promoting and attracting the investments from private sectors, the MPI has established the One-Stop Service Office (OSSO) for central level in the IPD, and the Provincial One-Stop Service Office in Department of Planning and Investment to facilitate investment approval process. In 2020, the Prime Minister issued the Order on the Improvement of Services Related to the Issuance of Investment and Business Licenses, No.3/PM, dated 21 January 2020, with an aim to enhance the business facilitations under the One-Stop Service mechanism.

The OSSO is the permanent office for the Investment Promotion and Supervision Committee. It has its functions as a secretary of the Committee at central and local levels, to facilitate the concession consideration and approval processes, provide investment related information and issue Investment License and other investment notices base on the rights and duties specified in the Article 84 (**Section 2, 3, 5**) of Law on Investment Promotion and the Decision on One-Stop Service Office, No.002/IPS, dated 20 August 2018. The figure below presents the process of concession investment approval for agriculture, mining and hydropower concession projects, and its investment monitoring process.

Figure 3. Concession Investment Approval Process for Agriculture, Mining and Hydropower Concession Projects



Roles of Investment Management and Supervision Authorities

Planning and Investment Sector

In accordance to the Article 99 of the Law on Investment Promotion, the Planning and Investment sector at central and local level have the following duties:

- (i) Research, develop and disseminate strategies, policies, laws, regulations on the promotion and supervision of investments in the Lao PDR and overseas investments;
- (ii) Develop and issue various forms related to investment application in the Lao PDR and for overseas investments;
- (iii) Be the focal point to coordinate with relevant authorities in consideration and negotiation of concession agreement and represent the Government to sign investment agreement with investors;
- (iv) Consider and propose the suspension, amendment or termination of a project or operation of investment which fails to comply with investment objectives or agreement or relevant laws and regulations;
- (v) Establish and manage information, provide information on investment incentives to attract investment and for overseas investment;
- (vi) Monitor and inspect the implementation of laws and their sub-legislation regarding investment promotion across the country;
- (vii) Coordinate with relevant sector authorities at central and local levels to monitor investment projects and address any issues arising from investments across the country including supervision of overseas investment;
- (viii) Oversee the operation of investment one-stop-service offices to provide quick, transparent, fair and effective services;
- (ix) Build capacity of government officials in investment promotion sectors;
- (x) Relate and cooperate with foreign countries on investment promotion;
- (xi) Supervise work related to special economic zones;
- (xii) Summarize and report on investment promotion activities.

Industry and Commerce Sector

In accordance to the Article 100 of the Law on Investment Promotion, the Industry and Commerce at central and local level have the following duties:

- (i) Research on the direction, policy for development and promotion of enterprises and take ownership of implementing such policy across the country;
- (ii) Control the existence and establishment of all types of enterprises under its jurisdiction from the stage of establishment until dissolution or bankruptcy as set out in the Enterprise Law;
- (iii) Coordinate with relevant sector authorities to supervise and apply measures against enterprises violating laws and regulations;
- (iv) Provide enterprise registration service for all businesses;
- (v) Receive applications for enterprise registration for businesses outside the controlled business list and branches of foreign enterprises;
- (vi) Receive requests for change in the content of enterprise registration certificates, except for the increase or decrease of business activities as set out in Article 47 of the Law on Investment Promotion;
- (vii) Support and direct development and promotion of enterprises in their localities;
- (viii) Collect, keep and provide information on enterprises to the higher authority and public;
- (ix) Call in enterprises for explanation or warning regarding business operation;
- (x) Order the temporary or permanent suspension of enterprises under its jurisdiction as set out in the Enterprise Law;
- (xi) Withdraw enterprise registration certificates or delete enterprise names from the register for enterprises under its jurisdiction as set out in the Enterprise Law;
- (xii) Order amendment, suspension or revocation of enterprise registration certificates unlawfully issued by local enterprise registrars;
- (xiii) Summarize and report on investment promotion and supervision under its jurisdiction to the Government on a regular basis;
- (xiv) Exercise other rights and perform other duties as required by laws and regulations.

Finance Sector

In accordance to the Article 101 of the Law on Investment Promotion, the Finance sector at central and local level have the following duties:

- (i) Research and develop policies, strategies, laws and regulations on financial sector in relation to investment promotion;
- (ii) Consider, provide comments on application for investment, extension of agreement and amendment of agreement;
- (iii) Encourage, advise, disseminate, monitor the implementation of laws and sub-legislation of finance sector related to investment promotion to investors and other relevant parties;
- (iv) Encourage, promote, facilitate the implementation of projects, operations and monitor and supervise tax and duty incentives according to laws and regulations;
- (v) Coordinate with the Ministry of Planning and Investment, other ministries and agencies and local administrations on the resolution of problems arising from projects, operations across the country;
- (vi) Propose relevant authorities to order the suspension, amendment or termination of a project or operation of investment which fails to comply with investment objectives or agreement or payment of tax and other obligations according to laws and regulations;
- (vii) Build, train and upgrade staff on investment matters;
- (viii) Relate and cooperate with foreign countries, regional and international bodies on finance matters related to investment promotion in the Lao PDR;
- (ix) Implement incentives as provided by laws and regulations;
- (x) Summarize and report on investment promotion and supervision to the higher authority on a regular basis;
- (xi) Exercise other rights and perform other duties as required by laws and regulations.

Natural Resources and Environment Sector

The Ministerial Order No.2018/MONRE, dated 1 June 2020, on role and duties of the Department of Pollution Control and Monitoring of the Ministry of Natural Resources and Environment, has defined the right and duties of the department, Provincial, District and Municipal Office of Natural Resource and Environment sector as following:

- (i) Implement and disseminate policies, strategies, laws, regulations on the pollution control, chemical control, waste disposal and enforce the compliance of environment and social obligations of investment projects;
- (ii) Collaborate with the Department of Legislative Research, propose higher levels to consider and develop policies, strategies, legislations, pollution control standards, instructions and guidelines that are necessary for the pollution control, chemical control, enforce the compliance of environment and social obligations of investment projects;
- (iii) Disseminate policies, strategies, laws, regulations and technical manuals regarding pollution control, toxic chemical control, waste disposal and enforce the compliance of environment and social obligations of investment projects;
- (iv) Propose higher authorities to consider and approve plans and projects related to pollution control, chemical pollution control, waste disposal, pollution control from the sources, control, monitor and resolve emergency environmental issues, and enforce the compliance of environment and social obligations of investment projects.
- (v) Support Natural Resource and Environment authorities at local level to monitor the quality of environment, pollution control, chemical control, managing waste disposal, enforce the compliance of environment and social obligations of investment projects, including inspection of the source of pollution, address and resolve problem of potential hazardous events in the area or contamination area, and assess the environmental damages in the event of an emergency;
- (vi) Collaborate with the Department of the Environment to report and propose the termination of an environmental license, the adjustment or termination of projects against violators that cause pollution and adverse effects on the environment and society, based on the reports of actual inspections and submissions of local departments or from the results of inspections by special committees;
- (vii) Implement other duties as stipulated in Order No. 2018/MONRE, dated 1 May 2020 on the Roles and Duties of the Department of Pollution Control and Monitoring.

Rights and Duties of the Other Relevant Sectors

In accordance to the Article 102 of the Law on Investment Promotion, the Agriculture and Forestry, Energy and Mines, Public Work and Transportation, Natural Resources and Environment and other relevant sector authorities shall have the following duties:

- (i) Research, develop and disseminate policies, strategies, laws and regulations on investment promotion under their sectors;
- (ii) Coordinate with the planning and investment, industry and commerce and finance sector authorities in the development of investment promotion plan within their sectors;
- (iii) Direct and facilitate the operation of investment one-stop-service offices to provide quick, transparent, fair and effective services;
- (iv) Responsible for coordinating with other relevant sector authorities to develop and improve laws, regulations, forms, standards, procedures, techniques and issue forms and instructions within their jurisdiction for uniformed implementation. Monitor and inspect the compliance of project implementation with laws, regulations and investment agreement under their jurisdiction;
- (v) Encourage, promote and coordinate with other relevant sector authorities of central and local levels to regulate and evaluate investment of implementation including address dispute resolution, requests and other issues arising from investment projects across the country;
- (vi) Consider and provide comments on investment proposals that relates to their sectors as set out by laws and regulations;
- (vii) Build, train and upgrade staff of their sector on investment matters;
- (viii) Relate and cooperate with foreign countries on investment matters;
- (ix) Summarize and report on investment promotion and supervision to the Ministry of Planning and Investment on a regular basis.
- (x) Carry out other roles and duties stipulated in other laws and regulations.

Problem Analysis

The success and effectiveness of the investment monitoring depends on several factors. The key areas to be improved are related to the policies, responsibilities and coordination of key authorities. Therefore, it is important to have an effective and efficient mechanism for monitoring investment projects, and the following issues must be considered:

- (i) Insufficient regulation and unclear implementation mechanisms, responsibilities and scope of the investment monitoring;
- (ii) Lack of financial resources and tools to guide investment monitoring;
- (iii) Lack of capable technical officials who understand relevant laws and regulations for specific sectors;
- (iv) Lack of interconnected investment database systems among sectors, resulting in restrictions on the sharing of accurate and up-to-date information;
- (v) Weak law implementation and enforcement.

Concession Investment Monitoring

Monitoring Objective

The main aim of this Manual is to implement the Article 104 of the Law on Investment Promotion (2016) regarding investment monitoring with the following specific objectives:

- (i) Monitor the implementation of relevant obligations as stipulated in concession agreements;
- (ii) Monitor the implementation of project as stipulated in feasibility studies;
- (iii) Monitor the environmental protection based on environmental management and monitoring plan, including potential impacts on properties and assets of the state, communities, investors and developers;
- (iv) Monitor the implementation of occupational safety measures;
- (v) Monitor the compliance with relevant laws and regulations.

Based on the results of monitoring activities, the inspection authorities have the rights to propose corrective actions/measures to relevant sectors for consideration in case they find any violations against the laws and regulations.

Monitoring Authorities

To ensure the quality of regulating, monitoring and addressing non-compliant issues of private investments, an effective reporting system should be developed through investment monitoring mechanism. The investment monitoring is a process of data collection and assessment to verify the compliance of concession projects against investment agreement, laws and regulations. According to the Article 103 of the Law on Investment Promotion, the investment inspection authority consists of:

- 1) Internal Inspection Authority** which is the same as the investment promotion supervision authority as defined in the Article 98 of the Law on Investment Promotion Law;
- 2) External Inspection Authority** which is the National Assembly, Provincial Assembly, State Inspection Authority, State Audit Authority as per their respective mandates set out in the Law on Investment Promotion.

The Investment Promotion and Supervision Committee shall coordinate with other relevant authorities at central and local levels to monitor and inspect concession investment as stipulated in the Law on Investment Promotion.

Monitoring Types

According to Article 105 of the Law on Investment Promotion, a participatory approach for concession investment monitoring can be conducted through a document review and site monitoring. There are three (3) types of monitoring as follows:

Regular Monitoring: is a routine monitoring within a certain schedule and normally include the following activities

(i) A review of project progress reporting through a database system or 6-month and annual reports. The project developers are required to provide project implementation reports to IPD by July for 6-month report and by January for annual report;

(ii) Provincial Level: the Provincial Department of Planning and Investment shall conduct regular monitoring (e.g. quarterly) during project development periods that are likely to have environmental and social impacts, and every 6 months after that period. The Provincial Department of Planning and Investment shall submit monitoring reports to MPI (Annex 10);

(iii) Ministry Level: conduct monitoring at least once a year and led by IPD in coordination with relevant sectors. The implementation can be carried out through an annual technical workshop to evaluate the concession project monitoring program at central level with a presentation from each province. The MPI will conduct annual monitoring as required or as recommended by relevant provinces.

An advance-noticed monitoring: is a monitoring of investment projects as required, where project developers will receive a notification at least 48 hours in advance.

An emergency monitoring: is a project monitoring as required for emergency incidents or in the case of severe impacts, which requires urgent actions to monitor the project immediately without advance notice to the project developer.

Monitoring Steps

There are six (6) steps for monitoring of concession investment in Lao PDR as described below:

Step 1. Preparation and Planning

The first step in investment monitoring is preparing and planning, which should focus on the following aspects:

Establishment of the Monitoring

The first step in preparation for conducting investment monitoring is establishing the Monitoring Team to be in charge. The team will consist of a team leader and appropriate number of technical members. The team leader shall assign a team member to develop a monitoring plan and present it for an approval before the monitoring mission.

Review of Relevant Documents

The team leader shall assign team members to consolidate data/information regarding the targeted investment project and summarize any outstanding obligations and/or issues regarding the project implementation such as:

- (i) Concession agreements, investment license;
- (ii) Relevant laws and regulations especially the Law on Investment Promotion (2016);
- (iii) Environment Protection Law (2012);

(iv) Decree on Environmental Impact Assessment (2019), the Decree on National Environmental Standards;

(v) The most recent quarterly, 6-months and annually project reports prepared by project developers;

(vi) Monitoring reports from concerned agencies that had conducted monitoring activities and other relevant documents (e.g., incident report, etc.);

(vii) Reports on grievances or complaints raised by impacted people in relation to the project;

(viii) Other relevant information derived from a database and coordination with concerned agencies at central and local levels such as Initial Environmental Examination (IEE) or Environmental and Social Impact Assessment (ESIA), including Environmental and Social Management and Monitoring Plan (ESMMP) and Environmental Compliance Certificate and environmental obligations as stipulated in annex of projects' concession agreements, etc.

The objectives of data collection, review and analysis are to:

- (i) Aware of all obligations and requirements associated with concession agreements and the environmental and social management stipulated in relevant project documents;
- (ii) Assess the compliance against obligations and requirements to verify the accuracy of the progress reports submitted by investors through online and hardcopies;

iii) Follow up whether there are pending issues from the previous project monitoring mission, and if grievances or requests from local community have been addressed appropriately by the project developer. This can be undertaken through a review of monitoring database;

iv) Identify obligations and measures or activities of project developers that have not been implemented or included in ESMMP for implementation;

v) Study project development progress such as construction (percent of completion) or operations (percent of achievement), or decommissioning phase (percent of completion).

During reviews of the Monitoring Team, there is a need to complete the monitoring form **(Annex 1.1-1.5)** in order to provide clear information on the progress and status of obligations and requirements as defined in concession agreement. This is to determine that any obligations or key impacts require priority actions, and if there is any issue that requires the Monitoring Team to conduct further site inspection.

Planning for Site Monitoring:

Prior to conducting a project site visit, the team leader shall assign appropriate members to be responsible for developing a project site inspection plan with clear objectives of monitoring categories, key stakeholders, budget and working schedule **(Annex 2: planning template)**. This plan will require a review and approval from the Director of Department or Division before execution.

Sending Official Letters to the Province and the Project Developer

For regular monitoring and advance-noticed monitoring, prior to the site visit, the Monitoring Team will inform the Provincial Department of Planning and Investment and project developers on the objectives and schedules of project monitoring **(Template of official letter is provided in Annex 3, Annex 4 and Annex 5)** so that relevant stakeholders have adequate time to prepare, complete monitoring form, participate and facilitate the project site visit.

Inviting Relevant Sectors

For complex projects or projects with significant environmental and social impacts, the other relevant authorities should be invited to join the investment monitoring **(Annex 5: Template of notification letter)** with suitable timeframe that allow them to designate appropriate officer and prepare all relevant documents for the monitoring mission.

Step 2. Conducting Site Monitoring

Meeting with Local Stakeholders

After arriving at the province where the target project is located, the Monitoring Team should have a meeting with the concerned local government authorities to:

(i) Inform the objectives of project site inspection;

(ii) Collect and exchange information on the current status of project implementation before meeting with the

project developer.

Meeting with the Project Developer

After a consultation meeting with relevant government sectors at local level, the Monitoring Team will meet with the project developer to:

- (i)** Inform the objectives of project site inspection;
- (ii)** Allow the project developer to present on **(i)** project overview, **(ii)** project progress, implementation of obligations and requirements including environmental and social management and monitoring measures, **(iii)** current issues encountered, **(iv)** status on the implementation of recommendations from the previous monitoring, **(v)** opportunities and difficulties including grievances raised by local people (if any) and other issues as necessary;
- (iii)** Discuss with the project developer directly on any issues related to the project implementation.

Conduct Site Inspection

After meeting with the project developer, the Monitoring Team with a participation of project representatives who are knowledgeable about the project including environmental and social aspects will carry out site inspection in the following activities:

- (i)** Conduct project site inspection to fill out the information in the monitoring forms **(Annex 1)**;
- (ii)** Interview project staff / workers and project impacted people, aiming to

investigate and collect information regarding project implementation and its impacts;

- (iii)** During the site inspection, take photos or videos to record activities or any identified issues and discussion with project representatives regarding the issue, handling measures and timeframe.

Internal Meeting of the Project Monitoring Team

After completion of site inspection, the Monitoring Team should organize a team meeting to:

- (i)** Discuss and agree on issues identified during site inspection;
- (ii)** Drafting minutes of project site monitoring findings **(Annex 6)**.

Meeting with Project Developer to Finalize Site Monitoring Minutes

After internal meeting, the Monitoring Team need to organize a meeting with the project developer to discuss and agree on the minutes of project site inspection and to allow the project developer to sign the minutes together with the Monitoring Team Leader.

Step 3. Reporting on Site Monitoring Findings

After completion of project site monitoring, the Monitoring Team shall report the MPI Minister on the findings and seek guidance on corrective actions for non-compliance issues identified during project monitoring.

After receiving a clear guidance, the Monitoring Team must send an official

letter to the project developer regarding the necessary actions to address issues identified during site inspection with a clear timeframe. The timeframe should not exceed 90 days from the date of receiving the notified letter (**Annex 7**) and must record the results of monitoring into the Investment Database .

Step 4. Follow Up on the implementation of Corrective Actions

The Technical Team shall conduct a follow up monitoring to confirm if the project developer implemented actions as stipulated in the report or notification letter within a defined schedule, and the result of this monitoring must be entered into the database system.

If the project developer cannot solve or improve the issue within a defined timeframe set out in the report or notification letter, the relevant sectors will provide a second written notification to the project developer for appropriate actions to improve the problems within 60 days from the date of receiving notification (**Annex 8**).

Step 5. Awarding and Enforcement

Base on the results of annual monitoring and evaluation conducted by the MPI and relevant sectors, if the project developer implement all obligations and required measures stipulated in concession agreement, law and regulation, the achievement should be recognized such as providing an award or a good investment

certificate for the project developer.

However, if the project developers do not take required actions as stipulated in a notified letter, MPI or other relevant sectors can impose the applicable measures such as issue a notification to terminate or suspend the investment license (**Annex 9**) or apply other forms of penalties as defined in relevant laws such as the Law on Investment Promotion and Environment Protection Law, as appropriate.

In the case of severe environmental and social impacts, the MPI or DPI in collaboration with relevant sectors can report and seek the decision from their supervisors to impose the suspension or termination the investment project with a written official notification letter (**Annex 9**).

Step 6. Documentation

All relevant documents from project monitoring mission must be documented systematically both hard copies and electronic files in the investment database for information and future monitoring of the project. The record will be a good reference for all relevant sectors to analyze overall investment compliance in the country and the contribution of concession investment to economic and social development.

Monitoring Budget

According to Article 72 (Section 5) of the Law on Investment Promotion, monitoring budget can be used from the contract implementation monitoring fund. The budget figures for each project monitoring will vary depending on locations, types and the degree of impacts associated with the project. The estimate of monitoring budget can be referred to the budgeting a issued by the Ministry of Finance in each period. The Investment Promotion Department and project developers shall sign the budget document for project monitoring and attach with the concession agreement.

Annex 1.1

Monitoring Form for Agriculture Concession (Please select the applicable project stage)

Project name: _____

Investment type: _____

Project location: _____

Date of monitoring mission: ____/____/____

Project status: ☐ MOU stage—please answer questions in section I, ☐ concession agreement stage—please answer questions in section II

Progress of project operation					Reference Document	Compliance	Remarks
I. Progress of project during the MOU stage							
1. Have your project activities completed according to the timeline defined in the MOU or not?							
<input type="checkbox"/> Completed as planned <input type="checkbox"/> Delay Please provide reasons for the delay? <input type="checkbox"/> Legal document issues <input type="checkbox"/> Land issues <input type="checkbox"/> Technical issues <input type="checkbox"/> Access to project site issues <input type="checkbox"/> Internal issues <input type="checkbox"/> Others _____					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2. Status of the following studies							
Items	Progress	Approval/Certified Date				<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Land survey	<input type="checkbox"/> In progress <input type="checkbox"/> Completed						
Environmental impact assessment	<input type="checkbox"/> In progress <input type="checkbox"/> Under review/revision <input type="checkbox"/> Approved						
Feasibility study	<input type="checkbox"/> In progress <input type="checkbox"/> Under review/revision <input type="checkbox"/> Approved						
3. Land survey							
Location (Village, District, Province)	Land Area (Hectares)				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
	State land	Private land	Community land	Sum/total			

4. Importing Funds

Type of Funds	Value (\$)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Registered capital (reporting period)				
Inflows of investment capital in cash				
Inflows of investment capital in kind				
Total imported capital since the beginning of the projects				

5. Project Contributions**5.1 Contractual contributions**

Type of contractual contributions	Value (\$)	<div><input type="checkbox"/> Yes</div> <div><input type="checkbox"/> No</div>	<div><input type="checkbox"/> Compliance</div> <div><input type="checkbox"/> Non-compliance</div> <div><input type="checkbox"/> Outstanding issues</div> <div><input type="checkbox"/> n/a</div>
Project Management Fund (sector)			
Project Monitoring Fund			
Training/Capacity Fund			
Community Development Fund			
Social Development Fund			
Environmental Protection Fund			
5.2 Non-contractual contributions			
Type of non-contractual contributions	Value (\$)		

II. Progress of project during the concession agreement**1. Importing Funds**

Type of Funds	Value (\$)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Registered capital (reporting period)				
Inflows of investment capital in cash				
Inflows of investment capital in kind				
Total imported capital since the beginning of the projects				

2. Progress of the project operation				
2.1 Approved investment activity		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.2 Operational license issued by respective sector	<input type="checkbox"/> Yes, dated..... <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.3 Project Development Progress	<input type="checkbox"/> Implemented as planned, achieved.....% in stage: <input type="checkbox"/> Not implemented as planned, explain.....	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.4 Project land use	- Area indicated in the concession agreement..... hectares - Entered into a land lease agreement with the Ministry of Financehectares. - Land area has been used/implemented.....hectares	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.5 Did the project area have UXO?	<input type="checkbox"/> No <input type="checkbox"/> Yes, please answer 2.5.1 and 2.5.2	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.5.1 Did the project finance the cost of UXO survey and UXO clearance?	<input type="checkbox"/> No <input type="checkbox"/> Yes, cleared by which unit/company?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.5.2 How many hectares UXO clearance in the project area?	Total area (hectares) Area cleared UXO..... (hectares)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	

3. Production						
3.1 Productions (Produced in the project area)			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Products	Production (Tons/livestock units)					
3.2 Products (from contract farming) <input type="checkbox"/> No <input type="checkbox"/> Yes, if have contract farming, area..... hectares How many contracts farming? <input type="checkbox"/> contract 2+3: _____contracts_ <input type="checkbox"/> contract 4+1: _____contracts_ <input type="checkbox"/> Purchase only: _____contracts_			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Type of products	Production (Tons/livestock units)					
	2+3	4+1				Purchase only
4. Processing						
Does the company have processed products? <input type="checkbox"/> No <input type="checkbox"/> Yes, if yes – please fill information in the table below			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Agriculture processed products	Productions (tons)					
5. Sale						
Export sales? <input type="checkbox"/> No <input type="checkbox"/> Yes, if yes-please fill information in table below						

Export products	Export country	Volume (tons/ livestock units)	Value (\$)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	

6. Investment incentives

Received investment incentives	<input type="checkbox"/> No <input type="checkbox"/> Profit tax exemption <input type="checkbox"/> Value-added tax and duty exemption for imported materials/ equipment and vehicles to be used for the project <input type="checkbox"/> State land rental or concession royalty exemption <input type="checkbox"/> others: _____	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
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7. Financial/Taxes obligations

Items	Values (\$)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Royalty				
Concession fee				
Income tax				
Import tax				
Profit tax				
Value added tax				
Social security payment				
Dividend tax				
Depreciation				
Other				

8. Project Contributions

8.1 Contractual contributions

Items	Values (\$)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Project Management Fund (sector)				
Project Monitoring Fund				
Training/Capacity Fund				
Community Development Fund				
Social Development Fund				
Environmental Protection Fund				

8.2 Non-contractual contributions					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of non-contractual contributions		Values (\$)					
8.3 Using service from domestic companies					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of services	Numbers (company)	Values (\$)					
9. Labour and human resource development							
9.1 Total employees in the project					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of Employment	Lao	Female	Foreign	Female			
Total of full-time staff							
Management staff (full time)							
Technical staff (full time)							
Skilled workers (full time)							
Number of part-time staff							
9.2 What are the basic working conditions for employees? (Random interviews with workers)?					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Basic conditions		Yes	No				
Minimum wage according to labour law							
Social welfare policy for workers according to labour law (annual leave, sick leave, maternity leave, social security, bonus, etc.)							

Adequate, clean and safe housing					
Electricity, clean water and drinking water supply					
Food					
Annual health check-up					
Personal protective equipment and safety measures for workers in the workplace					
Equality and equity rights and freedom between men-women					
Control measures and equipment to prevent Covid-19, other viruses and sexually transmitted diseases					
Other:					

10. Training and capacity building for workers

10.1 Has the company organized trainings and sending Lao national staff to any trainings? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Topics	Total number	Female			
10.2 Has any Lao employee been promoted? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the below table			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Positions	Total number	Female			

11. Implementation of Environmental and Social Management Plan

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11.1 Are there any compensations? <input type="checkbox"/> No, <input type="checkbox"/> Yes (<input type="checkbox"/> Completed <input type="checkbox"/> Not completed), If Yes- please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
	Villages	Households	Persons	Values (\$)			
Total number							
Completed number							
11.2 Are there any resettlements/relocation of affected people? <input type="checkbox"/> No, <input type="checkbox"/> Yes (<input type="checkbox"/> Completed <input type="checkbox"/> Not completed), if Yes- please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
	Villages	Households	Persons	Values (\$)			
Total number							
Completed number							
11.3 Is there any assistance provided to relocation host villages? <input type="checkbox"/> No <input type="checkbox"/> Yes, if yes, please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of assistance		Values (\$)					
11.4 Environmental management and mitigation measures					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Topics	Good	Moderate	Not good	n/a			
General waste management							
Water quality and waste water management							
Dust and noise/vibration management							

Hazardous materials and hazardous wastes management, such as herbicides, pesticides and fertilizers							
Erosion and sedimentation management							
Management on transportation, entry and exit of vehicle at the project site							
Soil management							
Management on health and safety of worker							
Affected people livelihood restoration							
Biodiversity / forest restoration							
Other:							
11.5 Has there been any accidents within or related to the project? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Effects	Total number	Provided Assistance					
Effectuated People							
Death							
11.6 Has there been any complaints/grievances from the communities? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Complaint topics		Corrective actions					
11.7 Is there a rehabilitation plan after the project ended? <input type="checkbox"/> Yes <input type="checkbox"/> No					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	

11.8 Is there a reserved budget for environmental rehabilitation activities after the project ended? <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
11.9 Does the company have insurance for fixed assets and non-fixed assets? <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
12. International standards				
12.1 Does the project/ company operate in accordance with any international standards?	<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify which international standards <input type="checkbox"/> Equator Principles <input type="checkbox"/> Global Reporting Initiative <input type="checkbox"/> UN Guiding Principles on Business and Human Right <input type="checkbox"/> IFC Performance Standards <input type="checkbox"/> ISO..... <input type="checkbox"/> Voluntary principles on Security and Human Rights <input type="checkbox"/> Organic <input type="checkbox"/> Fair Trade <input type="checkbox"/> other,	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
13. Investment problems encountered by investors and their recommendations				
13.1 Problems encountered during the project operation	<input type="checkbox"/> Permits/licenses/certificates <input type="checkbox"/> Outstanding issues <input type="checkbox"/> National policies and regulations <input type="checkbox"/> Project reporting to government <input type="checkbox"/> Payment of taxes and fees <input type="checkbox"/> Investment tax and duty incentives <input type="checkbox"/> Source materials for operations <input type="checkbox"/> Access to electricity and water <input type="checkbox"/> Markets (domestic and international markets) <input type="checkbox"/> Suppliers <input type="checkbox"/> Contracts (buy-sale, contract farming joint venture agreement, and other agreements) <input type="checkbox"/> Processing/manufacturing <input type="checkbox"/> Labour <input type="checkbox"/> Transportation/logistics <input type="checkbox"/> Sales/after sales/services <input type="checkbox"/> other (if have)			

13.2 Recommendations from investors				
13.3 Follow up actions/further measures				

Annex 1.2

Monitoring Form for Mining Concession (Please select the applicable project stage)

Project name: _____

Investment type: _____

Project location: _____

Date of monitoring mission: ____/____/____

Project status: ☐ Prospecting and Exploration stage – please answer questions in section I☐ Exploitation and Production stage (project development) - please answer questions in section II

Progress of project operation				Reference Document	Compliance	Remarks	
I. Progress of project during Prospecting and Exploration stage							
1. Have your project activities completed according to the timeline defined in the concession agreement or not?							
<input type="checkbox"/> Completed as planned <input type="checkbox"/> Delay Please provide reasons for the delay? <input type="checkbox"/> Legal document issues <input type="checkbox"/> Land issues <input type="checkbox"/> Technical issues <input type="checkbox"/> Access to project site issues <input type="checkbox"/> Internal issues <input type="checkbox"/> Others _____				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
2. Status of the following studies							
Items	Progress	Area (ha)			Returned date	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a
		Completed	Increased	Returned			
Prospecting	<input type="checkbox"/> In progress <input type="checkbox"/> Completed						
Exploration	<input type="checkbox"/> In progress <input type="checkbox"/> Completed						
Feasibility study	<input type="checkbox"/> In progress <input type="checkbox"/> Under review/revision <input type="checkbox"/> Approved						
Environmental impact assessment	<input type="checkbox"/> In progress <input type="checkbox"/> Under review/revision <input type="checkbox"/> Approved						

Progress of project operation		Reference Document	Compliance	Remarks
3. Importing Funds				
Type of Importing Funds	Values (\$)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Registered capital (reporting period)				
Inflows of investment capital in cash				
Inflows of investment capital in kind				
Total imported capital since the beginning of the projects				
4. Project Contributions				
4.1 Contractual contributions		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of contractual contributions	Values (\$)			
Project Management Fund (sector)				
Project Monitoring Fund				
Training/Capacity Fund				
Community Development Fund				
Social Development Fund				
Environmental Protection Fund				
4.2 Non-contractual contributions		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of non-contractual contributions	Values (\$)			
II. Progress of Exploitation and Production stage (project development)				
1. Importing Capital				

Progress of project operation		Reference Document	Compliance	Remarks
Type of Importing funds	Values (\$)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Registered capital (reporting period)				
Inflows of investment capital in cash				
Inflows of investment capital in kind				
Total inflows of investment capital since the beginning of the project				
2. Progress of the project operation				
2.1 Approved investment activity		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.2 Progress of Project Development	<input type="checkbox"/> Implemented as planned, achieved.....% in stage: <input type="checkbox"/> Not implemented as planned, explain.....	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.3 Area of operation/ extractionhectares	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.4 Is there any UXO in the project area?	<input type="checkbox"/> No <input type="checkbox"/> Yes, please answer 2.4.1 and 2.4.2	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.4.1 Did the project finance the cost of UXO survey and UXO clearance?	<input type="checkbox"/> No <input type="checkbox"/> Yes, cleared by which unit/ company?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	

Progress of project operation			Reference Document	Compliance	Remarks	
4.2 Does the project source minerals from outside the project for processing? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Minerals	Volume (tons)	Sources (province)				
5. Sale						
5.1 Unprocessed Ore						
5.1.1 Is there any sale of unprocessed ores in the country? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Type of unprocessed ores	Volume (tons)	Values (\$)				
5.1.2 Is there any export of unprocessed ores? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Type of unprocessed ores	Volume (tons)	Values (\$)				Export country
5.2 Processed Ores						
5.2.1 Is there any sale of processed ores in the country? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below						

Progress of project operation				Reference Document	Compliance	Remarks
Type of processed ore	Volume (tons)	Values (\$)		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
5.2.2 Is there any export of processed ores? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of processed ores	Volume (tons)	Values (\$)	Export country			
6. Investment incentives						
6.1 Received incentives	<input type="checkbox"/> No <input type="checkbox"/> Profit tax exemption <input type="checkbox"/> Value-added tax and duty exemption for imported materials/ equipment and vehicles to be used for the project <input type="checkbox"/> State land rental or concession royalty exemption <input type="checkbox"/> others: _____			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
7. Financial/Taxes obligations						
Items	Values (\$)		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Royalty						
Concession fee						
Income tax						
Import tax						
Profit tax						
Value added tax						
Social security payment						
Dividend tax						
Depreciation						
Other						

Progress of project operation					Reference Document	Compliance	Remarks
8. Project Contributions							
8.1 Contractual contributions					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of contractual contributions		Values (\$)					
Project Management Fund (sector)							
Project Monitoring Fund							
Training/Capacity Fund							
Community Development Fund							
Social Development Fund							
Environmental Protection Fund							
8.2 Non-contractual contributions					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of non-contractual contributions		Values (\$)					
8.3 Using service from domestic companies					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of services	Numbers (company)	Values (\$)					
9. Labour and human resource development							
9.1 Total employees in the project					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of Employment	Lao	Female	Foreign	Female			
Total of full-time staff							
Management staff (full time)							
Technical staff (full time)							

Progress of project operation					Reference Document	Compliance	Remarks
Skilled workers (full time)							
Number of part-time staff							
9.2 What are the basic working conditions for employees? (Random interviews with workers)?					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Basic conditions		Yes	No				
Minimum wage according to labour law							
Social welfare policy for workers according to labour law (annual leave, sick leave, maternity leave, social security, bonus, etc.)							
Adequate, clean and safe housing							
Electricity, clean water and drinking water supply							
Food							
Annual health check-up							
Personal protective equipment and safety measures for workers in the workplace							
Equality and equity rights and freedom between men-women							
Control measures and equipment to prevent Covid-19, other viruses and sexually transmitted diseases							
Other:							
10. Training and capacity building for workers							
10.1 Has the company organized trainings and sending Lao national staff to any trainings? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Topics		Total number	Female				

Progress of project operation			Reference Document	Compliance	Remarks		
10.2 Has any Lao employee been promoted? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the below table			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a			
Positions	Total number	Female					
11. Implementation of Environmental and Social Management Plan							
11.1 Are there any compensations? <input type="checkbox"/> No, <input type="checkbox"/> Yes (<input type="checkbox"/> Completed <input type="checkbox"/> Not completed), If Yes-please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
	Villages	Households	Persons	Values (\$)			
Total number							
Completed number							
11.2 Are there any resettlements/relocation of affected people? <input type="checkbox"/> No, <input type="checkbox"/> Yes (<input type="checkbox"/> Completed <input type="checkbox"/> Not completed), if Yes-please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
	Villages	Households	Persons	Values (\$)			
Total number							
Completed number							
11.3 Is there any assistance provided to relocation host villages? <input type="checkbox"/> No <input type="checkbox"/> Yes, if yes, please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of assistance		Values (\$)					

Progress of project operation					Reference Document	Compliance	Remarks
11.4 Environmental management and mitigation measures					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Topics	Good	Moderate	Not good	n/a			
General waste management							
Water quality and waste water management							
Ore catchment management							
Dust and noise/vibration management							
Hazardous materials and hazardous wastes management							
Erosion and sedimentation management							
Management on transportation, entry and exit of vehicle at the project site							
Soil management							
Management on health and safety of workers							
Affected people livelihood restorations							
Other:							
11.5 Has there been any accidents within or related to the project? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Effects	Total number	Provided Assistance					
Effectuated People							
Death							
11.6 Has there been any complaints/grievances from the communities? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Complaint topics		Corrective actions					

Progress of project operation		Reference Document	Compliance	Remarks
11.7 Is there a rehabilitation plan after the project ended? <input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
11.8 Is there a reserved budget for environmental rehabilitation activities after the project ended? <input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
11.9 Does the company have insurance for fixed assets and non-fixed assets? <input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
12. International standards				
12.1 Does the project/ company operate in accordance with any international standards?	<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify which international standards <input type="checkbox"/> Equator Principles <input type="checkbox"/> Global Reporting Initiative <input type="checkbox"/> UN Guiding Principles on Business and Human Right <input type="checkbox"/> IFC Performance Standards <input type="checkbox"/> ISO..... <input type="checkbox"/> Voluntary principles on Security and Human Rights <input type="checkbox"/> Organic <input type="checkbox"/> Fair Trade <input type="checkbox"/> other,	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
13. Investment problems encountered by investors and their recommendations				

Progress of project operation		Reference Document	Compliance	Remarks
13.1 Problems encountered during the project operation	<input type="checkbox"/> Permits/licenses/certificates issues <input type="checkbox"/> National policies and regulations <input type="checkbox"/> Project reporting to government <input type="checkbox"/> Payment of taxes and fees <input type="checkbox"/> Investment tax and duty incentives <input type="checkbox"/> Source materials for operations <input type="checkbox"/> Access to electricity and water <input type="checkbox"/> Markets (domestic and international markets) <input type="checkbox"/> Suppliers <input type="checkbox"/> Contracts (buy-sale, contract farming joint venture agreement, and other agreements) <input type="checkbox"/> Processing/manufacturing <input type="checkbox"/> Labour <input type="checkbox"/> Transportation/logistics <input type="checkbox"/> Sales/after sales/services <input type="checkbox"/> other (if have)			
13.2 Recommendations from investors				
13.3 Follow up actions/further measures				

Annex 1.3

Monitoring Form for Energy Concession (Please select the applicable project stage)

Project name: _____

Investment type: _____

Project location: _____

Date of monitoring mission: ____/____/____

Project status: ☐ MOU/PDA stage – please answer questions in section I, ☐ concession agreement stage– please answer questions in section II

Progress of project operation			Reference Document	Compliance	Remarks
I. Progress of project during the MOU/PDA stage					
1. Have your project activities completed according to the deadline defined in the Memorandum of Understanding or not yet?					
<input type="checkbox"/> Completed as planned <input type="checkbox"/> Delay Please provide reasons for the delay? <ul style="list-style-type: none"> <input type="checkbox"/> Legal document issues <input type="checkbox"/> Land issues <input type="checkbox"/> Technical issues <input type="checkbox"/> Access to project site issues <input type="checkbox"/> Internal issues <input type="checkbox"/> Others _____ 			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2. Status of the following studies					
Items	Progress	Approval/Certified Date	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Land survey	<input type="checkbox"/> In progress <input type="checkbox"/> Completed				
Environmental impact assessment	<input type="checkbox"/> In progress <input type="checkbox"/> Under review/revision <input type="checkbox"/> Approved				
Feasibility study	<input type="checkbox"/> In progress <input type="checkbox"/> Under review/revision <input type="checkbox"/> Approved				
Concession agreement	<input type="checkbox"/> In progress <input type="checkbox"/> Under review/revision <input type="checkbox"/> Approved				
Power purchase agreement	<input type="checkbox"/> In progress <input type="checkbox"/> Under review/revision <input type="checkbox"/> Completed				

Progress of project operation		Reference Document	Compliance	Remarks
3. Importing Capital				
Type of importing Capital	Corrective actions	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Registered capital (reporting period)				
Inflows of investment capital in cash				
Inflows of investment capital in kind				
Total imported capital since the beginning of the projects				
4. Project Contributions				
4.1 Contractual contributions		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of contractual contributions	Values (\$)			
Project Management Fund (sector)				
Project Monitoring Fund				
Training/Capacity Fund				
Community Development Fund				
Social Development Fund				
Environmental Protection Fund				
4.2 Non-contractual contributions				
Type of non-contractual contributions	Values (\$)			
II. Progress of project during the concession agreement				
1. Importing Capital				
Type of Importing Capital	Values (\$)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Registered capital (reporting period)				
Inflows of investment capital in cash				

Progress of project operation		Reference Document	Compliance	Remarks
Inflows of investment capital in cash		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Total imported capital since the beginning of the projects				
2. Progress of the project operation				
2.1 Progress of Project Development	<input type="checkbox"/> Implemented as planned, achieved.....% in stage: <input type="checkbox"/> Not implemented as planned, explain.....	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.2 Did the project area have UXO?	<input type="checkbox"/> No <input type="checkbox"/> Yes, please answer 2.2.1 and 2.2.2	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.2.1 Did the project finance the cost of UXO survey and UXO clearance?	<input type="checkbox"/> No <input type="checkbox"/> Yes, cleared by which unit/company? _____	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.2.2 How many hectares UXO clearance in the project area?	Total area _____ (hectares) Area cleared UXO _____ (hectares)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
3. Production				
3.1 Commercial Operation Date (COD)	Date/Month/Year:	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
3.2 Electricity generated per year	KW:	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	

Progress of project operation				Reference Document	Compliance	Remarks
3.3 Did the project developer constructed transmission lines?	<input type="checkbox"/> No <input type="checkbox"/> Yes, by which company develops the transmission lines?_____			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
4. Sale						
Country	Electricity generated (KW)	Unit price (\$)	Electricity generated in percentage (%) of the project life	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
5. Investment incentives						
5.1 Received incentives	<input type="checkbox"/> No <input type="checkbox"/> Profit tax exemption <input type="checkbox"/> Value-added tax and duty exemption for imported materials/ equipment and vehicles to be used for the project <input type="checkbox"/> State land rental or concession royalty exemption <input type="checkbox"/> others: _____			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
6. Financial/Taxes obligations						
Items	Values (\$)	<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Royalty						
Concession fee						
Income tax						
Import tax						
Profit tax						
Value added tax						
Social security payment						
Dividend tax						
Depreciation						
Other						

Progress of project operation					Reference Document	Compliance	Remarks
7. Project Contributions							
7.1 Contractual contributions					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of contractual contributions		Values (\$)					
Project Management Fund (sector)							
Project Monitoring Fund							
Training/Capacity Fund							
Community Development Fund							
Social Development Fund							
Environmental Protection Fund							
7.2 Non-contractual contributions					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of non-contractual contributions		Values (\$)					
7.3 Using service from domestic companies					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of services	Numbers (company)	Values (\$)					
8. Labour and human resource development							
8.1 Total employees in the project					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of Employment	Lao	Female	Foreign	Female			
Total of full-time staff							
Management staff (full time)							
Technical staff (full time)							

Progress of project operation					Reference Document	Compliance	Remarks
Skilled workers (full time)							
Number of part-time staff							
8.2 What are the basic working conditions for employees? (Random interviews with workers)?					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Basic conditions		Yes	No				
Minimum wage according to labour law							
Social welfare policy for workers according to labour law (annual leave, sick leave, maternity leave, social security, bonus, etc.)							
Adequate, clean and safe housing							
Electricity, clean water and drinking water supply							
Food							
Annual health check-up							
Personal protective equipment and safety measures for workers in the workplace							
Equality and equity rights and freedom between men-women							
Control measures and equipment to prevent Covid-19, other viruses and sexually transmitted diseases							
Other:							
9. Training and capacity building for Lao national staff							
9.1 Has the company organized trainings and sending Lao national staff to any trainings? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Topics	Total number	Female					

Progress of project operation				Reference Document	Compliance	Remarks	
9.2 Has any Lao employee been promoted? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the below table				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Positions	Total number	Female					
10. Implementation of Environmental and Social Management Plan							
10.1 Are there any compensations? <input type="checkbox"/> No, <input type="checkbox"/> Yes (<input type="checkbox"/> Completed <input type="checkbox"/> Not completed), If Yes- please fill information in the table below				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
	Villages	Households	Persons				Values (\$)
Total number							
Completed number							
10.2 Are there any resettlements/relocation of affected people? <input type="checkbox"/> No, <input type="checkbox"/> Yes (<input type="checkbox"/> Completed <input type="checkbox"/> Not completed), if Yes- please fill information in the table below				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Numbers	Villages	Households	Persons				Values (\$)
Total number							
Completed number							
10.3 Is there any assistance provided to relocation host villages? <input type="checkbox"/> No <input type="checkbox"/> Yes, if yes, please fill information in the table below				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Type of assistance	Values (\$)						

Progress of project operation					Reference Document	Compliance	Remarks
10.4 Environmental management and mitigation measures					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Topics	Good	Moderate	Not good	n/a			
General waste management							
Water quality and waste water management							
Worker camp management							
Biomass management							
Dust and noise/vibration management							
Hazardous materials and hazardous wastes management							
Erosion and sedimentation management							
Management on transportation, entry and exit of vehicle at the project site							
Barrow pit and gravity pit management							
Soil management							
Biodiversity compensation							
Hydrology and water flow management							
Management on health and safety of workers							
Affected people livelihood restoration							
Other:							
10.5 Has there been any accidents within or related to the project?					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
<input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below							
Effects	Total number	Provided Assistance					
Effectuated People							
Death							

Progress of project operation		Reference Document	Compliance	Remarks
10.6 Has there been any complaints/grievances from the communities? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Complaint topics	Corrective actions			
10.7 Is there a rehabilitation plan after the project ended? <input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
10.8 Is there a reserved budget for environmental rehabilitation activities after the project ended? <input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
10.9 Does the company have insurance for fixed assets and non-fixed assets? <input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
11. International standards				
11.1 Does the project/ company operate in accordance with any international standards?	<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify which international standards <input type="checkbox"/> Equator Principles <input type="checkbox"/> Global Reporting Initiative <input type="checkbox"/> UN Guiding Principles on Business and Human Right <input type="checkbox"/> IFC Performance Standards <input type="checkbox"/> ISO..... <input type="checkbox"/> Voluntary principles on Security and Human Rights <input type="checkbox"/> Organic <input type="checkbox"/> Fair Trade <input type="checkbox"/> other,	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
12. Investment problems encountered by investors and their recommendations				

Progress of project operation		Reference Document	Compliance	Remarks
12.1 Problems encountered during the project operation	<input type="checkbox"/> Permits/licenses/certificates issues <input type="checkbox"/> National policies and regulations <input type="checkbox"/> Project reporting to government <input type="checkbox"/> Payment of taxes and fees <input type="checkbox"/> Investment tax and duty incentives <input type="checkbox"/> Source materials for operations <input type="checkbox"/> Access to electricity and water <input type="checkbox"/> Markets (domestic and international markets) <input type="checkbox"/> Suppliers <input type="checkbox"/> Contracts (buy-sale, contract farming joint venture agreement, and other agreements) <input type="checkbox"/> Processing/manufacturing <input type="checkbox"/> Labour <input type="checkbox"/> Transportation/logistics <input type="checkbox"/> Sales/after sales/services <input type="checkbox"/> other (if have)			
12.2 Recommendations from investors				
12.3 Follow up actions/further measures				

Annex 1.4

Monitoring Form for Public-Private Partnership Investment (Please select the applicable project stage)

Project name: _____

Investment type: _____

Project location: _____

Date of monitoring mission: ____/____/____

Project status: ☐ MOU/PDA stage – please answer questions in section I, ☐ concession agreement stage– please answer questions in section II

Progress of project operation		Reference Document	Compliance	Remarks	
I. Progress of project during the MOU stage					
1. Have your project activities completed according to the deadline defined in the Memorandum of Understanding or not yet?					
<input type="checkbox"/> Completed as planned <input type="checkbox"/> Delay Please provide reasons for the delay? <ul style="list-style-type: none"> <input type="checkbox"/> Legal document issues <input type="checkbox"/> Land issues <input type="checkbox"/> Technical issues <input type="checkbox"/> Access to project site issues <input type="checkbox"/> Internal issues <input type="checkbox"/> Others _____ 		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
2. Status of the following studies					
Items	Progress	Approval/Certified Date	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Land survey	<input type="checkbox"/> In progress <input type="checkbox"/> Completed				
Environmental impact assessment	<input type="checkbox"/> In progress <input type="checkbox"/> Under review/revision <input type="checkbox"/> Approved				
Feasibility study	<input type="checkbox"/> In progress <input type="checkbox"/> Under review/revision <input type="checkbox"/> Approved				
3. Importing Capital					
Type of importing Capital	Value (\$)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Registered capital (reporting period)					
Inflows of investment capital in cash					

Progress of project operation		Reference Document	Compliance	Remarks
Inflows of investment capital in kind				
Total imported capital since the beginning of the projects				
4. Project Contributions				
4.1 Contractual contributions		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of contractual contributions	Values (\$)			
Project Management Fund (sector)				
Project Monitoring Fund				
Training/Capacity Fund				
Community Development Fund				
Social Development Fund				
Environmental Protection Fund				
PPP Fund				
4.2 Non-contractual contributions		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of non-contractual contributions	Values (\$)			
II. Progress of project during the concession agreement				
1. Importing Capital				
Type of Importing Capital	Values (\$)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Registered capital (reporting period)				
Inflows of investment capital in cash				
Inflows of investment capital in kind				
Total capital imported since beginning of the project				
2. Progress of the project operation				

Progress of project operation		Reference Document	Compliance	Remarks
2.1 Progress of Project Development	<input type="checkbox"/> Implemented as planned, achieved.....% in stage: <input type="checkbox"/> Not implemented as planned, explain.....	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.2 Project land use	Land area has been used/implemented.....hectares	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.3 Did the project area have UXO?	<input type="checkbox"/> No <input type="checkbox"/> Yes, please answer 2.3.1 and 2.3.2	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.3.1 Did the project finance the cost of UXO survey and UXO clearance?	<input type="checkbox"/> No <input type="checkbox"/> Yes, cleared by which unit/company? _____	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.3.2 How many hectares UXO clearance in the project area?	Total area _____ (hectares) Area cleared UXO _____ (hectares)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
3. Investment incentives				
3.1 Received incentives	<input type="checkbox"/> No <input type="checkbox"/> Profit tax exemption <input type="checkbox"/> Value-added tax and duty exemption for imported materials/equipment and vehicles to be used for the project <input type="checkbox"/> State land rental or concession royalty exemption <input type="checkbox"/> others: _____	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
4. Financial/Taxes obligations				
Items	Values (\$)			
Royalty				
Concession fee				

Progress of project operation		Reference Document	Compliance	Remarks	
Income tax		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Import tax					
Profit tax					
Value added tax					
Social security payment					
Dividend tax					
Depreciation					
Other					
5. Project Contributions					
5.1 Contractual contributions		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Type of contractual contributions	Values (\$)				
Project Management Fund (sector)					
Project Monitoring Fund					
Training/Capacity Fund					
Community Development Fund					
Social Development Fund					
Environmental Protection Fund					
PPP Fund					
5.2 Non-contractual contributions		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Type of non-contractual contributions	Values (\$)				
5.3 Using service from domestic companies		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Type of services	Numbers (company)				Values (\$)

Progress of project operation					Reference Document	Compliance	Remarks
6. Labour and human resource development							
6.1 Total employees in the project					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of Employment	Lao	Female	Foreign	Female			
Total of full-time staff							
Management staff (full time)							
Technical staff (full time)							
Skilled workers (full time)							
Number of part-time staff							
6.2 What are the basic working conditions for employees? (Random interviews with workers)?					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Basic conditions		Yes	No				
Minimum wage according to labour law							
Social welfare policy for workers according to labour law (annual leave, sick leave, maternity leave, social security, bonus, etc.)							
Adequate, clean and safe housing							
Electricity, clean water and drinking water supply							
Food							
Annual health check-up							
Personal protective equipment and safety measures for workers in the workplace							
Equality and equity rights and freedom between men-women							
Control measures and equipment to prevent Covid-19, other viruses and sexually transmitted diseases							
Other:							

Progress of project operation					Reference Document	Compliance	Remarks
7. Training and capacity building for Lao national staff							
7.1 Has the company organized trainings and sending Lao national staff to any trainings? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Topics	Total number	Female					
7.2 Has any Lao employee been promoted? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the below table					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Positions	Total number	Female					
8. Implementation of Environmental and Social Management Plan							
8.1 Are there any compensations? <input type="checkbox"/> No, <input type="checkbox"/> Yes (<input type="checkbox"/> Completed <input type="checkbox"/> Not completed), If Yes-please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
	Villages	Households	Persons	Values (\$)			
Total number							
Completed number							
8.2 Are there any resettlements/relocation of affected people? <input type="checkbox"/> No, <input type="checkbox"/> Yes (<input type="checkbox"/> Completed <input type="checkbox"/> Not completed), if Yes-please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
	Villages	Households	Persons	Values (\$)			
Total number							
Completed number							

Progress of project operation					Reference Document	Compliance	Remarks			
8.3 Is there any assistance provided to relocation host villages? <input type="checkbox"/> No, <input type="checkbox"/> Yes, please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a				
Type of assistance	Values (\$)									
8.4 Environmental management and mitigation measures					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a				
Topics	Good	Moderate	Not good	n/a						
General waste management										
Water quality and waste water management										
Worker camp management										
Dust and noise/vibration management										
Hazardous materials and hazardous wastes management										
Erosion and sedimentation management										
Management on transportation, entry and exit of vehicle at the project site										
Borrow pit and gravity pit management										
Soil management										
Management on health and safety of workers										
Affected people livelihood restoration										
Other:										

Progress of project operation			Reference Document	Compliance	Remarks
8.5 Has there been any accidents within or related to the project? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Effects	Total number	Provided Assistance			
Effected People					
Death					
8.6 Has there been any complaints/grievances from the communities? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Complaint topics		Corrective actions			
8.7 Is there a rehabilitation plan after the project ended? <input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
8.8 Is there a reserved budget for environmental rehabilitation activities after the project ended? <input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
8.9 Does the company have insurance for fixed assets and non-fixed assets? <input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
9. International standards					
9.1 Does the project/ company operate in accordance with any international standards?	<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify which international standards <input type="checkbox"/> Loans from bank groups <input type="checkbox"/> Equator Principles <input type="checkbox"/> Global Reporting Initiative <input type="checkbox"/> UN Guiding Principles on Business and Human Right <input type="checkbox"/> IFC Performance Standards <input type="checkbox"/> ISO.....		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	

Progress of project operation		Reference Document	Compliance	Remarks
	<input type="checkbox"/> Voluntary principles on Security and Human Rights <input type="checkbox"/> Organic <input type="checkbox"/> Fair Trade <input type="checkbox"/> other,			
10. Investment problems encountered by investors and their recommendations				
10.1 Problems encountered during the project operation	<input type="checkbox"/> Permits/licenses/certificates issues <input type="checkbox"/> National policies and regulations <input type="checkbox"/> Project reporting to government <input type="checkbox"/> Payment of taxes and fees <input type="checkbox"/> Investment tax and duty incentives <input type="checkbox"/> Source materials for operations <input type="checkbox"/> Access to electricity and water <input type="checkbox"/> Markets (domestic and international markets) <input type="checkbox"/> Suppliers <input type="checkbox"/> Contracts (buy-sale, contract farming joint venture agreement, and other agreements) <input type="checkbox"/> Processing/manufacturing <input type="checkbox"/> Labour <input type="checkbox"/> Transportation/logistics <input type="checkbox"/> Sales/after sales/services <input type="checkbox"/> other (if have)			
10.2 Recommendations from investors				
10.3 Follow up actions/further measures				

Annex 1.5

Monitoring Form for Other Concession (Please select the applicable project stage)

Project name: _____

Investment type: _____

Project location: _____

Date of monitoring mission: ____/____/____

Project status: ☐ MOU stage – please answer questions in section, ☐ concession agreement stage– please answer questions in section II

Progress of project operation		Reference Document	Compliance	Remarks	
I. Progress of project during the MOU stage					
1. Have your project activities completed according to the deadline defined in the MOU or not?					
<input type="checkbox"/> Completed as planned <input type="checkbox"/> Delay Please provide reasons for the delay? <ul style="list-style-type: none"> <input type="checkbox"/> Legal document issues <input type="checkbox"/> Land issues <input type="checkbox"/> Technical issues <input type="checkbox"/> Access to project site issues <input type="checkbox"/> Internal issues <input type="checkbox"/> Others _____ 		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
2. Status of the following studies					
Items	Progress	Approval/Certified Date	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Land survey	<input type="checkbox"/> In progress <input type="checkbox"/> Completed				
Environmental impact assessment	<input type="checkbox"/> In progress <input type="checkbox"/> Under review/revision <input type="checkbox"/> Approved				
Feasibility study	<input type="checkbox"/> In progress <input type="checkbox"/> Under review/revision <input type="checkbox"/> Approved				
3. Importing Capital					
Type of importing Capital	Value (\$)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Registered capital (reporting period)					
Inflows of investment capital in cash					

Progress of project operation		Reference Document	Compliance	Remarks
Inflows of investment capital in kind				
Total imported capital since the beginning of the projects				
4. Project Contributions				
4.1 Contractual contributions		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of contractual contributions	Values (\$)			
Project Management Fund (sector)				
Project Monitoring Fund				
Training/Capacity Fund				
Community Development Fund				
Social Development Fund				
Environmental Protection Fund				
4.2 Non-contractual contributions		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of non-contractual contributions	Values (\$)			
II. Progress of project during the concession agreement				
1. Importing Capital				
Type of Importing Capital	Values (\$)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Registered capital (reporting period)				
Inflows of investment capital in cash				
Inflows of investment capital in kind				
Total capital imported since beginning of the project				
2. Progress of the project operation				

Progress of project operation		Reference Document	Compliance	Remarks
2.1 Approved investment activity		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.2 Operation license approved by respective sector	<input type="checkbox"/> Yes, dated..... <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.3 Progress of project development	<input type="checkbox"/> Implemented as planned, achieved.....% in stage: <input type="checkbox"/> Not implemented as planned, explain.....	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.4 Project land use	Land area has been used/implemented.....hectares			
2.5 Did the project area have UXO?	<input type="checkbox"/> No <input type="checkbox"/> Yes, please answer 2.5.1 and 2.5.2	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.5.1 Did the project finance the cost of UXO survey and UXO clearance?	<input type="checkbox"/> No <input type="checkbox"/> Yes, cleared by which unit/company? _____	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
2.5.2 How many hectares UXO clearance in the project area?	Total area _____ (hectares) Area cleared UXO _____ (hectares)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
3. Investment incentives				
3.1 Received incentives	<input type="checkbox"/> No <input type="checkbox"/> Profit tax exemption <input type="checkbox"/> Value-added tax and duty exemption for imported materials/equipment and vehicles to be used for the project	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	

Progress of project operation			Reference Document	Compliance	Remarks	
<input type="checkbox"/> State land rental or concession royalty exemption <input type="checkbox"/> others: _____						
4. Financial/Taxes obligations						
Items	Values (\$)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a			
Royalty						
Concession fee						
Income tax						
Import tax						
Profit tax						
Value added tax						
Social security payment						
Dividend tax						
Depreciation						
Other						
5. Project Contributions						
5.1 Contractual contributions		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a			
Type of contractual contributions	Values (\$)					
Project Management Fund (sector)						
Project Monitoring Fund						
Training/Capacity Fund						
Community Development Fund						
Social Development Fund						
Environmental Protection Fund						
5.2 Non-contractual contributions		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a			
Type of non-contractual contributions	Values (\$)					
5.3 Using service from domestic companies			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a		
Type of services	Numbers (company)	Values (\$)				

Progress of project operation					Reference Document	Compliance	Remarks
6. Labour and human resource development							
6.1 Total employees in the project					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of Employment	Lao	Female	Foreign	Female			
Total of full-time staff							
Management staff (full time)							
Technical staff (full time)							
Skilled workers (full time)							
Number of part-time staff							
6.2 What are the basic working conditions for employees? (Random interviews with workers)?					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Basic conditions		Yes	No				
Minimum wage according to labour law							
Social welfare policy for workers according to labour law (annual leave, sick leave, maternity leave, social security, bonus, etc.)							
Adequate, clean and safe housing							
Electricity, clean water and drinking water supply							
Food							
Annual health check-up							
Personal protective equipment and safety measures for workers in the workplace							
Equality and equity rights and freedom between men-women							
Control measures and equipment to prevent Covid-19, other viruses and sexually transmitted diseases							
Other:							

Progress of project operation					Reference Document	Compliance	Remarks
7. Training and capacity building for Lao national staff							
7.1 Has the company organized trainings and sending Lao national staff to any trainings? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Topics	Total number	Female					
7.2 Has any Lao employee been promoted? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the below table					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Positions	Total number	Female					
8. Implementation of Environmental and Social Management Plan							
8.1 Are there any compensations? <input type="checkbox"/> No, <input type="checkbox"/> Yes (<input type="checkbox"/> Completed <input type="checkbox"/> Not completed), If Yes-please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
	Villages	Households	Persons	Values (\$)			
Total number							
Completed number							
8.2 Are there any resettlements/relocation of affected people? <input type="checkbox"/> No, <input type="checkbox"/> Yes (<input type="checkbox"/> Completed <input type="checkbox"/> Not completed), if Yes-please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
	Villages	Households	Persons	Values (\$)			
Total number							
Completed number							

Progress of project operation					Reference Document	Compliance	Remarks
8.3 Is there any assistance provided to relocation host villages? <input type="checkbox"/> No, <input type="checkbox"/> Yes (<input type="checkbox"/> Completed <input type="checkbox"/> Not completed), if Yes-please fill information in the table below					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Type of assistance		Values (\$)					
8.4 Environmental management and mitigation measures					<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Topics	Good	Moderate	Not good	n/a			
General waste management							
Water quality and waste water management							
Worker camp management							
Dust and noise/vibration management							
Hazardous materials and hazardous wastes management							
Erosion and sedimentation management							
Management on transportation, entry and exit of vehicle at the project site							
Borrow pit and gravity pit management							
Soil management							
Management on health and safety of workers							
Affected people livelihood restoration							
Other:							

Progress of project operation			Reference Document	Compliance	Remarks
8.5 Has there been any accidents within or related to the project? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Effects	Total number	Provided Assistance			
Effected People					
Death					
8.6 Has there been any complaints/grievances from the communities? <input type="checkbox"/> No <input type="checkbox"/> Yes, please fill information in the table below			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
Complaint topics		Corrective actions			
8.7 Is there a rehabilitation plan after the project ended? <input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
8.8 Is there a reserved budget for environmental rehabilitation activities after the project ended? <input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
8.9 Does the company have insurance for fixed assets and non-fixed assets? <input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	
9. International standards					
9.1 Does the project/ company operate in accordance with any international standards?	<input type="checkbox"/> No <input type="checkbox"/> Yes, please specify which international standards <input type="checkbox"/> Loans from bank groups <input type="checkbox"/> Equator Principles <input type="checkbox"/> Global Reporting Initiative <input type="checkbox"/> UN Guiding Principles on Business and Human Right <input type="checkbox"/> IFC Performance Standards <input type="checkbox"/> ISO.....		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Compliance <input type="checkbox"/> Non-compliance <input type="checkbox"/> Outstanding issues <input type="checkbox"/> n/a	

Progress of project operation		Reference Document	Compliance	Remarks
	<input type="checkbox"/> Voluntary principles on Security and Human Rights <input type="checkbox"/> Organic <input type="checkbox"/> Fair Trade <input type="checkbox"/> other,			
10. Investment problems encountered by investors and their recommendations				
10.1 Problems encountered during the project operation	<input type="checkbox"/> Permits/licenses/certificates issues <input type="checkbox"/> National policies and regulations <input type="checkbox"/> Project reporting to government <input type="checkbox"/> Payment of taxes and fees <input type="checkbox"/> Investment tax and duty incentives <input type="checkbox"/> Source materials for operations <input type="checkbox"/> Access to electricity and water <input type="checkbox"/> Markets (domestic and international markets) <input type="checkbox"/> Suppliers <input type="checkbox"/> Contracts (buy-sale, contract farming joint venture agreement, and other agreements) <input type="checkbox"/> Processing/manufacturing <input type="checkbox"/> Labour <input type="checkbox"/> Transportation/logistics <input type="checkbox"/> Sales/after sales/services <input type="checkbox"/> other (if have)			
10.2 Recommendations from investors				
10.3 Follow up actions/further measures				

Annex 2

Template for Site Monitoring Plan



Lao People's Democratic Republic

Peace Independence Democracy Unity Prosperity

Ministry of Planning and Investment
(or Province: Or District:)
Department of Investment Promotion
(or Provincial Department:)

No. ____/.....
Province, Dated:

Attention: Director General of Investment Promotion Department
(or Head of Provincial Department:)

Subject: Site Monitoring Plan for Project: date:to
date:month.....year

- Pursuant to the Law on Investment Promotion , No. 032/NA, dated 17 November 2016;
- Pursuant to Decision on the Organization and Mandate of Investment Promotion Department, No., dated.....;
- Pursuant to..... (complaint / request letter.....)

The monitoring team for concession project monitoring is pleased to inform you that in order to follow up the implementation of concession agreement of the project:, No..... dated:year: and in order to ensure the effective implementation of concession agreement in accordance with the designated objectives and targets in a timely manner; the technical team for concession project monitoring therefore prepared this site monitoring plan to be conducted between (date)...../...../..... to (date)...../...../..... in (province).....

Detailed work plan and schedule for the conduct of site inspection of the concession project is provided in the attachment.

Therefore, the monitoring team is pleased to provide this report in order to seek your direction and approval on the implementation of this plan with your kind consideration.

Head of the project monitoring team



Lao People's Democratic Republic
Peace Independence Democracy Unity Prosperity

Ministry of Planning and Investment

(or Province: Or District:)

Investment Promotion Department

Investment Project Management, Monitoring and Evaluation Division

No. ____/.....

Vientiane Capital, Dated:

Site Monitoring Plan for Concession Project

Project:.....

1. Introduction

(This section provides an overview of the project especially the background and status on the implementation of concession agreement and the requirements for the monitoring of relevant authorities)

2. Objectives

(This section presents the key objectives of the site monitoring plan for investment monitoring). For example:

The monitoring objective is to implement the Law on Investment Promotion (2016), Article 104 and concession agreement, No:dated: thereby the monitoring has the following objectives:

- Monitoring the implementation of obligations as identified in the concession agreement;
- Monitoring the implementation of investment procedures as described in the feasibility study;
- Inspecting the environmental protection as outlined in the Environmental and Social Management Plan, including potential impacts on state assets, communities, investor and developer;
- Monitoring the implementation of occupational health and safety measures;
- Monitoring the compliance with relevant laws and regulations;
- Monitoring incidents, issues and complaints associated the project with site investigations on how the project responded to such issues.

3. Expected Outcomes

(This section presents expected outcomes of the monitoring of the project aims to achieve each of the objectives identified in Section 2 above). For example:

- To gain an update on the progress and achievement on the implementation of obligations as stipulated in concession agreement, including regulatory requirements, financial obligations, environmental and social commitments, and labour requirements based on concession agreement or relevant laws and regulations;
- To provide recommendations to the project operator on mitigation measures of pending issues / residual impacts based on concession agreement (if applicable);

- Identify potential punishment measures against project developers (if required) such as warning, penalty on cases basis.

4. Project site monitoring schedule

Monitoring date and time	Description of monitoring	Responsibility
Day 1, date: Time:		

5. List of the Monitoring Team

Monitoring team members for concession project monitoring consists the following:

1. Mr.....
2. Mr.....

6. Duty and responsibility of the monitoring team

The monitoring team for the concession project monitoring has the following duties and responsibilities:

- Organize and participate in stakeholder consultations and site investigation activities;
- Collect data and prepare a memorandum based on the results of monitoring;
- The head of the monitoring team sign the memorandum of the monitoring results with the project representative;
- Provide recommendations to the project operator for addressing issues including environmental and social impacts associated with the investment project based on the site monitoring;
- Prepare a monitoring report to inform the line management;
- Coordinate with relevant authorities prior to and after project monitoring activities;
- Other responsibilities.

7. Approach, method and tools used for project monitoring activities

7.1 Project's environmental monitoring approach

- Actual observation, collect and analyze additional information obtained from the project operator;
- Use monitoring checklist;
- Taking video and photos;
- Prepare meeting minutes and monitoring report;
- Conduct appropriate interviews and consultations with project operators, local authorities and impacted people;
- Collect samples for laboratory analysis (if required).

7.2 Tools and equipment used for monitoring

- Video and photographic cameras, interview forms for relevant stakeholders;
- Papers, notebooks, printer, pens, high visibility life vest, rain coat, safety boots, etc. as necessary;
- Monitoring and sampling equipment include GPS, maps indicating project areas or sampling locations, air and water quality monitoring kits, equipment or materials for soil sample collection and so forth as necessary.

8. Project monitoring budget

(This section outlines budget preparation for concession project monitoring activities including food and accommodation allowances, vehicle rental and fuel costs, photocopy costs, etc. The budget planning is based on the budget plan for annual monitoring allocated in of the project).

For example: Budget for monitoring activities of the project is provided in the following table:

No.	Description	Unit	Price/unit (LAK)	Amount	Total (LAK)	Remark
	Total:					

Director General

Head of Administration and
Planning Division

Head of Technical Team
for Project Monitoring

Annex 3

Template for Notification Letter to Local Authorities on Monitoring Plan



Lao People's Democratic Republic
Peace Independence Democracy Unity Prosperity

Ministry of Planning and Investment

(or Province: Or District:)

Investment Promotion Department

Investment Project Management, Monitoring and Evaluation Division

No. ____/____

Vientiane Capital, Dated:

Attention: Provincial Department of Planning and Investment of.....

(Head of District Planning and Investment Office of.....)

Subject: Site monitoring plan for concession project of dated:to

(date):.....month.....year

- Pursuant to the Law on Investment Promotion, No. 032/NA, dated 17 November 2016;
- Pursuant to Decision on the Organization and Mandate of Investment Promotion Department,, dated
- Pursuant to the Organization and Mandate of Provincial Department of Planning and Investment, No:/..., dated:month:year:
- Pursuant to.....(complaint / letter:)

The Investment Promotion Department (or Provincial Department of Planning and Investment) is pleased to inform you that the Investment Promotion Department (or Provincial Department of Planning and Investment) is planning to conduct a site monitoring of concession project of in (province)..... date:.....to date.....month.....year.....

In order to ensure the effective implementation of project monitoring activities, the Investment Promotion Department (or Provincial Planning and Investment Department) would like to invite.....representatives from your organization to join the monitoring team for project monitoring mission that has been assigned by the Investment Promotion Department (or Provincial Investment Promotion Department) on site monitoring of concession project progress. We would also request your support on coordination with relevant key stakeholders (list of key local stakeholders is attached herewith) to participate in the project monitoring. The monitoring schedule and description of activities are also provided. Therefore, we would like to seek your cooperation with kind consideration.

Investment Promotion Department (or Provincial Department of Planning and Investment)

Annex 4

Template for Notification Letter to Project Developer on Site Monitoring Plan and Schedule



Lao People's Democratic Republic
Peace Independence Democracy Unity Prosperity

Ministry of Planning and Investment

(or Province: Or District:)

Investment Promotion Department

Investment Project Management, Monitoring and Evaluation Division

No. ____/.....

Vientiane Capital, Dated:

Attention:, Director of (company name)

Subject: Site monitoring plan of concession project for.....(project) between
(date).....to (date).....month.....year

- Pursuant to the Law on Investment Promotion, No. 032/NA, dated 17 November 2016;
- Pursuant to Decision on the Organization and Mandate of Investment Promotion
- Pursuant to.....(complaint / letter:)

The Investment Promotion Department (or Provincial Department of Planning and Investment) is pleased to inform you that the Investment Promotion Department (or Provincial Department of Planning and Investment) is planning to conduct a site monitoring of concession project of in (province) between.....date:.....to date.....month.....year.....

In order to ensure the success of monitoring activities, the Investment Promotion Department (or Provincial Department of Planning and Investment) is pleased to inform you and invite relevant project technical team to provide a brief overview on the project status through the implementation of concession agreement requirements as well as regulatory, financial, environmental and social obligations, and labor conditions. Your participation and support for our technical team during project site monitoring is necessary to achieve the desired objectives. For details of project monitoring activities are attached herewith.

Therefore, we would like to inform you and your kind cooperation is much appreciated.

Investment Promotion Department (or Provincial Department of Planning and Investment)

Annex 5

Template for Invitation Letter to Relevant Agencies to participate in Site Monitoring



Lao People's Democratic Republic
Peace Independence Democracy Unity Prosperity

Ministry of Planning and Investment

(or Province: Or District:)

Investment Promotion Department

Investment Project Management, Monitoring and Evaluation Division

No. ____/____

Vientiane Capital, Dated:

Attention: Director General of(Provincial Department.....)
 (Head of Office.....)

Subject: Site Monitoring Plan for Concession Project Monitoring of
 Project to be conducted between (date).....to (date)(month)year

- Pursuant to the Law Investment Promotion, No. 032/NA, dated 17 November 2016;
- Pursuant to Decision on the Organization and Mandate of Investment Promotion Department,, dated
- Pursuant to the Organization and Mandate of Provincial Department of Planning and Investment, No:/..., dated:month:year:;
- Pursuant to.....(complaint / letter:

The Investment Promotion Department (or Provincial Department of Planning and Investment) is pleased to inform you that the Investment Promotion Department (or Provincial Department of Planning and Investment) is planning to conduct a site monitoring of concession project of in (province) between.....date:.....to date.....month.....year.....

In order to ensure the effective implementation of project monitoring activities, the Investment Promotion Department (or Provincial Planning and Investment Department) would like to invite..... representatives from your organization to join the monitoring team for project monitoring mission that has been assigned by the Investment Promotion Department (or Provincial Investment Promotion Department) on site monitoring of concession project progress. We would also request your support on coordination with relevant key stakeholders (list of key local stakeholders is attached herewith) to participate in the project monitoring. The monitoring schedule and description of activities are also provided.

Therefore, we would like to inform you and your kind cooperation is much appreciated.

Investment Promotion Department (or Provincial Department of Planning and Investment)

Annex 6

Template for Monitoring Minute



Lao People's Democratic Republic
Peace Independence Democracy Unity Prosperity

Minutes of Project Monitoring Findings

The monitoring team consists of Mr....., as the monitoring team leader in cooperation with technical staff representing (company) or project developer (name) as well as relevant stakeholders prepared this record to summarize key findings from site inspection on the implementation of concession agreement, conducted on (date) with the participation of stakeholders provided in the Annex 3.

Based on the site investigation of the project implementation, both parties agreed on key findings and recommendations to address issues identified during this site monitoring.

1. Overall Project Progress

Theproject is located....., with a total area / production capacity..... coveringVillage.....District,Province.....the project operator.....has signed a concession agreement with the Ministry..... representing the GOL on (date)with the concession period of.....year. To date, the project development is(construction/ operation/decommission) and has overall progress% of the project development plan (more details are provided in Annex 2 of the project proposal, if available). Key project activities completed to date include:

- ;
- ;
-

Primary tools used during site monitoring are provided in the checklist for monitoring of obligation implementation with details in Attachment 1. Key results from the implementation of obligations as identified in concession agreement are provided bellowing:

2. Key compliance obligations as identified in concession agreement

No.	Key compliance obligations	Article in CA (TBC)	Comment
1.			
2.			
3.			
4.			

3. Non-compliance obligations as identified in concession agreement

No.	Non-compliance obligations	Article in CA	Proposed mitigation	Timeframe
1.				
2.				
3.				
4.				

4. Recommendations from project affected people

- ;
- ;

5. Comments / Recommendations from Project operator / investor

- ;
- ;

This minute is prepared as a reference to validate the results of project monitoring carried out by the monitoring team for project monitoring and it will be used as a reference to follow during follow up investigation on corrective action for each issue identified during site monitoring thereby the project operator is required to implement and the technical will conduct further monitoring.

At, Date:

Project Representative

Head of Technical Monitoring Team

Attachment:

- Attachment 1: Monitoring Form
- Attachment 2: Project Progress/Update, if available
- Attachment 3: List of participants in the project monitoring

Annex 7

Template for Notification Letter to Project Developer on Project Monitoring Findings



Lao People's Democratic Republic
Peace Independence Democracy Unity Prosperity

Ministry of Planning and Investment

(or Province: Or District:)

Investment Promotion Department

Investment Project Management, Monitoring and Evaluation Division

No. ____/.....

Vientiane Capital, Dated:

Attention: Director of (company)....., owner of (project)

Subject: First Notification to Project Developer for Corrective Actions

- Pursuant to the Law on Investment Promotion, No. 032/NA, dated 17 November 2016;
- Pursuant to Environment Protection Law (amended), No. 29/NA, dated 18 December 2012;
- According to a Minutes of Project Monitoring Findings, No.....dated:

The Investment Promotion Department (or Provincial Department of Planning and Investment) is pleased to inform you that the Investment Promotion Department (or Provincial Department of Planning and Investment) has conducted project monitoring on the implementation of concession agreement of (project) in (province).....between (date).....to (date).....(month).....(year)

The Investment Promotion Department (or Provincial Department of Planning and Investment) identified some obligations and non-compliant issues or environmental and social impacts that the project developer has not fulfilled as per the concession agreement and the Environmental and Social Management Plan. These issues have also been identified in the memorandum of site monitoring and provided in the attachment.

Therefore, the Investment Promotion Department (or Provincial Department of Planning and Investment Promotion) would like to notify the project developer and require to address pending obligations or issues as outlined in the memorandum of site investigation or in the following table which need to be completed and reported to the Investment Promotion Department (or Provincial Department of Planning and Investment) within 90 business days. Description of timeframe of corrective actions is provided in the following table:

No.	Non-compliance obligations	Article in CA	Recommendation for Corrective Actions	Schedule
1.				
2.				
3.				
4.				

Based on the comments above-mentioned, if the company does not take appropriate mitigation actions, relevant authorities will impose measures as stipulated in (i) Article 85 of the Law on Investment Promotion , No. 032/NA, dated: 17 November 2016; (ii) Article 92, Article 93, Article 94, Article 95, Article 96 and Article 97 of the Environment Protection Law, No. 29/NA, dated; 18 December 2012; (iii) and Articleof project concession agreement based on case by case.

Therefore, I would like to inform the project developer to take appropriate actions.

The Investment Promotion Department (or Provincial Department of Planning and Investment)

Annex 8

Template for Second Notification Letter to Project Developer for Corrective Actions



Lao People's Democratic Republic
Peace Independence Democracy Unity Prosperity

Ministry of Planning and Investment

(or Province: Or District:)

Investment Promotion Department

Investment Project Management, Monitoring and Evaluation Division

No. ____/____

Vientiane Capital, Dated:

Attention: Director of (company)....., owner of (project)

Subject: Second Warning Letter for Corrective Actions

- Pursuant to the Law on Investment Promotion, No. 032/NA, dated 17 November 2016;
- Pursuant to Environment Protection Law (amended), No. 29/NA, dated 18 December 2012;
- According to a Minutes of Project Monitoring Findings, No.....dated:
- According to the first Notification Letter to Project Developer on Project Monitoring Findings, No.date:

The Investment Promotion Department (or Provincial Department of Planning and Investment) would like to notify the project developer that your project has not submitted a progress report on the corrective actions to fulfill obligations or issues as identified in the Minutes of Project Monitoring Findings, No.....dated:and the first Notification Letter to Project Developer on Project Monitoring Findings, No.date:for (project)in (province).....between (date).....to (date)(month).....(year)

Therefore, the Investment Promotion Department (or Provincial Department of Planning and Investment) issued this second warning to remind the project developer to complete corrective actions and fulfill the obligations as identified in the first warning letter which need to be completed and reported to Investment Promotion Department (or Provincial Department of Planning and Investment) within 60 business days.

Based on the comments above-mentioned, if the company does not take appropriate mitigation actions, relevant authorities will impose measures as stipulated in (i) Article 85 of the Law Investment Promotion No. 032/NA, dated: 17 November 2016; (ii) Article 92, Article 93, Article 94, Article 95, Article 96 and Article 97 of the Environment Protection Law, No. 29/NA, dated; 18 December 2012; (iii) and Articleof project concession agreement based on case by case.

Therefore, I would like to inform the project developer to take appropriate actions.

The Investment Promotion Department (or Provincial Department of Planning and Investment)

Annex 9

Template for Letter of Enforcement



Lao People's Democratic Republic Peace Independence Democracy Unity Prosperity

Ministry of Planning and Investment

No. ____/MPI

Vientiane Capital, Dated:

Example of Contract Termination and Withdrawal of Investment License

- Pursuant to Investment Promotion Law, No. 14/NA, dated: 17 November 2016;
- Pursuant to the Law on No., dated:
- According to concession agreement on, project..... located in (village)....., (district) (province) which has been signed between the GOL and (company) (province....., country.....) dated:
- According to the decision of the National Committee for Investment Promotion and Management on and based on the minutes of the meeting No., dated:
- According to the Notification of the Prime Minister Office No./PMO, dated:

The Ministry of Planning and Investment notifies the following:

- 1: Terminate contract for exploration and mining license In (village)....., (district) (province) that has been signed between the GOL and the company(province....., country) No.; and investment license (contract renewal) No...../MPI.I4, dated:017.
The effective contract termination include: the contract is terminated, 2. The project area is overlapped with(project).
- 2: All relevant parties, stakeholders and sectors to be informed regarding the contract termination for exploration and mining operations in (village)....., (district) (province) that was signed between the GOL and the company (province.....,) dated:; and the investment license (contract renewal) No./MPI.I4, dated:
- 3: This contract termination and withdrawal of investment license is effective from the date of issuance of this letter. If the investor remains in debt and other obligations with individuals, entity, the investor (company) shall summarize and provide payment in accordance with relevant laws and regulations.

Minister

Annex 10

Template for 6-month Report from Provincial Department of Planning and Investment



Lao People's Democratic Republic Peace Independence Democracy Unity Prosperity

Department of Planning and Investment
(Province

No. ____/.....
Province....., Dated:

Attention: Director General of Investment Promotion Department

Subject: Submission of a bi-annual report on monitoring of concession projects

- Pursuant to the Law on Investment Promotion, No. 032/NA, dated 17 November 2016;
- Pursuant to annual monitoring plan for concession project of the Provincial Department of Planning and Investment, No.dated:

The Provincial Department of Planning and Investment would like to provide you a summary report on the monitoring of concession projects during the past six months, **during the period between 1st January to 30th Juneor between 1st July to 31 December.....** with the following descriptions.

1. Objectives of project monitoring

The key objectives of the project monitoring include:

- Monitor the implementation of obligations as stipulated in the concession agreement;
- Monitor the implementation of investment procedures as identified in project feasibility study;
- Monitor the implementation of environmental and social management plan including potential impacts on assets of the state, communities, investor and developer;
- Monitor the implementation of occupational health and safety measures;
- Monitor the compliance with relevant laws and regulations.

2. Monitoring projects during the past 6 months

Between (date)(month).....(year).....to (date)(month).....(year)....., the Department of Planning and Investment at provincial level in cooperation with district and village authorities conducted monitoring activities of concession projects in (province/Vientiane) for.....projects with the following descriptions.

No.	Date of monitoring	Project name	Project type	Size of project	Project location

Note: Size of project = area or production capacity

Project location = village and district

3. Monitoring Team

The monitoring team consists the following sectors:

- Provincial Department of Planning and Investment of
- Provincial Department of
- District Office of Planning and Investment of
- Village authorities near the project location.

4. Summary of key findings

Key results on the monitoring of.....project can be summarized below:

1) Project.....

Good performance:

-
-
-

Areas for improvements and actions:

However, there are some issues or obligations pending for corrective actions including:

Issues	Recommendations for the project developer to take actions

5. Monitoring plan for next 6 months

Action plan for monitoring of investment projects in the next 6 months includes:

No.	Date	Project name	Project type	Size of Project	Project location

6. Issues, comments and recommendations

-
-

Therefore, this report is to provide you information as a reference for reporting and further actions.

Provincial Department of Planning and Investment



Investment Promotion Department, Ministry of Planning and Investment

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Poverty-Environment Action
for Sustainable Development Goals



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