LENS2 Subproject – Annual report

<table>
<thead>
<tr>
<th>Subproject Name</th>
<th>Capacity Building in Social Safeguard Education for the Faculty of Social Sciences, NUoL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total subproject budget (USD)</td>
<td>740,000 USD</td>
</tr>
<tr>
<td>Annual subproject budget (USD)</td>
<td>271,799 USD</td>
</tr>
</tbody>
</table>

**Objectives of this document:** This document aims at summarizing the overall situation of the subprojects (budget expenditure, budget saved, new activities proposed, budget reallocation etc.) as well as opportunities and barriers identified during the last implementation year.

The evaluation of the implementation performance of the subproject as well as the LENS2 Project Development Objective (PDO) progress will be based on the content of this document.

It has to be submitted to EPF focal point before June 21st, 2016.

### INTRODUCTION

This first part presents the general context of the subproject. [Information expected in the narrative are: short presentation of the subproject objectives, Project start date and Project End date]

- **Window:** PICE LENS2
- **Objective:** To develop the capacity of Faculty of Social Sciences under National University of Laos to deliver improved training programs and applied research in the area of social safeguard regulations, social impact assessment and resettlement management.
- **Explanation:**

1. To organize 3 short courses training for 3 groups of beneficiaries: (i) government officials at central, provincial, district, and villages ;(ii)lecturers and students from different institutions; and (iii) participants from the private sector and project developers. The training courses are expected to include study visit and practical working in the country. The delivery/ methods of the training will be used lecture, discussion, case study, field visit, data collection and reflection. Coordination and networking with relevant government departments and national and international partners: Activities 1.1. and 1.2. will be conducted in close coordination with relevant agencies (DESIA, MEM, MoPI, etc). During PICELA 001implementation under LENS1 of sub-project in FSS observed that agencies were at times not sending the relevant staff in target and criteria to the training. Therefore, to avoid and ensure the best use of the funds, FSS will have criteria participant selection for training. After that, FSS will coordinate closely with the departments of personnel of each target groups such as ministries and the provincial agencies. The development and delivery of courses will also be coordinated and consulted with expert from World Bank in social safeguard. FSS sub-project will request technical support from National Research Center for Resettlement (NRRC) of Hohai University, China and regional centers of excellence for capacity building in the social safeguard from the World Bank in Vietnam and other places.
For the (set) number of training is the multiplication by the World Bank agreed from the start from the PICE LA 001 (2010-2012) under the LENS 1; But the budget training that is not covered old and it does not cover statements of other sectors by 2 cases:

- Case 1: FSS Sub-project organise training and invite staff from other sectors attended the training program and FSS will pay travel, food, accommodation, training and seminars, and will not pay the course (tuition). For 8 provinces of the LENS 2 have agreed to pay themselves by agreement from the World Bank and EPF. The team can train further to other parts required, but the party will pay course (charge) for lecturers, participants and this case is not the indicator of sub-project.

2. Establishing a Research and Training Center for Resettlement Management that will group trainers, researchers and academic providers from different fields of NUOL to promote and provide the research, training and consultancy academic to public and private agencies, developers and resettled communities in Lao PDR. The center is expected to increase country capacities to manage resettlement in a way that minimizes negative effects to local populations. The center would be staffed with qualified faculty members from the FSS and the centre will have resettlement project information and facilities.

Building research and training centre in FSS for resettlement management (Research and Training Center on Resettlement Management in FSS) is followed Memorandum of Understanding Faculty of Social Sciences National University of Laos and national research of resettlement management of the University of Hohai, China. The center will work on research, training and service technical design professional to projects, companies, developers and home relocation. Which this idea has occurred and results in many countries, and the team responsible for the project are confident that Laos should be capable enough to gather lecturers and staff work together to find a way to solve problems down as can be. The project will pilot research study in 3 topics, organize training and consultancy to the stakeholders. The benefits from the center will useful to NUOL, MONRE, MPI, a MEM Department and other sectors to plan, implementation, monitor, resettlement management people in high quality. (TOR for the center in the Appendix)

3. Conducting Research and Providing Technical Services: The first activity of the Research and Training Center established under the NUOL-FSS sub-project will include research on resettlement management status in Lao PDR for at least 4 cases that the topics will selected consultation with EPF, WB and MoNRE or concerned agencies. The Center will be a place for short training and it will also provide technical services to relevant government agencies, developers, and resettlement villages on reviewing, implementing, managing and monitoring the SIA, resettlement management and other. The 4 topics research caused by hydropower, mining, agricultural or infrastructural project.

4. Knowledge Exchange. Academic cooperation and exchange on experiences and best practices will be promoted under this sub-component with universities in the region through seminar or conference. In particular, academic cooperation will continue with the National Research Center for Resettlement of Hohai University of China in the area of SIA and resettlement research. This sub-component will include collaboration with recognized universities in areas such as planning, consultancy and monitoring resettlement process in development projects with focus on hydropower, mining, agriculture, and infrastructure sectors.
5. provide support for subproject management, including financial management and reporting, M&E, coordination of activities and implementation oversight. It will finance Incremental Operational Cost (IOC), purchase of equipment required for subproject implementation (computers, printer, projector, etc) including a vehicle and a motorbike, which are necessary to conduct training at local levels and for field visits to project developments as part of training and field research.

Project Start and End Date: June 21st, 2016 – 31st, December 2020

FINANCIAL STATUS: [Annex 1: (AWPB) Updated Budget by Components]

This second part presents the financial status and disbursement (including direct payment from EPF) of the subproject.

**Total Expanses** [complete the table below]

<table>
<thead>
<tr>
<th>SDA</th>
<th>Total contract amount</th>
<th>Fund advance/Transfer</th>
<th>Expanses from SDA’s account</th>
<th>Direct Payment by EPF</th>
<th>Disbursement</th>
<th>Total fund balance</th>
<th>Remark</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>6</td>
<td>7=5+6</td>
<td>8=4-7</td>
<td>PICE-LENS2-006 (FSS) 740,000</td>
</tr>
</tbody>
</table>

**Annual budget per component** [complete the table below without contingency]

<table>
<thead>
<tr>
<th>Component</th>
<th>Annual budget (USD)</th>
<th>Budget expenditure (USD)</th>
<th>Difference</th>
<th>Ratio % Executed</th>
<th>Remark</th>
</tr>
</thead>
<tbody>
<tr>
<td>Component 1 [Strengthening national and local level capacities of government officials, private sector, and students on social safeguards regulations, SIA and resettlement management]</td>
<td>34,650.00</td>
<td>6,708.09</td>
<td>27,941.91</td>
<td>19.36%</td>
<td></td>
</tr>
</tbody>
</table>
LENSES2 Subproject – Annual report

<table>
<thead>
<tr>
<th>Component</th>
<th>Annual budget (USD)</th>
<th>Budget expenditure (USD)</th>
<th>Difference</th>
<th>Ratio % Executed</th>
<th>Remark</th>
</tr>
</thead>
<tbody>
<tr>
<td>Component 2 [Developing FSS’s Capacity in Undertaking SIA and Resettlement Research, Planning and Monitoring]</td>
<td>118,000.00</td>
<td>28,144.72</td>
<td>89,855.28</td>
<td>23.85%</td>
<td></td>
</tr>
<tr>
<td>Component 3 [Subproject Management]</td>
<td>24,440.00</td>
<td>48,382.57</td>
<td>(23,942.57)</td>
<td>197.96%</td>
<td>Expenses exceed 100% because budget for pick up in 2016 but the payment cannot finish document process so, in 2017 completed</td>
</tr>
<tr>
<td>Total</td>
<td>177,090.00</td>
<td>83,235.37</td>
<td>93,854.63</td>
<td>47%</td>
<td></td>
</tr>
</tbody>
</table>


This third part presents and analyzes subproject outcomes mentioned in the subproject results framework for this year. The aim is to understand whether annual target planned are reachable. [Information expected in the narrative are listed below]

- **Outcome indicator 1**: Aggregate index of functional or educative capacity of NUOL FSS (annual), 59% increase of the score of functional capacity of SDAs
  Recap annual target for the year: 44%
  Recap baseline: 13%
  Result achieved: 59%
  Does SDA meet annual target? Please explain why: Yes, The reasons followed by: Consistently committed. FSS has experience in project management and lesson learnt from the LENS1. SDA have assigned responsible persons for each main task of subproject.
  NUOL FSS appointed a full team with sufficient capacity and experience to implement the subproject under strong leadership and support from the FSS and NUOL management. Orientation training on accounting, procurement, planning, reporting and monitoring were provided for the SDA by EPF and WB task team during the reporting period.
  Does SDA want to update plan? If yes, please specify the new value proposed: None

- **Outcome indicator 2**: Direct subproject beneficiaries (of which women) able to apply their knowledge acquired as measured by % of public sector participants (of whom women) trained reports on knowledge application or involvement in SSPL, SIA and RM. (cumulative), 40% increase of the score of functional capacity of SDAs
  Recap annual target for the year NA
  Recap baseline NA
• **Outcome indicator 3**: Number of case studies or applied research successfully conducted by FSS on SIA and RM (cumulative), 0% increase of the score of functional capacity of SDAs
  Recap annual target for the year NA
  Recap baseline NA
  Result achieved 0%
  Does SDA meet annual target? Please explain why (task delayed, etc.). The SDA on indicator is ongoing and currently, the team research has prepared the research proposal and the research will implementation on quarter 4, 2017
  Does SDA want to update plan? If yes, please specify the new value proposed.

• **Intermediate outcome indicator 1.1**: Review and develop short courses training (cumulative), 100% increase of the score of functional capacity of SDAs
  Recap annual target for the year 100% because completed three Short Training Courses Developed/Revised: 1) Social Safeguards, 2) Social Impact Assessment, 3) Resettlement Management
  Recap baseline NA
  Result achieved 100%
  Does SDA meet annual target? Please explain why (task delayed, etc.) Yes, The reasons followed by: FSS sub-project have some lecturers that have sufficient capacity and experience to implement the subproject. So, the short courses (on SSP, SIA & RM) can completed on time.
  Does SDA want to update plan? If yes, please specify the new value proposed.

• **Intermediate outcome indicator 1.2**: Establishment of a Master’s Program in Resettlement Management areas (cumulative) [ongoing]
  Recap annual target for the year ongoing
  Recap baseline ongoing
  Result achieved ongoing
  Does SDA meet annual target? Please explain why (task delayed, etc.) The master course cannot open on time because the course has more process from NUOL and Ministry of Education and sport. Therefore, the course will open on 2018. But sub-project team was drafted and discussed at the brainstorming workshop held during 25-27 December 2017 in Vientiane Province. The master program proposal is being revised with need assessment conducted.
  Does SDA want to update plan? If yes, please specify the new value proposed. The only one activity/output planned that is unlikely to be achieved and delivered by the deadline, September 30, 2017 is the establishment of Master Program on Resettlement Management. It was agreed under this MTR that this activity is postponed to September 30, 2018.

Result achieved 40%
Does SDA meet annual target? Please explain why (task delayed, etc.) Yes, the reasons followed by: Female participation for 3 short courses on PAM: 45% of 27. Female participation in SSP training has reached to (13/32 or 40/100%). Female staff in management team is 34% (2/6).
Does SDA want to update plan? If yes, please specify the new value proposed.

Does SDA want to update plan? If yes, please specify the new value proposed.
• **Intermediate outcome indicator 2.1**: Direct project beneficiary (of which women) as measured by staff of public institutions having completed basic adaptive training in SSP, SIA and RM subjects (short courses) (cumulative), 40% increase of the score of functional capacity of SDAs
  Recap annual target for the year 60 (32) Female 40%
  Recap baseline 60 female
  Result achieved 40%
  Does SDA meet annual target? Please explain why (task delayed, etc.)
  Does SDA want to update plan? If yes, please specify the new value proposed.

• **Intermediate outcome indicator 2.2**: Qualified human resources availability in the long term measured by students (of which women) having completed academic courses at bachelor degree in the area of SSPL, SIA and RM
  Recap annual target for the year 600 students
  Recap baseline 290 students
  Result achieved 242 (female 126)
  Does SDA meet annual target? Please explain why (task delayed, etc.) Yes, the reasons followed by: Under this subproject, 310 new students (of whom 30% are female) having completed academic courses at bachelor degree in at least one of the following subjects: SSPL, SIA and Resettlement Management
  Does SDA want to update plan? If yes, please specify the new value proposed.

• **Intermediate outcome indicator 2.3**: Qualified human resources availability in the long term measured by students (of which women) having completed academic courses at master degrees in the area of SSPL, SIA and RM, 242(126) 52% increase of the score of functional capacity of SDAs
  Recap annual target for the year 170 (41)
  Recap baseline 91 students
  Result achieved 52%
  Does SDA meet annual target? Please explain why (task delayed, etc.) Yes, The reasons followed by: under this subproject, 75 students (of whom 30% are female) having completed academic courses at master degree in at least one of the the following subjects: SS, SIA and Resettlement Management
  Does SDA want to update plan? If yes, please specify the new value proposed.

• **Intermediate outcome indicator 2.4**: Established FSS Research Center on Social Safeguards, SIA and Resettlement is operational [ongoing]
  Recap annual target for the year ongoing
  Recap baseline ongoing
  Result achieved ongoing
  Does SDA meet annual target? Please explain why (task delayed, etc.)
  Does SDA want to update plan? If yes, please specify the new value proposed.

• **Intermediate outcome indicator 2.5**: Conduct research and consulting professional technical design [ongoing]
  Recap annual target for the year ongoing
  Recap baseline ongoing
  Result achieved ongoing
  Does SDA meet annual target? Please explain why (task delayed, etc.)
  Does SDA want to update plan? If yes, please specify the new value proposed.
**LENS2 Subproject – Annual report**

- **Intermediate outcome indicator 2.6:** Sharing knowledge with the various Universities (study tours within and abroad) [ongoing]

  Recap annual target for the year ongoing
  Recap baseline ongoing
  Result achieved ongoing
  Does SDA meet annual target? Please explain why (task delayed, etc.)
  Does SDA want to update plan? If yes, please specify the new value proposed.

**RESENTATION OF THE ACTIVITY IMPLEMENTATION [Annex 3: AWP]**

This last part presents subproject activity implementation mentioned in the subproject Annual Work Plan (AWP) for this year, for each component.

**Activities implementation [please complete the table below]**

<table>
<thead>
<tr>
<th>Year</th>
<th>Activities planned</th>
<th>Activities completed</th>
<th>Activities still in progress</th>
<th>Activities cancelled</th>
</tr>
</thead>
<tbody>
<tr>
<td>2016</td>
<td>[23]</td>
<td>[31] / [13%]</td>
<td>[20]</td>
<td></td>
</tr>
<tr>
<td>2018</td>
<td>[23]</td>
<td>[6] / [3%]</td>
<td>[0]</td>
<td>[0]</td>
</tr>
</tbody>
</table>

**ANALYSIS OF THE SUBPROJECT IMPLEMENTATION:**

This part analyzes the level of implementation of each component. *[This includes main outputs achieved, barriers and opportunities identified during the last implementation and new activities proposed]*

**Component 1.** Strengthening national and local level capacities of government officials, private sector, and students on social safeguards regulations, SIA and resettlement management

- Training: 33 from FSS lecturers, sub-projects from NUOL and MoNRE were trained on CL4D during 6-10 March 2017.
Training: 47 officers from PONREs, MoNRE relevant ministries, FSS lectures and private hydropower and mining companies were trained on Social Safeguard Policies (SSP) during 20-24 February 2017.
Training: 51 public-sector officials from provincial and district from Savannakhet province to participate the training on Social Impact Assessment during 1-7 May 2017.

- Master of Social Sciences in Resettlement Management was drafted and discussed at the brainstorming workshop held during 25-27 December 2017 in Vientiane Province. The master program proposal is being revised with need assessment conducted.
Component 2. Developing FSS’s Capacity in Undertaking SIA and Resettlement Research, Planning and Monitoring

All activities in the components are ongoing.

Component 3. Subproject Management

- Annual meeting to review sub project finance and workplan implementation
- To concern meeting or conference in finance, procurement and evaluation project
- Stationaries and basic equipment for project administration purchased
- Pick up purchased
- Motorbike purchased
- Local consultant (LC) on social safeguard recruited
- International consultant on social safeguard (IC) recruited

Barriers related to the subproject implementation identified

[Please specify barriers identified which impede project implementation. Problems/Complaints faced and action taken or needs to be taken to solve them]

Choose all that apply and explain.

☐ Delay in procurement (with EPF?)
☐ Delay in financial transaction (with EPF?)
☐ Due to reasons of Government regulations and other issues related to authorizing environment for carrying out the activity
☐ Change in SDA personnel /staff
☐ Other

Explanation:
The subproject proposal was endorsed by TC in February 2016, provided with conditional NOL from WB in March and with EPF Board approval in June 2016. The sub-grant agreement for the sub-project was signed on 21 June 2016. The 2016 AWPB and procurement plan were approved by EPF and the WB in August 31, 2016 and 2017 AWPB and procurement plan approved by EPF and WB on January 5, 2017. Despite delay in the subproject approval, the implementation progress has been accelerated with almost all activities planned in the AWPB either completed or largely on track. The SDA has confirmed that all the subproject objectives, indicators and targets set in the result framework remain relevant and achievable within the subproject timeframe. The only one activity/output planned that is unlikely to be achieved and delivered by the deadline, September 30, 2017 is the establishment of Master Program on Resettlement Management. It was agreed under this MTR that this activity is postponed to September 30, 2018.

Choose all that apply and explain.

Presentation of new activity proposed

New activity proposed: [name]
- 1st seminar on resettlement practice in Laos
- Finalize workshop on Master in resettlement and social safeguard
- Opening ceremony of research and training center on impact assessment and RM
- Procurement of tools and technologies to the center
LENS2 Subproject – Annual report

- The budget for all activities above based on yearly plan 2017 that got NoL from WB

**Opportunities identified to improve subproject implementation**

[Please specify good practices / opportunities identified which could improve project implementation.]

- Training project management

Assoc. Prof Bounmak INTHIPHONE

Approved by:
Signature: [Signature]
Name: [Name]
Position: [Position]
Date: 19 JUL 2017

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Signature: [Signature]
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Position: [Position]
Date: [Date]