



## Technical Assistance Consultant's Report

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Project Number: 44140  
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### TA 7566-REG: Strengthening and Use of Country Safeguard Systems

Subproject: Strengthening WREA Capacity to  
Implement Lao Resettlement Policies (Lao PDR)

### CAPACITY NEEDS ASSESSMENT AND CAPACITY DEVELOPMENT ACTION PLAN

Prepared by ADB Consultant Team

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Asian Development Bank



**Lao People's Democratic Republic**

Peace Independence Democracy Unity Prosperity

ADB TA 7566-REG

Strengthening and Use of Country Safeguards Systems

**Capacity Needs Assessment  
&  
Capacity Development Action Plan**

**Subproject**

**LAO: Strengthening WREA Capacity to Implement Lao Resettlement Policies**

**Ministry of Natural Resources and Environment  
(Prime Minister's Office)**

(Water Resources and Environment Administration (WREA))

Department of Environment and Social Impact Assessment (DESIA)

**August 2011**

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## SELECTED ACRONYMS

ADB	Asian Development Bank
CDAP	Capacity Development Action Plan
CNA	Capacity Needs Assessment
CSS	Country Safeguards System
DE	Department of Environment
DESIA	Department of Environmental and Social Impact Assessment
DLWREU	District and Local Water Resources and Environmental Unit
DMH	Department of Meteorology and Hydrology
DWR	Department of Water Resources
DWREO	District Water Resources and Environment Office
EMP	Environmental Management Plan
EMMP	Environmental Management and Monitoring Plan
EMSP	Environmental Management Support Project
EPF	Environmental Protection Fund
ESIA	Environmental and Social Impact Assessment
ESP	Environment and Social Program
GoL	Government of Lao PDR
INGO	International Non-Governmental Organization
LACR	Land Acquisition and Compensation Report
LAF	LEnS Additional Funds
LARC	Land Acquisition, Resettlement and Compensation
LEnS	Lao Environment and Social Project
LFNR	Lao Front for National Reconstruction
LRM	Lao Resident Mission (of ADB)
LWU	Lao Women Union
MAF	Ministry of Agriculture and Forestry
MDG	Millennium Development Goals
MEM	Ministry of Energy and Mining
MoNRE	Ministry of Natural Resources and Environment

## SELECTED ACRONYMS

MPW	Ministry of Public Works
NGO	Non-Governmental Organization
NLMA	National Land Management Authority (now in MoNRE)
PEI	Poverty Environment Initiatives
PWREO	Provincial Water Resources and Environment Office
RAP	Resettlement Action Plan
RSDD	Regional and Sustainable Development Department
RSES	Environmental and Social Safeguards Division
SGMS	Secretariat of Greater Mekong Subregion
SMMP	Social Management and Monitoring Plan
SMU	Social Management Unit
SPS	Safeguards Policy Statement
SSTM	Social Safeguards Training Manual
STEA	Science Technology and Environment Agency
TA	Technical Assistance
TGCR	Technical Guidelines for Compensation and Resettlement
TNA	Training Needs Assessment
ToT	Training of Trainer
UNDP	United Nations Development Program
UNEP	United Nations Environment Program
WB	World Bank
WREA	Water Resources and Environment Administration (now in MoNRE)
WREI	Water Resources and Environment Research Institute



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## **EXECUTIVE SUMMARY**

### **CAPACITY NEEDS ASSESSMENT & CAPACITY DEVELOPMENT ACTION PLAN REPORT**

#### **S-1 INTRODUCTION**

1. Lao PDR established a National Policy on Resettlement & Compensation in 2005 with Technical Assistance (TA) from ADB. This TA 3746 (LAO Project 34543; Loan 1867, Environment and Social Program (ESP)) produced a wide range of documents, regulations and capacity building activities for improvement of social safeguards frameworks, particularly in the energy and transport sectors.
2. The ADB continues its support to Water Resources and Environment Administration (WREA) by supporting the Department of Environment and Social Impact Assessment (DESIA) through this second TA 7566 intending to increase the competency of staff within DESIA in the WREA and in three pilot provinces to effectively implement Decree 192/PM and its updated Technical Guidelines on Compensation and Resettlement for infrastructure development projects.
3. The contacted and surveyed staff of national, provincial and/or district authorities and administrations appreciated the expected support by the TA 7566 through training on social safeguards. They indicated that they have or will have Land Acquisition, Resettlement and Compensation (LARC) related tasks to perform and activities to carry out mainly concerning infrastructure development project.
4. This report provides both the Capacity Needs Assessment (CNA) and the Capacity Development Action Plan (CDAP). The related surveys and preparation of this report took place between May and August 2011.

#### **S-2 APPROACH OF CAPACITY NEEDS ASSESSMENT**

5. The CNA included different methods of collecting and analyzing information and data to assess the capacity needs leading to the preparation of a CDAP. The analysis of quantitative and qualitative information and data provides a wider picture about organizational aspects and training relevant items. The approach included the following core elements:

- Three fact finding missions at provincial level to obtain both quantitative and qualitative data from 22 line departments and information for the institutional assessment.
  - CNA questionnaire based survey to collect quantitative information from 173 staff at national, provincial and district level, out of which 103 participating staff are from different governmental line agencies and 70 staff from the national (DESIA), provincial and district Water Resources and Environment Offices (WREOs).
  - Holding technical meetings within WREA, DESIA and PREWOs.
6. The provinces and districts selected for the TA 7566 are:
- Vientiane Province and the three districts Fuang, Hinheup and Xaisomboun.
  - Xiengkhuang Province and the three districts Thathom, Phoukout and Mok-Mai.
  - Attapeu Province and the three districts Phouvong, Sanamxai and Samakkhixai.

## S-3 FINDINGS OF CAPACITY NEEDS ASSESSMENT

### S-3.1 Organizational and Institutional Aspects

7. WREA is directly responsible for producing and reviewing development plans for sustainable water resources and environment management, protection and rehabilitation of social and environment impacts. DESIA, through its four centers and two divisions, has the mandate to review ESIA documents and conduct compliance inspections of Environmental Management and Monitoring Plans (EMMPs), Social Management and Monitoring Plans (SMMPs), and Resettlement Action Plans (RAPs) of public and private investment projects. It is responsible for providing social and environment technical guidelines to offices, sectors and local units in provinces and districts. The WREOs of the provinces of Vientiane, Xiengkhuang and Attapeu are structured in a similar way, all comprising at least administrative, environmental, meteorology/hydrology and water resources units.

### S-3.2 Staff, Professional Background and Areas of Responsibilities

8. From 179 positions in DESIA and the three provincial WREOs 19 are currently vacant, to be defined or some staff covering two positions, so that there are currently 160 staff working in DESIA and the three provincial WREOs as shown below:

- MoNRE (WREA): DESIA: 85 positions and 78 staff.
- Vientiane Province: 31 positions and 31 staff.
- Xiengkhuang Province: 32 positions and 31 staff.
- Attapeu Province: 31 positions and 20 staff.

9. The professional background of DESIA and PWREOs staff varies and is characterized by a wide range of professions:

- Among DESIA staff there are 21 professions/professional areas with following characteristics:
  - Civil engineering is the most common with 14 staff (18%).
  - Then follows between 9 and 7 staff/discipline (22%) concerning forestry, management and environmental engineering.
  - Another group of 6 to 4 staff/discipline (32%) includes language scientists, economists, lawyers, and personnel with BAs and environmental management education.
  - Completed by 3 and 1 staff/discipline (28%) concerning 13 different professions.
- Among WREOs staff there are 16 professions/professional areas with following characteristics:
  - Meteorology/hydrology is with 20 (24%) the most frequent profession in provincial offices.
  - A group of 9-7 staff/discipline (39%) includes language science, environmental management, agriculture / agr. engineering and forestry management.
  - Between 6 and 4 staff/discipline (26%) have a background related to finance & accounting, natural science, BA and civil engineering.
  - Less than 3 staff/discipline (11%) concerns 7 other professions.

10. This grouping of professional backgrounds shows not only the differences between DESIA and WREOs staff, but also reveals that with regard to environmental topics some staff have direct or indirect professional disciplines, however, no staff has a professional background in sociology and anthropology.

11. Preliminary estimates show that there are different cases ranging between staff whose current work is fully or partly related to their education and study area, and those cases where there is little or no overlapping of professional background and current tasks. Between a third (35%) and half (50%) of the employed DESIA and provincial staff are in positions and/or performing activities and/or carrying out tasks which are directly or indirectly connected to their professional background.

12. About 55% of all 173 respondents think that safeguards related measures are related to and/or the responsibility of other departments. Concerning their involvement in social safeguards from the 70 respondents of DESIA, PWREO and DWREO:

- 1<sup>st</sup> ranked group (80-89% of staff) is involved in public communication policy / strategy development with the public (e.g. civil society, NGOs, developers) about safeguards applications in development projects.
- 2<sup>nd</sup> ranked group (70-79% of staff) reported involvement in (i) social impact, community consultation and participation, and (ii) review of social impact assessment reports.
- 3<sup>rd</sup> ranked group (60-69% of staff) is involved in (i) M&E, and (ii) participation in social safeguards training/workshop.
- 4<sup>th</sup> ranked group (50-59% of staff) mentioned involvement in (i) physical relocation / resettlement (ii) safeguards document review and reporting, and (iii) social safeguards policy analysis.
- 5<sup>th</sup> and 6<sup>th</sup> groups (40-49 and 30-39% of staff) are involved in other social safeguard s' activities.

13. Of interest are also the differences between the provinces:

- The staff of the Vientiane Province and district WREOs shows a rather balanced involvement in most of the mentioned roles and responsibilities.
- Concerning Xiengkhuang Province half of the responding staff are involved in most of the ongoing tasks related to social safeguards.
- In Attapeu, differences are bigger in terms of provincial/district WREO staff where 1/3 is heavily, another 1/3 partly and the final 1/3, only slightly concerned with work on social safeguards.

### **S-3.3 Training Requirements**

14. In general, the line agencies expressed their expectation that the staff attending the planned social safeguards training would have a better understanding Decree 192 and the Technical Guidelines both concerning Compensation and Resettlement including items such as loss of assets and defining compensation rates.

- The first four training requirements are the same. For provinces and districts, these are (i) how to undertake SIAs is the first priority, followed by (ii) livelihood restoration, (iii) policy analysis, and (iv) how to determine costs for compensation purposes. For DESIA staff, the priorities are the same too, but items (ii) livelihood restoration and (iv) how to determine costs for compensation purposes are in reverse order.
- Another four training topics, viz. land issues, consultation, action plans, and entitlements, comprise a middle group of ranked topics but in different orders for different stakeholders.
- The two lowest prioritized training issues are M&E and Grievance Redress Methods.

15. Concerning most of their social safeguards related tasks, in general, the surveyed staff indicated their gaps in skills, knowledge and experience as high to very high.

## S-4 PLANNING OF CAPACITY DEVELOPMENT ACTIONS

### S-4.1 Setting-Up the Training

16. The CDAP has been developed by taking into consideration the findings of the CNA. The planning of the proposed capacity development activities focused on:

- Type and sequence of social safeguards training courses and workshops.
- Stepwise development of a social safeguards training manual.
- Other purposes of training courses and workshops.

### S-4.2 Social Safeguards Training Manual

17. The Social Safeguards Training Manual (SSTM) is composed of training modules whose first draft will be used by a piloting DESIA training workshop, and then stepwise be modified and finalized during the implementation of the capacity development activities. This SSTM will consist of procedures for preparing, planning, implementing and monitoring LARC components of infrastructure development projects. The SSTM consists of five modules as shown below.

**Table ES-1: Social Safeguards Training Modules**

No.	Content
These modules provide introduction/background information and general use of social safeguards	
1	Basic Principles of Social Safeguards
2	<b>Social Safeguards Compliance and Institutional Responsibilities</b>
3	<b>Social Safeguards Policy in Practice</b>
These modules focus on implementation/practice requirements specifically for provincial/district needs	
4	Implementing Social Safeguards
5	<b>Social Safeguards Monitoring &amp; Evaluation</b>

### S-4.3 Trainees and Trainers

18. To ensure sustainable outcomes, the subproject identified key counterpart in DESIA who works with the TA staff throughout **the TA's** implementation period and ultimately become DESIA 's social safeguards specialists and will act as social issues advisory focal persons for the provincial and district officials.

19. The DESIA trainers and the provincial trainers will implement social safeguards training workshops, to which staff of the three selected districts, together with provincial staff from concerned line agencies, could be invited. There are 123 staff involved in the planned training events, composed of:

- Twelve staff from DESIA and 6 from the three provinces will attend the Training-of-Trainers course in Vientiane adding to a total of 18 staff.
- For DESIA there are at the beginning and the end of the overall training planning two social safeguards training workshops for 21 staff.
- There are 6 social safeguards training workshops planned, 2 for each of the three provinces Vientiane, Xiengkhuang and Attapeu which would be attended by 28 staff/training. This leads to a total of 84 trainees.

20. TA staff and DESIA's social safeguards trainers are developing and will use all training modules. Training will also include other sources coming from different sectors to cover complementary social issues. This includes besides the TA and selected DESIA staff, sources with specific knowledge, expertise and experience related but not limited to study and implementation cases, or LARC planning, implementing and M&E tools. These sources will be identified during the implementation of the training, but could probably include (i) specialists from universities, institutes and research faculties, (ii) guest speakers from projects, financing agencies (ADB, WB, others), NGOs, (iii) experts in resettlement.

#### S-4.4 Training Calendar

21. A tentative training calendar has been prepared for the period between September 2011 and February 2012 including among others (i) starting with one Training-of-Trainers course in September 2011, (ii) followed by a first session of four safeguards training workshops for DESIA and provincial offices in October and November 2011, and (iii) completed by a second session of four safeguards training workshops for DESIA and provincial offices between December 2011 and February 2012.

22. The training workshops will also serve for other purposes such as (i) training reviews, and (ii) participatory evaluations, but also (iii) public discussion forums. The training workshops shall also serve (iv) as a channel to ensure distribution of the LARC related legal documents to relevant departments and authorities, such as Decree 192 and the Technical Guidelines on Compensation and Resettlement.

23. The Completion Stakeholder Workshop will include a documentation of the social safeguards training, its results and findings, but also make proposals for next steps of a possible TA extension.

**Table ES-2: Agreed Preliminary Schedule of Training Events**

Ser. No.	Training Items	Planning Details		Areas of Objectives and Outputs (DESIA, provincial/district WREO staff)
		Dates	Staff [No.]	
1	Training-of-Trainer Course			
1-1	DESIA Provincial WREOs	17-25 Sep 2011	18	- Trained in (i) training methods and tools, (ii) facilitating workshop, and (iii) communicating techniques
2	Training Workshops: Introduction & General Use of Social Safeguards			
2-1	DESIA (Piloting for Trainers)	03-07 Oct 2011	21	- Better understanding of social safeguards policies - Increased capacities for review of social safeguards documents - General use of social safeguards policies - Increased ability to implement LARC related decrees, regulations, TGCR
2-2	Xiengkhuang Province and three districts	16-23 Oct 2011	28	
2-3	Attapeu Province and three districts	30 Oct – 06 Nov 2011	28	
2-4	Vientiane Province and three districts	13-20 Nov 2011	28	
3	Training Workshops: Specific Applications of Social Safeguards			
3-1	Xienkhuang Province and three districts	05-09 Dec 2011	28	- Better understanding of specific aspects concerning social safeguards policies - Practice orientated handling of social safeguards policies - Improved monitoring skills
3-2	Vientiane Province and three districts	16-20 Jan 2012	28	
3-3	Attapeu Province and three districts	30 Jan - 04 Feb 2012	28	
3-4	DESIA	15 - 17 Feb 2012	21	
4	Completion Stakeholder Workshop			
4-1	DESIA, provinces with districts, others	29 Feb. 2012	65	- Final results / findings - Discussions about TA achievements - Next steps for TA

#### S-4.5 Training Budget

24. A training budget of US \$ 77,000 has been included in the TA 7566 to be used for the proposed capacity development activities.

#### S-4.6 Training Recommendations and Observations

25. Among those recommendations made, the most important ones are:

- Commitment of staff to be trained with regard to their responsibilities and roles in particular to genuinely understand issues related to land acquisition, resettlement and compensation.
- The training calendar shall be understood as an agreed commitment for the offices to make their staff available to attend training workshops as scheduled.
- Training calendars are best suited to repeatable and regular demand. In this context, DESIA and the WREOs could be in a position after the TA to review on a regular basis what training is required for current and new staff.

#### S-5 CONCLUSIONS

26. The Government of Lao PDR decided to partly restructure some ministerial organizations. This led already to the formal establishment of a new Ministry of Natural Resources and Environment (MoNRE) which will also concern DESIA. This does not affect TA 7566 to prepare the CNA for DESIA and **WREOs' staff at provincial and district level as the findings and the proposed Capacity Development Action Plan concern current staff who will be integrated in the new MoNRE's national, provincial and district offices, beside other staff from other previously independent administrations or authorities.**

27. Training needs have been assessed, gaps identified and the Capacity Development Action Plan prepared. DESIA and TA team agreed on layout of social safeguards training manual. The nomination of trainers and trainees within DESIA has been completed. The following items are of importance and require attention:

- \* Completing first draft training modules.
- \* Commitment of DESIA to implement agreed training calendar.
- \* Informing TA provinces and district among others through Lao written Executive Summary of this Report about current status and next steps.
- \* Nomination of provincial and district trainees.
- \* Start of training courses and workshops.

28. The training workshops will include evaluation sessions to:

- Obtain feedback from the participants about training content and techniques aiming at modifying and adjusting the training workshops.
- Collect information for an evaluation appraisal as part of an ADB review.
- Document TA related progress and achievements in both the 2nd semi-annual report and the project completion report.

## 1 INTRODUCTION

### ***1.1 Acknowledgement***

The TA team would like to express its sincere thanks to all the line ministries, organizations, and persons that provided information, assistance and valuable comments to this Capacity Needs Assessment (CNA) and Capacity Development Action Plan (CDAP).

Particular appreciation is extended to the Department of Environmental and Social Impact Assessment (DESIA) for its continued support and advice during the execution of this assessment:

- Although this preparatory stage required two months (July and August 2011) mainly because of:
  - (i) the selection process of districts within the three chosen provinces which turned into a DESIA internal longer discussion process,
  - (ii) arranging and conducting fact finding missions of DESIA and Technical Assistance (TA) staff dependent on availability of provincial line agencies.
- The Government of Lao PDR started in June/July 2011 with detailed planning of a new Ministry of Natural Resources and Environment into which the Water Resources and Environment Authority (WREA) with its DESIA was incorporated. This led to additional tasks for DESIA management and staff in July and August 2011 in parallel with the CNA related activities.

### ***1.2 This Report***

This CNA Report<sup>1</sup> is for the subproject LAO: Strengthening Water Resources and Environment Administration (WREA) Capacity to Implement Lao Compensation and Resettlement Policies (hereafter the subproject), under ADB's Regional and Sustainable Development Department (RSDD) TA 7566-REG: Strengthening and Use of Country Safeguards Systems.

It covers the period (i) 22<sup>nd</sup> May 2011 to 21<sup>st</sup> June 2011 defined as conceptual stage in the tentative work plan (status May 2011) in the Inception Report, and (ii) 22<sup>nd</sup> June 2011 to 21<sup>st</sup> August 2011 named preparing stage, however extended during the preparation of this CNA by a second month.

The DESIA sees this document as an implementing guide for the TA supported training on Land Acquisition, Resettlement and Compensation (LARC) topics.

This report consists of five chapters:

- Chapter 1: Introduction.
- Chapter 2: Approach of Capacity Needs Assessment.
- Chapter 3: Findings of Capacity Needs Assessment.
- Chapter 4: Planning of Capacity Development Actions.
- Chapter 5: Conclusions.

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<sup>1</sup> This report refers to WREA and its administrative units at national level and provincial/district offices as the TA started under these institutional conditions. A new Ministry of natural Resources and Environment (MoNRE) has been established (into which WREA, among other departments, will be integrated), but no organizational structure has yet been defined. Thus the TA still refers to WREA in general and to DESIA in particular, until a new structure is made official

### ***1.3 Background and Rationale***

Lao PDR established a National Policy on Resettlement & Compensation in 2005 with TA assistance from ADB. This TA3746 (LAO Project 34543; Loan 1867, Environment and Social Program (ESP)) produced a wide range of documents, regulations and capacity building activities for improvement of social safeguards frameworks, particularly in the energy and transport sectors. The loan was based on thematic priorities of both ADB and GoL to make a transition from a reactive and case-by-case remedial action on social impacts to a more integrated approach supporting national, sector and area-based integration of activities. WREA issued new Technical Guidelines on Compensation and Resettlement (TGCR) in March 2010, revising land acquisition, resettlement and compensation procedures and requirements. These revised guidelines remain broadly consistent with ADB's and other international safeguards policies, but also include differences.

Information provided by DESIA to the TA shows that revised TGCR have been distributed to selected key ministers and deputy ministers in different ministries, embassies, key international development agencies based in Vientiane Capital, and to 8 provincial governors and deputy governors (including the three subproject provinces Xiengkhuang, Vientiane, Attapeu) between 27 and 29 December 2010. However, the TGCR have not yet been widely disseminated to provincial and district officials directly responsible for dealing with social and environmental issues caused by development projects. WREA recognizes its limited institutional, administrative or technical tools to assess, implement and monitor land acquisition, resettlement and compensation (LARC) effectively in many provinces and there remain wide gaps between policy development and effective compliance at implementation level.

The need to have competent social safeguards officers based in WREA and PWREO is urgent, and requires immediate attention and dedicated effort. A central activity under the ADB-supported TA 7566 is to assist DESIA to strengthen the knowledge of its staff and develop procedural mechanisms to deliver its national safeguards policy effectively. Of major importance could be different provincial interpretation and implementation of the latest TGCR.

The objective of the subproject is to foster more effective infrastructure development in Lao PDR by improving LARC performance through institutional capacity strengthening to implement the mandate of applying Decree 192 and its TGCR. It will support DESIA to strengthen, review and enforce its country safeguards systems (CSS), and effectively deliver safeguards standards, as well as to ensure acceptable provincial and district planning, preparation, implementation and Monitoring & Evaluation practices all related to application of laws, regulations, rules, and procedures relevant for LARC in the country. It aspires to assist WREA, through DESIA, to improve CSS practices in order to meet the objectives and **adhere to the policy, scope, triggers, and applicable principles set out in ADB's SPS so that Lao CSS is equivalent to the corresponding ADB safeguards.**

### ***1.4 TA Context***

The subproject under TA7566 received final ADB approval on 26<sup>th</sup> November 2010. It covers a 12 months period, concluding between 22 March 2011 and on 21<sup>st</sup> March 2012. The subproject is jointly implemented by ADB through its Lao Resident Mission (LRM) and WREA through its DESIA. WREA is the national agency responsible for policy development, compliance review and monitoring of social and environmental safeguards in Lao PDR. ADB has supported WREA (when it was STEA) to develop its national safeguards policy, culminating in:



- Approval of Decree 192 in 2005 on land acquisition, compensation and impact mitigation for development projects.
- Guidelines to implement the Decree were developed and promulgated in the same year. The Technical Guidelines for Decree 192 were updated in March 2010.
- In February 2010, WREA also enacted Decree 112 on Environmental Impact Assessment, which has some overlaps with Decree 192.

Besides the most relevant decrees for the TA, there are other selected regulations either directly relating to or in directly of interest for the TA. A selective overview about the legal framework has been prepared in **Attachment 1-1** listing different laws, regulations and guidelines which are of relevance for LARC:

- Either as general legal framework, as indicated in the following example: Decree 112/PM, on environmental impact assessment: Part I, Article 2 defining categories of projects and Article 4, Item 3 requiring minimizing adverse impacts on society (project affected people) and environment), Part VII defining settlement of environmental and social disputes
- But more important because of their details as can be seen by the following example: Decree 135/PM, on concessions: Article 27(3) requires social & environmental impact assessment, Section 3 Article 43: outlines basis for valuation calculation for acquired land, crops and trees.

An overview about such general and specific items will be prepared as part of the social safeguards training.

Likewise relevant decrees concerning the establishment of WREA and DESIA are also included in **Attachment 1-1**.

This subproject does not address environmental safeguards. However, the Environmental Management Support Project (EMSP; Oct.2010 to Sept.2014) is addressing WREA capacity-strengthening in this respect. Another support DESIA receives through the World Bank funded Lao Additional Funds ((LAF; July 2010 to June 2012) – related to the Environmental and Social Project (LEnS)) Project which includes a social safeguards component. For general clarification and specific elaboration of cooperation DESIA and TA staff held meetings with EMSP on 30 June 2011 and with LAF on 11 August 2011 to verify whether and where training related collaboration and approaches for capacity development could be possible, such as:

- EMSP: **Concerning its component “Environmental certification, monitoring and enforcement of environmental conditions” any collaboration between EMSP,TA and DESIA should be examined on a case-by-case approach, such as:**
  - (i) mutual review of documents if required/asked for, such as resettlement and environmental management plans, consultation, concession agreement, or
  - (ii) exchange of experience gained through EMSP and TA.
- LAF: **Concerning its components “Environmental/social safeguards policy formulation and implementation support (safeguards monitoring)” and “Social safeguards management (resettlement policy support)” cooperation is possible on:**
  - (i) practical items such as training components, or training content, but also
  - (ii) a strategic coordination defining an overall frame(-work) in which both support programs would act.

An overview about some of these projects and programs indicating the socio-environmental institutional development and support measures to WREA is enclosed in **Attachment 1-1** . Further technical meetings should be held between LAF and this TA 7566 to clarify in more detail training related collaboration and approaches for capacity development.

### ***1.5 TA Overall Work Plan***

The current status of the TA overall work plan is included as **Attachment 1-2**.

## 2 APPROACH OF CAPACITY NEEDS ASSESSMENT

### 2.1 Objectives

A Capacity Needs Assessment (CNA) has been undertaken to identify DESIA training needs based on the gaps between the knowledge, skills and attitudes of its staff and selected WREOs in districts and provinces, and those needed to meet LARC policy and processes. The CNA was conducted in parallel with preparation of the training design. Outputs have been used to specify (i) training requirements (i.e. what topics are most important), (ii) training providers and trainees, and (iii) tentative training calendar.

This assessment is to identify the training needs of staff at different levels as well as to gather baseline information and data for TA monitoring and evaluation purposes. Recommendations for the structure and content of social safeguards training modules aim to be responsive to the knowledge gaps identified by provincial and district staff, as well as to clarify who is responsible to do what with respect to development-related LARC.

### 2.2 Methodology

#### 2.2.1 Survey Tools

The CNA used qualitative and quantitative tools to gather data and information. The mix of tools and sources as shown in the table below allows (i) not only to widen the picture about current situation and trainings needs, and (ii) defining gaps, but (iii) also to cross-check information and data.

Qualitative tools included: (i) secondary data analysis; (ii) focus group discussions during fact-finding missions with GoL staff from the three pilot provinces of Xiengkhuang, Vientiane and Attapeu, as well as through technical meetings in Vientiane (iii) semi-structured interviews with checklists; (iv) rating and ranking of priorities. Quantitative tools included: (i) structured questionnaires to province and district line agencies, and to DESIA.

The combined approach of tools (see **Table 2.1**), agreed between DESIA and TA beforehand, provides data and information useful for the CNA to elaborate on training requirements and prepare a training manual. The different steps of the CNA approach are shown in **Attachment 2-1**. The CNA questionnaire is enclosed in **Attachment 2-4**.

**Table 2.1: Survey tools**

Tool	Purpose	Persons/Organizations
Questionnaires	<ul style="list-style-type: none"> <li>• Establish a baseline.</li> <li>• Prepare a gap analysis.</li> <li>• Identify experience/professional background of staff.</li> <li>• Identify staff involvement in LARC and other social safeguards monitoring activities.</li> <li>* Identify strengths and weaknesses in implementing social safeguards monitoring.</li> <li>• Identify training expectations and priority training requirements.</li> <li>• Identify preferred training teaching methodology.</li> <li>• Prepare a training manual.</li> <li>• Address safeguards issues and concerns.</li> </ul>	<ul style="list-style-type: none"> <li>• DESIA staff</li> <li>* Provincial and district WREOs staff</li> <li>* Governmental line agencies</li> </ul>

Tool	Purpose	Persons/Organizations
Provincial Fact Finding Missions & Technical Meetings	<ul style="list-style-type: none"> <li>• Collect information from persons with either specialized knowledge of a particular topic and/or in a managing organizational position.</li> <li>* Overview about project related issues related to LARC as experienced/known by contacted persons.</li> <li>▪ Ranking of raised issues to define training priorities.</li> </ul>	<ul style="list-style-type: none"> <li>• WREA departments</li> <li>• DESIA staff</li> <li>• Provincial and district WREOs staff</li> <li>▪ WREA Support Programs</li> <li>▪ ADB and World Bank</li> </ul>
Secondary Data	* Collect general and specific information and data.	<ul style="list-style-type: none"> <li>* ADB</li> <li>▪ DESIA</li> </ul>
Note to fact-finding missions:	The three fact finding missions took place on: <ul style="list-style-type: none"> <li>- 16 June 2011 to Vientiane Province: 1 joint meeting with 8 line departments</li> <li>- 25-29 July 2011 to Xiengkhuang Province: 7 separate meetings with line departments</li> <li>- 31 July - 02 Aug. 2011 to Attapeu Province: 7 separate meetings with line departments</li> </ul>	
Note to questionnaire-based survey:	Between 30 June 2011 and 12 August 2011, 173 filled questionnaires were received (70 from DESIA and provincial/district WREOs ; 103 from line agencies): <ul style="list-style-type: none"> <li>- 16 from DESIA</li> <li>- 47 from Vientiane Province                             <ul style="list-style-type: none"> <li>25 from provinces: 06 PWREO + 19 line agencies</li> <li>22 from districts: 04 DWREO + 18 line agencies</li> </ul> </li> <li>- 59 from Xiengkhuang Province                             <ul style="list-style-type: none"> <li>13 from provinces: 06 PWREO + 7 line agencies</li> <li>46 from districts: 06 DWREO + 40 line agencies</li> </ul> </li> <li>- 51 from Attapeu Province                             <ul style="list-style-type: none"> <li>22 from provinces: 16 PWREO + 6 line agencies</li> <li>29 from districts: 16 DWREO + 13 line agencies</li> </ul> </li> </ul>	

(Source: DESIA, TA - August 2011)

## 2.2.2 Contacted Participants

In the course of this CNA different groups of governmental stakeholders were contacted, mainly:

- Within WREA (i) relevant departments were visited to verify overlapping LARC topics with DESIA, (ii) all divisions and centers were contacted and meetings held, and (iii) capacity strengthening support programs within WREA/DESIA were contacted to clarify possible areas of cooperation.
- **DESIA requested to include provincial and district staff feedback in developing the TA's training methodology**, by conducting provincial fact-finding missions and collecting from provincial and district staff information about their attitudes, concerns, gained experience, proposals and recommendations concerning LARC and related training.
- While the implementing agency is WREA, additional contacted governmental key stakeholders are (i) Ministry of Energy and Mining (MEM), responsible for hydropower and mining projects in both implementation and planning stages, (ii) Ministry of Agriculture and Forestry (MAF), responsible for watershed management and pegging compensation values for productive trees, crops and land, (iii) National Land Management Authorities (NLMA), responsible for securing individual and collective land tenure, (iv) Ministry of Labor and Social Welfare (MLSW), responsible for support to vulnerable and/or poor people, (v) Ministry of Public Works (MPW) responsible for public service infrastructure (road, water supply, others), (vi) Ministry of Industry and Commerce (MIC) in charge of investment planning.

The participants of the social safeguards training workshops will be staff from some line departments at provincial and district levels, and selected DESIA/PREWO staff for trainers-of-trainers sessions.

## 2.3 CNA Sites

The **subproject's** number of the provinces was reduced<sup>2</sup> from five provinces to three provinces, namely Attapeu, Vientiane, and Xiengkhuang. ADB's LRM required that Xayabury to be removed, and DESIA requested removal of Champassack. The objective of reducing the number of provinces is to ensure effective coverage and satisfactory outcomes of the TA. It was felt that five provinces was a too large number to achieve this satisfactorily in the time available. The selection of 3 districts for each TA related province turned into a process with participative elements at national and partly provincial level. The first joint visit of DESIA and TA on 16 June 2011 to Vientiane Province provided feedback concerning possible districts to be taken into consideration by the decision makers in this matter. The other two provinces were contacted and feedback collected by DESIA. In addition, two joint meetings had to be organized in Vientiane, where all DESIA centers were represented and agreed upon the selected districts on 30 June 2011.

**Table 2.2: Selected TA provinces and districts**

Three Provinces	Nine Districts
Vientiane	Fuang
	Hinheup
	Xaisomboun
Xiengkhuang	Thathom
	Phoukout
	Mok-Mai
Attapeu	Phouvong
	Sanamxai
	Samakkhixai

(Source: DESIA, TA - July 2011)

**Attachment 2-2** summarizes the selection process of these nine districts for the three provinces which took some time requiring coordination between governmental stakeholders.

## 2.4 Timeframe

The CNA related activities were carried out as indicated in **Attachment 2-1**.

## 2.5 CNA's Consultation Role

The fact finding mission served also as an initial consultation by introducing the TA to the contacted line agencies taking their opinions, proposals and concerns into consideration for the capacity development planning. During the meetings with the line agencies the legal framework and its constraints concerning its use and application were discussed. This covers the main objective of an earlier planned inception workshop that would have aimed at the evaluation of legislative contradictions with other various ministerial and line agency policies, decrees and procedures affecting LARC, and to clarify where Decree 192 and its TGCR have precedence. As the results from the fact finding missions to the 3 provinces were very positive, the inception workshop is now considered unnecessary. During fact finding, the legal framework, constraints and contradictions concerning its use and application, were comprehensively discussed with the relevant line agencies.

<sup>2</sup> See Inception Report

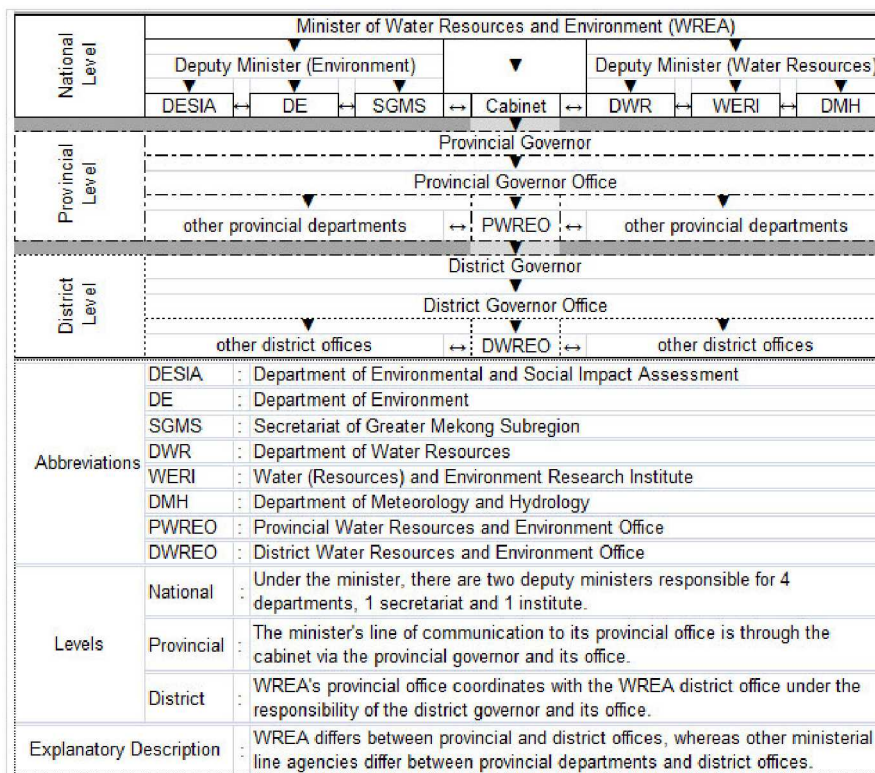
### 3 FINDINGS OF CAPACITY NEEDS ASSESSMENT

#### 3.1 Organizational and Institutional Assessment

##### 3.1.1 WREA

At the commencement of this TA WREA has been the Government body overseeing water resources and environment. Its cabinet and six departments with their duties and responsibility include, but are not limited to, research, draft, develop, propose, manage, disseminate, implement, and monitor policies, strategic plans, rules, and other legislations which are related to water resources, environment, meteorology and hydrology.

Figure 3-1: WREA organization structure



(Source: DESIA - April 2011)

WREA is directly responsible for producing and reviewing development plans for sustainable water resources and environment management, protection and rehabilitation of social and environment impacts.

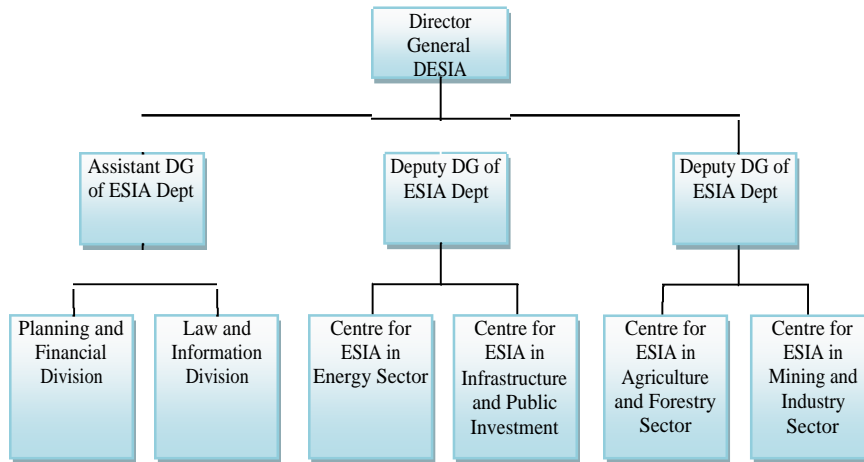
**WREA's structure is shown and indicatively explained by Figure 3-1 .**

After national elections in March 2011, GoL decided to establish a new Ministry of Natural Resources and Environment in May 2011, which was officially inaugurated on 31 July 2011 (see **Attachment 3-1** ). WREA will be incorporated into this new ministry, which might initiate a restructuring of the current departments, but likewise also cause some organizational changes within DESIA, whose management informed the TA team in August 2011 about its involvement in the restructuring process of both WREA and DESIA at national and provincial level. This might partly limit the availability of DESIA staff for the planned capacity development activities (see **Chapter 4**).

### 3.1.2 DESIA

DESIA has the mandate to review ESIA documents and conduct compliance inspections of Environmental Management Plans (EMPs), Social Management and Monitoring Plans (SMMPs), and Resettlement Action Plans (RAPs) of public and private investment projects. It is responsible for providing social and environment technical guidelines to offices, sectors and local units in provinces and districts. Within DESIA, there are four operational units (centers). Each unit is responsible for reviewing ESIA documents and for conducting compliance inspections on their designated sectors. The DESIA will setup Environmental and Social Monitoring Units at national level to liaise with provincial levels.

**Figure 3-2: DESIA organization structure**



(Source: DESIA - May 2011)

Details about the structure of each division and center have been prepared and details about positions, names and professional background of staff summarized in **Attachment 3-3**. The two divisions are divided into three different units in accordance with their roles and needs. The four centers are all structured in a same way, distinguishing between data management, social and environment units.

The cooperation between DESIA and other WREA sub-organizations (departments, institute, secretariat, cabinet) is extremely limited with regard to LARC topics. It focuses on environmental aspects, followed by other technical areas and general items as summarized in **Attachment 3-2**. This indicates that LARC matters remain within DESIA, for which capacity strengthening through this TA will be provided.

### 3.1.3 Provinces

The provinces of Vientiane, Xiengkhuang and Attapeu are structured in a similar way, all composed of administrative, environmental, meteorology/hydrology and water resources units. However, in the case of Attapeu, its water resources unit has only recently been set-up and recruitment of staff has yet to take place. This concerns also the district coordination unit, which has been included only in the WREO structure of the Attapeu Province. Details are given in **Attachment 3-4**.

### 3.1.4 Districts

An overview of the organizational structure, including positions and staff will be prepared as part of the first training workshop.

## 3.2 DESIA and PWREOs' Staff

### 3.2.1 Number of Positions and Staff

DESIA informed the TA that its current staff numbers might not be sufficient to ensure that Decree 192 is applied by provinces. In addition, both DESIA and the PWREOs confirmed during fact finding missions that their professional knowledge and expertise might not cover the spectrum of LARC related topics (see **Chapter 4**). The recently established provincial-level offices (PWREOs) undertake activities under the framework of the provincial authority, headed by provincial governors, who are responsible for coordinating local implementation of national policy in their respective provinces and districts.

**Table 3.1: Number of positions and staff in DESIA and PWREOs**

National DESIA		Provincial WREOs		
Positions	Staff	Name	Positions	Staff
85	78	Vientiane	31	31
		Xiengkhuang	32	31
		Attapeu	31	20
		Provincial Subtotal:	94	82
Total: 179 positions / 160 current staff				

(Source: DESIA - June to August 2011)

As there are 19 out of 179 positions vacant, to be defined or some staff covering two positions, there are currently 160 staff working in DESIA and the three provincial WREOs. Details about their positions and names of current staff summarized in **Attachment 3-3** and **Attachment 3-4**.

### 3.2.2 Education and Professional Background

The professional background of the DESIA and PWREOs staff varies and is characterized by a wide range of academic backgrounds and professions. The information obtained during fact finding meetings has been summarized in **Attachment 3-5** indicating that:

- **DESIA:** There are 21 professions or professional areas of DESIA staff with the following characteristics:
  - Civil engineering is the most common with 14 staff (18%).
  - Another group (22%) includes forestry, management and environmental engineering ranging between 9 and 7 staff/discipline.
  - A third group of 6 to 4 staff/discipline (32%) include language scientists, economists, lawyers, and personnel with BAs and environmental management education.
  - Another group of 28% includes 13 different professions all between 3 and 1 staff/discipline only.
- **WREOs** **There are 16 professions or professional areas of WREOs' staff** with the following characteristics:
  - Meteorology/hydrology is with 20 (24%) staff the outstanding professional background in the provincial offices
  - A group of 39% (9-7 staff/discipline) includes language science, environmental management, forestry management and agriculture / agricultural engineering.



- Between 6 and 4 staff/discipline (26%) have a background related to finance & accounting, natural science, BA and civil engineering.
- With 11% less than 3 staff/discipline concerns 7 other professions.

This grouping of professional backgrounds shows not only the differences between DESIA and PREWOs staff, but also reveals that concerning environmental topics some staff has direct or indirect professional disciplines, however with regard to social aspects no staff has a related background in sociology, anthropology or others.

The information obtained through the CNA questionnaire has been analyzed and summarized in **Attachment 3-5** and **Attachment 3-6** both confirming that:

- The majority of DESIA and WREO staff has different educational and professional backgrounds.
- The majority of staff holds Bachelor Degree and Intermediate Technical Certificates.
- More recently recruited staff holds environmental studies certificates. Environmental studies include among others environmental management, environmental engineering, pollution control, agriculture, forestry, animal science, and water resources.
- Older staff tends to have different educational background unrelated to social and environmental sciences. Most of them hold engineering degrees, especially in irrigation, road development, and electricity.
- Many of the professional background of the surveyed staff have no direct or indirect connection to **DESIA's areas of responsibilities in general and LARC related aspects in particular**, such as medical nursing, teaching, mechanics, and language science. It is noteworthy that this does not imply the concerned personnel would not be able to fulfill their position related jobs.

### 3.2.3 Roles and Responsibilities

The 70 WREA respondents reported having a direct role in social and environmental safeguards monitoring in various sectors. These include agriculture and forestry, land allocation and titling, energy and mining, infrastructure, and industry and investment. **Attachment 3-6** shows all DESIA, PWREO and **DWREO respondents' educational background and their current roles and positions. Preliminary estimates show that:**

- There are different cases ranging between staff whose current work is fully or partly related to their education and study area, and those cases where there is little or no overlapping of professional background and current tasks.
- Between a third (35%) and a half (50%) of the employed staff are in positions and/or performing activities and/or carrying out tasks which are directly or indirectly connected to their professional background.

**Table 3-2** provides a summary of the 70 WREA staff who participated in the TNA questionnaire based TNA survey.

**Table 3.2: Education/Professional background of DESIA, PWREOs, DWREOs' staff**

National DESIA	Provincial WREOs	
<p><i>Education:</i></p> <ul style="list-style-type: none"> <li>- Of the 16 questionnaire respondents, 12 and 4 staff completed Bachelors and Master respectively.</li> <li>- Their field of studies has a wide range including engineering, language science, economy, environment, agriculture and forestry.</li> <li>- Nine staff hold BAs in Environmental Studies</li> </ul> <p><i>Current Professions:</i></p> <ul style="list-style-type: none"> <li>- 14 respondents reported that they are directly responsible for EIA/SIA and M&amp;E report review.</li> <li>From this 14 staff, only one respondent is responsible for safeguards policy planning and analysis.</li> <li>Two other staff cover financial and data management tasks.</li> <li>- Of the 16 respondents, 5 reported that they moved between government offices.</li> </ul>	<p>Vientiane</p>	<p><i>Education:</i></p> <p>With regard to socio-environmental topics</p> <ul style="list-style-type: none"> <li>- Out of the 10 respondents, 3 had completed high school and another 3 hold Bachelor Degrees.</li> <li>- One staff holds a Master in environmental studies and another one holds a PhD Degree in agriculture extension.</li> </ul> <p><i>Current Professions:</i></p> <ul style="list-style-type: none"> <li>- The ten respondents are mostly head of divisions within the PWREO and DWREO. All of them have participated in social and environmental monitoring.</li> <li>- Staff holding higher education in environmental studies is directly responsible for EIA and SIA document review.</li> <li>- Majority of staff report their roles as implementers including M&amp;E tasks.</li> <li>- 20 out of the 25 respondents reported that they moved from different departments.</li> </ul>
	<p>Xiengkhuang</p>	<p><i>Education:</i></p> <ul style="list-style-type: none"> <li>- Of the 12 respondents, 7 hold BAs. The rest holds intermediate and advanced technical certificates.</li> <li>- Five staff major in environmental studies and the remaining studied school teacher, accounting, chemistry and communication.</li> </ul> <p><i>Current Professions:</i></p> <ul style="list-style-type: none"> <li>- Most of the staff reported that they work as environmental technicians and taking roles in social and environmental monitoring.</li> <li>- Majority of staff report their roles as implementers including M&amp;E tasks.</li> </ul>
	<p>Attapeu</p>	<p><i>Education:</i></p> <p>With regard to socio-environmental topics</p> <ul style="list-style-type: none"> <li>- Out of the 32 respondents, 8, 9 and 11 had completed high school, Bachelor Degree and intermediate technical school respectively.</li> <li>- The staff of PWREO and DWREO has a rather mixed educational background.</li> </ul> <p><i>Current Professions:</i></p> <ul style="list-style-type: none"> <li>- Most of the staff report that they are environment technician and directly responsible for social and environment monitoring.</li> <li>- Most of the respondents are head of divisions within PWREO and DWREO.</li> <li>- Majority of staff report their roles as implementers including M&amp;E tasks.</li> </ul>

(Source: DESIA, PWREOs, DWREOs ; July, August 2011)

### 3.2.4 Employment Period and Social Safeguards Positions

The questionnaire based survey looks into respondents working experience, duration of employments, change of employment and/or transfer within units and departments. The survey asked staff to identify by which criteria they consider themselves as social safeguards professionals, whether they have been involved in and/or have taken direct roles in LARC and other social safeguards activities, and whether other government departments are involved.

Information from all 173 respondents has been summarized in **Table 3.3** and reveals that:

- A staff member remains on average for a period of 15 years with the same office.
- About 45% of the staff has not changed their working place. The remaining 55% change normally every 3 to 10 years.
- The longer a staff member has been employed, the more frequently they have moved between governmental departments.
- District staff reported changing their place of work more frequently than provincial or national staff.
- About 55% think that other departments are also involved in social safeguards activities.
- At least one staff per province reported to be specialized on social tasks.
- DESIA and PWREO staff reported that their roles are related to M&E.
- DWREO staff reported that their tasks are focused on implementation.

**Table 3.3: Employment period and social safeguards positions**

Name of Provinces, Districts and DESIA	All Received Questionnaires	DESIA, PWREO, DWREO	Average Employment Duration [rounded years]	No. of Staff with same Office	No. of staff moved between offices	No. of staff seeing their work related to "Social Safeguard Positions"				
						Specialist	Trainer	M&E	Implementers	Practitioner
National DESIA	16	16	8	11	5	0	0	14	2	0
Xiangkhuang Province	13	6	17	9	4	0	0	8	1	1
Phoukoud District	15	2	17	7	8	1	4	10	12	1
Thathom District	16	2	18	6	10	3	5	7	13	7
Mok-Mai District	15	2	12	7	8	1	2	7	8	0
Vientiane Province	25	6	24	5	20	1	6	12	15	7
Feuang District	16	2	23	4	12	0	4	8	12	5
Hinherb District	6	2	20	1	5	1	3	5	6	1
Xaisomboun District	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Attapeu Province	22	16	15	13	9	0	1	8	12	0
Samakhisay District	8	8	6	5	3	0	0	1	4	2
Phouvong District	8	4	7	5	3	0	0	0	5	1
Sanxai District	13	4	20	4	9	0	0	3	8	0
<b>Total</b>	<b>173</b>	<b>70</b>	<b>15</b>	<b>77</b>	<b>96</b>	<b>7</b>	<b>25</b>	<b>83</b>	<b>98</b>	<b>25</b>
Source: DESIA, PWREOs and DWREOS - July, August 2011										
Note 1: Xaisomboun District could not participate because flooding made road access to district for weeks impossible										

All of the respondents reported that they are directly involved in more than one social safeguards monitoring activities. However with 94 respondents about 55% of all 173 respondents think that safeguards related measures are related or the responsibility of other departments. The question about involvement in social safeguards has also been included in **Table 3.4** however focusing only on the 70 respondents from DESIA, PWREO and DWREO. The following interpretations are of interest:

- About 86% of the respondents are involved in public consultation on social issues.
- More than 77% of DESIA staff reported that they are their work covers the topics social impacts, community consultation and participation.
- Some 71% of the respondents reported involvement in social impact assessment report review.
- Nearly 69% of surveyed staff is involved in M&E and more than 56% of the staff involved in physical relocation.
- The CNA data shows that 39% of the staff deals with livelihoods restoration, and 30% with grievances and complaints.

**Table 3.4: DESIA, PWREOs, DWREOs' staff involvement in social safeguards tasks**

Staff Current Roles and Responsibilities in Social Safeguards	Involvement of DESIA and Provincial/District WREA Staff in Social Safeguards Activities							
	DESIA	Vientiane	Attapeu	Xiangkuang	Total	Percentage	Ranking	
	Respondents				[No.]		[by item]	[in groups]
	16	10	32	12	70	100%		
Public Communication Policy / Strategy Development with the Public (e.g. civil society, NGOs, developers) about Safeguards Applications in Development Projects	13	10	25	12	60	86%	1	I (80-89%)
Social Impact, Community Consultation and Participation	13	9	20	12	54	77%	2	II (70-79%)
Social Impact Assessment Report Review	11	9	20	10	50	71%	3	
Monitoring & Evaluation and Reporting	12	7	21	8	48	69%	4	III (60-69%)
Participated in Social Safeguards Training / Workshop	13	9	12	12	46	66%	5	
Physical Relocation / Resettlement	7	8	16	8	39	56%	6	IV (50-59%)
Safeguards Document Review and Reporting	10	9	10	10	39	56%	7	
Social Safeguards Policy Analysis	5	8	16	7	36	51%	8	
Project Implementation Support for Public Health & Education and Occupational	11	9	6	8	34	49%	9	V (40-49%)
Structure Restoration and Compensation	4	7	13	7	31	44%	10	
Coordination on Social Safeguards with different Lines Agencies	1	4	14	11	30	43%	11	
Project Planning / Designing / Developing	2	10	12	6	30	43%	12	
Data Retrieval and Information Management & Storage	3	6	15	6	30	43%	13	
Land Acquisition, Land Use and Tenure	2	7	13	6	28	40%	14	
Livelihood / Income Restoration and Support Mechanism	2	6	12	7	27	39%	15	VI (30-39%)
Preparation of Safeguards Components in Concessions Agreements	3	6	8	8	25	36%	16	
Provision of Training	3	8	6	7	24	34%	17	
Ethnic Group, Gender and Poverty Reduction	2	6	10	5	23	33%	18	
Grievance Redress Mechanism	3	8	6	4	21	30%	19	

Source: DESIA, PWREOs and DWREOs - July, August 2011

Besides the listed details the ranking by items and in groups provides a broader picture about the staff's involved in social safeguards activities:

- The first two ranked groups cover public participation and social assessment related tasks.
- M&E and training are in the third ranked group
- The fourth ranked group includes again more general safeguards policy aspects, but then finally the first implementation-related critical item, viz. relocation
- The fifth and sixth ranked groups are a mix of both general and specific practical items.

Of interest are also the differences between the provinces:

- The staff of the Vientiane provincial and district WREOs shows a rather balanced involvement in most of the mentioned roles and responsibilities.
- Concerning Xiengkhuang Province half of the responding staff are involved in most of the ongoing tasks related to social safeguards.
- In Attapeu, differences are bigger in terms of provincial and district WREO staff where 1/3 is heavily, another 1/3 partly and the final 1/3, only slightly concerned, with work on Social Safeguards.

In general, all of the respondents report they are directly involved in more than one social safeguards monitoring activities. However, of 94 respondents providing an answer, 55% think that safeguards related measures are the responsibility of other departments, though not specifying which ones.

### **3.3 Training Requirements**

#### **3.3.1 Priorities**

In general, all government line agencies expressed their expectation to have a better understanding of the TGCR after the TA supported training including items such as assets' losses and defining compensation rate. **Attachment 3-7** describes national, provincial and district levels training priorities as reported in their CNA questionnaires. **Table 3.5** overviews training requirements for all surveyed staff as follows:

- The first four training requirements are the same. For provinces and districts, these are (i) how to undertake SIAs is the first priority, followed by (ii) livelihood restoration, (iii) policy analysis, and (iv) how to determine costs for compensation purposes. For WREA staff, the priorities are the same, only item (ii) and (iv) in reverse order.
- Another four training topics, viz. land issues, consultation, action plans, and entitlements, comprise a middle group of ranked topics but in different orders for different stakeholders.
- The two lowest prioritized training issues are M&E and Grievance Redress Methods.

**Table 3.5: Priority training requirements from DESIA, PWREO and DWREO staff**

DESIA, PWREOs, DWREOs and Line Agencies (173 respondents): Social Safeguards Training Priority Requirement											
Name of Provinces, Districts and DESIA	All Received Questionnaires	Social Safeguards Training Requirements									
		Social Impact Assessment	Livelihood Restoration	Policy Analysis	Cost & Compensation	Land Issues	Consultation	Action Plans	Entitlements	Monitoring & Evaluation	Grievance Redress Methods
National DESIA	16	12	11	8	13	8	9	10	8	6	8
Xiangkuang Province	13	12	7	11	12	8	9	6	10	8	8
Phoukoud District	15	4	10	5	4	5	4	3	4	3	3
Thathom District	16	9	13	10	9	11	6	6	6	3	2
Mok-Mai District	15	6	8	7	2	4	4	3	2	3	3
Vientiane Province	25	19	12	15	12	14	10	11	10	9	12
Feuang District	16	8	5	6	6	4	6	2	3	3	5
Hinherb District	6	5	3	2	3	4	3	1	1	2	3
Xaisomboun District	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
Attapeu Province	22	15	9	10	12	10	6	12	8	9	5
Samakhisay District	8	1	7	7	6	5	4	6	4	4	3
Phouvong District	8	7	5	5	6	7	4	4	6	5	4
Sanxai District	13	8	5	9	5	6	6	7	3	2	0
<b>Totals</b>	<b>173</b>	<b>106</b>	<b>95</b>	<b>95</b>	<b>90</b>	<b>86</b>	<b>71</b>	<b>71</b>	<b>65</b>	<b>57</b>	<b>56</b>
Priority Training Requirement	Percentage	61%	55%	55%	52%	50%	41%	41%	38%	33%	32%
	Ranking	1	2	3	4	5	6	7	8	9	10
	Priority Groups	I		II			III		IV		
DESIA, PWREOs, DWREOs (70 respondents): Social Safeguards Training Priority Requirement											
Name of Provinces, Districts and DESIA by Province	No. of Respondents	Social Impact Assessment	Cost & Compensation	Policy Analysis	Livelihood Restoration	Action Plans	Land Issues	Entitlements	Consultation	Monitoring & Evaluation	Grievance Redress Methods
National DESIA	16	12	13	8	11	10	8	8	9	6	8
Xiangkuang Province and three districts	12	7	7	6	9	6	6	6	5	3	5
Vientiane Province and two districts	10	7	6	6	3	4	5	3	6	4	4
Attapeu Province and three districts	32	21	21	20	17	17	19	14	10	13	8
<b>Totals</b>	<b>70</b>	<b>47</b>	<b>47</b>	<b>40</b>	<b>40</b>	<b>37</b>	<b>38</b>	<b>31</b>	<b>30</b>	<b>26</b>	<b>25</b>
Priority Training Requirement	Percentage	67%	67%	57%	57%	52%	45%	44%	42%	37%	35%
	Ranking	1	2	3	4	5	6	7	8	9	10
	Priority Groups	I		II			III		IV		
Source: DESIA, PWREOs and DWREOs - July, August 2011											
Note 1: Xaisomboun District could not participate because flooding made road access to district for weeks impossible											
Note 2: The shown ranking considers only the first priority items. An overview about all priorities has been enclosed in Attachment 3-7.											
Note 3: The 173 respondents include the 70 respondents from DESIA and WREOs.											

### 3.3.2 Training Expectations

All 173 respondents reported that they expected to receive better understanding on social safeguards policy and social issues by social safeguards training through this TA. The received feedback is tabled in **Attachments 3-8**. Respondents reported they would expect to learn how to:

- Conduct social impact assessments.
- Handle and monitor social issues.

- Deal with compensation issues.
- Plan livelihoods restoration programs.
- Communicate with affected people effectively.

The 70 respondents from DESIA and provincial/district WREOs expressed their expectation of a:

- Better understanding of resettlement policies.
- Developing a manageable guideline on how to deal with affected communities, especially regarding compensation rates.

The majority of the 70 surveyed staff mentioned their hope to be able to help affected communities in receiving compensation from investment development projects in a transparent and correct manner partly based on correct implementation of resettlement plans.

### 3.3.3 Priority Teaching Technique Requirements

The CNA also inquired respondents to indicate their preferred training methodology. **Table 3.6** shows preferred tools/techniques.

**Table 3.6: Training tools as preferred by the surveyed staff**

Name of Provinces, Districts and DESIA	Preferred Training Methods					
	Teaching in Lao Language	Practical Field Exercise	Visual Presentation	Use Handbook Manual	Group Discussion	Exchanging Experience
National DESIA	10	12	6	14	12	5
Xiangkuang Province	10	10	11	7	7	4
Phoukoud District	11	10	8	9	8	4
Thathom District	11	8	11	9	8	4
Mok-Mai District	9	9	6	7	7	6
Vientiane Province	24	12	12	19	16	6
Feuang District	9	7	11	5	5	5
Hinherb District	3	4	4	4	4	4
Xaisomboun District	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Attapeu Province	7	10	10	7	9	6
Samakhisay District	2	4	5	1	4	3
Phouvong District	4	8	6	7	4	6
Sanxai District	8	9	10	8	7	5
<b>Total</b>	<b>108</b>	<b>103</b>	<b>100</b>	<b>97</b>	<b>91</b>	<b>58</b>
<b>Percentage</b>	<b>62%</b>	<b>59%</b>	<b>58%</b>	<b>56%</b>	<b>53%</b>	<b>33%</b>
<b>Ranking by item</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Ranking in groups</b>	<b>I (+/- 60%)</b>			<b>II (+/- 55%)</b>		<b>III (+/- 30%)</b>
Source: DESIA, PWREOs and DWREOS - July, August 2011						
Note: Xaisomboun District could not participate because flooding made road access to district for weeks impossible						

### ***3.4 Capacity Gaps in Implementing Social Safeguards Policy***

Main items as summarized in **Table 3.6** are of importance for the staff surveyed and for which they indicated a gap of their skills and experience, and for which the surveyed staff mentioned in partly very self-reflecting discussions during fact finding missions a need for better capacities in future to improve their position for using LARC related social safeguards during project implementation by better understanding of and wider knowledge about the relevant social safeguards.

It should be noted that the TA has its focus on LARC related social safeguards strengthening and not on organizational structures and institutional set-ups, which are currently revised in the context of establishing the new MoNRE. The identification of **staff's knowledge** gaps concerning LARC related decrees and guidelines has been based on both (i) on the quantitative information collected through the CNA questionnaires (see **Attachment 3-8**), and (ii) the qualitative information obtained in discussions during fact finding missions.

In general, this identification of thematic gaps should be regarded as a longer continuous process rather than a one and done action. This is of particular importance for DESIA as this department will be incorporated from WREA into MoNRE.

- Many respondents reported that the strengths in implementing Decree 192 is the policy itself. Staff reported that the resettlement policy can be used as legal reference to support negotiations with development projects, while also requiring government to fulfil its obligation in monitoring private development projects.
- Many provincial and district staff reported the increasing support from donors and government in dealing with social issues as strengths in implementing social safeguards policy.
- They also address the importance of good collaboration between provincial and district authorities.
- Weaknesses in implementing the policy reported by all respondents have been little or no experience in dealing with LARC, especially relating to physical relocation resulting from large development projects, no budget or vehicles allocated to social and environmental monitoring activities.
- Many of the provinces and districts reported weakness as lack of commitment of investment projects to follow agreed plans.
- In general most of the staff also reported **that they don't know and/or understand national** safeguards policy.
- Similar and additional points were raised and discussed during fact-finding meetings in the three provinces. These are summarized in **Table 3.7**. It is of interest for the preparation of the CDAP (see **Chapter 4**) to compare the stated importance of these points with the training topics as indicated by surveyed staff in the CNA questionnaire (see **Table 3.5**).



**Table 3.7: Grouped areas of topics and related gaps of skills and knowledge**

Level of Importance	Main Items	Fact Finding	Gaps of Skills of Surveyed Staff
Very High	LARC responsibility	Between 15 to 17 line agencies brought up these items indicating their priorities or main concerns not only for projects, but also for their own involvement.	They indicated their lack of skills and knowledge about these items as very high.
	Resettlement Committee		
	Compensation		
	Decree 192 on C&R		
High	Technical Guideline C&R	Between 10 and 12 line agencies pointed out these items possibly regarding them as crucial. They reflect a mix of different topics which are of importance during different project stages.	They mentioned the gaps of knowledge and skill as high
	Project phases		
	Land use		
	New production areas		
	Complaints & Grievance		
	Adverse impacts on PAPs		
Medium	Income restoration	Between 6 and 8 line agencies mentioned these items most likely regarding them necessary to mitigate LARC related impacts most important for PAPs. The first two items of this groups were regarded as of high importance	For the first two items their lack of skills and knowledge is very high. For the remaining two items they do not see a similar level of deficits
	Unit costs		
	Consultation & Participation		
	Livelihood		
	Laws		
Low			
Very Low	M&E	Only 2 line agencies cited these items although knowing about current impacts of projects, but not seeing M&E as a performance and compliance following-up tool	Nearly no gaps have been mentioned concerning this item
Note: These table reflects the opinions and attitudes of the contacted staff of authorities and departments			

Source: CNA surveys, May – Aug. 2011

## 4 PLANNING OF CAPACITY DEVELOPMENT ACTIONS

### 4.1 *Setting-Up the Training*

#### 4.1.1 Orientation from CNA Results

This chapter outlines a planning for capacity development activities based on the findings of the CNA described. Among others the CNA reveals that different levels of line government agencies hold slightly different roles and responsibilities concerning social safeguards:

- At central level, where the decision for social issues are often made, DESIA staff is mostly responsible for reviewing safeguards documents, give advice and feedback to the provinces, provide training and monitoring. DESIA centers estimated that on average they spend about 70% of their working time on project document review and about 20% M&E. At this level, the government communicate directly with the project owners and key stakeholders.
- At provincial level, where coordination between province and central takes place, staff mostly provides information to the central DESIA, reviews social safeguards document, conducts social safeguards M&E. At this level, the government communicate with project owners and the affected people. Contacted provincial WREO staff estimated about 75% of their time they use for project implementation related tasks. LARC falls under the responsibility of the provincial government in accordance with advices and decisions coming from central level.
- At district level, where all activities take place, the staff directly works with affected people on LARC matters. The survey results indicate that at least 90% of their working time the district staff spends on project implementation.

This has been taken into consideration by the preparation of training workshops.

#### 4.1.2 Continuous Participative Training Reviews

Training workshops will include a discussion component with an open forum character. This is in response to both stated preferences as derived from the CNA, and statements made during fact finding missions, which have shown a rather open and transparent atmosphere to raise and discuss LARC issues. Training workshops will encourage a collaborative and problem-solving atmosphere, ensuring that concerns are fully considered and integrated during provincial and district training sessions.

Consequently the planned review workshops as tentatively included in the TA overall work plan (see **Attachment 1-2**) have now been replaced with (i) the outputs from the CNA as well as (ii) expected feedback of the trainings reviews. However, the final stakeholder workshop remains necessary and is **scheduled for 29 February 2012 as part of Phase 3 "Revisions & Proposals"**. Its objective is analyzing findings and disseminating results of the subproject, leading to proposals for next steps.

#### 4.1.3 Preparation of Training Events

Training events were jointly developed by DESIA and TA staff. They have been put together into groups as shown in **Table 4.1**, and combined with reporting and evaluation activities as indicated below:

- (1) Learning about training techniques and methods through a Training-of-Trainers (ToT) course.
- (2) 1 sessions of social safeguards training workshops: introducing LARC through a piloting social safeguards workshop to future DESIA trainers, and providing first training workshops in provinces for provincial and district staff by the trainers (see step (1 and 2 above) with support of TA staff.

- (3) 2<sup>nd</sup> session of social safeguards training workshops: conducting second training workshops in provinces for provincial and district staff, followed by the completing DESIA workshop.  
 (4) Final review through completion stakeholder workshop

In addition, it has foreseen participative evaluation of the training for (i) the 2<sup>nd</sup> sessions of social safeguards training workshops, (ii) reviews in the second semi-annual report, and (iii) an ADB evaluation.

**Table 4.1: Overview of proposed training events**

Ser. No.	Training Item	Planning Details			Areas of Objectives and Outputs (DESIA and provincial/district WREO staff)
		Dates	Staff [No.]	Budget Estimates [US \$]	
<b>1</b>	<b>Training-of-Trainer Course</b>				
1-1	DESIA Provincial WREOs	17-25 Sep 2011	18	6,750	- Trained in (i) training methods and tools, (ii) facilitating workshop, and (iii) communicating techniques
Sub-Total 1:			18	6,750	
<b>2</b>	<b>1<sup>st</sup> Session of Training Workshops: Introduction &amp; General Use of Social Safeguards</b>				
2-1	DESIA (Piloting for Trainers)	03-07 Oct 2011	21	5,969	- Better understanding of social safeguards policies - Increased capacities for review of social safeguards documents - General use of social safeguards policies - Increased ability to implement LARC related decrees, regulations, TGCR
2-2	Xiengkhuang Province and three districts	16-23 Oct. 2011	28	11,460	
2-3	Attapeu Province and three districts	30 Oct. – 06 Nov. 2011	28	10,361	
2-4	Vientiane Province and three districts	13-20 Nov. 2011	28	9,609	
Sub-Total 2:			105	37,399	
<b>3</b>	<b>2<sup>nd</sup> Session of Training Workshops: Specific Applications of Social Safeguards</b>				
3-1	Xienkhuang Province and three districts	05-09 Dec. 2011	28	5,294	- Better understanding of specific aspects concerning social safeguards policies - Practice orientated handling of social safeguards policies - Improved monitoring skills
3-2	Vientiane Province and three districts	16-20 Jan. 2012	28	4,830	
3-3	Attapeu Province and three districts	30 Jan. - 04 Feb 2012	28	5,049	
3-4	DESIA	15 - 17 Feb. 2012	21	4,478	
Sub Total 3:			105	19,651	
Total for Safeguards Training 2-3:				57,050	
Total for Training Course and Workshops 1-3:				63.800	
<b>4</b>	<b>Completion Stakeholder Workshop</b>				
4-1	DESIA, provinces with districts, others	29 Feb. 2012	65	13195	- Final results / findings - Discussions about TA achievements - Next steps for TA
Sub-Total 4:			65	13,195	
<b>1-4</b>	<b>Grand Total 1-4</b>			<b>76,997</b>	

(Source: DESIA, TA - August 2011)

#### 4.1.4 Training-of-Trainers Course

This course addresses both communication and teaching techniques:

- The 1<sup>st</sup> component deals with concepts of being an effective trainer and covers among others training facilitating, techniques, methodologies, tools and preparation skills concerning training courses.
- The 2<sup>nd</sup> component deals with communication strategies in general and techniques in particular with focus on people from ethnic groups. It aims at enhancing knowledge on how different ethnic groups deal with social issues related to development/investment projects.

This training course will be sourced out to a training institution specialized in ToT courses. The resource persons for this ToT course has been jointly selected by DESIA and TA staff. The content course contents has been joint developed by TA, DESIA and the resource persons in order to meet the need of DESIA participants. **Table 4.1** and **Attachment 4-1** provide some planning details.

#### 4.1.5 Pilot Social Safeguards Trainer Workshop

The objective is to train selected DESIA and provincial staff in social safeguards related to Decree 192 and TGCR enabling them that they can act as trainers for provincial and district participants. TA staff will accompany these trainers to each of the 3 provinces to implement training as outlined in the training manual. The TA will provide support and guidance during this training process. **Table 4.1** and **Attachment 4-1** provide some planning details.

#### 4.1.6 1<sup>st</sup> Social Safeguards Training Workshops: Introduction & General Use

These workshops will serve two main purposes:

- Act as first training practices for the new trainers (see also **Table 4.4**). TA staff would assess their social safeguards training abilities and provide support accordingly.
- Provide social safeguards policy analysis and implementation knowledge in accordance with the training modules listed in **Attachment 4-1**.

**From the three selected districts' water resources and environment units** participants will join the provincial training course with the provincial staff. It focuses on provincial and district levels for local government line agencies involved in LARC. This stage will involve intensive stakeholder coordination to prepare and implement the workshops and to disseminate results.

#### 4.1.7 2<sup>nd</sup> Social Safeguards Training Workshops: Specific Applications

These workshops will serve also two main purposes:

- Improving training practices for the new trainers (see also **Table 4.4**).
- Working on specific social safeguards requirements of provinces and districts currently occurring in projects under study, construction and/or operation taking into account provincial specific project conditions (see **Attachment 2-3**).

These workshops will be conducted as shown in **Table 4.1** and **Attachment 4-1**. They will be attended by the staff who participated already in the first social safeguards training workshops.

## 4.2 Social Safeguards Training Manual

The preparation of a Social Safeguards Training Manual (SSTM) is an additional output of the TA. It **should be in English as the TA's contractual language, but will be jointly translated by DESIA and TA staff** in Lao language to be utilized by provincial and district officials. The SSTM will consist of procedures for carrying out LARC actions. They will be structured in training modules as described below. The preparation of this training manual follows a step-by-step approach as shown in **Table 4.2**.

**Table 4.2: Continuous steps for developing social safeguards training manual**

Steps	Content	Actions
1	Starting with first draft of training modules based on findings of the CNA	~ Drafting
2	Applying them firstly (piloting) in a social safeguards workshop with DESIA	♦ Applying
3	Modifying the first draft training modules	~ Modifying
4	Applying in <sup>1st</sup> session of social safeguards training workshops in three provinces	♦ Applying
5	Preparing second draft of training modules	~ Improving
6	Applying in 2 <sup>nd</sup> session of social safeguards training workshops in three provinces	♦ Applying
7	Adjust second draft of training modules	~ Adjusting
8	Applying them finally in 2 <sup>nd</sup> social safeguards workshop with DESIA	♦ Applying
9	Preparing final training modules	~ Finalizing

(Source: DESIA, TA - August 2011)

### 4.2.1 Content of Social Safeguards Training Modules

These training modules reflect training priorities as identified by the findings of the CNA. The SSTM consists of five modules as shown in detail in **Attachment 4-1**. All components of each module will have a checklist developed for easy reference for trainees:

- The first three modules provide an introduction and essential background information in general with some application orientated elements:
  - Module 1: Basic Principles of Communication in Social Safeguards.
  - Module 2: Social Safeguards Compliance.
  - Module 3: Applying Social Safeguards Policy in Practice.
- The fourth and fifth modules focus on implementation and practice requirements focusing on:
  - Module 4: Implementing Social Safeguards.
  - Module 5: Monitoring & Evaluating Social Safeguards.

**The TA has contacted and discussed with Lao World Bank Mission' social specialist about general aspects of training manual content so that any training approach, component and/or topic provided under the umbrella of the ADB TA 7566 is consistent with previous or parallel WB's institutional capacity building activities aiming at an overall sound approach for DESIA as an organization and avoiding duplications or contradictions through different training activities for/with DESIA's, PWREOs' and DWREOs' staff.**

## 4.2.2 Structure of Social Safeguards Training Modules

The general structure of these training modules has been put into relation with the content of the TGCR as the key document to follow Decree No. 192 on Compensation and Resettlement. Thus, the basic components of the proposed training modules reflect to which extent the content of the TGCR can be used fully or partly, and where the training topics are not available in this guidelines as shown in **Attachment 4-1** . For that reason a sequence of steps has been prepared in **Table 4.3** which shows:

- Firstly, there is the need to brief the trainees about the topic independent from the TGCR, before
- Secondly providing explanations towards better understanding of the trained topic, and
- Thirdly focusing the training around the TGCR and complementary elements.

Based on these conceptual steps:

- Fourthly the training techniques and methods will be chosen in dependence of the topic, and
- Fifthly the duration of training modules planned.

**Table 4.3: Developing social safeguards training modules**

Step 1	Step 2	Step 3	Step 4
Current Set-Up			
▶	Training Needs	Module Content	Module Structure
▶	▶	▶	▶
<ul style="list-style-type: none"> <li>➤ Organizational and institutional structures</li> <li>➤ Professional background of staff</li> <li>➤ Responsibilities and roles of staff</li> </ul>	<ul style="list-style-type: none"> <li>➤ L ARC items raised</li> <li>➤ Analyze training requirements</li> <li>➤ Evaluating training priorities</li> <li>➤ Elaborate on training expectations</li> <li>➤ Gaps in knowledge, skills and/or experience</li> </ul>	<ul style="list-style-type: none"> <li>➤ For 5 topics the training modules can refer fully to the TGCR</li> <li>➤ For 17 topics the training modules can refer only partly to the TGCR</li> <li>➤ For 10 topics the training modules can not refer to the TGCR</li> </ul>	<ul style="list-style-type: none"> <li>➤ 1<sup>st</sup> to introduce and describe the topics in general</li> <li>➤ 2<sup>nd</sup> to explain details</li> <li>➤ 3<sup>rd</sup> to orientate the training to TGCR to the extent possible and prepare complementary training parts</li> <li>➤ 4<sup>th</sup> to propose training methods/techniques</li> <li>➤ 5<sup>th</sup> to plan session</li> </ul>
<p><b>Note:</b> Where the training requirements cannot refer to the TGCR (Technical Guidelines on Compensation and Resettlement) safeguards guidelines from other sources will be taken such as international financing institutes ( ADB, WB, IFC, etc) and best practices from development sectors in Lao PDR, such as hydropower and mining sectors.</p>			

(Source: DESIA, TA - August 2011)

### 4.3 Trainees and Trainers

Training of trainers will be undertaken and supported by the subproject. Twelve DESIA and 6 PWREOs staff (2 staff/province) will become social safeguards trainers.

**Table 4.4: Attendants of ToT course**

Administrative Levels		Organizational Units		No. of Participants	
				Per Unit	Total
National	DESIA	Divisions	Planning and Finance	2	4
			Law & Information	2	
	Centers	Energy	2	8	
		Infrastructure & Public Investment	2		
		Agriculture & Forestry	2		
		Mining & Industry	2		
Provincial	Vientiane	Environment Office	2	6	
	Attapeu	Environment Office	2		
	Xiengkhuang	Environment Office	2		
<b>Total participants:</b>					<b>18</b>

(Source: DESIA, TA - August 2011)

The DESIA trainers and the provincial trainers will subsequently implement social safeguards training workshops, to which staff of the three selected districts, together with provincial staff from concerned line agencies, will be invited as shown in **Table 4.5**. The provincial social safeguards training workshops will:

- Introduce in the 1<sup>st</sup> session of social safeguards training workshops between October and November 2011 LARC aspects and elaborate on use of LARC related decrees and guidelines.
- Focus in the 2<sup>nd</sup> session of social safeguards training workshops between December 2011 and February 2012 on specific application of LARC requirements for province specific conditions and projects (see **Attachment 2-3**).

To ensure sustainable outcomes, the subproject will identify key counterparts in DESIA who will work with the TA throughout its implementation period and could become DESIA's social safeguards specialist(s) and would act as social issues advisory focal person(s) for the provincial and district officials after the subproject closure. The TA safeguards specialist **and training assistant, and DESIA's social safeguards** trainers will be involved in all training modules. Training will also include other sources coming from different sectors to cover comprehensive social issues. This includes TA staff, some DESIA staff, but could also involve sources with specific knowledge, expertise and experience. They could also offer project related study and implementation cases, or LARC related planning, implementing and M&E tools. These sources could include, but would not be limited to:

- Specialists from universities, institutes and other research faculties.
- Selected individual guest speaker may be identified to train on the actual implementation issues.
- Experienced individual in resettlement field may make a presentation on relevant LARC topics.

**Table 4.5: Attendants of social safeguards training workshops**

Administrative Units		Organizational Unit		No. of Participants			
				Per Unit		Total	
Central	DESIA	Divisions	Planning and Finance	3	6	18	21
			Law & Information	3			
		Centers	Energy	3	12		
			Infrastructure & Public Investment	3			
			Agriculture & Forestry	3			
			Mining & Industry	3			
	LMA	To be defined by LMA	3				
	Vientiane Province	PWERO	DESIA Trainers and Coordinators	6	16	28	
PWERO / Land Management Authority			7				
Provincial Governor Office			1				
Energy and Mining			1				
Agriculture and Forestry			1				
3 selected DWREOs		DWREO and Land Authority	9 (3x3)	12			
		District Governor Office	3 (1x3)				
Xiengkhuang Province	PWERO	DESIA Trainers and Coordinators	6	16	28		
		PWERO / Land Management Authority	7				
		Provincial Governor Office	1				
		Energy and Mining	1				
		Agriculture and Forestry	1				
	3 selected DWREOs	DWREO and Land Authority	9 (3x3)	12			
		District Governor	3 (1x3)				
Attapeu Province	PWERO	DESIA Trainers and Coordinators	6	16	28		
		PWERO / Land Management Authority	7				
		Provincial Governor Office	1				
		Energy and Mining	1				
		Agriculture and Forestry	1				
	3 selected DWREOs	DWREO and Land Authority	9 (3x3)	12			
		District Governor	3 (1x3)				
<b>Total participants</b>						<b>105</b>	
<p><b>Note 1:</b> Concerning the first training workshop the 18 DESIA staff are composed of 12 staff who attended the ToT course and the 6 heads of centers and divisions.</p>							
<p><b>Note 2:</b> As the National Land Management Authority (NLMA) will also be incorporated into the new Ministry of Natural Resources and Environment (MoNRE), as it is the case for DESIA, three staff have been included in the shown training workshop.</p>							
<p><b>Note 3:</b> The provincial staff attending the ToT course are trainers for the provincial training workshops.</p>							

(Source: DESIA, TA - August 2011)



## 4.4 Training Calendar

**Attachment 4-1** lists the different training events in accordance with both the outlined training program and the tentatively scheduled training workshops. **Attachment 4-2** shows the current plan of training workshops scheduled from October 2011 to February 2012. The **Attachment 1-2** and **Attachment 2-1** are completing the overall tentative planning picture. Some weeks could not be considered by this planning such as (i) two weeks in September 2011 because of training course provided through other DESIA support programs, (ii) the 2<sup>nd</sup> week of October 2011 (boat racing festival), (iii) most of December 2011 because of staff's occupancy of reviewing the 2011 annual work plans and preparing the 2012 work plans, and (iv) also the weeks before and after New Year.

## 4.5 Training Budget

The budget allocated for the training component under the TA 7566 is US\$77,000. This budget is to be utilized for training of trainers and social safeguards training workshops, and the final stakeholder workshop. A budget estimate has been prepared and costs included in **Table 4.1**.

## 4.6 Training Recommendations and Observations

During CNA surveys and preparation of this CNA&CDAP report, impressions were made and discussions took place, which led the TA Consultants to list the following recommendations and observations:

- Assessing safeguards training needs also included asking and discussing with contacted staff what training they want delivered. Remarkably, this did not lead to a wish-list with little connection to the real LARC needs of their offices and departments. This indicated the commitment of the contacted staff with regard to their responsibilities and roles in particular to genuinely understand issues related to land acquisition, resettlement and compensation.
- The training calendar shall be understood as an agreed commitment for the offices to make their **staff available to attend training workshops as scheduled, as otherwise either it would be “ difficult to fill the seats” and/or staff would attend the** se courses who are normally not working on LARC topics. Trainees shall confirm their availability at least 10 working days (2 working weeks) in advance. The TA will liaise with DESIA to obtain this commitment.
- For a training calendar to be effective, it needs to be tailored for **the organization's general real** needs and staff-specific requirements. Therefore, discussions held during fact finding missions led to constructive dialog about what **contacted persons' (and their staff)** real problems are and which of them can realistically be addressed through training.
- There are training activities ongoing and/or possibly under preparation or part of the two support projects (see **Chapter 1.4**). Furthermore, DESIA provides some in-house training, such as:
  - (i) IEE certificates (ToT of one Senior Technical staff and three junior staff for each center of DESIA to act as key IEE trainers at provincial and district levels).
  - (ii) Technical trainings and policy dissemination workshops to its staff, PWREO and line ministries (incl. ESIA monitoring, data storage and reporting all addressing issues related to mining, hydropower and infrastructure sectors)
  - (iii) DESIA is setting-up EMUs to perform GoL's monitoring requirements for projects.
  - (iv) Others.

Since DESIA already has national training programs running in nine provinces, including Vientiane, Xiengkhuang and Attapeu provinces, the LARC training modules should be performed in coordination with other training activities, if required or necessary.

- Dissemination of mandatory requirements through policy and guideline orientated training on Decree 192 seems to be crucial. Mandatory requirements as identified during the CNA are now reflected in the training modules outlined in **Table 4.1**. Should these need revising during the course of training, this will be undertaken. Training workshops will also focus on key mandatory elements of this decree allowing relevant staff to perform effective M&E of CSS in development projects. Participants should understand that this training mainly serves to improve their skills and ability to deliver and apply the safeguards compliance process. Some projects in a district might serve as an example or case study, but the training workshops will not serve as platform to discuss any LARC related problems with specific development projects under study, construction or operation.
- Although Decree 192 and the TGCR have been distributed to some national and provincial authorities and ministries, such as to 8 provincial governors and deputy governors (including the three subproject provinces Xiengkhuang, Vientiane, Attapeu) between 27 and 29 December 2010, the training workshops should initiate widely disseminate to officials who are dealing directly with social and environmental issues caused by development projects, at the levels of provincial and district line agencies. The available training budget has considered a budget line for this purpose.

## 5 CONCLUSIONS

### *5.1 Appreciation of TA Support*

The CNA can confirm the interest and motivation of the contacted staff of DESIA, the three provincial WREOs, and the contacted line agencies in LARC related training. The information collected and feedback obtained indicate that LARC is already an issue for some provinces and districts, or threatens to become so. All contacted staff and respondents to the CNA questionnaire based survey identified the need for: (i) a better understanding about social safeguards policies, (ii) to know how to carrying out social impact assessments in relation with loss of asset and compensation, and (iii) how to conduct livelihood restoration programs. They also see the importance of land issues, community consultation and action plans. Many government agencies expressed the hope that training should be given in series and for longer periods, to obtain better results, facilitate improved absorption of mandatory requirements, and enable effective implementation of the policy by local staff.

### *5.2 Changing Institutional Settings*

The Government of Lao PDR has decided to partly restructure its ministerial organizations. This led already to the formal establishment of a new Ministry of Natural Resources and Environment (MoNRE) into which WREA will be incorporated with its units (see **Attachment 3-1**). Consequently this concerns also DESIA. Concerning the ongoing TA 7566, this had no impact on the preparation of the CNA for **DESIA and WREOs' staff at provincial and district level. The findings of the TNA and the proposed CDAP** concern the current staff who will be integrated in the new MoNRE national, provincial and district offices, beside other staff from other previously independent administrations or authorities. The training needs and proposed training manual with its modules are likely to remain unchanged. Only the final clarification about which staff will receive training will be necessary, but more limited to provincial and district staff, as possible DESIA candidates for Training-of-Trainer Course are already tentatively identified. This might be modified taking into account that the previous National Land Management Authority (NLMA) and some sections of the Ministry of Agriculture & Forestry will also be incorporated into the new MoNRE, which could be an advantage for planning and implementing LARC measures.

### *5.3 Training Specific Aspects*

Training needs have been assessed, gaps identified and the Capacity Development Action Plan prepared. DESIA and TA team agreed on layout of social safeguards training manual. The nomination of trainers and trainees within DESIA has been completed. The following items are of importance and require attention:

- \* Completing first draft training modules.
- \* Commitment of DESIA to implement agreed training calendar.
- \* Informing TA provinces and district among others through Lao written Executive Summary of this Report about current status and next steps.
- \* Nomination of provincial and district trainees.
- \* Start of training courses and workshops.

ATTACHMENTS

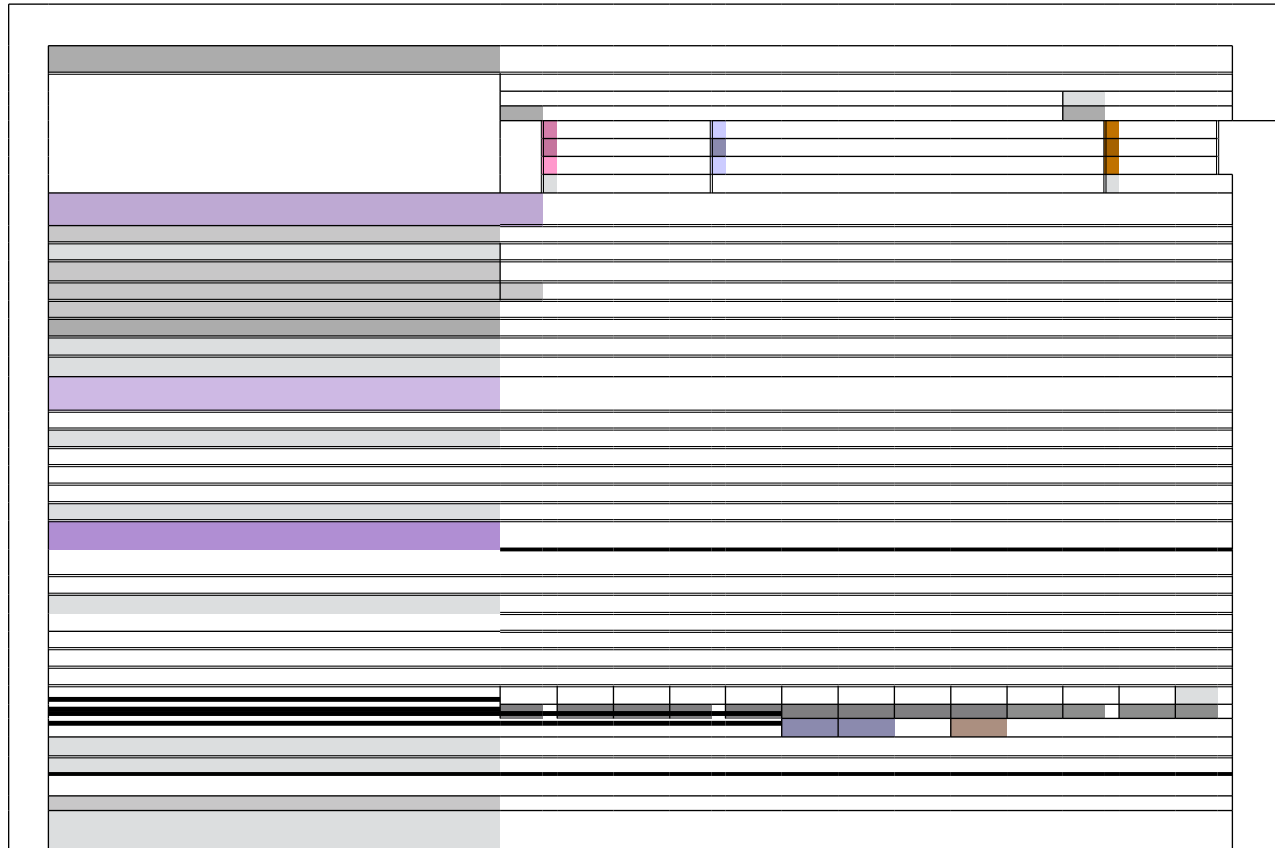
NO.	TITLE
<b>Chapter 1: Introduction</b>	
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1-2	Current Status of TA Overall Work Plan
<b>Chapter 2: Approach of Capacity Needs Assessment</b>	
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3-3	DESIA Structure, Positions, Names and Professional Background of Staff
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3-5	Professional Background Overview of DESIA and PREWO Staff
3-6	DESIA and PWREO Staff Education, Study Area, Roles & Responsibility
3-7	Training Requirements as Prioritized by Surveyed Staff
3-8	Expectations, Weaknesses, Strengths and Recommendations
<b>Chapter 4: Planning of Capacity Development Actions</b>	
4-1	Proposed Social Safeguards Training Modules
4-2	Preliminary Training Calendar

### Attachment 1-1: Overview of Selected Legal Regulations and Support to DESIA on Environmental and Social Safeguards

Item	Description	Year																				
		before	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	after			
Legal Framework	Constitution	No 25/NA 06May2003	•																			
	GENERAL selected Laws/Decrees related to LARC	Law on Forest 01-1996 ; 11 Oct 1996 ; updated by Decree No. 13/NE ; 09 Nov 2005 and No. 6/NE 24 Dec 2007	•																			
		Law on Water and Water Resources 02-1996 ; 11Oct1996	•																			
		Law on Electricity, 02/97/NA ; 12 April 1997	•																			
		Law on Environmental Protection ; Decree No. 02/99/NA ; 03 April 1999	•																			
		Law on Public Roads, No 04-1999 ; 03April 1999	•																			
EIA related documents	Regulations on Environmental Assessment by Decree 1770 STEA ; 03 Oct 2000		•																			
	Agreement on National Environmental Standards by Decree 2734 PMO WREA ; 07Dec2009																					
	Environmental Impact Assessment by Decree 112 ; 16Feb or April 2010																					
	SPECIFIC selected Laws/Decrees related to LARC	Technical Guidelines on Resettlement and Compensation - Draft through TA 3746 - 15 April 2003					•															
		Draft Decree on Resettlement and Compensation through TA 3746 - Final Draft 17 June 2003					•															
Decree 192 on Compensation and Resettlement of Development Projects ; 07 July 2005																						
WREA	Decree 2432/STEA Regulations for Implementing Decree 192/PM ; 11 Nov. 2005																					
	Technical Guidelines on Compensation and Resettlement of PADP ; 699/PMO WREA ; 13 March 2010																					
DESIA	Establishing STEA by Decree No. 68 PM ; 21May 1999	•																				
	Establishing WREA by Decree No. 149/PM ; 10 May 2007																					
ADB	TA 3746 TA 7566	Capacity Building for Environmental Management in Energy and Transport Sector																				
		Strengthening and Use of Country Safeguards Systems																				
Support Programs	SEMP	Social and Environmental Management Programme - Phase I																				
		Social and Environmental Management Support Programme - Phase II																				
	LEnS	Lao Environmental and Social Project																				
	LAF	LEnS Additional Funds																				
	EMSP	Environmental Management Support Programme																				
Time Legend		before	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	after			
Selected Projects, Programmes, Technical Assurances																						
UNEP and UNDP: Poverty Environment Initiative																						
Government of Finland: This Environmental Management Support Program (EMSP) is the succeeding project of the two previous SEMP																						
Government of Sweden: SEMP Social and Environmental Management Programmes																						
World Bank: Lao Environmental and Social Project and the LEnS Additional Funds Project																						
Abbreviations	ADB	Asian Development Bank																	STE	Science, Technology and Environmental Agency	TA	Technical Assistance
	DESIA	Department of Environmental and Social Impact Assessment																	LARC	Land Acquisition (LA), Resettlement(R) and Compensation (C)	TGCR	Technical Guidelines
	WREA	Water Resources and Environment Administration - since June 2011: Ministry of Natural Resources and Environment																	RCPADP	Resettlement / Compensation of People Affected by Develop. Projects		

Source: DESIA and TA, June 2011

**Attachment 1-2: Current Status of TA Overall Work Plan, 31 August 2011**



**Phase 1 “Planning” has been completed as tentatively planned .**

**Phase 2 “Capacity Development Activities” :**

- **The “preparation stage” has** been extended to two months (July /August) mainly because of more time required for (i) selecting three districts for each TA province, (ii) preparing and conducting quantitative and qualitative surveys for the Capacity Need Assessment (CNA) depending also on staff availability of line agencies. The additional fact finding missions in June, July and August had also an inception purpose and kick-off character so that they replaced the initially planned inception workshop.
- **The “piloting stage” is now related** to the first social safeguard training workshop for 18 DESIA and province staff in September 2011.
- **The “implementation stage” covers now five months instead of previously planned four months, with the following** two modifications (i) Starting in Oct. 2011 rather than Sept. 2011, and (ii) extended to February mainly because of approx. 4 weeks in October 2011, December 2011 and January 2012 of no or limited availability of staff to be trained. Furthermore, review sessions will be included in all provincial training workshops replacing the preliminarily foreseen review through a review workshop.

**Phase 3 “Revisions & Proposals” has been reduced from two to one month (end of February and 21 March 2012).**

**Note 1: Attachment 4.1** provides through a training calendar details about training courses and workshops.

**Note 2:** The cooperation between DESIA and TA staff in July/Aug. 2011 was occasionally limited because of **DESIA’s involvement in setting** -up a new Ministry of Natural Resources and Environment.

**Note 3:** DESIA moved offices within same building end of June 2011 and started using the new facilities properly beginning of July 2011.

## ATTACHMENTS

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<b>Chapter 1: Introduction</b>	
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3-5	Professional Background Overview of DESIA and PREWO Staff
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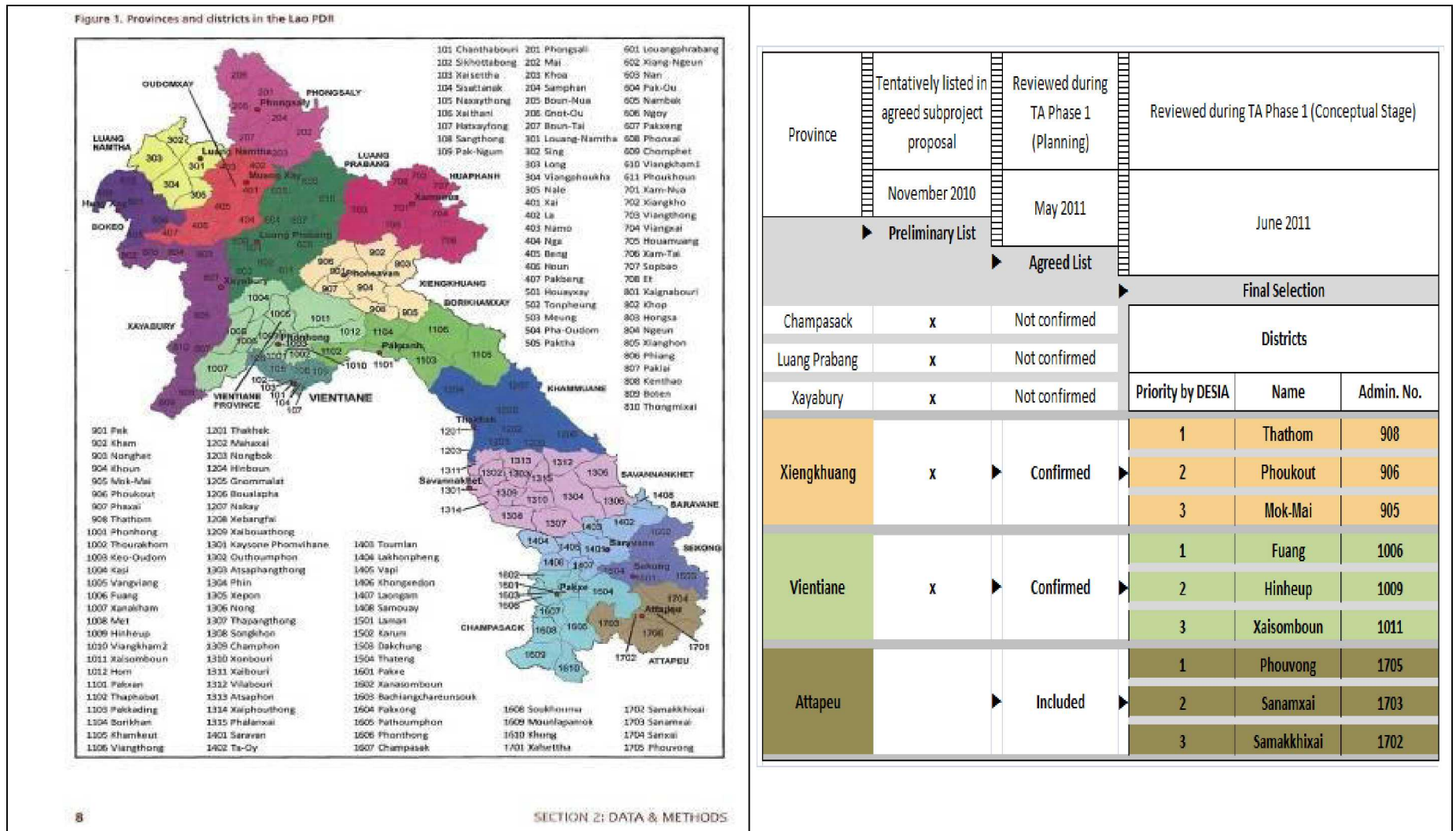
### Attachment 2-1: Applied CNA Approach

Time	Stage	Activities	Finding / Results / Outputs	
<b>Phase 1: Planning</b>				
22 Mar. to 21 May 2011	<b>Orientation</b> <i>(completed)</i>	Familiarization & Planning	<ul style="list-style-type: none"> <li>Reviews, technical and coordination meetings</li> <li>Inception Report and 1 Semi-Annual Report</li> </ul>	Z W N w N a N p w z
22 May to 21 June 2011	<b>Concept</b> <i>(completed)</i>	Institutional Assessment	<ul style="list-style-type: none"> <li>DESIA and PWREO organizational structures</li> <li>DESIA coordination within WREA and projects</li> <li>Initial understanding of DESIA scope of work and responsibilities</li> <li>Number of DESIA and PWREO staff</li> <li>Professional background of DESIA and PWREO staff</li> </ul>	
		-		
		1 <sup>st</sup> fact-finding mission	<ul style="list-style-type: none"> <li>* Initial understanding of provincial/ district roles and responsibilities</li> <li>9 Feedback for other similar missions</li> <li>- Data /information for developing CNA questionnaires</li> </ul>	
<b>Phase 2: Capacity Development</b>				
22 June to 31 Aug 2011	<b>Preparing</b> <i>(completed)</i>	Selecting TA districts	<ul style="list-style-type: none"> <li>* This selection process turned into a participative step at national D ESIA and partly provincial WREO level.</li> <li>• Selection completed by 30 June 2011</li> </ul>	v a a O N W L U N z a
		<i>in parallel</i>		
		Training Manual	<ul style="list-style-type: none"> <li>• Preparing draft of general training modules</li> <li>• Discussing purpose and layout of core training modules</li> </ul>	
		<i>in parallel</i>		
		Preparing quantitative survey	<ul style="list-style-type: none"> <li>• TNA questionnaire distribution to provinces</li> <li>• Reviewing filled questionnaires during fact-finding missions</li> <li>9 Collecting filled questionnaires and data analyzing</li> <li>* Contributing to the preparation of a CNA&amp;CDAP working draft</li> </ul>	
		2 <sup>nd</sup> & 3 <sup>rd</sup> fact- finding mission	<ul style="list-style-type: none"> <li>• Better understanding of provincial/district of LARC related work</li> <li>• Analyzing qualitative data /information</li> <li>• Fact finding missions reviewed/confirmed selected districts</li> </ul>	
		<i>in parallel</i>		
		Institutional assessment	<ul style="list-style-type: none"> <li>* Completing information about organizational structures and staff</li> <li>• Good institutional understanding of provincial/ district offices</li> <li>9 Contributing to the preparation of the CNA&amp;CDAP working draft</li> </ul>	
	▼			
		CNA & CDAP	<ul style="list-style-type: none"> <li>• Reviewing training activities</li> <li>• Finalizing CNA&amp;CDAP report</li> </ul>	
Sept to Oct 2011	<b>Piloting</b>	Training manual	<ul style="list-style-type: none"> <li>* Preparing draft training modules which will be regularly updated and completed at the end of the implementing stage of the TA Phase 2.</li> </ul>	
Oct 2011 to Jan 2012	<b>Implement- ation</b>	Capacity development	<ul style="list-style-type: none"> <li>• Providing training at provincial and district levels</li> <li>• Receiving feedback - Updating and modifying training modules</li> </ul>	
<b>Phase 3: Finalization</b>				
Feb to Mar 2012	<b>Revisions &amp; Proposals</b>	Completion	<ul style="list-style-type: none"> <li>* Preparing Project Completion Report</li> <li>• Holding Completion Workshop</li> </ul>	
Note 1	Phases and their stages refer to the tentative planning of the Inception Report.			
Note 2	Piloting is now planned for Sept./Oct. and not in August because of the extended preparing stage.			
Note 3	Through fact finding missions not only (i) institutional/organization information and qualitative data could be collected, and (ii) quantitative CNA surveys followed-up, but (iii) also inception meetings (instead of a workshop in Vientiane) could be held to introduce the TA to the provincial line agencies.			
Note 4	In June/July 2011 the Government of Laos decided to restructure some ministries. This led to the creation of a new Ministry of Natural Resources and Environment in which WREA incl. DESIA will be integrated. The detailed planning of organizing the MoNRE started in August 2011 (possible completed in 4 <sup>th</sup> quarter 2011)			

Source: DESIA and TA, August 2011



Attachment 2-2: Selected TA Provinces and Districts



Source: DESIA and TA, July 2011

### Attachment 2-3: Selecting Aspects and some Features of TA Districts' Projects

Selection Criteria			TA Provinces																							
			Vientiane Province									Xiengkhuang Province						Attapeu Province								
District	Admin. Number	1006	1009			1011			908			906	905	1705			1703			1702						
	Name	Fuang	Hinheup			Xaisomboun			Thalthom			Phoukout			Mok-Mai			Phouvong			Sanamxai			Samakxhrai		
	DESIA's Selecting Priority	1	2			3			1			2			3			1			2			3		
Project Characteristics	General	HPP projects	HPP projects	HPP	HPP	Plantation Projects	HPP projects	Transmission lines	Mining	Rural Roads	HPP projects	Gold Mining	Plantation Projects	HPP projects	Gold Mining	HPP projects	HPP projects	HPP projects	Agriculture Projects	Plantation Projects	HPP projects	HPP projects	Gold Mining	HPP projects	Plantation Projects	
	Specific	general	Nam Lik 1&2	Nam Ngum Reservoir	Nam Song Diversion	general	Nam Ngum 2, 3 & 5		Phoubla Mining	general	Nam Ouep Nam San	"Aluvia Mining"	general	Nam Ngum 3&5	general	Nam Mo	general	Xe Kaman	general	general	general	Seplan-Senamnoy	Small Scale	Nam Kong	general	
Project Status	Preparation																									
	Study																									
	Implementation																									
	Operation																									
Possible Main Features	Land Acquisition																									
	Resettlement																									
	Compensation																									
	Livelihood / Income Restoration																									
	Sociology / Ethnicity																									
Proposed and/or agreed by	DESIA	DESIA	x	x			x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
	PWREO	PWREO			x	x	x																			
	ADB	ADB			x		x						x													
DESIA Centers	Energy	Energy	x	x	x	x	x	x			x		x		x	x	x				x	x		x		
	Infrastr. - Publ. Investment	Infrastr. - Publ. Investment							x	x																
	Agriculture - Forestry	Agriculture - Forestry					x						x						x	x					x	
	Mining - Industry	Mining - Industry								x			x		x								x			
Note 1:		In addition to the shown criterion, DESIA considered in its selection process of districts also accessibility and security aspects.																								
Note 2:		For each province a forth district has been selected in case of unforeseen changes or required modifications: for Vientiane Province: Home district (No. 1012), for Xiengkhuang Province: Phaxai District (No. 907), and for Attapeu Province: Xaisetha District (No. 1702).																								
Note 3:		Most of the projects chosen concern the energy sector, followed by the agriculture and mining sectors, and completed by the public infrastructure sector. Their shown status and features will be updated during TA Phase 2.																								
Note 4:		This overview has been prepared for preparatory reasons by the TA. The implementation during Phase 2 will finally decide about which project will have been included in the TA support and to which extent/detail.																								

Source: DESIA and TA, July 2011

## Attachment 2-4 A: Social Safeguards CNA Questionnaire

### I. PERSONNEL INFORMATION

#### 1. Contact Details

- a. Name **and Surname:** .....
- b. Work Position **and Current Location:** .....
- c. Department and Ministry: .....
- d. Province and District: .....
- e. Contact Details, Tel: ..... E-mail: .....

#### 2. Educational Level (please use $\surd$ symbol for educational level and specify field of study)

- a. Name of High **School** ..... completion **year** .....
- b. Graduate ..... **field of study** ..... **completion year** .....
- c. Postgraduate ..... **field of study** ..... **completion year** .....
- d. Doctorate ..... **field of study** ..... **completion year** .....
- e. Others ..... **field of study** ..... **completion year** .....

#### 3. Work Experience

- a. **How many years have you been working?** .....
- b. **Describe your previous task and responsibility** .....
- c. **How many years have you been working in your current job?** .....
- d. **What is your current responsibility?** .....

#### 4. Your Current Social Safeguards Professional (please use $\surd$ symbol, you can make multiple choices)

- a. Social Safeguards Specialist/Expert/Advisor .....
- b. Trainer .....
- c. Document review, monitoring and evaluation .....
- d. Implementer .....
- e. Practitioner .....
- f. Other, please specify .....

**Attachment 2-4 B: Social Safeguards CNA Questionnaire**

**II. ROLES AND RESPONSIBILITY IN SOCIAL SAFEGUARDS**

5. Please define responsibilities **do you think your department has to implement or monitor Social Safeguards. What activities is your department involved in?**

.....  
.....  
.....  
.....

6. If your department is not involved in implementing or monitoring social safeguards, which department/agency do you think is responsible? (if more than one, identify which dept. has which responsibility) (please use √ symbol, you can make multiple choices)

- a. **Provincial/District Governor's Office:** .....
- b. Mining and Energy: .....
- c. **Agriculture and Forestry:** .....
- d. **Public Works and Transport:** .....
- e. Industry and Commerce: .....
- f. Natural resources and Environment: .....
- g. **Planning and Investment** .....
- h. **Lao's Women Union** : .....
- i. Lao National Front for Construction:
- j. Education:
- k. Public Health:
- l. Labor and Social Welfare : .....
- m. Lao Youth Union : .....
- n. Department of Interior: .....
- o. **Military or Police:**

**Attachment 2-4 C: Social Safeguards CNA Questionnaire**

**7. Please indicate your roles and involvements in the following activities which fall under Social Safeguards responsibilities**

Your roles and responsibilities	please <input type="checkbox"/> in the areas you have a role or involved in	If you are not involved, please indicate which department do you think is responsible for the following
Social Safeguards Policy Analysis		
Social Impact Assessment Report review		
Safeguards Document Review and Reporting		
Preparation of safeguards components in Concessions Agreements		
Public Communication Policy/Strategy development with the public (e.g. civil society, NGOs, developers) about safeguards applications in development projects		
Social Impact, Community Consultation and Participation		
Coordination on Social Safeguards with different Lines Agencies		
Project Planning/Designing/Developing		
Physical Relocation/Resettlement		
Data Retrieval and Information Management & Storage		
Provide Training (specify types of training provided)		
Land Acquisition, Land Use and Tenure		
Livelihoods/Income Restoration/Support Mechanism		
Structure Restoration and Compensation (do you mean identifying unit costs of replacement values of lost assets?)		
Grievance Redress Mechanism		
Ethnic Group, Gender and Poverty Reduction,		
Project Implementation Support for Public Health & Education and Occupational Welfare		
Monitoring, Evaluation and Reporting		
Participated in Social Safeguards Training/Workshop		
Others, please specify		
Others, please specify		
Others, please specify		

---

**Attachment 2-4 D: Social Safeguards CNA Questionnaire**

**8. Your roles in Environmental Safeguards** (please use  $\surd$  symbol, you can make multiple choices)

- a. Environmental Safeguards Policy Analysis .....
- b. Initial Environmental Examination Report Review .....
- c. Environmental Impact Assessment Review .....
- d. Environmental Impact Mitigation Plan Review .....
- e. Water Resources Management Plan Review .....
- f. Natural Resources and Biodiversity Report Review .....
- g. Pollution Control and Waste Management Review .....
- h. Participated in Training/ Workshop .....
- i. Provide Training
- j. Others, please specify
- k. Others, please specify
- l. Others, please specify

**Attachment 2-4 E: Social Safeguards CNA Questionnaire**

**III. TRAINING NEED REQUIREMENTS**

**9. Indicate areas in Social Safeguards where you see training need. Please indicate priorities.**

<b>Addressing Land Acquisition, Compensation and Resettlement caused by Development Projects</b>		<b>1st Priority</b>	<b>2nd Priority</b>	<b>3rd Priority</b>	<b>Not Required</b>
<b>Policy Analysis</b>	Social Safeguards Requirements of International Financing Institutions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	National Social Safeguards Policy Analysis	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Impact Assessment</b>	Socio-Economic Impact Assessment for Development Projects	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Implementation Plan and Documentation Review</b>	Resettlement Action Plan	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Gender and Ethnic Groups Action Plan	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Public Health and Occupational Safety Action Plan				
<b>Community Engagement Consultation and Communication Review</b>	Consultation and Participation in a Development Project with Resettlement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Gender and Ethnic Groups Consultation Process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Entitlements and Establishing Cut Off Date</b>	Resettlement Entitlements	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Ethnic /Vulnerable Groups Entitlements.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Gender Entitlement footnote needed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Livelihood and Incomes Restoration</b>	Livelihoods Restoration Measures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Poverty Reduction Strategies for Ethnic /Vulnerable Groups	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Gender Equity	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Land Issues</b>	Land Acquisition	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Land Use Planning	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Land Titling and Tenure	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Financial Cost and Budget Estimation</b>	Unit Cost Estimation for Loss and Compensation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Financial Estimation and Budgeting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Grievances Redress Mechanism</b>	Public Hearing, Village, District & Provincial Grievances Redress Mechanism	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Internal and External Monitoring</b>	Resettlement Monitoring, Evaluation and Reporting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Gender and Ethnic Groups Monitoring and Evaluation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Other, for example</b>	Public Health and Occupational Health Management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Other, please indicate</b>		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Other, please indicate</b>		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**Attachment 2-4 F: Social Safeguards CNA Questionnaire**

**IV. TRAINING EQUIPMENT AND METHODOLOGY**

**10. Indicate your training tool preferences. You can make multiple choices.**

Training Tools	1st Priority	2nd Priority	3rd Priority	Not Required
Presentation/Visual Communication	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Verbal Explanation and Communication	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Read Technical Report/Handbook/ Manuals and Handouts	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Speaking and Communication in Lao Language	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Speaking & Communication in another ethnic language				
Speaking and Communication in English Language	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Workshop and Group Discussion and Analysis	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Homework	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Present/share your work to others in class	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Practical exercise/Field visit/On the job training	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Others, please indicate	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Others, please indicate	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Others, please indicate	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**V. COMMENTS AND FEEDBACKS**

**11. What are your expectations of training?**

.....  
 .....  
 .....

**12. What do you think are the advantages or limitations you currently face in implementing social safeguards?**

.....  
 .....  
 .....

**13. What kind of support or information would you like to help you implement social safeguards even better?**

.....  
 .....  
 .....



ATTACHMENTS

NO.	TITLE
<b>Chapter 1: Introduction</b>	
1-1	Overview of Selected Legal Regulations and Support to DESIA on Environmental and Social Safeguards
1-2	Current Status of TA Overall Work Plan
<b>Chapter 2: Approach of Capacity Needs Assessment</b>	
2-1	Applied CNA Approach
2-2	Selected TA Provinces and Districts
2-3	Some Aspects and Features of TA Districts' Projects
2-4	CNA Questionnaire
<b>Chapter 3: Findings of Capacity Needs Assessment</b>	
3-1	Newspaper Article about Ministry of Natural Resources and Environment
3-2	DESIA Coordination within WREA
3-3	DESIA Structure, Positions, Names and Professional Background of Staff
3-4	PWREO Structure, Positions, Names and Professional Background of Staff
3-5	Professional Background Overview of DESIA and PREWO Staff
3-6	DESIA and PWREO Staff Education, Study Area, Roles & Responsibility
3-7	Training Requirements as Prioritized by Surveyed Staff
3-8	Expectations, Weaknesses, Strengths and Recommendations
<b>Chapter 4: Planning of Capacity Development Actions</b>	
4-1	Proposed Social Safeguards Training Modules
4-2	Preliminary Training Calendar

## Attachment 3-1: Newspaper Article

### New Ministry of Natural Resources and Environment

Monday August 1, 2011 | Home news | 3

Vientiane Times



Mr Noulinh Sinbandhit (right) and Mr Kham-ouan Boupha shake hands during the cabinet reshuffle meeting in Vientiane.

## New minister to oversee proper use of resources

**Times Reporters**

Mr Noulinh Sinbandhit is now the man in charge of managing the country's natural resources after officially becoming head of the newly created Ministry of Natural Resources and Environment on Friday.

This ministry was created by merging the National Land Management Authority (NLMA) with the Water Resource and Environment Administration (WREA) and several portfolios from other ministries including geology and forestry management and protection.

The new ministry was established to develop and implement policies in relation to land and natural resource management.

As the new minister Mr Noulinh replaces Mr Kham-ouan Boupha who had been NLMA President since 2006 and Ms Khempheng Pholsena who was the chairperson of WREA.

During Friday's ceremony in Vientiane, for Mr Noulinh assumed his ministerial position replacing Mr Kham-ouan who will retire.

Deputy Prime Minister Mr Asang Laoly and other high-ranking officials witnessed the event.

The ceremony to replace Ms Khempheng with Mr Noulinh was held a few weeks ago giving the minister the capacity to develop and implement government policy in the sector.

Ms Khempheng is now Minister to the Government Office. Mr Noulinh had been Vice Chairperson of WREA for many years before being appointed to the ministerial post during the first session of the National Assembly in June this year.

He has committed to devote all his energy and experience to ensure success in the sector in order to maximise the socio-economic benefits.

Government officials said the Ministry of Natural Resources and Environment aims to centralise the management of natural resources in order to protect the environment and ensure sustainable development.

The new ministry will mainly focus on the management, monitoring and assessment of the use of resources and the contribution they make towards poverty reduction and economic growth in the country.

The government is aware that natural resources and the environment play an important role in the development of Laos, necessitating good management in order to maximise benefits and prevent exploitation.

This year, the government has made changes to its structure and now has 18 ministries and three ministry-equivalent bodies - the Bank of the Lao PDR, Government Inspection Authority, and the Government Office.

The government has established four new ministries and merged sectors that had overlapping work in order to achieve goals outlined in the current five-year plan.

The four new ministries are Home Affairs; Natural Resources and Environment; Science and Technology; and Post, Telecoms and Communication.

The official ceremony for cabinet reshuffle took place on July 7 following approval from the NA in June.

The reshuffle started with Mr Somdy Douangdy taking the position of Planning and Investment Minister, replacing Dr Sinlavong Khoutphaythoune who assumed a new role as Head of the Government Office.

Note 1: Although MoNRE has been established, this did not yet lead to an officially published changed structure of WREA (including DESIA) and the provincial WREOs. A revised organization of MoNRE is expected for the 4<sup>th</sup> quarter 2011.

Note 2: The TA and the CNA started their activities in the WREA context and present therefore accordingly the results of the CNA. Referring obtained WREA results to a new ministry still to be structured would be misleading as MoNRE will not only incorporate WREA but also previous independent administrations.

Note 3: The TA will update its prepared organization charts after MoNRE will have finally been structured.

### Attachment 3-2: DESIA Coordination within WREA

DEPARTMENTS	Environmental and Social Impact Assessment (DESIA)		Divisions		Planning and Finance						Center	
			Centers		Law and Information		Infrastructure and Public Investment			Center		
					▼	▼	▼	Agriculture and Forestry				▼
▼	▼	▼	▼	▼				▼	▼	▼	▼	
					PFD	LID	IPIC					AFC
DEPARTMENT	Environment	DE	Planning and Cooperation	Division						O		1
			Policy and Legislation	Division		LA,C		LA	G	E	E,R,G	4
			Environmental Promotion	Division				O	G	E	E,G	4
			Pollution Control	Division				E	E	E	E	4
			Environmental Data and Information Management	Division		E,O	O	G	E			4
			Climate Change	Office					G	O	E,G	3
	Water Resources	DWR	Information Technology and Awareness	Division			O			G		2
			Water Resources Management Division	Division				E		E		2
			Planning and Cooperation Division	Division				E		E		2
	Meteorology and Hydrology	DMH	Information Technology and Awareness	Division		G				O		2
			Administration	Division						G		1
			Planning and Cooperation Division	Division			O					1
			Finance	Division								0
			Personal	Division						O		1
			Training and Library	Center		G	O			G		3
INSTITUTE	Water Res. and Environment Research	DWERI	Water Resource Research	Center			E	G		E,G	3	
			Planning and Cooperation	Division							0	
			Remote Sensing Center	Center		E	O			G	E	4
			Environmental Quality Monitoring	Center		E	E	E	E	E		4
			Environmental Research	Center		E	E	E	E	E	E,G	3
SECRETARIAT	Greater Mekong Subregion	GMS	Agriculture	Sector			E			O		2
			Energy	Sector				E		E	E,G	3
			Environment	Sector		E	E	E	G	E	E,G	5
			HRD	Sector			O					1
			Investment	Sector						O		1
			Telecommunication	Sector			E			G		2
			Tourism	Sector			E					1
			Trade	Sector								0
			Transport	Sector			E					1
			Multisector	Sector			E					1
CABINET	C	Information Technology and Awareness	Division		G	G					2	
		Planning and Cooperation Division	Division	O					O		2	
		Administration	Division	O			G	G			3	
		Finance	Division	G							1	
		Personal	Division	G					O		1	
		Training and Library	Center		G	G			G		3	
Coordination Areas	Land Acquisition		LA	0	1	0	1	0	0	2	LA	
	Resettlement		R	0	0	0	0	0	1	1	R	
	Compensation		C	0	1	0	0	0	0	1	C	
	Environment		E	0	4	13	4	7	9	37	E	
	Others		O	2	2	6	0	8	7	25	O	
	General		G	2	4	2	5	9	0	22	G	
Totals				4	12	21	10	24	17	88		

**Abbreviations**

LA = Land Acquisition ; R = Resettlement ; C = Compensation ; E = Environment ; O = Others ; G = General

**Notes**

N-1 The coordination of DESIA with other divisions, centers and sectors within WREA focus on environmental topics, followed by other technical aspects and general matters.

N-2 For the DESIA divisions and centers there is LARC related coordination within WREA, but apparently only concerning legal aspects.

N-3 With the Policy and Legislation Division of the Environmental Department the TA and DESIA held a meeting where besides general legal aspects this department informed about the main LARC related issue in infrastructure/development projects with focus on economic resettlement impacts and necessary attention for livelihood and income restoration support for project affected people. Physical compensation is a major necessity, but to be incorporated in a sound compensation and support approach.

**Recommendation**

R-1 There are some technical aspects, tools and approaches which might be useful and are already partly standard for LARC related planning, implementation and M&E, such as GIS, integrated water use/management or environmental monitoring (resources related to livelihood activities). This could require a cooperation of DESIA with some technical centers/divisions of other WREA departments.

### Attachment 3-3A: DESIA - Structure, Positions and Names of Current Staff

Department of Social and Environmental Impact Assessment (DESIA)																							
1 Director General Mrs. Bounkham Vorachit																							
1 Assistant Director General Ms. Phakkavanh Phissamay						1 Deputy Director General Mr. Phouong Luangxaysana						1 Deputy Director General Mr. Thavone Vongphosy											
Division			Division			Center			Center			Center			Center								
Planning and Finances			Law and Information			Energy			Infrastructure and Public Investment			Agriculture and Forestry			Mining and Industry								
1 Director Division Ms. Phakkavanh Phissamay			1 Director Division Mr. Viraphon Nouanesengsy			1 Director Center Mr. Chansanouk Khounnouvong (Left DESIA, position vacant)			1 Director Center Mr. Somvang Bouttavong			1 Director Center Mr. Aengphone Phengsouvanh			1 Director Center Mr. Orahnh Boungnaphalom								
2 Deputy Director Division Mr. Lamphokeo Kettavong Ms. Soutsada Sivlay			2 Deputy Director Division Ms. Bouakeo Phounsavanh (Left DESIA, position vacant)			1 Deputy Director Center Mr. Soudaxay Khamphengxay (Acting Director)			1 Deputy Director Center Mr. Bounlonh Oudomdy			2 Deputy Director Center Mr. Phouong Onysaleum Ms. Phetsamone Inphalyalath			2 Deputy Director Center Mr. Latsamy Volalath Ms. Thipthida Sisoulath								
Planning & Human Res. Unit	Administration Unit	Financial Unit	Information Unit	ESIA Legislation Unit	Concession Agreement Unit	Social Unit	Data Management Unit	Environment Unit	Social Unit	Data Management Unit	Environment Unit	Social Unit	Data Management Unit	Environment Unit	Social Unit	Data Management Unit	Environment Unit						
1 Mr. Lamphokeo Kettavong	Supervisor Ms. Soutsada Sivlay		1 Head of Unit Ms. Malaythong Diangsady	1 Head of Unit Mr. Thongsamith Onmarisone	1 Head of Unit Mr. Somsanith Chitmany	1 Head of Unit Mr. Phouthasack Khenmala	1 Head of Unit Mr. Phoupassith Phitthayaphone	1 Head of Unit Mr. Thepnakhone Vongsaphay	1 Head of Unit Mr. Sengparinga Thamnavong	1 Head of Unit Mr. Daovone Somsavanh	1 Head of Unit Ms. Laddamone Kinnavong	1 Head of Unit Ms. Manivonr Khongsavanh	1 Head of Unit Mr. Lattanaphone Sayaseng	1 Head of Unit Mr. Phetsingha Sypaseuth	1 Head of Unit Mr. Saleumsack Sayamonh	1 Head of Unit Ms. Malayphone Phommachanh	1 Head of Unit Ms. Chintanaphone Inthichack						
2 Mr. Sommanath Adphasouk	3 Mr. Phouvone Keomany	4 Mr. Sayasone Vanhnavone	2 Mr. Segjavanh Kommeueang	2 Mr. Khammy Thippaxay	3 vacant	5 Mr. Souphanh Kattignavong	2 Mr. Viengvilay Thammalangsy	5 Mr. Somsanouk Dordouangden	2 Mr. Lithsamone Phengphanhak	1 Ms. Phonethaly Charthavong	3 Mr. Phommalin Sengkhomyong	2 Mr. Yaen Boudsouvanh	2 Mr. Khamking Keobounkhong	3 Mr. Soukvilay Inthapanya	2 Ms. Viengsavanh Khammanvong	2 Ms. Phetamphone Phasavath	3 Mr. Khampaseuth Phanthavong						
	3 Ms. Souneth Soulyadeth	4 Ms. Anousa Bouaphakeo		2 Ms. Thatsary Vongsayalath	3 Mr. Soutsavath Pongmal		2 Mr. Keovixay Sayasongthor	5 Mr. Keovixay Sayasongthor	2 Mr. Sompasith Khamnavong		3 Mr. Aliyasack Tunalom	2 Mr. Outhone Phanthavong	3 Mr. Phonesavath Khamvilay	2 Mr. Bounkham Anouvanh	3 Industry Mr. Anphayvanh Sayaphone	2 Ms. Phonethavy Thammavong	3 Ms. Daeng Lathachack Industry Mr. Phongsavanh Vanglaosavau						
		5 Ms. Sengchanh Phimphila			4 Mr. Danouphanh Vongphouthone			6 Mr. Bounkham Meunsavaeng		2 Ms. Davanh Intham			3 Mr. Phoumsith Vongvanxay										
						6 Ms. Viengchanseng Lanavanh																	
						3 Mr. Phoupassith Phitthayaphone																	
3 Planning & Human Res. Unit	3 Administration Unit	5 Financial Unit	3 Information Unit	3 ESIA Legislation Unit	4 Concession Agreement Unit	6 Social Unit	3 Data Management Unit	6 Environment Unit	3 Social Unit	2 Data Management Unit	4 Environment Unit	3 Social Unit	3 Data Management Unit	4 Environment Unit	3 Social Unit	3 Data Management Unit	4 Environment Unit						
14 Division			13 Division			17 Center			11 Center			13 Center			13 Center								
28 Divisions						29 Centers						56 Centers						27 Centers					
85 DESIA																							
Source: DESIA - May 2011																							
Note: The numbers show positions per units, divisions and centers with their totals ; Four persons cover two positions (see Planning and Finances Division) ; Three positions are vacant																							

Attachment 3-3B: DESIA – Professional Background of Current Staff

Department of Social and Environmental Impact Assessment (DESIA)																							
1 Director General Political Science and Pharmacology																							
1 Assistant Director General Environmental Management and Pharmacology					1 Deputy Director General Environmental Management and Soil Chemistry					1 Deputy Director General Animal Science													
Division Planning and Finances			Division Law and Information			Center Energy			Center Infrastructure and Public Investment			Center Agriculture and Forestry			Center Mining and Industry								
Director Division see above			1 Director Division Mechanical Engineering			0 Director Center vacant			1 Director Center Environmental Management			1 Director Center Environment Engineering			1 Director Center Forestry Management								
2 Deputy Director Division Language and Art Forestry Management + Business and Administration			1 Deputy Director Division GIS, Forestry Management vacant			1 Deputy Director Center Civil Engineering			1 Deputy Director Center Lawyer			2 Deputy Director Center Civil and Environment Engineering Forestry and Environment Management			2 Deputy Director Center Pharmacology Physics								
Planning & Human Res. Unit	Administration Unit	Financial Unit	Information Unit	ESIA Legislation Unit	Concession Agreement Unit	Social Unit	Data Management Unit	Environment Unit	Social Unit	Data Management Unit	Environment Unit	Social Unit	Data Management Unit	Environment Unit	Social Unit	Data Management Unit	Environment Unit						
Supervisor see above	Supervisor see above		1 Head of Unit IT	1 Head of Unit Electric Engineer	Head of Unit Vacant	1 Head of Unit Architecture	1 Head of Unit Civil Engineer+BA	1 Head of Unit Civil Engineer	1 Head of Unit Economist	1 Head of Unit Civil Engineer	1 Head of Unit Biologist	1 Head of Unit Forestry Management	1 Head of Unit Agriculture Engineer	1 Head of Unit Civil and Env. Engineer	1 Head of Unit Geography and Language	1 Head of Unit Language Science	1 Head of Unit Forestry Management						
2	3	4	1	2	3	5	2	5	2	1	3	3	2	3	2	2	3						
Business & Administration	BA & Money and Banking	BA	IT	Lawyer	Lawyer	Engineer	Env. Engineer	Economist	Economist	Land Management+	Civil Engineer	Economist	Agriculture Engineer	Forestry Management	Mining Natural Science	Language Science	Mining Civil Engineer						
Political Science	Language Science	Language Science	vacant	Economist	Lawyer	Civil Engineer	Biology	Biology	Geographer		Civil Engineer+Water Resources Management	Forestry Management	Forestry Management	Business & Administration		Environment Engineer	Environment Engineer						
	BA	Electric Engineer & BA			Lawyer	Env. Engineer		Civil Engineer			Civil Engineer	Forestry Management		Environment Engineer	Industry Mining Surveyor		Industry English						
		Accountant				Electric Engineer Civil Engineer+BA		Env. Engineer Civil Engineer															
2	3	4	2	3	3	6	3	6	3	2	4	4	3	4	3	3	4						
Planning & Human Res. Unit	Administration Unit	Financial Unit	Information Unit	ESIA Legislation Unit	Concession Agreement Unit	Social Unit	Data Management Unit	Environment Unit	Social Unit	Data Management Unit	Environment Unit	Social Unit	Data Management Unit	Environment Unit	Social Unit	Data Management Unit	Environment Unit						
11 Division			10 Division			16 Center			11 Center			14 Center			13 Center								
22 Divisions						27 Centers						55 Centers						28 Centers					
78 Department																							

Source: DESIA, May 2011

Note 1: The numbers show positions per units, divisions and centers with their totals ; Three persons cover two positions (see Planning and Finances Division) ; Four positions are vacant

Note 2: In case of more than two professional backgrounds the first one shown has been used for related staff analysis by the TNA

**Attachment 3-4A: Vientiane Province – WREO Structure, Positions, Staff and Professional Background**

Vientiane Province Water Resources and Environment Office: Organizational Structure			
1 Director PWREO Mr. Vongsamai Lengxongpao			
1 Deputy Director Mr. Ketkeo Keuthmany		1 Deputy Director Mr. Bounthai Saysanavongphet	
Administration Unit	Water Resources Unit	Environment Unit	Meteorology & Hydrology Unit
1 Head of Unit Mr. Khamphorchay Sisouvang	1 Head of Unit Mr. Vansamay Thongkhammeung	1 Head of Unit Mr. Bounmai Khounvisay	1 Head of Unit Mr. Douangkham Phosay
1 Deputy Head of Unit Ms. Chommany Southamavong	1 Deputy Head of Unit Mr. Khamphou Sisomphou	1 Deputy Head of Unit Mr. Phouthasone Phonsaya	1 Deputy Head of Unit Mr. Khamheng Vongphachanh
6	6	4	4
Ms. Teangon Souphokhammoun	Mr. Sengamphonh Kongphavong	Ms. Bounthavy Champa	Mr. Saleumkham Nouansavanh
Mr. Ithisy Danavong	Mr. Thongphet Vongkhamsouk	Mr. Chanthasone Southamavong	Mr. Laddalay Pathoummavong
Mr. Khamphone Sisoutham	Mr. Panthong Meuntham	Mr. Fongsamouth Sayasan	Mr. Khonsamak
Mr. Sithideth Kheunthaovisith	Ms. Taykeo Keomahavong	Ms. Taykeo Somchanavong	Mr. Aekkaxay Xaysanavongphet
Ms. Phonesavanh Sihalath	Mr. Bounliang Airniphonh		
Mr. Solaseun Meungmala	Ms. Medta Xongsayu		
8	8	6	6
Administration Unit	Water Resources Unit	Environment Unit	Meteorology & Hydrology Unit
31 Vientiane Province Water Resources and Environment Office			
Source: Vientiane Province WREO, May 2011			
Note: Technical positions only shown			

Vientiane Province Water Resources and Environment Office: Staff Professional Background			
1 Director PWREO Politics and Management			
1 Deputy Director Politics and Management		1 Deputy Director Meteorology	
Administration Unit	Water Resources Unit	Environment Unit	Meteorology & Hydrology Unit
1 Head of Unit Forestry Management	1 Head of Unit Environmental Management	1 Head of Unit Environmental Management	1 Head of Unit Meteorology
1 Deputy Head of Unit Finance and Accounting	1 Deputy Head of Unit Finance and Planning	1 Deputy Head of Unit Language Science	1 Deputy Head of Unit Meteorology
6	6	4	4
Finance and Accounting	Watershed Management	Agriculture (Fishery)	Meteorology
Finance and Accounting	Language Science	Forestry Management	Meteorology
Natural Science	Language Science	Language Science	Meteorology
Finance and Accounting	Environmental Management	Environmental Management	Meteorology
Language Science	Agriculture		
Agriculture	Agriculture		
8	8	6	6
Administration Unit	Water Resources Unit	Environment Unit	Meteorology and Hydrology Unit
31 Vientiane Province Water Resources and Environment Office			
Source: Vientiane Province WREO, May 2011			
Note: Technical positions only shown			

Attachment 3-4B: Xiengkhuang Province – WREO Structure, Positions, Staff and Professional Background

Xiengkhuang Province Water Resources and Environment Office: Organizational Structure				Xiengkhuang Province Water Resources and Environment Office: Staff Professional Background			
1 Director PWREO Mr. Thoumma Saleumsay				1 Director PWREO Public Administration & Management			
1 Deputy Director PREWO vacant		1 Deputy Director PREWO Mr. Sivone Bouddachanh		0 Deputy Director PREWO Vacant		1 Deputy Director PREWO Economist	
Administration Unit	Environment Unit	Water Resources Unit	Meteorology & Hydrology Unit	Administration Unit	Environment Unit	Water Resources Unit	Meteorology & Hydrology Unit
1 Head of Unit Ms. Saylom Sylaphandath	1 Head of Unit Mr. Kongsavanh Nanthepha	1 Head of Unit Mr. Saykham Nouanthasing	1 Head of Unit Mr. Lind Xayaphanthong	1 Head of Unit Business Administration	1 Head of Unit Environment	1 Head of Unit Language Science	1 Head of Unit Meteorology and Hydrology
1 Deputy Head of Unit Mr. Khamkone Souvannachack	1 Deputy Head of Unit Mr. Vilayphone Manivong	1 Deputy Head of Unit Mr. Vongsinpasack Vonginkham	1 Deputy Head of Unit Ms. Phimmasone Chanthavong	1 Deputy Head of Unit Meteorology and Hydrology	1 Deputy Head of Unit Road Engineer	1 Deputy Head of Unit Irrigation Engineer	1 Deputy Head of Unit Agriculture
8	4	4	5	8	4	4	5
Ms. Bounchanh Nola	Mr. Sinthanou Dasaophoun	Mr. Phonexay Medanith	Ms. Viengkhone Sithideth	Natural Science Teacher	Forestry	Irrigation Engineer	Meteorology and Hydrology
Ms. Soulinna Dethkoumman	Ms. Manivanh Saymany	Mr. Bounphanh Sinouanthong	Mr. Douangsavanh Saytavanh	Science Teacher	Language Science	Water Resource	Agriculture
Ms. Sinchai Thongthavong	Ms. Syvone Oudomxay	Ms. Douangsamone Chanthavong	Mr. Chanthanorm Singtom	Business Administration	Forestry	Forestry	Meteorology and Hydrology
Mr. Lkhamxing Thammachack	Mr. Phetdavanh	Ms. Bounthanong Intavanh	Mr. Aimisone Sengmilathy	Animal Science	Environment	Business Administration	Meteorology and Hydrology
Ms. Bounnivanh Thedthany			Mr. Somphanh	Business Administration			Meteorology and Hydrology
Ms. Bounthalay Vongamkha				Chemical Teacher			
Ms. Phieng Syaphay				Chemical Teacher			
Ms. Sinphone Mangthavone				Chemical Teacher			
10	6	6	7	10	6	6	7
Administration Unit	Environment Unit	Water Resources Unit	Meteorology & Hydrology Unit	Administration Unit	Environment Unit	Water Resources Unit	Meteorology & Hydrology Unit
32 Xiengkhuang Province Water Resources and Environment Office				31 Xiengkhuang Province Water Resources and Environment Office			
Source: Xiengkhuang Provincial Office - July 2010				Source: Xiengkhuang Provincial Office - July 2010			
Note: Technical positions shown only				Note: Technical positions shown only			

### Attachment 3-4C: Attapeu Province – WREO Structure, Positions, Staff and Professional Background

Attapeu Province Water Resources and Environment Office: Organizational Structure					Attapeu Province Water Resources and Environment Office: Staff Professional Background				
1 Director PWREO Mr. Navalath Nouanthong					1 Director PWREO Civil Engineer and Investment Management				
1 Deputy Director PREWO Vacant		1 Director PREWO	1 Deputy Director PREWO Mr. Phounsouk Phichith		0 Deputy Director PREWO Vacant		0 Director PREWO as above	1 Deputy Director PREWO Meteorology and Hydrology	
Administration Unit	Districts' WREO Unit	Environment Unit	Water Resources Unit	Meteorology & Hydrology Unit	Administration Unit	Districts' WREO Unit	Environment Unit	Water Resources Unit	Meteorology & Hydrology Unit
1 Head of Unit Mr. Soukviay Phonesarasen	1 Head of Unit Mr. Soukviay Phonesarasen	1 Head of Unit Mr. Viengkay Norasing	1 Head of Unit Mr. Sasy Sayabout	1 Head of Unit Mr. Onkeo Xayasith	1 Head of Unit Language Science	1 Head of Unit Language Science	1 Head of Unit Physiographic	1 Head of Unit Forestry	1 Head of Unit Meteorology
1 Deputy Head of Unit Mr. Xayasinh Phichith	1 Deputy Head of Unit to be appointed	1 Deputy Head of Unit Mr. Phonesavanh Sisavengsouk	1 Deputy Head of Unit to be appointed	1 Deputy Head of Unit Mr. Souksay Xaysamneuk	1 Deputy Head of Unit Architecture	0 Deputy Head of Unit to be appointed	1 Deputy Head of Unit Biology	0 Deputy Head of Unit to be appointed	1 Deputy Head of Unit Meteorology and Hydrology
3 Ms. Phyphanh Phimphisane Ms. Souksavanh Phangnivong Ms. Ketsamone Vongvichith	3 positions to be defined and staff appointed	3 Mr. Souksomphone Xayaseng Mr. Khamphone Xayasone Mr. Phonepasith Kounlavong	4 positions to be defined and staff appointed	4 Mr. Khamboun Medintay Mr. Phonesack Kithavone Ms. Bounmy Xayasith Ms. Phoutamphay Douangmangin	3 Medical Science Forestry Accountant	0 positions to be defined and staff appointed	3 Agriculture Animal Science Agriculture	0 positions to be defined and staff appointed	4 Meteorology and Hydrology Meteorology and Hydrology Meteorology and Hydrology Meteorology and Hydrology
5 Administration Unit	5 Districts' WREO Unit	5 Environment Unit	6 Water Resources Unit	6 Meteorology & Hydrology Unit	5 Administration Unit	1 Districts' WREO Unit	5 Environment Unit	1 Water Resources Unit	6 Meteorology & Hydrology Unit
31 Attapeu Province Water Resources and Environment Office					20 Attapeu Province Water Resources and Environment Office				
Source: Attapeu Provincial WREO, August 2011					Source: Attapeu Provincial WREO, August 2011				
Note 1: PREWO decided to establish a district unit - currently head of this unit nominated responsible for setting-up this new unit.					Note 1: PREWO decided to establish a district unit - currently head of this unit nominated responsible for setting-up this new unit.				
Note 2: PREWO decided to establish up a water resources unit - currently head of this unit nominated responsible for setting-up this new unit.					Note 2: PREWO decided to establish up a water resources unit - currently head of this unit nominated responsible for setting-up this new unit.				
Note 3: For both new units the staff number has assumed similar to the others.					Note 3: For both new units the staff number has assumed similar to the others.				





### Attachment 3-6: DESIA and PWREO Staff Education, Study Areas and Current Roles and Responsibilities

	Educational Level		No	Study Areas	No	Current Roles and Responsibility	
DESIA Vientiane Municipality	High School		0		0		
	Bachelors		12	2	Forestry	1	Data Management
				1	Law	1	Policy Analysis
				5	Environment	9	EIA and SIA Report Review
				1	English		
				1	Economic		
				1	Agriculture		
		1	Electric Engineering		EIA and SIA Policy Planning and Analysis		
	Masters		3	1	Linguistic / Language Science	1	Financial Planning
				1	Technical Design / Engineering	1	Data Information
		1		Forestry	1	EIA and SIA Report Review	
PhD		0		0			
Other: Advance Technical Certificate		1	1	Water Resources	1	EIA and SIA Policy Planning and Analysis	
		1	1		1	EIA and SIA Report Review	
Vientiane Province	Educational Level		No	Study Areas		Current Roles and Responsibility	
	High School		3	0		1	Head of Land Authority Office
				1	Weather Forecast		
				1	Data storage for Hydrology		
	Bachelors		3	1	Forestry	1	Head of Administration
				1	Economic	1	Land Authority Office
		1	Physiology	1	EIA and SIA Report Review		
	Masters		1	1	Environment Management	1	Head of Environment Unit
PhD		1	1	Agriculture Extension	1	Biodiversity and EIA review	
Other: Intermediate		1	1	General Teacher	1	Environment Monitoring	
Other: Advance Technical Certificate		1	1	n.a.	1	Environment Monitoring	
Xienghuang Province	Educational Level		No	Study Areas		Current Roles and Responsibility	
	High School		1	1	n.a.	1	Administration in Land Authority Office
				1	Medical Science	5	Technician of Environment Unit
	Bachelors		7	3	Environment Studies	1	Deputy Head of Environment Unit
				1	Engineer	1	Head of Environment Unit
				1	Chemistry		
		1	Animal Science				
	Masters		1	1	Communication	1	Head of WRE Unit
PhD		0	0		0		
Other: Intermediate Technical Certificate		2	1	Financial and Accountant	1	Deputy Head Land Authority Office	
	1	1	General Teacher	1	No answered		
Other: Advance Technical Certificate		1	1	Forestry	1	Technical Staff on EIA Work	
Attapeu Province	Educational Level		No	Study Areas		Current Roles and Responsibility	
	High School		8	0	n.a.	2	Technical staff at Land Authority Office
				1	EIA and SIA monitoring		
				1	Head of Land Authority Office		
				1	Head of Information Unit		
				1	Secretary		
				1	Data storage for Hydrology Division		
				1	Weather Forecast		
	Bachelors		9	2	Geography	1	Land Type/Use Monitoring
				1	Economic	1	Data Storage System
				1	Environmental Science	1	Technical Staff on EIA
				2	Animal Science	3	Environment
				1	French Language Teacher	1	Head of Administration
				1	Biology	1	Director of PWREO
		1	Civil Engineer	1	Director of Provincial Land Authority		
	Masters		0	0		0	
	PhD		0	0		0	
	Other: Intermediate Technical Certificate		11	3	Finance/Accounting	1	Household Census
				2	General Teacher	1	Water Resource
				1	Forestry	1	Surveys
		1		Mechanic	3	Environment	
		1		Medical Nurse	1	n.a.	
		1		Agriculture and Forestry	1	Secretary	
		1		Meteorology and Hydrology	1	Assistant in Meteorology Unit	
		1		Architecture	1	Technical Staff in Meteorology Unit	
Other: Advance Technical Certificate		4	1	Business Administration	1	Office Administration	
			2	Forestry	1	Planning and Accountant	
			1	Animal Science	1	IEE, ESIA Review and Monitoring Planning	
			1		1	Finance Officer	
		1		1	Technical Staff in Environment		
Total		70	Study Areas		70	Current Roles and Responsibility	

Abbreviation: n.a. not available in TNA questionnaire filled by respondent/s

Source: DESIA and WREOs ; May -August 2011

Attachment 3-7A: DESIA and Vientiane Province – Training Requirements as Prioritized by Surveyed Staff

DESIA, Central Level in VTE -16 repondents					
Priority Training Need Requirements	Priority	Priority	Priority	Not required	
	1	2	3		
Policy Analysis	Social Safeguards Requirements of International Financing Institutions	8	5	0	3
	National Social Safeguards Policy Analysis	8	6	0	2
Impact Assessment	Socio-Economic Impact Assessment for Development Projects	12	2	0	2
Action/Implementation Plan and Documentation Review	Resettlement Action Plan	9	3	2	2
	Gender and Ethnic Groups Action Plan	10	3	1	2
Community Engagement Consultation and Communication Review	Consultation and Participation in a Development Project with Resettlement	9	4	0	3
	Gender and Ethnic Groups Consultation Process	5	7	1	3
Entitlements and Establishing cut-off date	Resettlement Entitlements	7	7	0	2
	Ethnic /Vulnerable Groups Entitlements	8	5	1	2
	Gender Entitlement	4	6	2	4
Livelihoods/Incomes Restoration	Livelihoods Restoration Measures	8	5	2	1
	Poverty Reduction Strategies for Ethnic /Vulnerable Groups	11	2	1	2
	Gender Equity	5	5	3	2
Land Issues	Land Acquisition	8	6	0	2
	Land Use Planning	8	5	0	3
	Land Titling and Tenure	3	8	2	3
	Unit Cost Estimation for Loss and Compensation	13	1	0	2
Financial Cost and Budget Estimation	Financial Estimation and Budgeting	10	4	0	2
	Public Hearing, Village, District & Provincial Grievances Redress Mechanism	8	6	1	1
Internal and External Monitoring	Resettlement Monitoring, Evaluation and Reporting	5	8	2	1
	Gender and Ethnic Groups Monitoring and Evaluation	6	5	3	2
<b>Total Score</b>	<b>166</b>	<b>103</b>	<b>21</b>	<b>46</b>	
	Priority	Priority	Priority	Not required	
<b>Training Tools</b>	1	2	3	0	
Presentation/Visual Communication	6	7	0	3	
Read Technical Report/Handbook/ Manuals and Handouts	14	2	0	0	
Speaking and Communication in Lao Language	10	3	1	2	
Speaking & Communication in another ethnic language	2	4	4	6	
Speaking and Communication in English Language	5	6	1	4	
Workshop and Group Discussion and Analysis	12	2	1	1	
Homework, Present/share your work to others in class	5	6	1	4	
Homework	6	6	1	3	
Practical exercise/Field visit/On the job training	12	1	0	3	
<b>Total Score</b>	<b>72</b>	<b>37</b>	<b>9</b>	<b>26</b>	

Vientiane Province -25 respondents					
Priority Training Need Requirements	Priority	Priority	Priority	Not required	
	1	2	3		
Policy Analysis	Social Safeguards Requirements of International Financing Institutions	10	7	1	7
	National Social Safeguards Policy Analysis	15	3	1	6
Impact Assessment	Socio-Economic Impact Assessment for Development Projects	19	4	1	1
Action/Implementation Plan and Documentation Review	Resettlement Action Plan	11	8	5	1
	Gender and Ethnic Groups Action Plan	11	7	1	6
Community Engagement Consultation and Communication Review	Consultation and Participation in a Development Project with Resettlement	9	9	4	3
	Gender and Ethnic Groups Consultation Process	10	6	3	6
Entitlements and Establishing cut-off date	Resettlement Entitlements	8	10	2	5
	Ethnic /Vulnerable Groups Entitlements	10	5	3	7
	Gender Entitlement	4	7	7	7
Livelihoods/Incomes Restoration	Livelihoods Restoration Measures	6	8	3	8
	Poverty Reduction Strategies for Ethnic /Vulnerable Groups	12	6	3	4
	Gender Equity	9	5	5	6
Land Issues	Land Acquisition	14	4	3	4
	Land Use Planning	13	8	2	2
	Land Titling and Tenure	6	1	12	6
	Unit Cost Estimation for Loss and Compensation	12	6	3	4
Financial Cost and Budget Estimation	Financial Estimation and Budgeting	5	11	4	5
	Public Hearing, Village, District & Provincial Grievances Redress Mechanism	12	6	4	3
Internal and External Monitoring	Resettlement Monitoring, Evaluation and Reporting	8	10	3	4
	Gender and Ethnic Groups Monitoring and Evaluation	9	6	5	5
<b>Total Score</b>	<b>213</b>	<b>137</b>	<b>75</b>	<b>100</b>	
	Priority	Priority	Priority	Not required	
<b>Training Tools</b>	1	2	3	0	
Presentation/Visual Communication	12	10	0	3	
Read Technical Report/Handbook/ Manuals and Handouts	19	6	0	0	
Speaking and Communication in Lao Language	24	1	0	0	
Speaking & Communication in another ethnic language	2	3	1	19	
Speaking and Communication in English Language	0	4	3	18	
Workshop and Group Discussion and Analysis	16	6	1	2	
Homework, Present/share your work to others in class	3	8	6	8	
Homework	6	11	1	7	
Practical exercise/Field visit/On the job training	12	4	3	6	
<b>Total Score</b>	<b>94</b>	<b>53</b>	<b>15</b>	<b>63</b>	

**Attachment 3-7B: Vientiane Province's Selected Districts Training Requirements as Prioritized by Surveyed Staff**

Feung District, Vientiane Province -16 respondents					
Priority Training Need Requirements		Priority 1	Priority 2	Priority 3	Not required
Policy Analysis	Social Safeguards Requirements of International Financing Institutions	6	0	2	8
	National Social Safeguards Policy Analysis	3	2	1	10
Impact Assessment	Socio-Economic Impact Assessment for Development Projects	8	2	0	6
Action/Implementation Plan and Documentation Review	Resettlement Action Plan	2	4	1	9
	Gender and Ethnic Groups Action Plan	1	1	7	7
Community Engagement Consultation and Communication Review	Consultation and Participation in a Development Project with Resettlement	6	2	1	7
	Gender and Ethnic Groups Consultation Process	2	0	5	9
Entitlements and Establishing cut-off date	Resettlement Entitlements	3	4	1	8
	Ethnic /Vulnerable Groups Entitlements	2	2	5	7
	Gender Entitlement	1	2	5	8
Livelihoods/Incomes Restoration	Livelihoods Restoration Measures	4	2	3	7
	Poverty Reduction Strategies for Ethnic /Vulnerable Groups	5	4	1	6
	Gender Equity	3	3	0	10
Land Issues	Land Acquisition	4	4	2	6
	Land Use Planning	4	4	2	6
	Land Titling and Tenure	4	3	0	9
Financial Cost and Budget Estimation	Unit Cost Estimation for Loss and Compensation	6	1	1	8
	Financial Estimation and Budgeting	5	3	0	8
Grievances Redress Mechanism	Public Hearing, Village, District & Provincial Grievances Redress Mechanism	5	5	0	6
Internal and External Monitoring	Resettlement Monitoring, Evaluation and Reporting	3	4	1	8
	Gender and Ethnic Groups Monitoring and Evaluation	2	2	5	7
<b>Total Score</b>		<b>79</b>	<b>54</b>	<b>43</b>	<b>160</b>
Training Tools		Priority 1	Priority 2	Priority 3	Not required
Presentation/Visual Communication		11	0	0	5
Read Technical Report/Handbook/ Manuals and Handouts		5	4	1	6
Speaking and Communication in Lao Language		9	1	1	5
Speaking & Communication in another ethnic language		0	1	2	13
Speaking and Communication in English Language		1	1	2	12
Workshop and Group Discussion and Analysis		5	3	0	8
Homework, Present/share your work to others in class		3	3	1	9
Homework		5	4	1	6
Practical exercise/Field visit/On the job training		7	1	0	8
<b>Total Score</b>		<b>46</b>	<b>18</b>	<b>8</b>	<b>72</b>

Hinherb District, Vientiane Province -6 respondents					
Priority Training Need Requirements		Priority 1	Priority 2	Priority 3	Not required
Policy Analysis	Social Safeguards Requirements of International Financing Institutions	2	2	0	2
	National Social Safeguards Policy Analysis	1	2	0	3
Impact Assessment	Socio-Economic Impact Assessment for Development Projects	5	0	0	1
Action/Implementation Plan and Documentation Review	Resettlement Action Plan	1	3	0	2
	Gender and Ethnic Groups Action Plan	1	3	2	0
Community Engagement Consultation and Communication Review	Consultation and Participation in a Development Project with Resettlement	3	1	0	2
	Gender and Ethnic Groups Consultation Process	1	2	1	2
Entitlements and Establishing cut-off date	Resettlement Entitlements	1	1	2	2
	Ethnic /Vulnerable Groups Entitlements	1	0	3	2
	Gender Entitlement	1	0	1	4
Livelihoods/Incomes Restoration	Livelihoods Restoration Measures	1	2	2	1
	Poverty Reduction Strategies for Ethnic /Vulnerable Groups	2	1	1	2
	Gender Equity	3	0	1	2
Land Issues	Land Acquisition	3	1	0	2
	Land Use Planning	4	1	0	1
	Land Titling and Tenure	3	1	1	1
Financial Cost and Budget Estimation	Unit Cost Estimation for Loss and Compensation	3	1	1	1
	Financial Estimation and Budgeting	3	1	0	2
Grievances Redress Mechanism	Public Hearing, Village, District & Provincial Grievances Redress Mechanism	3	1	0	2
	Resettlement Monitoring, Evaluation and Reporting	2	2	0	2
Internal and External Monitoring	Gender and Ethnic Groups Monitoring and Evaluation	1	2	1	2
	<b>Total Score</b>	<b>45</b>	<b>27</b>	<b>16</b>	<b>38</b>
Training Tools		Priority 1	Priority 2	Priority 3	Not required
Presentation/Visual Communication		4	1	0	1
Read Technical Report/Handbook/ Manuals and Handouts		4	1	0	1
Speaking and Communication in Lao Language		3	2	1	0
Speaking & Communication in another ethnic language		1	1	0	4
Speaking and Communication in English Language		0	0	1	5
Workshop and Group Discussion and Analysis		3	1	0	2
Homework, Present/share your work to others in class		4	2	0	0
Homework		2	1	0	3
Practical exercise/Field visit/On the job training		4	1	1	0
<b>Total Score</b>		<b>25</b>	<b>10</b>	<b>3</b>	<b>16</b>

**Attachment 3-7C: Xienghuang Province and Selected District Training Requirements as Prioritized by Surveyed Staff**

Central Xienkhouang Province -13 repondents					
Priority Training Need Requirements	Priority 1	Priority 2	Priority 3	Not required	
Policy Analysis	Social Safeguards Requirements of International Financing Institutions	10	2	0	1
	National Social Safeguards Policy Analysis	11	0	0	2
Impact Assessment	Socio-Economic Impact Assessment for Development Projects	12	1	0	0
Action/Implementation Plan and Documentation Review	Resettlement Action Plan	6	3	2	2
	Gender and Ethnic Groups Action Plan	6	5	1	1
Community Engagement Consultation and Communication Review	Consultation and Participation in a Development Project with Resettlement	9	1	2	1
	Gender and Ethnic Groups Consultation Process	5	5	2	1
Entitlements and Establishing cut-off date	Resettlement Entitlements	10	0	1	2
	Ethnic /Vulnerable Groups Entitlements	8	3	1	1
	Gender Entitlement	7	4	0	2
Livelihoods/Incomes Restoration	Livelihoods Restoration Measures	6	3	2	2
	Poverty Reduction Strategies for Ethnic /Vulnerable Groups	7	5	0	1
	Gender Equity	6	3	2	2
Land Issues	Land Acquisition	8	4	0	1
	Land Use Planning	8	3	1	1
	Land Titling and Tenure	6	4	3	0
Financial Cost and Budget Estimation	Unit Cost Estimation for Loss and Compensation	12	0	0	1
	Financial Estimation and Budgeting	8	2	0	3
Grievances Redress Mechanism	Public Hearing, Village, District & Provincial Grievances Redress Mechanism	8	3	0	2
Internal and External Monitoring	Resettlement Monitoring, Evaluation and Reporting	8	2	2	1
	Gender and Ethnic Groups Monitoring and Evaluation	8	2	2	1
<b>Total Score</b>	<b>169</b>	<b>55</b>	<b>21</b>	<b>28</b>	
Training Tools	Priority 1	Priority 2	Priority 3	Not required	
Presentation/Visual Communication	11	1	0	1	
Read Technical Report/Handbook/ Manuals and Handouts	7	5	0	1	
Speaking and Communication in Lao Language	10	2	1	0	
Speaking & Communication in another ethnic language	0	5	5	3	
Speaking and Communication in English Language	0	1	4	8	
Workshop and Group Discussion and Analysis	7	3	2	1	
Homework	0	6	3	4	
Homework, Present/share your work to others in class	4	4	3	2	
Practical exercise/Field visit/On the job training	10	3	0	0	
<b>Total Score</b>	<b>49</b>	<b>30</b>	<b>18</b>	<b>20</b>	

Thathom District, Xienkhouang Province -16 repondents					
Priority Training Need Requirements	Priority 1	Priority 2	Priority 3	Not required	
Policy Analysis	Social Safeguards Requirements of International Financing Institutions	10	0	1	5
	National Social Safeguards Policy Analysis	4	8	0	4
Impact Assessment	Socio-Economic Impact Assessment for Development Projects	9	5	0	2
Action/Implementation Plan and Documentation Review	Resettlement Action Plan	6	3	1	6
	Gender and Ethnic Groups Action Plan	4	6	4	2
Community Engagement Consultation and Communication Review	Consultation and Participation in a Development Project with Resettlement	6	2	3	5
	Gender and Ethnic Groups Consultation Process	3	1	5	7
Entitlements and Establishing cut-off date	Resettlement Entitlements	4	4	2	6
	Ethnic /Vulnerable Groups Entitlements	5	4	3	4
	Gender Entitlement	6	1	5	4
Livelihoods/Incomes Restoration	Livelihoods Restoration Measures	6	4	2	4
	Poverty Reduction Strategies for Ethnic /Vulnerable Groups	13	1	0	2
	Gender Equity	7	6	0	3
Land Issues	Land Acquisition	6	4	0	6
	Land Use Planning	11	2	0	3
	Land Titling and Tenure	9	3	1	3
Financial Cost and Budget Estimation	Unit Cost Estimation for Loss and Compensation	6	3	4	3
	Financial Estimation and Budgeting	9	3	1	3
Grievances Redress Mechanism	Public Hearing, Village, District & Provincial Grievances Redress Mechanism	2	5	5	4
Internal and External Monitoring	Resettlement Monitoring, Evaluation and Reporting	3	4	5	4
	Gender and Ethnic Groups Monitoring and Evaluation	2	9	3	2
<b>Total Score</b>	<b>131</b>	<b>78</b>	<b>45</b>	<b>82</b>	
Training Tools	Priority 1	Priority 2	Priority 3	Not required	
Presentation/Visual Communication	11	2	0	3	
Read Technical Report/Handbook/ Manuals and Handouts	9	3	2	2	
Speaking and Communication in Lao Language	11	2	1	2	
Speaking & Communication in another ethnic language	2	1	1	12	
Speaking and Communication in English Language	0	2	2	12	
Workshop and Group Discussion and Analysis	8	3	2	3	
Homework, Present/share your work to others in class	3	3	5	5	
Homework	4	4	4	4	
Practical exercise/Field visit/On the job training	8	2	4	2	
<b>Total Score</b>	<b>56</b>	<b>22</b>	<b>21</b>	<b>45</b>	

### Attachment 3-7D: Xienghuang Province's Selected District Training Requirements as Prioritized by Surveyed Staff

Phoukoud District, Xiengkhouang province- 15 repondents					
Priority Training Need Requirements		Priority 1	Priority 2	Priority 3	Not required
Policy Analysis	Social Safeguards Requirements of International Financing Institutions	5	0	0	10
	National Social Safeguards Policy Analysis	2	2	0	11
Impact Assessment	Socio-Economic Impact Assessment for Development Projects	4	4	0	7
Action/Implementation Plan and Documentation Review	Resettlement Action Plan	2	3	1	7
	Gender and Ethnic Groups Action Plan	3	4	3	5
Community Engagement Consultation and Communication Review	Consultation and Participation in a Development Project with Resettlement	4	4	1	6
	Gender and Ethnic Groups Consultation Process	2	2	3	8
Entitlements and Establishing cut-off date	Resettlement Entitlements	4	1	3	7
	Ethnic /Vulnerable Groups Entitlements.	2	3	4	6
	Gender Entitlement	3	4	3	5
Livelihoods/Incomes Restoration	Livelihoods Restoration Measures	5	1	1	8
	Poverty Reduction Strategies for Ethnic /Vulnerable Groups	10	0	1	4
	Gender Equity	4	3	4	4
Land Issues	Land Acquisition	4	1	1	9
	Land Use Planning	4	1	2	8
	Land Tilling and Tenure	5	2	1	7
Financial Cost and Budget Estimation	Unit Cost Estimation for Loss and Compensation	4	1	2	8
	Financial Estimation and Budgeting	3	4	2	6
Grievances Redress Mechanism	Public Hearing, Village, District & Provincial Grievances Redress Mechanism	3	2	3	7
Internal and External Monitoring	Resettlement Monitoring, Evaluation and Reporting	3	2	3	7
	Gender and Ethnic Groups Monitoring and Evaluation	1	4	4	6
<b>Total Score</b>		<b>77</b>	<b>48</b>	<b>42</b>	<b>146</b>
Training Tools		Priority 1	Priority 2	Priority 3	Not required
Presentation/Visual Communication		8	4	0	3
Read Technical Report/Handbook/ Manuals and Handouts		9	3	0	2
Speaking and Communication in Lao Language		11	0	0	2
Speaking & Communication in another ethnic language		2	5	2	6
Speaking and Communication in English Language		0	1	4	10
Workshop and Group Discussion and Analysis		8	1	1	5
Homework, Present/share your work to others in class		4	0	3	8
Homework		2	6	1	6
Practical exercise/Field visit/On the job training		10	1	0	4
<b>Total Score</b>		<b>54</b>	<b>21</b>	<b>11</b>	<b>46</b>

Mok Mai District, Xiengkhouang Province - 15 respondents					
Priority Training Need Requirements		Priority 1	Priority 2	Priority 3	Not required
Policy Analysis	Social Safeguards Requirements of International Financing Institutions	7	3	1	4
	National Social Safeguards Policy Analysis	5	2	2	6
Impact Assessment	Socio-Economic Impact Assessment for Development Projects	6	3	0	6
Action/Implementation Plan and Documentation Review	Resettlement Action Plan	3	3	2	7
	Gender and Ethnic Groups Action Plan	3	2	4	6
Community Engagement Consultation and Communication Review	Consultation and Participation in a Development Project with Resettlement	4	3	1	7
	Gender and Ethnic Groups Consultation Process	3	2	4	6
Entitlements and Establishing cut-off date	Resettlement Entitlements	2	2	3	8
	Ethnic /Vulnerable Groups Entitlements.	1	4	4	6
Livelihoods/Incomes Restoration	Gender Entitlement	2	3	4	6
	Livelihoods Restoration Measures	2	2	4	8
	Poverty Reduction Strategies for Ethnic /Vulnerable Groups	8	1	1	5
Land Issues	Gender Equity	2	3	2	6
	Land Acquisition	4	1	1	9
	Land Use Planning	4	3	1	7
Financial Cost and Budget Estimation	Land Tilling and Tenure	4	2	0	8
	Unit Cost Estimation for Loss and Compensation	2	4	2	7
Grievances Redress Mechanism	Financial Estimation and Budgeting	1	4	4	6
	Public Hearing, Village, District & Provincial Grievances Redress Mechanism	3	5	1	6
Internal and External Monitoring	Resettlement Monitoring, Evaluation and Reporting	3	4	4	4
	Gender and Ethnic Groups Monitoring and Evaluation	3	3	4	5
<b>Total Score</b>		<b>72</b>	<b>59</b>	<b>49</b>	<b>129</b>
Training Tools		Priority 1	Priority 2	Priority 3	Not required
Presentation/Visual Communication		6	2	1	6
Verbal Explanation and Communication		7	4	1	3
Read Technical Report/Handbook/ Manuals and Handouts		9	0	1	5
Speaking and Communication in Lao Language		1	4	2	8
Speaking & Communication in another ethnic language		1	2	3	9
Speaking and Communication in English Language		7	2	0	6
Workshop and Group Discussion and Analysis		5	3	1	6
Homework, Present/share your work to others in class		6	2	0	7
Practical exercise/Field visit/On the job training		9	2	0	4
<b>Total Score</b>		<b>51</b>	<b>21</b>	<b>9</b>	<b>54</b>

### Attachment 3-7E: Attapeu Province and Selected District Training Requirements as Prioritized by Surveyed Staff

Central Attapeu Province- 22 respondents						
Priority Training Need Requirements		Total number of TNA Q	Priority	Priority	Priority	Not required
			1	2	3	
Policy Analysis	Social Safeguards Requirements of International Financing Institutions	22	10	2	4	6
	National Social Safeguards Policy Analysis	22	2	5	0	15
	Socio-Economic Impact Assessment for Development Projects	22	15	4	0	3
Impact Assessment	Resettlement Action Plan	22	12	5	0	5
Action/Implementation Plan and Documentation Review	Gender and Ethnic Groups Action Plan	22	9	5	2	6
Community Engagement Consultation and Communication Review	Consultation and Participation in a Development Project with Resettlement	22	5	8	2	7
	Gender and Ethnic Groups Consultation Process	22	6	5	4	7
Entitlements and Establishing cut-off date	Resettlement Entitlements	22	5	6	1	10
	Ethnic /Vulnerable Groups Entitlements	22	8	4	2	8
	Gender Entitlement	22	7	5	2	8
Livelihoods/Incomes Restoration	Livelihoods Restoration Measures	22	4	7	1	10
	Poverty Reduction Strategies for Ethnic /Vulnerable Groups	22	6	3	6	7
	Gender Equity	22	9	4	1	8
Land Issues	Land Acquisition	22	5	2	4	11
	Land Use Planning	22	10	6	2	4
	Land Titling and Tenure	22	9	2	0	11
Financial Cost and Budget Estimation	Unit Cost Estimation for Loss and Compensation	22	12	5	3	2
	Financial Estimation and Budgeting	22	6	9	0	7
Grievances Redress Mechanism	Public Hearing, Village, District & Provincial Grievances Redress Mechanism	22	5	6	2	9
Internal and External Monitoring	Resettlement Monitoring, Evaluation and Reporting	22	9	5	0	8
	Gender and Ethnic Groups Monitoring and Evaluation	22	9	6	5	2
<b>Total Score</b>		<b>462</b>	<b>163</b>	<b>104</b>	<b>41</b>	<b>154</b>
Training Tools		Number of TNAQ received	Priority	Priority	Priority	Not required
			1	2	3	
Presentation/Visual Communication		22	10	2	0	10
Read Technical Report/Handbook/ Manuals and Handouts		22	7	9	1	5
Speaking and Communication in Lao Language		22	7	5	1	9
Speaking & Communication in another ethnic language		22	1	2	1	18
Speaking and Communication in English Language		22	0	3	1	18
Workshop and Group Discussion and Analysis		22	9	3	2	8
Homework		22	4	7	2	9
Homework, Present/share your work to others in class		22	6	5	2	9
Practical exercise/Field visit/On the job training		22	10	1	1	10
<b>Total Score</b>		<b>198</b>	<b>54</b>	<b>37</b>	<b>11</b>	<b>96</b>

Phouvong District, Attapeu- 8 respondents						
Priority Training Need Requirements		Priority	Priority	Priority	Priority	Not required
			1	2		
Policy Analysis	Social Safeguards Requirements of International Financing Institutions	3	1	2	2	2
	National Social Safeguards Policy Analysis	5	2	0	1	1
	Socio-Economic Impact Assessment for Development Projects	7	1	0	0	0
Impact Assessment	Resettlement Action Plan	2	2	2	2	2
Action/Implementation Plan and Documentation Review	Gender and Ethnic Groups Action Plan	4	1	1	1	2
Community Engagement Consultation and Communication Review	Consultation and Participation in a Development Project with Resettlement	3	2	1	1	2
	Gender and Ethnic Groups Consultation Process	4	2	0	0	2
Entitlements and Establishing cut-off date	Resettlement Entitlements	5	3	0	0	0
	Ethnic /Vulnerable Groups Entitlements	4	2	1	1	1
	Gender Entitlement	6	0	0	0	2
Livelihoods/Incomes Restoration	Livelihoods Restoration Measures	4	2	0	0	2
	Poverty Reduction Strategies for Ethnic /Vulnerable Groups	5	1	0	0	2
	Gender Equity	4	2	0	0	2
Land Issues	Land Acquisition	4	2	0	0	2
	Land Use Planning	5	3	0	0	0
	Land Titling and Tenure	7	1	0	0	0
Financial Cost and Budget Estimation	Unit Cost Estimation for Loss and Compensation	6	1	0	0	1
	Financial Estimation and Budgeting	5	0	0	0	3
Grievances Redress Mechanism	Public Hearing, Village, District & Provincial Grievances Redress Mechanism	4	2	0	0	2
Internal and External Monitoring	Resettlement Monitoring, Evaluation and Reporting	5	1	0	0	2
	Gender and Ethnic Groups Monitoring and Evaluation	4	2	0	0	2
<b>Total Score</b>		<b>96</b>	<b>33</b>	<b>7</b>	<b>32</b>	
Training Tools		Priority	Priority	Priority	Not required	
		1	2	3		
Presentation/Visual Communication		6	1	0	0	1
Read Technical Report/Handbook/ Manuals and Handouts		4	3	0	0	1
Speaking and Communication in Lao Language		7	1	0	0	0
Speaking & Communication in another ethnic language		2	0	1	1	5
Speaking and Communication in English Language		2	3	2	1	1
Workshop and Group Discussion and Analysis		4	2	0	0	2
Homework		5	2	0	0	1
Homework, Present/share your work to others in class		6	1	0	0	1
Practical exercise/Field visit/On the job training		8	0	0	0	0
<b>Total Score</b>		<b>44</b>	<b>13</b>	<b>3</b>	<b>12</b>	

**Attachment 3-7F: Attapeu Province's Selected Districts Training Requirements as Prioritized by Surveyed Staff**

Xanxay District, Attapeu - 13 respondents					
Priority Training Need Requirements	Priority	Priority	Priority	Not required	
	1	2	3		
Policy Analysis	Social Safeguards Requirements of International Financing Institutions	9	2	0	2
	National Social Safeguards Policy Analysis	5	1	0	7
Impact Assessment	Socio-Economic Impact Assessment for Development Projects	8	2	1	2
Action/Implementation Plan and Documentation Review	Resettlement Action Plan	7	2	1	3
	Gender and Ethnic Groups Action Plan	3	1	6	3
Community Engagement Consultation and Communication Review	Consultation and Participation in a Development Project with Resettlement	6	3	1	3
	Gender and Ethnic Groups Consultation Process	4	1	2	6
Entitlements and Establishing cut-off date	Resettlement Entitlements	2	5	0	6
	Ethnic /Vulnerable Groups Entitlements	3	2	2	6
	Gender Entitlement	1	1	5	6
Livelihoods/Incomes Restoration	Livelihoods Restoration Measures	5	2	3	3
	Poverty Reduction Strategies for Ethnic /Vulnerable Groups	3	4	2	4
	Gender Equity	2	4	4	3
Land Issues	Land Acquisition	1	6	1	5
	Land Use Planning	6	2	0	5
	Land Tiling and Tenure	5	0	2	6
Financial Cost and Budget Estimation	Unit Cost Estimation for Loss and Compensation	5	2	2	4
	Financial Estimation and Budgeting	5	2	2	4
Grievances Redress Mechanism	Public Hearing, Village, District & Provincial	0	5	4	4
	Provincial Grievances Redress Mechanism				
Internal and External Monitoring	Resettlement Monitoring, Evaluation and Reporting	2	5	2	4
	Gender and Ethnic Groups Monitoring and Evaluation	0	1	5	7
<b>Total Score</b>		<b>82</b>	<b>53</b>	<b>45</b>	<b>93</b>
<b>Training Tools</b>					
	Priority	Priority	Priority	Not required	
	1	2	3		
Presentation/Visual Communication	10	0	1	2	
Read Technical Report/Handbook/ Manuals and Handouts	8	5	0	0	
Speaking and Communication in Lao Language	8	1	1	3	
Speaking & Communication in another ethnic language	1	5	2	5	
Speaking and Communication in English Language	1	1	2	9	
Workshop and Group Discussion and Analysis	7	1	1	4	
Homework, Present/share your work to others in class	1	5	3	4	
Homework	2	5	3	3	
Homework	9	1	1	2	
Practical exercise/Field visit/On the job training					
<b>Total Score</b>		<b>47</b>	<b>24</b>	<b>14</b>	<b>32</b>

Samakxay District, Attapeu Province -8 respondents					
Priority Training Need Requirements	Priority	Priority	Priority	Not required	
	1	2	3		
Policy Analysis	Social Safeguards Requirements of International Financing Institutions	7	0	0	1
	National Social Safeguards Policy Analysis	3	3	0	2
Impact Assessment	Socio-Economic Impact Assessment for Development Projects	1	3	2	2
Action/Implementation Plan and Documentation Review	Resettlement Action Plan	4	1	0	3
	Gender and Ethnic Groups Action Plan	6	1	1	0
Community Engagement Consultation and	Consultation and Participation in a Development Project with Resettlement	0	4	1	3
	Gender and Ethnic Groups Consultation Process	4	1	2	1
Entitlements and Establishing cut-off date	Resettlement Entitlements	3	1	2	2
	Ethnic /Vulnerable Groups Entitlements	3	2	1	2
	Gender Entitlement	4	1	3	0
Livelihoods/Incomes Restoration	Livelihoods Restoration Measures	2	4	1	1
	Poverty Reduction Strategies for Ethnic /Vulnerable Groups	3	1	2	2
	Gender Equity	7	1	0	0
Land Issues	Land Acquisition	2	4	0	2
	Land Use Planning	2	4	0	2
	Land Tiling and Tenure	5	2	0	1
Financial Cost and Budget Estimation	Unit Cost Estimation for Loss and Compensation	6	1	0	1
	Financial Estimation and Budgeting	5	2	0	1
Grievances Redress Mechanism	Public Hearing, Village, District & Provincial	3	5	0	0
	Grievances Redress Mechanism				
Internal and External Monitoring	Resettlement Monitoring, Evaluation and Reporting	1	6	0	1
	Gender and Ethnic Groups Monitoring and Evaluation	4	3	0	1
<b>Total Score</b>		<b>75</b>	<b>50</b>	<b>15</b>	<b>28</b>
<b>Training Tools</b>					
	Priority	Priority	Priority	Not required	
	1	2	3		
Presentation/Visual Communication	5	2	0	1	
Read Technical Report/Handbook/ Manuals and Handouts	1	5	0	2	
Speaking and Communication in Lao Language	2	2	1	3	
Speaking & Communication in another ethnic language	3	2	2	1	
Speaking and Communication in English Language	1	5	0	2	
Workshop and Group Discussion and Analysis	3	3	1	1	
Homework	3	4	0	1	
Homework, Present/share your work to others in class	4	2	1	1	
Homework	4	2	1	1	
Practical exercise/Field visit/On the job training					
<b>Total Score</b>		<b>26</b>	<b>27</b>	<b>6</b>	<b>13</b>



### Attachment 3-8A: Expectations, Weaknesses, Strengths and Recommendations

\* *Note* . the information is directly translated from CNA survey s' questionnaires indicating the opinions as expressed by the surveyed staff

	Staff expected outcomes from training	Strengths in Implementing Safeguards Policy	Weaknesses in Implementing Safeguards Policy	Remarks and Recommendations
<b>DESIA, National Level</b>	<ul style="list-style-type: none"> <li>• Enhance knowledge and understanding on social issues.</li> <li>• Learn from sharing practical experiences.</li> <li>• Understand roles and responsibility of Social Safeguards.</li> <li>• Know how to identify major impacts and how to solve them.</li> <li>• Know resettlement policy and how to enforce it.</li> <li>• Know how to monitor basic social issues.</li> <li>• Learn techniques on how to mitigate social impacts and plan livelihood restoration programme.</li> <li>• Increase understanding about the objectives of the Decree 192 and the process of carrying out safeguards monitoring.</li> </ul>	<ul style="list-style-type: none"> <li>• Know that there is policy on resettlement</li> <li>• All the available data could be integrated and used as baseline for data for designing implementation strategies.</li> </ul>	<ul style="list-style-type: none"> <li>• No experience in dealing with social issues and social safeguards.</li> <li>• Impacted peoples do not received compensation, which lead to complaints and caused tension between government, projects and community.</li> <li>• No accurate data on social issues.</li> <li>• Limited equipments for monitoring.</li> <li>• No social specialist to guide the monitoring process.</li> <li>• No budget allocated to social impact monitoring and evaluation and for field visit to provinces.</li> <li>• No practical manual to use in the fields.</li> <li>• Provincial level lack understanding in Safeguards Policy.</li> <li>• Limited and/or not understand foreign languages</li> </ul>	<ul style="list-style-type: none"> <li>• Proposed TA to provide training for provinces so that the local staff can follow-up and know to implement safeguards policy requirements.</li> <li>• Social Safeguards compliance goes hand in hand with gender and ethnic <b>groups' development. It is important that these groups engaged in consultation and have a voice in project development.</b></li> <li>• Social Safeguards training should include both short and long-term courses.</li> <li>• Government should increase policy dissemination workshops at the local level.</li> <li>• DESIA should have permanent Social Specialist(s).</li> <li>• TA should provide study tour to other country with more experience in resettlement and in dealing with compliance.</li> <li>• TA should help to develop social safeguards operation manual for field staff.</li> </ul>

### Attachment 3-8B: Expectations, Weaknesses, Strengths and Recommendations

\*Note: the information is directly translated from surveys' questionnaires indicating the opinions as expressed by the surveyed staff

		Staff expected outcomes from training	Strengths in Implementing Safeguards Policy	Weaknesses in Implementing Safeguards Policy	Remarks and Recommendations
Intiane Prc	Central Vientiane Province	<ul style="list-style-type: none"> <li>• Better understanding in safeguards policy.</li> <li>• Know new things and meet new people.</li> <li>• Know how to prioritise social issues.</li> <li>• Impacted community will receive justice and compensation.</li> <li>• Understand the impacted community' needs.</li> <li>• Better participation process.</li> <li>• Know how to analyse social issues and how to solve them.</li> <li>• Understand development process and know how to identify impacts.</li> </ul>	<ul style="list-style-type: none"> <li>• Government agencies and donors see the importance of safeguards compliance.</li> <li>• There are some safeguards policies to follow.</li> <li>• Government has good development strategies and helps impacted people.</li> <li>• Women participation.</li> </ul>	<ul style="list-style-type: none"> <li>• Staff lack knowledge in safeguards policy</li> <li>• Lack of linking information, more data collection will not increase better outcomes.</li> <li>• No budget for M&amp;E.</li> <li>• Class division between rich and poor among impacted community.</li> <li>• Not enough vehicles for monitoring work.</li> <li>• Project development does not follow implementation plans.</li> <li>• Resettlement programme not effective.</li> <li>• <b>Impacted people don't receive compensation.</b></li> <li>• Staff cannot take direct decision.</li> <li>• Weak collaboration amongst government agencies.</li> <li>• <b>Impacted community don't understand development plans/strategies.</b></li> </ul>	<ul style="list-style-type: none"> <li>• Want to have more training on resettlement.</li> <li>• Data on impacted households should be available for provincial staff.</li> <li>• DESIA should distribute copy of resettlement policy.</li> <li>• Government should allocate budget and equipment for M&amp;E.</li> <li>• Government should provide consultation for all impacted ethnic communities.</li> </ul>

### Attachment 3-8C: Expectations, Weaknesses, Strengths and Recommendations

\*Note: the information is directly translated from survey s' questionnaires indicating the opinions as expressed by the surveyed staff

		Staff expected outcomes from training	Strengths in Implementing Safeguards Policy	Weaknesses in Implementing Safeguards Policy	Remarks and Recommendations
Vientiane Province	Hinherb District	<ul style="list-style-type: none"> <li>Know resettlement policy and other safeguards policy</li> <li>Understand social impacts.</li> <li>Exchange experience and understanding on social and environmental impacts.</li> <li>Know how to communicate with affected communities.</li> <li>Know how to make social development plan.</li> </ul>	<ul style="list-style-type: none"> <li>There are some donors for social development.</li> <li>There are some social development plans to follow.</li> <li>Government efforts to improve livelihoods</li> </ul>	<ul style="list-style-type: none"> <li>On experience in dealing with physical resettlement.</li> <li>No vehicle for field monitoring.</li> <li>Staff has limited knowledge in safeguards policy.</li> <li>Implementations not progress as planned.</li> </ul>	<ul style="list-style-type: none"> <li>Government should have good pollution control plan.</li> <li>Government should allocate budget and vehicles for monitoring work.</li> <li>Want to have social and environmental implementation handbooks for field work.</li> </ul>
	Feung District	<ul style="list-style-type: none"> <li>Understand social and environmental issues and how to solve them...</li> <li>Have better development plan.</li> <li>Affected community will have livelihoods restoration programme.</li> <li>Know how to implement resettlement plan.</li> <li>Affected community will receive justice.</li> </ul>	<ul style="list-style-type: none"> <li>District constantly received advice from government at higher level.</li> <li>Government solve problem when wrong doing was conducted by impacted community.</li> </ul>	<ul style="list-style-type: none"> <li>No safeguards training for district staff.</li> <li>Community did not accept proposed compensation rate.</li> <li><b>Project owners don't follow plan.</b></li> <li>Staff has no experience in resettlement issues.</li> <li><b>Staff doesn't understand social policy.</b></li> <li>Safeguards policy is not implementing as planned.</li> <li>Government and project owners cannot response to the impacted <b>community's needs.</b></li> </ul>	<ul style="list-style-type: none"> <li>Want to have more budgets for social issues.</li> <li>TA should provide training sooner.</li> <li>Social development plan and other safeguards documents should be in Lao language.</li> </ul>

### Attachment 3-8D: Expectations, Weaknesses, Strengths and Recommendations

\*Note: the information is directly translated from survey s' questionnaires indicating the opinions as expressed by the surveyed staff

		Staff expected outcomes from training	Strengths in Implementing Safeguards Policy	Weaknesses in Implementing Safeguards Policy	Remarks and Recommendations
Attapeu Province	Central Attapeu	<ul style="list-style-type: none"> <li>Learn new regulations on resettlement/ compensation.</li> <li>Know grievance redress mechanism.</li> <li>Increase social peacefulness.</li> <li>Increase capacity in dealing with social issues.</li> <li>Know various aspects of social issues.</li> <li>Know how to provide suitable mitigation plan.</li> <li>Help impacted communities to understand their rights.</li> <li>Impacted communities will have their lives restored</li> <li>Society has hope for better system in dealing with losses and compensation.</li> </ul>	<ul style="list-style-type: none"> <li>Donors see the importance of social safeguards.</li> <li>Better collaboration and participation of staff in various trainings.</li> </ul>	<ul style="list-style-type: none"> <li>All projects take long time and involve in many processes that delay the implementation of resettlement plan.</li> <li>Impacted communities have limited knowledge in social safeguards policies and their rights.</li> <li>Companies not follow the agreed implementation plan.</li> <li><b>Don't understand English language.</b></li> <li>Limited staff capacity and knowledge in social safeguards.</li> <li>Staff does not understand Safeguards Policy.</li> </ul>	<ul style="list-style-type: none"> <li>Proposed that Ministry of Natural Resources increase number of staff and allocate budget for the provincial monitoring activities.</li> <li>Ministry or Donor should provide equipment and vehicles for monitoring works.</li> <li>TA should provide series of training to obtain better outcomes.</li> <li>TA should provide fund for English training.</li> <li>Proposed to include social rights and human rights in the training course.</li> <li>Provide awareness campaign on social and environmental safeguards to communities.</li> <li>Provide safeguards training to impacted communities.</li> </ul>
	Samakhisal District	<ul style="list-style-type: none"> <li>Understand social and environmental safeguards policy.</li> <li>Better understand on how to plan livelihoods restoration programme.</li> <li>Know about social issues and development.</li> <li>Know how to protect and sustain environment.</li> </ul>	<ul style="list-style-type: none"> <li>Government wants to address social issues. Harmonious relation between community and government</li> </ul>	<ul style="list-style-type: none"> <li>No experience in dealing with resettlement and other social issues.</li> <li>Limited understanding in safeguards policy.</li> <li><b>Don't know much about resettlement.</b></li> </ul>	<ul style="list-style-type: none"> <li>Impacted communities should receive compensation and livelihoods restoration.</li> <li>TA should provide training on social monitoring.</li> <li>TA should provide training very soon.</li> <li>Ministry or donor should provide environment monitoring equipments and vehicle for field visit.</li> <li>TA should provide many sets of safeguards training.</li> <li>Want to have operation manual or handbook for social and environmental monitoring</li> </ul>

### Attachment 3-8E: Expectations, Weaknesses, Strengths and Recommendations

Note: the information is directly translated from survey s' questionnaires indicating the opinions as expressed by the surveyed staff

		Staff expected outcomes from training	Strengths in Implementing Safeguards Policy	Weaknesses in Implementing Safeguards Policy	Remarks and Recommendations
:LIPH	ing C	<ul style="list-style-type: none"> <li>Will increase level of understanding on social safeguards and resettlement policy</li> </ul>	<ul style="list-style-type: none"> <li>Peaceful society and good collaboration between government and people</li> </ul>	<ul style="list-style-type: none"> <li>No experience in resettlement.</li> <li>No budget at the district level.</li> <li>No vehicle to go to the field</li> </ul>	<ul style="list-style-type: none"> <li>DESIA should provide social and environmental safeguards training at the district level, not only at provincial level.</li> <li>* District wants to have good collaboration with province.</li> <li>* District wants the impacted community to get compensation for land, trees and structure losses.</li> <li>* Ministry should allocate budget for monitoring activities to province and district level.</li> </ul>
	Sanamsal District	<ul style="list-style-type: none"> <li>Increase level of understanding on social safeguards and resettlement policy.</li> <li>Gain practical experience from exchange knowledge/</li> <li>Increase effective implementation of safeguards policy.</li> <li>Know how to use Technical Guidelines.</li> <li>Bette understanding about social issues and how hydropower and mining companies impact the live of the communities.</li> </ul>	<ul style="list-style-type: none"> <li>The establishment of Resettlement/ Grievance Committee.</li> <li>The available of safeguards policies.</li> <li>Some staff has better understanding in resettlement policy.</li> </ul>	<ul style="list-style-type: none"> <li>Staff lacks knowledge and understanding safeguards policy.</li> <li>Weak collaboration amongst government agencies.</li> <li>Staff has no vehicle for monitoring work.</li> <li>New safeguards policy may cause conflict with traditional consultation.</li> <li>No experience in dealing with safeguards compliance.</li> <li>Weak pollution control effort.</li> </ul>	<ul style="list-style-type: none"> <li>Ministry/DESIA should allocate budget, equipment and vehicle for district level.</li> <li>Want to have social and environment monitoring guidelines</li> <li>Waste management regulation should be imposed by government.</li> <li>TA should provide training very soon.</li> <li>TA should include training plan for impacted community.</li> <li>Government should address the importance of social impact.</li> <li>DESIA should help in social and environmental analysis.</li> <li>Government should have good yearly plan for social and environment management.</li> </ul>

### Attachment 3-8F: Expectations, Weaknesses, Strengths and Recommendations

\* Note: the information is directly translated from survey s' questionnaires indicating the opinions as expressed by the surveyed staff

		Staff expected outcomes from training	Strengths in Implementing Safeguards Policy	Weaknesses in Implementing Safeguards Policy	Remarks and Recommendations
chuang Pr	11 Xiang	<ul style="list-style-type: none"> <li>Understand social and economic development process.</li> <li>Know resettlement policy.</li> <li>Increase level of understanding in social and environmental safeguards.</li> <li>Resettlement programme would be implemented systematically.</li> </ul>	<ul style="list-style-type: none"> <li>There are social development plans.</li> <li>There are some Decrees and Regulations to protect affected people.</li> </ul>	<ul style="list-style-type: none"> <li>Weak coordination amongst government agencies.</li> <li>Limited staff capacity and knowledge in safeguards policy.</li> <li>Impacted community asking too much.</li> <li>Staff doesn't understand communication information.</li> <li>Decree 192 is too board and staff cannot applied to their work.</li> <li>No experience in dealing with resettlement and social issues</li> </ul>	<ul style="list-style-type: none"> <li>Government should provide sustainable land use plans, which indicate which plots of land are to be used for what purposes.</li> <li>TA or government or donor should provide higher education in social development.</li> <li>Want to have safeguards training course very soon.</li> <li>Government should allocate budget for education and monitoring activities</li> </ul>
	Mok-Mal District	<ul style="list-style-type: none"> <li>Expect to gain new knowledge.</li> <li>Know how to solve social problems and help foster effective implementation.</li> <li>Better understanding of safeguards policy.</li> <li>Know negative and positive impacts of development projects.</li> <li>Increase communication technique.</li> </ul>	<ul style="list-style-type: none"> <li>Staff interest in social issues and social safeguards policy.</li> <li>Strong relationship amongst district staff.</li> </ul>	<ul style="list-style-type: none"> <li>Lack solid information on social issues.</li> <li>Weak collaboration amongst government agencies.</li> <li>Lack of budget and vehicle for monitoring work.</li> <li>Society not understands project impacts.</li> <li>There is no democracy.</li> <li>Weak commitment of the government staff.</li> <li>Increase land conflicts.</li> </ul>	<ul style="list-style-type: none"> <li>Government should allocate budget for monitoring work.</li> <li>TA should provide training very soon</li> <li>DESIA should distribute social and environmental monitoring handbook.</li> <li>Government should help impacted community in restoring their livelihoods.</li> <li>Government should have capacity development plan for district staff.</li> </ul>

### Attachment 3-8G: Expectations, Weaknesses, Strengths and Recommendations

\* Note: the information is directly translated from surveys' questionnaires indicating the opinions as expressed by the surveyed staff

		Staff expected outcomes from training	Strengths in Implementing Safeguards Policy	Weaknesses in Implementing Safeguards Policy	Remarks and Recommendations
tangkuang	)m DI	<ul style="list-style-type: none"> <li>Know social safeguards policy.</li> <li>Understand how compensation procedure works.</li> <li>Self development from learning new things.</li> <li>Better social and environmental protection.</li> <li>Know how to analyse social problems.</li> <li>Understand about safeguards roles and responsibility</li> </ul>	<ul style="list-style-type: none"> <li>Peaceful community.</li> <li>Government see the importance of social issues.</li> <li>Good collaboration.</li> <li>Staff has experience working with impacted community.</li> <li>There is safeguards policy.</li> </ul>	<ul style="list-style-type: none"> <li>Increase natural disaster.</li> <li>Difficult to travel to province and elsewhere.</li> <li>No tree, more pollution, more natural disaster.</li> <li>Staff has no experience in safeguards compliance.</li> <li>Staff and impacted <b>community don't</b> have any training.</li> <li><b>Don't understand</b> safeguards policy.</li> <li>Increase social impact.</li> </ul>	<ul style="list-style-type: none"> <li>Government should provide awareness on environment al project.</li> <li>Government should increase security.</li> <li>TA should provide training very soon.</li> <li>Government should provide office to work in and provide budget for monitoring.</li> <li>Government should reveal information.</li> <li>Want to have resettlement policy and related regulations</li> </ul>
	Phoukoud District	<ul style="list-style-type: none"> <li>Understand how compensation procedure works.</li> <li>Learn new policy.</li> <li>Understand safeguards policy.</li> <li>Affected people will receive compensation.</li> <li>Staff knows to deal with affected villagers.</li> </ul>	<ul style="list-style-type: none"> <li>There is safeguards policy.</li> <li>Government provides good support.</li> <li>Good road better communication.</li> <li>Have good collaboration from impacted villagers.</li> </ul>	<ul style="list-style-type: none"> <li>Safeguards policies still not enforce.</li> <li>Lack of vehicle for monitoring work.</li> <li>Complaints from community are not deal with.</li> <li><b>Staff doesn't understand policy.</b></li> <li><b>Impacted community don't understand</b> law and policy.</li> <li>No experience in dealing with resettlement and compensation.</li> </ul>	<ul style="list-style-type: none"> <li>Government should provide, equipments, vehicles and budget for M&amp;E.</li> <li>Government should provide consultation training for ethnic groups.</li> </ul>

ATTACHMENTS

NO.	TITLE
<b>Chapter 1: Introduction</b>	
1-1	<b>Overview of Selected Legal Regulations and Support to DESIA on Environmental and Social Safeguards</b>
1-2	<b>Current Status of TA Overall Work Plan</b>
<b>Chapter 2: Approach of Capacity Needs Assessment</b>	
2-1	<b>Applied CNA Approach</b>
2-2	<b>Selected TA Provinces and Districts</b>
2-3	<b>Some Aspects and Features of TA Districts' Projects</b>
2-4	<b>CNA Questionnaire</b>
<b>Chapter 3: Findings of Capacity Needs Assessment</b>	
3-1	<b>Newspaper Article about Ministry of Natural Resources and Environment</b>
3-2	<b>DESIA Coordination within WREA</b>
3-3	<b>DESIA Structure, Positions, Names and Professional Background of Staff</b>
3-4	<b>PWREO Structure, Positions, Names and Professional Background of Staff</b>
3-5	<b>Professional Background Overview of DESIA and PREWO Staff</b>
3-6	<b>DESIA and PWREO Staff Education, Study Area, Roles &amp; Responsibility</b>
3-7	<b>Training Requirements as Prioritized by Surveyed Staff</b>
3-8	<b>Expectations, Weaknesses, Strengths and Recommendations</b>
<b>Chapter 4: Planning of Capacity Development Actions</b>	
4-1	<b>Proposed Social Safeguards Training Modules</b>
4-2	<b>Preliminary Training Calendar</b>



### Attachment 4-1: Proposed Social Safeguards Training Modules

Topics and Items		Topics in TGCR		
		Yes (70%)		No
		Fully	Partly	(30%)
		5	17	10
Introduction & Background	Module 1	<b>Basic Principles of Social Safeguards</b>		
	1-1	National and International Social Safeguards Policies		
	1-1.1	Decree 192, its Regulations and Technical Guidelines, and Relevant National Laws/Policies all concerning LARC	X	
	1-1.2	ADB and World Bank Safeguards Policies		X
	1-2	Social Impact Assessment		X
	1-3	Social Risk and Management		X
	Module 2	<b>Social Safeguards Compliance – Institutional Responsibilities for LARC</b>		
	2-1	Roles and Responsibilities of Social Safeguards Compliance Officers		X
	2-2	The Importance of Social Safeguards Elements		X
	2-3	Provincial and District Institutional Structure to Implement Social Safeguards in Development Projects		X
	2-4	Understand when Social Safeguards are Triggered		X
	Module 3	<b>Social Safeguards Policy in Practice</b>		
	3-1	Transferring Policies and Models to Practical Implementation		X
3-2	Communication Techniques		X	
Implementation & Practice	Module 4	<b>Implementing Social Safeguards</b>		
	4-1	Action Plans		
	4-1.1	Project Design, Planning, Approvals (incl. concession agreements, certificates and permits)		X
	4-1.2	Resettlement Plan and Checklists	X	
	4-1.3	Gender Development Action Plan and Checklists	X	
	4-1.4	Ethnic Groups Development Plan and Checklists	X	
	4-1.5	Other Safeguards Plans (e.g. Public Health Action Plan)		X
	4-2	Community Consultation and Participation		
	4-2.1	Stakeholder Identification and Responsibilities (and Roles of NGOs)		X
	4-2.2	Social Inclusion, Gender and Ethnic Groups Issues		X
	4-2.3	Participating in a Development Project Cycle		X
	4-2.4	Community Engagement Strategies from Best Practices		X
	4-3	Entitlements and Entitlement Matrix		
	4-3.1	Asset Registration and Baseline Data		X
	4-3.2	Entitlement and Cut-Off Date		X
	4-3.3	Timing of Entitlement Delivery / Compensation Payments		X
	4-4	Cost and Compensation, Calculating Unit Price for Asset Loss		
	4-4.1	Land Acquisition (types of land and common property resources), Land Replacement, Legal Tenure of Replacement Land, Compensation		X
	4-4.2	Agricultural Loss: Crop, Tree (permanent/temporary), Compensation		X
	4-4.3	Loss/Compensation of Structures (e.g. private structures including housing, fixed assets incl. field houses, garages, shelters, water supply, irrigation systems, etc.; public buildings such as community centres, schools, temples; businesses, (small shops by the road; state property))		X
	4-4.4	Cash, Replacement, and In-kind Compensation < replacement land or a new home is different from in-kind compensation such as rice supply during a transition phase, or rice seeds for lost crop)		X
	4-5	Compensation Procedure		X
	4-6	Grievance Redress Mechanism		X
4-7	Sustainable Livelihood Restoration and Poverty Reduction		X	
Module 5	<b>Social Safeguard Monitoring &amp; Evaluation</b>			
5-1	Internal & External M&E	X		
5-2	Performance & Impact M&E		X	
5-3	Key Safeguard M&E Indicators		X	
Note :	Where the training requirements cannot refer to the TGCR (Technical Guidelines on Compensation and Resettlement) safeguards guidelines from international financing institutes ( ADB, WB, IFC) will be used.			

### Attachment 4-2: Preliminary Training Calendar – Tentative Schedule of Activities

Item	Time													
	2011											2012		
	March	April	May	June	July	Aug.	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	March	
	Phase 1 Planning			Phase 2 Capacity Development Activities								Phase 3 Finalization		
Orientation			Concept		Preparing			Implementing		Revisions & Proposals				
3 months			8 months								1 month			
<b>Selected Main Activities</b>														
Coordination-Collaboration at National & Provincial Levels	[Gantt chart showing continuous activities from March 2011 to March 2012]													
Review National Safeguards Approaches	[Gantt chart showing intermittent activities from May 2011 to February 2012]													
Preparing First Draft Training Modules	[Gantt chart showing intermittent activities from July 2011 to September 2011]													
Modifying Draft Training Modules	[Gantt chart showing intermittent activities from October 2011 to December 2011]													
Training-of-Trainer Workshop (OP3)	[Gantt chart showing a pilot workshop in September 2011]													
Social Safeguards Trainers Workshops with National DESIA (OP3)	[Gantt chart showing training sessions from October 2011 to December 2011]													
First Session of Social Safeguards Training Workshops at Provinces (OP3)	[Gantt chart showing training sessions from November 2011 to January 2012]													
Second Session of Social Safeguards Training Workshops at Provinces (OP3)	[Gantt chart showing training sessions from December 2011 to February 2012]													
Social Safeguards Training Workshop with National DESIA (OP3)	[Gantt chart showing a training session in February 2012]													
Discussion Forums in Training Workshops	[Gantt chart showing intermittent activities from October 2011 to February 2012]													
Visits of Projects (construction-operation stages)	[Gantt chart showing intermittent activities from December 2011 to February 2012]													
Training reviews/evaluations as part of training workshops	[Gantt chart showing intermittent activities from October 2011 to February 2012]													
TA Completion Stakeholders Workshops (29 Feb. 2012)	[Gantt chart showing a completed task in February 2012]													
No or limited staff availability of DESIA and WREOs for training activities	[Gantt chart showing weeks with no staff availability from October 2011 to December 2011]													
<b>Reporting / Documents &amp; M&amp;E (ADB)</b>														
Capacity Need Assessment (CNA) Report (OP1)	submitted ▼													
Capacity Development Action Plan (CDAP) (OP2)	submitted ▼													
Inception Report	submitted ▼													
Semi-Annual Report	submitted ▼													
Developing Safeguards Training Manual (M&E, Indicators, Valuation, etc)	▼													
M&E Review (by ADB)	▼													
Project Completion Report	▼													
	Mar 2011	April	May	June	July	Aug.	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	Mar 2012	
	Orientation			Concept		Preparing			Implementing		Revisions & Proposals			
						Piloting			continuous reviewing					
Legend:	intermittent activities			[hatched] continuous activities			[horizontal lines] weeks with no DESIA/WREOs staff availabilities			[vertical lines] completed tasks				
	[blue] training sessions			[red] pilot workshop										
Abbreviation:	OP Output			WREO Water Resources and Environment Offices										
Note 1: The shown weeks for training workshops are tentatively planned as agreed with DESIA														
Note 2: Possible discussion forums and optional visits to project sites will have to be agreed with DESIA and provincial/district WREOs														
Note 3: Preliminary dates for training events have been agreed:														
	DESIA		17-25		03-07		15-17							
	Xiengkhuang Province		16-23		05-09		30-04							
	Attapeu Province		30-06		13-20		16-20							
	Vientiane Province													
	Training Events		Training Of Trainers		1st Session		2nd Session							
	Month and Dates		Sept.		Oct.		Nov.		Dec.		Jan.		Feb.	

Source: DESIA and TA ; August 2011