

Ministry of Planning and Investment
Lao People's Democratic Republic

Japan International Cooperation Agency
(JICA)

JICA Technical Cooperation

Lao PDR

Project for Enhancing Capacity in PIP Management (PCAP2)

Progress Report (Fourth Year)

February 2011

IC Net Limited

JICA Technical Cooperation
Lao PDR Project for Enhancing Capacity in PIP Management (PCAP2)
Progress Report for the Fourth Year

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 - Training Course Description: PIP Management Training for Ministry Planning Department Officials

Abbreviations

| | |
|----------|---|
| DAF | (Provincial) Department of Agriculture and Forestry |
| DEM | (Provincial) Department of Energy and Mining |
| DIC | (Provincial) Department of Industry and Commerce |
| DLSW | (Provincial) Department of Labor and Social Welfare |
| DOE | (Provincial) Department of Education |
| DOH | (Provincial) Department of Health |
| DOIC | (Provincial) Department of Information and Culture |
| DPI | (Provincial) Department for Planning and Investment |
| DPWT | (Provincial) Department of Public Works and Transportation |
| GOJ | Government of Japan |
| GOL | Government of the Lao People's Democratic Republic |
| JICA | Japan International Cooperation Agency |
| JOCV | Japan Overseas Cooperation Volunteer |
| MAF | Ministry of Agriculture and Forestry |
| MEM | Ministry of Energy and Mining |
| MIC | Ministry of Industry and Commerce |
| MLSW | Ministry of Labor and Social Welfare |
| MOE | Ministry of Education |
| MOH | Ministry of Health |
| MOIC | Ministry of Information and Culture |
| MPI | Ministry of Planning and Investment |
| MPI-DIC | Department of International Cooperation, MPI |
| MPI-DOE | Department of Evaluation, MPI |
| MPI-DOOP | Department of Organization and Personnel |
| MPI-DOP | Department of Planning, MPI |
| MPWT | Ministry of Public Works and Transportation |
| ODA | Official Development Assistance |
| ODA-NCB | National Contribution Budget for Official Development Assistance projects |
| OJT | On-the-Job Training |
| PCAP1 | Project for Capacity Building in PIP Management |
| PCAP2 | Project for Enhancing Capacity in PIP Management |
| PIP | Public Investment Program |
| POT | Program Objective Tree |
| SPAS | Simplified Project Assessment Sheet |
| SPIS | Simplified Project Information Sheet (for ODA projects) |
| TOT | Training of Trainers |

1. Project Outline

1.1 Project Overview

The Government of the Lao People's Democratic Republic (GOL) aims to develop and introduce sound Public Investment Program (PIP) management methods, comprising the comprehensive processes of planning, assessment, implementation and evaluation, as one of the most important areas needing improvement. Upon request by the GOL to the Government of Japan (GOJ), the Japan International Cooperation Agency (JICA) conducted a technical cooperation scheme called the Project for Capacity Building in PIP Management (PCAP1) from November 2004 to October 2007, with the objective of developing PIP management methods and building the capacity of the staff involved.

PCAP ended in October 2007 as scheduled. However, the GOL requested continuous support. Thus an agreement was reached for conducting the Project for Enhancing PIP Management (PCAP2) (hereinafter the "Project"), a JICA technical cooperation project to further improve methods and procedures for PIP management, and disseminate these methods and tools throughout the national and local governments. In addition, the Project aims to ensure that the Ministry of Planning and Investment (MPI) will take the leading role in maintaining and upgrading the capacity in the field of PIP management to staffs involved in PIP nationwide. The Project started in March 2008, and is expected to be completed in August 2011.

1.2 Outline of the Report

This report focuses on the progress of activities conducted from October 2010 to January 2011, and further explains the achievement levels of each of the four outputs along with the Project Purpose. The following chart summarizes the outline of the report.

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| 1. Project Outline |
| The outline of the Project and the summary of this report are presented. |
| 2. Progress of Project Implementation |
| <p>The Project has entered its final year, and it is progressing smoothly according to plan. Activities conducted from October 2010 to January 2011 were dedicated for preparation and implementation of the Project's final series of the nationwide training course.</p> <p>The overall objective of the training course was for participants to <i>acquire practical knowledge and skills in PIP management</i>. The training course consists of the following four programs, with three completed as of this writing.</p> <ul style="list-style-type: none"> ✧ PIP Process & Financial Management Seminar: 66 participants in total. ✧ PIP Management Training for Provincial DPI and Ministry Planning Department Officials (TOT: Training of Trainers): 138 participants in total. ✧ PIP Management Training for Provincial Project Owners: 811 participants in total. ✧ On-the-Job Training (OJT) for Provincial DPI and Ministry Planning Department: Planned for implementation in February-March 2011. <p>The three training programs were successfully completed. The lecturers and coordinators performed well, resulting in good understanding by the participants. The overall evaluation of the training sessions was high, and the training outputs are expected to be utilized during the annual PIP budget formulation process.</p> |
| 3. Progress towards Achievement of Outputs |
| <p>All the outputs are expected to be achieved by the completion of the Project.</p> <p><u>[Output 1: Training and OJT]</u></p> <ul style="list-style-type: none"> ✧ The final nationwide training course is underway, and the expected output is close to achievement. <p><u>[Output 2: PIP Budget and Financial Management]</u></p> <ul style="list-style-type: none"> ✧ Provincial DPI officials now understand how to use PIP financial management tools. The expected output is heading towards achievement. ✧ However, since the PIP financial management tools in the budget formulation process are not officially authorized, further activities for authorization are needed. <p><u>[Output 3: Public Investment Law Advisory Support]</u></p> <ul style="list-style-type: none"> ✧ The Public Investment Law is effective from December 2009. The Prime Minister Decree for implementation of the Law is now underway, and is expected to be approved by May 2011. ✧ A booklet of the Law was printed and distributed to all the participants of the seminar and training programs. <p><u>[Output 4: Improvement of PIP Management Methods]</u></p> <ul style="list-style-type: none"> ✧ The methods were developed and successfully disseminated through the training course. Utilization of the developed methods and tools will be monitored at the annual PIP budget formulation procedure for fiscal 2011-2012, and the validated version will be reflected in the final issue of the handbooks. |
| 4. Progress towards Achievement of the Project Purpose |
| The achievement of the Project Purpose will be determined through the performance of MPI, DPI, planning departments and Project Owners in fulfilling their roles in the annual PIP budget formulation process for fiscal 2011-2012. |
| 5. Impact |
| The Overall Goal needs to be measured only when the project effect can be seen after the completion of the Project. Thus it is not possible to determine the achievement level of the Goal at present. However, some signs of positive |

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| effects can be seen through the results of the Project activities. |
| 6. Remaining Activities toward Completion of the Project |
| OJT, revision of the handbooks, the Third Country Training in Malaysia, terminal evaluation, and the Wrap-Up Seminar are the main remaining activities. |
| 7. Other Topics |
| Japan Overseas Cooperation Volunteers joined the nationwide training. |

2. Progress of Project Implementation

The Project has entered its final year, and is progressing smoothly according to plan. This chapter explains the outline and results of the Project's final series of the nationwide training course, since activities conducted from October 2010 to January 2011 were dedicated for its preparation and implementation.

2.1 Outline of the Training Course for the Fourth Year

The overall objective of the training course for the fourth year was for participants to *acquire practical knowledge and skills in PIP management*. The target organizations of this training course are expected to be capable of preparing the PIP budget for fiscal year 2011-2012 with the budget formulation process based on the manuals and handbooks developed by the MPI and PCAP2. By integrating this overall objective and all evaluation results of past training courses conducted by the Project, the direction of the training course for the final year was established as shown below.

[Direction of the Training]

- (1) Emphasize *the workflow* of annual PIP budget request procedure.
- (2) Enhance *the capacity of the Department of Planning and Investment (DPI) officials* in PIP management.
(Conduct *the Training of Trainers (TOT)* for DPI officials.)
- (3) Pilot approach to *the eight main line sectors* to enhance cost-effectiveness

The training course was composed of the following four programs.

[PCAP2 Fourth Year Training Course Program]

- (1) PIP Process & Financial Management Seminar
- (2) PIP Management Training for Provincial DPI and Ministry Planning Department Officials (Training of Trainers (TOT))
- (3) PIP Management Training for Provincial Project Owners
- (4) On-the-Job Training (OJT) for Provincial DPI and Ministry Planning Department

The training programs (1), (2), and (3) were successfully conducted with the objectives and target groups shown in the table below.

Training Objectives and Target Groups

| Course No. | Objectives | Target Group |
|------------|---|---|
| (1) | 1) Provincial DPI develops annual PIP budget direction, budget proceeding schedule, and budget outline of the province with the director's initiative. 2) Provincial DPI officials understand importance of PIP financial management and become able to use key indicators of PIP financial management. | DPI of Vientiane Capital and 16 provinces |
| (2) | 1) Provincial DPI and ministry planning department officials understand annual PIP budget request procedure and how to use each management method. 2) Provincial DPI and ministry planning department officials explain each management method to project owners and district officials. 3) Provincial DPI and ministry planning department officials propose annual PIP budget direction, proceeding schedule and budget outline to the directors of the respective organizations. | - DPI of Vientiane Capital and 16 provinces, and; - Planning department of the 8 main line ministries (MAF, MPWT, MIC, MEM, MOE, MOH, MOIC, MLSW) ¹ |
| (3) | 1) Sector departments develop annual PIP budget direction, proceeding schedule and budget outline of the sector with the director's initiative. 2) Project owners understand annual PIP budget request procedure and utilize each management method. | The 8 main line sector departments of Vientiane Capital and 16 provinces (DAF, DPWT, DIC, DEM, DOE, DOH, DOIC, DLSW) ² |

The OJT indicated as (4) is planned for implementation in February and March 2011. Its objective is to support the provincial DPI and ministry planning department in properly formulating the PIP budget for the fiscal Year 2011-2012.

2.2 Results of the Training Programs Conducted

(1) PIP Process and Financial Management Seminar

The PIP Process and Financial Management Seminar (hereinafter the "Seminar") was conducted from 1 to 4 November 2010. The DPI directors and the deputy directors were invited to achieve the objective of developing the general direction of the annual PIP budget for the coming fiscal year of

¹ MAF: Ministry of Agriculture and Forestry; MPWT: Ministry of Public Works and Transportation; MIC: Ministry of Industry and Commerce; MEM: Ministry of Energy and Mining; MOE: Ministry of Education; MOH: Ministry of Health; MOIC: Ministry of Information and Culture; MOLSW: Ministry of Labor and Social Welfare

² DAF: Department of Agriculture and Forestry; DPWT: Department of Public Works and Transportation; DIC: Department of Industry and Commerce; DEM: Department of Energy and Mining; DOE: Department of Education; DOH: Department of Health; DOIC: Department of Information and Culture; DLSW: Department of Labor and Social Welfare

2011-2012, along with thorough understanding of the standard PIP budget procedure and PIP financial management.

The Seminar was designed for management levels in the DPI, and therefore invited directors and deputy directors. However, the actual attendance from these levels was not as high as anticipated. Although the participants' understanding of the components was high and their attitude and efforts in the exercises positive, it is important that the deputy directors and head of division levels that were representing the directors, report back to the directors about the contents and outputs of the Seminar after they have returned to their provinces.

The Seminar was mainly taught and led by the Director of the Department of Evaluation, MPI (MPI-DOE), the Deputy Director of MPI-DOE and the Japanese experts of the Project. Staff from the Department of Planning, MPI (MPI-DOP) and MPI-DOE provided support to participants during exercises as sub-trainers. It was clear through observation that these sub-trainers provided appropriate support to the participants. Thus it is fair to say that they have enough knowledge of the subjects, along with awareness and confidence in their roles in providing instructions in PIP management toward DPI officials.

Based on the agreement between the GOL and the GOJ before the Project was launched, the MPI was to bear two thirds of the costs to be incurred for this Seminar along with other training sessions this year. The Project and the MPI came to a specific agreement in the sharing of costs, and concluded that the cost for venue arrangement along with travel, accommodation and daily allowance for the participants be arranged by the MPI, whereas printing materials and miscellaneous items be arranged by the Project. Although there was some confusion in the initial arrangement, the MPI took positive approaches to achieve efficiency, such as fully utilizing the MPI Training Centre facilities, showing a positive sign for the MPI to conduct future training at its own initiative.

[Participants and Schedule]

The Seminar was conducted twice with a two-day session each time. Participants were divided by province as indicated in the following chart.

| Session | Date | Participants |
|-------------|---------------|--|
| Session One | 1-2 Nov. 2010 | Vientiane Capital, Vientiane Prov., Khammuan, Bolikhamxay, Savannakhet, Saravan, Xekong, Champassak, Attapeu (Total 9 provinces/Capital, 35 participants) |
| Session Two | 3-4 Nov. 2010 | Phongsaly, Bokeo, Xayabouly, Houaphan, Oudomxay, Luangnamtha, Xiengkhouang, Luangprabang (Total 8 provinces, 31 participants) |

The Seminar participants and their positions are indicated in the chart on the right. Senior DPI officials including directors, deputy directors and division heads were invited to the Seminar. However, only one director among all the 17 DPIs attended. According to the provinces, they found it difficult to make time for the Seminar in

| Position | Participants | Ratio |
|------------------------|--------------|-------|
| Director | 1 | 1.5% |
| Deputy Director | 11 | 16.7% |
| Head of Div | 22 | 33.3% |
| Deputy Head | 7 | 10.6% |
| Staff | 25 | 37.9% |
| Total | 66 | |

their already busy schedule because they received the invitation to the Seminar only one week prior to it. As a result, it depended on the deputy directors and heads of divisions who were assigned as acting representatives of each DPI, to report to the director on what the Seminar was about.

[Program and Lecturers]

The Seminar was taught by the Director and the Deputy Director of MPI-DOE, along with experts. MPI-DOE and MPI-DOP acted as sub-trainers. The chart below shows the program of the Seminar.

Seminar Program

| Day | a.m./p.m. | Contents |
|-------|-----------|---|
| Day 1 | a.m. | [Opening Ceremony] <i>(Session One chaired by Mr. Bounpone SISOULATH, Director, MPI-DOE)</i> <i>(Session Two chaired by Dr. Bounthavy SISOUPHANTHONG, Vice Minister, MPI)</i> |
| | | [Explanation of the agenda and schedule] <i>(Ms. Tomoe TAIRA, Training Development Expert, PCAP2)</i> |
| | | [Lecture: Public Investment Law] <i>(Mr. Bounpone SISOULATH) (*1)</i> |
| | | [Lecture: PIP Budget Direction and Annual PIP Budget Request Procedure] <i>(Mr. Ichiro OKUMURA, Chief Advisor, PCAP2)</i> |
| | | [Lecture: Why PIP financial management is necessary] <i>(Mr. Hirofumi AZETA, PIP Financial Management Expert, PCAP2)</i> |
| | p.m. | [Study: How to conduct financial analysis] <i>(Mr. Hirofumi AZETA)</i> |
| Day 2 | a.m. | [Study: How to formulate the mid-term financial outlook] <i>(Mr. Hirofumi AZETA)</i> |
| | p.m. | [Study: Formulation on PIP Direction and Budget Outlook] <i>(Mr. Ichiro OKUMURA)</i> |
| | | [Preparation for presentation(*2), final report, training evaluation] |
| | | [Closing Ceremony] <i>(Session One chaired by Mr. Bounpone SISOULATH)</i> <i>(Session Two chaired by Mr. Phoukhong BANNAVONG, Deputy Director, MPI-DOE)</i> |

*1: The lecture on Public Investment Law in Session One was conducted in the afternoon of the first day, due to scheduling constraints of the lecturer.

*2: In Session Two, Dr. Bounthavy and Mr. Bounpone were scheduled to attend the presentation session, but were unable to do so due to scheduling reasons. Thus Dr. Bounthavy instructed the participants to write final reports for each province.

[Objective and Program Contents]

The objective of the Seminar was to develop the general direction of the annual PIP budget formulation for the coming fiscal year of 2011-2012, with acknowledgement of the standard PIP budget procedure and the importance of PIP financial management. The Seminar consisted of the following three topics.

Public Investment Law

[Objectives]

- ✧ Understand the objective and importance of the Law.
- ✧ Understand the details of important articles, and ensure that all organizations and staffs involved in PIP management follow its contents.

Annual PIP Budget Development Direction and Process

[Objectives]

- ✧ Top authorities in DPI understand the importance of the annual PIP budget process, and are able to display leadership in its management.
- ✧ Top authorities in DPI are able to draft their provincial PIP budget direction for announcement prior to the annual PIP budget procedure.

[Expected Outputs]

- ✧ Analysis results of the annual PIP budget direction draft
- ✧ Draft outline of the PIP budget outline with target amount

PIP Financial Management

[Objectives]

- ✧ Top authorities in DPI understand the importance of PIP financial analysis.
- ✧ Top authorities in DPI are able to draft their provincial PIP financial analysis, and their mid-term financial outlook.

[Expected Outputs]

- ✧ Current provincial financial situation (due amount and payment duration as of 2010/11 budget)
- ✧ Target due amount for 2011/12 budget
- ✧ Provincial mid-term PIP financial outlook for the next five years
- ✧ Mid-term financial strategy, target amount and activities for achievement

[Evaluation of the Seminar]

At the end of the Seminar, the participants evaluated it with a questionnaire. The questionnaire had the following three items with three questions each: a) Seminar Timing and Duration; b) Quality of the Seminar; and c) Relevance of the Seminar (Was it effective for your work?). The participants answered each question with a number on a scale of 1 to 5, with 5 being “excellent” and 1 being “very poor”.

The chart below shows the evaluation results from the 59 participants with the average ratings for the questions.

Seminar Evaluation Results

| Item | Question | Average Rating | |
|------|---|--|-----|
| a) | Seminar Timing and Duration | | |
| | a)-1 | Was the timing of the Seminar appropriate? | 4.1 |
| | a)-2 | Was the duration of the Seminar appropriate? | 3.8 |
| | a)-3 | Were the time and location of each component appropriate? | 4.0 |
| b) | Quality of the Seminar | | |
| | b)-1 | What do you think of the quality of the component <i>Annual PIP Budget Request Procedure</i> ? | 4.5 |
| | b)-2 | What do you think of the quality of the component <i>PIP Financial Management</i> ? | 4.5 |
| | b)-3 | What do you think of the quality of the component <i>Annual PIP Budget Formulation</i> ? | 4.4 |
| c) | Relevance of the Seminar (Was it effective for your work?) | | |
| | c)-1 | How relevant were the contents of <i>Annual PIP Budget Request Procedure</i> to your work? | 4.6 |
| | c)-2 | How relevant were the contents of <i>PIP Financial Management</i> to your work? | 4.6 |
| | c)-3 | How relevant were the contents of <i>Annual PIP Budget Formulation</i> to your work? | 4.6 |

As shown in the evaluation results, the overall acceptance of the Seminar was high. All the questions received an average rating of 4 or above, with the exception of the question a)-2 “Was the duration of the Seminar appropriate?”, which received an average rating of 3.8. This was due to some participants requiring a longer duration of the Seminar for its components. The lower rating for “a)” compared to “b)” and “c)” originates from the same reasons. Overall, the participants gave high marks to the structure and contents of the Seminar, and found the contents relevant to their work.

The participants made a few comments on the use of the MPI Training Centre and its accommodation facilities. Compared to the previous years when the participants received an accommodation allowance and had free choice of accommodation venues, this year they did not have this choice and were compelled to stay at the MPI Training Centre. This arrangement was necessary to efficiently conduct training under the limited budget in the MPI and the DPI, but some participants were not satisfied.

(2) PIP Management Training for Provincial DPI and Ministry Planning Department Officials (Training of Trainers)

The PIP Management Training for Provincial DPI and Ministry Planning Department Officials and Training of Trainers (hereinafter the “TOT”) was conducted from 8 November to 3 December 2011. The TOT was conducted in four sessions. The first three were for provinces and Vientiane Capital with the duration of five days, and the final one was for ministries with the duration of four days.

The TOT was successful, judging from the evaluation results from the participants, and the satisfactory performance of the MPI staff as trainers. The TOT approach seemed to boost the morale of DPI staffs in the provinces and Vientiane Capital. The TOT was also successful in completing the following three outputs: annual PIP budget formulation schedule; development direction for PIP budget utilization; and target allocation amount for PIP budget. The outputs can be used for preparation of the fiscal 2011-2012 PIP budget.

[Participants and Schedule]

The TOT was held from 8 November to 3 December 2010 following the PIP Process & Financial Management Seminar of November 2010. As shown in the table below, the TOT was divided into four sessions with five to six provinces each for the sessions 1 through 3, and eight ministries for the session 4³. A total of 103 provincial DPI officials and 35 ministry planning department officials completed the TOT.

It is noteworthy that two Japan Overseas Cooperation Volunteers (JOCV) members, i.e., Mr. Nishimura assigned to the Saravan Province DPI, and Mr. Iizuka assigned to the Khammuan Province DPI, took part in the TOT, and provided useful comments on its management and contents.

TOT Sessions and Participants

| Session | Date (Duration) | Target Province/Ministry | Number of Participants |
|----------------|---|--|-------------------------------|
| Session 1 | 8-12 Nov. 2010 (5 days) | Vientiane Capital, Khammuan, Savannakhet, Bolikhamxay, and Vientiane provinces | 31 officials |
| Session 2 | 15-19 Nov. 2010 (5 days) | Saravan, Attapeu, Xayabouly, Luangprabang, Xiengkhouang, and Houaphan provinces | 39 officials |
| Session 3 | 22-26 Nov. 2010 (5 days) | Xekong, Champassak, Phongsaly, Oudomxay, Luangnamtha, and Bokeo provinces | 33 officials |
| Session 4 | 29 Nov. -3 ⁴ Dec. 2010 (4days) | MOAF, MPWT, MIC, MOEM, MOE, MOH(invited but did not participate), MOIC, and MOSW | 35 officials |
| In Total | | | 138 officials |

[Trainers and Support Team]

The Deputy Director of MPI-DOE and 21 MPI officials were the trainers of the TOT sessions. The Project coordinating staffs in MPI-DOE and officials in the Department of Organization and Personnel (MPI-DOOP) were in charge of overall management of the TOT. DOOP officials, together with the Japanese experts and national consultants, were in charge of total quality control and evaluation.

³ Please see the Appendices 1 and 2 for the detailed description of the training course and agenda.

⁴ Excluding the National Holiday on 2 December.

TOT Trainers and Support Team

| Responsibility | Department | Number |
|----------------------------------|---|--------------|
| Opening/Closing | Department of Evaluation (DOE) | 2 officials |
| Trainer | Department of Evaluation (DOE) | 16 officials |
| | Department of Planning (DOP) | 3 officials |
| | Department of International Cooperation (DIC) | 2 officials |
| Training Coordination/Evaluation | Department of Evaluation (DOE) | 1 officials |
| | Department of Organization and Personnel (DOOP) | 2 officials |
| In total | | 26 officials |

[Objective and Topics]

The primary objective of the TOT course was for provincial DPI and ministry planning department officials to *acquire practical knowledge and skills in PIP management*. In order to achieve this objective, the following three course objectives were set.

-Training Course Objectives-

- Provincial DPI and ministry planning department officials understand annual PIP budget request procedure and how to use each management method.
- Provincial DPI and ministry planning department officials are able to explain each management method to project owners and district officials⁵.
- Provincial DPI and ministry planning department officials propose annual PIP budget direction, proceeding schedule and budget outline to the director in their respective organization.

The TOT was composed of the following topics to achieve the three training course objectives⁶.

-Training Course Topics-

1. Public Investment Law
2. Annual PIP Budget Request Procedure
3. PIP Financial Management
4. Project Request and Project Assessment Process
5. ODA-National Contribution Budget (NCB) Management
6. Program Management and Comparative Assessment

For Provincial DPI only: Meta-evaluation, District PIP Management

For Ministry Planning Department only: Project Assessment through SPAS

⁵ Explanation to district officials was excluded as the Training objectives for ministry planning department officials.

⁶ The same Training course program was offered to both the provincial DPI and ministry planning department except Unit 7 and Unit 9 which were the tailor-made units based on the necessity of target organizations.

[Training Evaluation]

The following main evaluation points and methods were set to measure the level of achievement and to evaluate the TOT sessions.

Training Evaluation Points and Methods

| Course Objective | Main Evaluation Point | Evaluation Method |
|-------------------------|--|--|
| Objective (1) | ✓ Post-test reached 70 % ✓ Improvement from pre-test to post-test | ✓ Results from pre-tests and post-tests ✓ Results from simulation exercises and group exercises |
| Objective (2) | ✓ Gained confidence in explaining in public ✓ Results of simulation exercise reached a satisfactory level | ✓ Quality of above-mentioned outputs ✓ General observations |
| Objective (3) | Quality of training outputs ✓ Annual PIP budget direction ✓ Annual PIP budget proceeding schedule ✓ Annual PIP budget outline | ✓ Results of training evaluation questionnaires by the participants |

[Evaluation Results of the TOT Objectives]

It is fair to say that all the three course objectives were achieved. The following are descriptions on the achievement levels of the objectives.

Course Objective (1)

- Provincial DPI and ministry planning department officials understand annual PIP budget request procedure and how to use each management method.

On the whole, the achievement level of Course Objective (1) was high. For all the four sessions, the average score percentage increased from the pre-test levels of 54% to 56%, to over 69% in the post-test. The highest improvement was made in Session 3 as there was an average increase of 9 points in the post-test. Moreover, 92 of the total participants managed to reach the passing mark, which was set at the level of 70% or higher⁷. The test covered all the training topics except *Topic 1: Public Investment Law*. Taking into account the direction of the training course, questions in the test focused on the workflow of the annual PIP budget request procedure and the usage of each management method developed. The results show that provincial DPI and ministry planning department officials have grasped these subjects well.

⁷Pre-tests and post-tests were given under the same conditions and procedures for all the four sessions to ensure the credibility of the test results.

Results of Pre- and Post-Tests

| | Pre-test average score (% of total score) | Post-test average score (% of total score) | Improvement in the average score | Number of officials who reached the passing mark (% of total participants) |
|-----------|---|--|----------------------------------|--|
| Session 1 | 16.2 points (54%) | 21.8 points (73%) | 5.6 points | 18 officials (64%) |
| Session 2 | 16.7 points (56%) | 21.0 points (70%) | 4.3 points | 24 officials (62%) |
| Session 3 | 16.8 points (56%) | 25.8 points (86%) | 9.0 points | 31 officials (94%) |
| Session 4 | 13.7 points (55%) | 17.3 points (69%) | 3.6 points | 19 officials (61%) |

Note: The highest possible score for Sessions 1 to 3 were 30 points with the passing mark of 21 points, while the one for Session 4 was 25 points with the passing mark of 17 points.

On the whole, the participants' perception of understanding on the contents of the TOT was high. According to the results of the questionnaire given to the participants, the level of understanding for *Topic 1: Public Investment Law* was the highest (4.2) followed by *Topic 4: Project Request* (4.1), *Topic 2: Annual PIP Budget Request Procedure* (4.1), *Topic 4: Project Assessment Process* (4.0)⁸ and finally *Topic 8: Compass with POT* (4.00).

| Training Course Topic | | Session1 | Session2 | Session3 | Session4 | Average |
|-----------------------|---|----------|----------|----------|----------|------------|
| 1 | Public Investment Law | 4.0 | 4.4 | 4.4 | 4.1 | 4.2 |
| 2 | Annual PIP Budget Request Procedure | 3.8 | 4.2 | 4.2 | 4.1 | 4.1 |
| 3 | PIP Financial Management | 3.5 | 4.1 | 4.1 | 4.0 | 3.9 |
| 4 | Project Request | 4.0 | 4.0 | 4.2 | 4.2 | 4.1 |
| | Project Assessment Process | 4.1 | 4.1 | 4.2 | 3.9 | 4.0 |
| 5 | ODA-NCB Management | 3.6 | 4.2 | 4.1 | 4.0 | 4.0 |
| 6 | Program Management and Comparative Assessment | 4.0 | 4.0 | 4.1 | 3.9 | 4.0 |
| Province | Meta-evaluation | 3.6 | 4.0 | 4.2 | | 3.9 |
| | PIP Management at District Level | 3.9 | 4.1 | 4.0 | | 4.0 |
| Ministry | Project Assessment through SPAS | | | | 3.9 | 3.9 |

[Level of understanding] 1: very low; 2: low; 3: middle; 4: high; 5: very high

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| <p>Course Objective (2)</p> <p>➤ Provincial DPI and ministry planning department officials are able to explain each management method to project owners and district officials.</p> |
|--|

The level of achievement of Course Objective (2) was satisfactory. The course on “Training of Trainers” offered participants an opportunity to conduct simulation lectures on presenting the following five topics: Annual PIP Budget Request Procedure; Project Request; ODA-NCB Management; Comparative Assessment; and District-Level PIP Management. Most of the presenters actively explained the contents of each topic with confidence. These results show that provincial DPI

⁸ Topic 4 had two sub-topics: Project Request and Project Assessment. The questionnaire for topic understanding was divided into these two sub-topics.

and ministry planning department officials made a positive step in playing a central role in managing PIP in their respective provinces or ministries. However, due to various constraints, only one third of the participants were able to give a lecture this time. Therefore, it is necessary to provide more opportunities for simulation lectures to the participants that did not have the chance this time.

Course Objective (3)

- Provincial DPI and ministry planning department officials propose annual PIP budget direction, proceeding schedule and budget outline to the director in their respective organizations.

The Course Objective (3) was aimed at making an annual PIP budget formulation schedule by taking into account the contents of the *Annual PIP Budget Direction* and the *PIP Budget Outline* that were completed at the PIP Process & Financial Management Seminar prior to the TOT. Although the participants overlooked some key schedules at the beginning, all the provincial DPI and ministry planning departments successfully developed an annual PIP budget formulation schedule for their own capital/province or ministry along with the proposed workflow in the end. Notably, the outputs were shared in some DPI offices by posting the schedule on their bulletin boards.

(3) PIP Management Training for Provincial Project Owners

The PIP Management Training for Provincial Project Owners (hereinafter the “Provincial Training”) was conducted from 13 December 2010 through 7 January 2011. The Provincial Training was managed by the provincial DPI in each province and in Vientiane Capital. Officials from main sector departments, as well as project owners, were invited with the objective of understanding the annual PIP budget procedure as well as the key management methods and tools required for PIP management.

Considering the fact that the annual PIP budget procedure for the fiscal year 2011-2012 has started smoothly, it can be said that the training objective was achieved to a satisfactory level. However, although one of the important intentions behind this training was to obtain a common understanding of the preparation for the fiscal year 2011-2012 annual PIP management procedure at the director and deputy director levels, this point led the training itself with less impact than originally anticipated. Although the directors and deputy directors were invited to attend the whole first day of the two-day training session, many of them stayed for only half a day and left the venue before the afternoon session. They were therefore not present for the core training exercise when they were supposed to jointly develop their own PIP budget direction, budget estimation and schedule with their technical staff.

In most provinces, more than half of the participants had never attended past PCAP2 training

sessions. At first it was first feared that understanding the methods and tools developed for the Project would be difficult for first-timers. However, after observing the results of the training along with the active participation during the lectures and exercises, and the good communication among participants and DPI lecturers, it is safe to say that most of the participants understood the training contents well enough to a level where they can utilize this knowledge in their PIP management duties.

[MPI Training Support Teams and Schedule]

Two MPI trainers were dispatched to each province and Vientiane Capital, with the objective of providing advisory and technical support to the DPI who was the hosting organization. The MPI trainers were divided into five teams consisting of two staff members each, and they travelled around the provinces based on the schedule below.

MPI Training Support Teams

| Dates | Team 1 | Team 2 | Team 3 | Team 4 | Team 5 |
|-----------------|-----------------|--------------|-----------|--------------|----------------|
| 13-14 Dec. 2010 | - | - | Xayabouly | - | Luangnamtha |
| 16-17 Dec. 2010 | Khammuan | Houaphan | - | Oudomxay | Bokeo |
| 20-21 Dec. 2010 | Bolikhamxay | Saravan | - | - | - |
| 23-24 Dec. 2010 | Savannakhet | Champassak | Xekong | - | Vientiane Cap. |
| 27-28 Dec. 2010 | Vientiane Prov. | - | Attapeu | Luangprabang | Phongsaly |
| 3-4 Jan. 2011 | - | Xiengkhouang | - | - | - |

The MPI advisory teams consisted of the following members.

MPI Advisory Teams

| Team | Team Members |
|--------|---|
| Team 1 | Mr. Vilaphanh (MPI-DOE), Mr. Sonaphah (MPI-DOP) |
| Team 2 | Mr. Banlousith, Mr. Viengkham (both MPI-DOE) |
| Team 3 | Ms. Vilavanh, Mr. Xengher (both MPI-DOE) |
| Team 4 | Ms. Somphat (MPI-DOE), Mr. Khamphay (MPI-DIC)* |
| Team 5 | Mr. Somxay (MPI-DOP), Mr. Sombat (MPI-DOE) |

*Mr. Banlousith replaced Ms. Somphat for 27-28 December 2010 in Luangprabang.

[Participants]

The Provincial Training was originally designed to accommodate eight sector departments (DOH, DOE, DOEM, DAF, DIC, DPWT, DOIC and DLSW) that are managing most of the PIP projects that have been implemented at the provincial level. Therefore the Project and the MPI asked the DPI to invite participants from these departments. However, in some provinces, the DPI also invited participants from other sector departments, provincial organizations (such as the Governor's Office,

Women’s Union etc.) and district offices, in addition to the eight departments mentioned before. Many members of the DPI staff that could not attend the TOT sessions in Vientiane Capital also took part in the Provincial Training.

Directors and deputy directors were separately invited to the Provincial Training for specific reasons. As they are the key stakeholders in determining the direction, budget estimation and preparation schedule for each sector department, it was necessary for them to take part in the topics related to the annual PIP budget request procedure. This consisted of lectures and exercises which were held on the first day.

The following chart indicates the participants in each province;

Participants in Provincial Training

| Province | Participants | | | Remarks |
|-----------------|---------------|------------|------------|--|
| | Senior staff* | Staff | Total | |
| Vientiane Cap. | 7 | 32 | 39 | Attendance from 7 district planning offices and 15 other provincial organizations |
| Vientiane Prov. | 5 | 45 | 50 | |
| Bolikhamxay | 21 | 24 | 45 | Attendance from 17 other provincial organizations |
| Khammuan | 6 | 48 | 54 | Attendance from all districts |
| Savannakhet | 18 | 27 | 45 | Attendance from 9 other provincial organizations |
| Champassak | 10 | 40 | 50 | Attendance from 6 other provincial organizations |
| Saravan | 4 | 33 | 37 | |
| Xekong | 6 | 42 | 48 | |
| Attapeu | 15 | 30 | 45 | |
| Xayabouly | 14 | 37 | 51 | Attendance from the Urban Development Organization, Provincial Security and Provincial Defence |
| Luangprabang | 13 | 32 | 45 | Attendance from the Art School and the Provincial Commission for Drug Control & Supervision |
| Xiengkhouang | 13 | 39 | 52 | |
| Houaphan | 13 | 40 | 53 | Attendance from 10 other provincial organizations |
| Phongsaly | 16 | 34 | 50 | Attendance from the Urban Development Organization, the Governor’s Office and Provincial Prosecution |
| Oudomxay | 13 | 39 | 52 | Attendance from 7 other provincial organizations |
| Luangnamtha | 23 | 25 | 48 | Attendance from 4 district planning offices and 8 other provincial organizations |
| Bokeo | 12 | 35 | 47 | Attendance from 10 other provincial organizations |
| Total | 209 | 602 | 811 | |
| Average | 12 | 35 | 48 | |

**Senior staff* indicates directors and deputy directors of the department/organization

[Objective and Topics]

The objective of the Provincial Training was for the main sector departments and PIP Project Owners to *understand the annual PIP budget procedure as well as the key management methods and tools required for PIP management*. The training was composed of the following necessary and sufficient topics in order to achieve the training objective.

Topics in Provincial Training

| Training Topic | Outline |
|--|---|
| Public Investment Law (lecture) | This lecture explained the outline and the importance of the new Public Investment Law enacted in December 2009. Specific articles relevant to Project Owners were thoroughly explained. |
| Annual PIP Budget Request Procedure (lecture/exercise) | This lecture explained the importance of sharing the PIP budget direction, allocation and schedule among the DPI and each organization. An exercise was conducted to develop the direction, amount and schedule for each organization. |
| PIP Project Request and Necessary Attachment Reports (lecture/exercise) | This lecture explained the submission deadlines of budget requests for PIP projects. It also explained the necessary attachment reports for various types of projects. An exercise session was organized for writing budget requests for ongoing projects and payment completion. |
| Program Management and Comparative Assessment (lecture/exercise) | This lecture explained the relation between program management and comparative assessment. A comparative assessment workshop was conducted as an exercise. |
| ODA-NCB Management (lecture/exercise) | The lecture explained the procedure of requesting ODA-NCB, and how to complete the Simplified Project Information Sheet (SPIS). |

[Training Evaluation 1: Participants' Understanding of the Training Contents]

Participants completed a questionnaire asking about their level of understanding for the individual topics. The following chart indicates the average rates of understanding levels as declared by 567 respondents.

Average Rates of Understanding Levels

| Topics | Average |
|--|---------|
| Public Investment Law | 4.2 |
| Annual PIP Budget Request Procedure | 4.0 |
| Project Request & Necessary Attachment Reports | 4.0 |
| Program Management and Comparative Assessment | 3.8 |
| ODA-NCB Management | 3.8 |

[Level of understanding] 1: very low; 2: low; 3: middle; 4: high; 5: very high

The understanding of Public Investment Law was declared relatively high due to their recognition of the importance of the subject. The levels of understanding for the topics related to Program Management and Comparative Assessment and ODA-NCB Management were comparatively low. This is because they were new subjects that required comprehensive understanding of the projects in their organization and of ODA projects that were reliant on donors' implementation in the past.

[Training Evaluation 2: Evaluation of Training Management by Participants]

The Participants evaluated the management of the training conducted by the DPI and the MPI. Three items were looked at: a) training venue; b) training timing and duration; and c) quality of program and trainers. The participants rated each question on a scale of 1 to 5, with 5 as “excellent” and 1 as “very poor”.

Participants’ Evaluation of Training Management

| Question | Average |
|--|---------|
| 1. Was the training venue appropriate? | 4.4 |
| 2. Training timing and duration | |
| 2.1 Was the timing of the training appropriate? | 3.7 |
| 2.2 Was the duration of the training appropriate? | 3.4 |
| 2.3 Was the time distribution of topics appropriate? | 3.8 |
| 3. Quality of the program and trainers | |
| 3.1 Was the quality of the overall training program appropriate? | 4.2 |
| 3.2 Were the lectures appropriate? | 4.2 |
| 3.3 Were the exercises appropriate? | 4.0 |
| 3.4 Was the performance of the trainers appropriate? | 3.9 |
| 3.5 Were the training materials appropriate? | 4.5 |

[Rating] 1: very poor; 2: poor; 3: average; 4: good; 5: excellent

The overall evaluation from the participants who took part in the training was high. The performance of the trainers who were trained in the TOT sessions was fairly high. This shows the success of the training series. It can be said that these evaluation results are due to good preparation and performance by the DPI. However, the evaluation results related to timing and duration were relatively low. This was due to the training schedule being announced immediately before its implementation, and also due to requirements that the participants’ spend more days in training.

[Training Evaluation 3: Evaluations by the DPI and the MPI]

After the training was completed in each province, the DPI and the MPI evaluated the performance of their own training. They first rated their own views on the participants’ understanding of the training objectives as well as the individual topics. The evaluation of the training objective was divided into two components; understanding of the *overall annual PIP budget direction*, and of the

annual PIP budget formulation procedure. The following chart describes the average grades from the training conducted in all 16 provinces and Vientiane Capital.

Evaluations by the DPI and the MPI

| Evaluation Topics | Average |
|--|---------|
| Overall understanding of the Training by participants. | 4.3 |
| [Objective Components 1] Overall annual PIP budget direction | 4.3 |
| [Objective Component 2] Annual PIP budget formulation procedure | 4.3 |
| Topic 1: Public Investment Law | 4.3 |
| Topic 2: Annual PIP Budget Request Procedure | 4.1 |
| Topic 3: Project Request and Necessary Attachment Reports | 4.2 |
| Topic 4: Program Management and Comparative Assessment | 4.4 |
| Topic 5: ODA-NCR Management | 4.2 |

[Rating] 1: very low; 2: low; 3: average; 4: high; 5: very high

The MPI and the DPI both agreed that the overall understanding of the training by the participants was high, and that both training objective components were also understood to a relatively high level. Their interpretation of participant understanding was higher than what the participants themselves thought. Although the gap between the two is not critical, the MPI and the DPI need to acknowledge that there is a slight difference in how they performed (or how they thought they performed), and how it was received by the participants themselves.

The DPI self-evaluated their general performance in their training management and trainer quality. Although it was the first time for the DPI to fully-manage and conduct such training, the DPI staff considered that their training management and trainer quality was conducted at a satisfactory level. The average of all provinces and Vientiane Capital are as follows.

DPI Self-Evaluation on Training Management and Trainer Quality

| Evaluation Topics | Average |
|--|---------|
| DPI self-evaluation of training management | 4.6 |
| DPI self-management of trainer quality | 4.2 |

[Rating] 1: very bad; 2: bad; 3: average; 4: good; 5: excellent

The MPI also evaluated the training from two different viewpoints: whether their support to the DPI was appropriate, and whether the performance of the DPI in management and as trainers was appropriate. Both results show that the performance for both the MPI and the DPI was considered satisfactory.

MPI's Evaluation on Itself and DPI in Training

| Evaluation Topics | Average |
|--|---------|
| Level of MPI support to DPI | 4.7 |
| Level of DPI as training management and trainers | 4.4 |

[Rating] 1: very bad; 2: bad; 3: average; 4: good; 5: excellent

2.3 Approaches by Topic

The following subchapters explain the contents of the topics taken up in the Seminar and training sessions.

(1) Topic 1: Public Investment Law

This topic concentrated on the lecture introducing the new Public Investment Law. Real-case explanations were included in this lecture, which provided a better understanding of the law. It is expected that the Public Investment Law will result in improvements of PIP management at the project sites. A lecture inclusive of the following topics was conducted.

Topics of Lecture on Public Investment Law

- ◇ Background of the establishment of the law
- ◇ Process of the law's formulation and approval
- ◇ Overall structure of the law
- ◇ Important articles and subjects of the law
 - Basic principles and definitions (Article 3)
 - Documents to be submitted (Article 17)
 - Planning and implementation (Article 25)
 - Priorities of PIP projects (Article 27)
 - Bidding (Article 37)
 - Monitoring and evaluation (Article 40)
 - Modification of PIP projects (Article 41)
 - Suspension of PIP projects (Article 42)
 - Funding transfer (Article 43)
 - Cancellation of PIP projects (Article 44)
 - Project utilization and ex-post evaluation (Article 59)
 - Restrictions by organizations (Article 61 etc.)
 - Incentives and measures (Articles 82 & 83)

Active discussions on the application of the Law took place, indicating the participants' strong interest in this subject. A booklet of the Law was distributed as a reference material in the Seminar and training sessions, and many organizations asked for additional copies for further distribution. It can be said that the importance of this Law was sufficiently shared and acknowledged by trainers

and the participants.

(2) Topic 2: Annual PIP Budget Request Procedure

This topic dealt with three aspects of the annual PIP budget: development direction, budget allocation and financial management, and budget request schedule. This topic was designed so that the exercises in the Seminar and both training programs would cover the responsibilities of the respective levels and responsibilities of the participants. The following chart indicates the coverage of the topic in each program event.

Coverage on Annual Budget Request Procedure

| Program | Seminar | TOT | Provincial Training |
|------------------------------------|--|--|---|
| Topic Objective | DPI develops and announces PIP budget development direction | DPI develops and announces specific PIP budget procedures to related organizations. | Sector departments develop internal PIP budget procedures. |
| Contents of lectures and exercises | Development of provincial PIP budget direction allocation guidelines at the director and deputy director levels. | Development of the PIP budget formulation schedule based on the direction and allocation guidelines developed at the Seminar | Understanding of the annual PIP budget submission deadline of sector departments, announced by the DPI. Development of the internal PIP project request procedure. |
| Outputs | <ul style="list-style-type: none"> ➤ Provincial PIP budget development direction ➤ Provincial PIP budget allocation guidelines | <ul style="list-style-type: none"> ➤ Provincial PIP budget formulation schedule and preparation guidelines | <ul style="list-style-type: none"> ➤ Internal PIP budget formulation guidelines for each sector. |

In this lecture, it was strongly recommended to the DPI that it should develop comprehensive guidelines for annual PIP budget preparation. This should include the development direction with the utilization of the PIP budget, allocation of budget by sectors, and the budget formulation schedule. At the level of the director and deputy director, initiatives in its development must be taken, since strong leadership is required to utilize the guidelines as a tool to convince sector department and project owners. It was explained that sector departments and provincial organizations are required to follow the PIP budget guidelines under the initiative of their own planning sectors.

In the exercise, the development direction for the fiscal year 2011-2012 annual PIP budget was formulated and shared among the DPI and sector departments. Tools and methods to analyze the financial situation of the PIP budget were also utilized to draft the budget allocation outline. The budget formulation schedule was also made and shared to ensure that PIP budget requests from sector departments are properly submitted to the DPI with the appropriate procedures.

The overall understanding of this topic was satisfactorily high, and with the initiative of the DPI, a consensus was reached among provincial organizations on the importance of formulating the provincial PIP budget request within the relevant procedures. However, in the exercise sessions, shortage of updated information and time constraints made the outputs less convincing, and this requires further study before it is officially announced as a PIP guideline.

(3) Topic 3: PIP Budget and Financial Management

In the PIP financial management component, the following three lectures were given to participants:

i) Overview of PIP Financial Management; ii) PIP financial analysis and budget planning by the DPI; and iii) Mid-term PIP financial outlook by the DPI.

The lecture *i) Overview of PIP Financial Management* explained why PIP financial management is important and also explained the key indicators of financial analysis, and overall directions to improve the provinces' financial status. Participants calculated the main indicators, such as due amounts and payment durations, based on the 2010-11 PIP budgets of their own provinces.

Next, *ii) PIP financial analysis and budget planning by DPI* explained how to use the PIP financial analysis tools in the PIP budget formulation process. Using the PIP financial tool called "Provincial PIP financial analysis sheet", participants set targets on the due amounts for 2011-12 based on the 2010-11 PIP list.

The final component *iii) Mid-term PIP financial outlook by DPI* explained how to set targets on due amounts in the mid-term and also explained how to make a plan to reduce payment durations. Participants estimated new project costs, due amounts and the payment duration for the next five years, based on the PIP list for 2010-11. Participants also estimated the due amounts and payment durations in conditions when the costs of the new project have increased. This component also explained how to estimate the due amounts and payment durations when provinces implemented projects based on five-year plans. It also emphasized that the implementation of a five-year development plan should consider the five-year finance plans.

Through the PIP financial management seminar, the basic concept of PIP financial management, including the achievement of the balance between development and financial stability, was accepted by the participants. The level of the understanding of PIP financial management tools was very high. In the Seminar, participants appropriately took part in various exercises, such as the calculation of financial indicators.

In the Seminar, provinces developed the mid-term directions on the improvement of the PIP financial

status, and most provinces indicated their direction as follows.

- To avoid increases in due amounts
- To decrease their payment durations; and;
- To use their limited budgets more efficiently and choose priority projects after evaluations

(4) Topic 4: Project Requests and Project Assessment

This topic explained *Project Requests* and *Project Assessment* as the two key features in the annual PIP budget procedure. The Project designed the topic to match the objectives and the participants of each training program. Specifically, the Project Requests component was emphasized in the TOT and the Provincial Training, while the Project Assessment component was emphasized in the TOT. At the TOT for ministries, further emphasis was placed on Project Assessment by conducting an exercise to complete a case-study Simplified Project Assessment Sheet (SPAS). Below are details of each component.

1) Project Requests

At the TOT, the schedule for submitting budget requests for PIP projects was announced. Further explanation was given on selecting the appropriate budget request format and the required attachment reports, depending on the type of project to be requested. An instruction training session was also conducted so that DPI officials would become capable of explaining the contents to relevant organizations in their respective provinces.

On the whole, the level of understanding of this component by the TOT participants was high. The participants understood the necessity of submitting progress reports to request budgets for ongoing PIP projects. This was one of the important points of this session. However, some misprints were found in a few budget request formats⁹. Although validation and revision of these formats are necessary to make them more user-friendly, the frequency of revisions shall be reduced by making all necessary revisions at one time in a thorough manner, so that users can use the updated formats. The improvement from last year was that, at least for a year, the Project kept the target organizations informed about the most updated version of the formats by conducting the TOT.

In the Provincial Training, the workflow of the annual PIP budget submission along with selection of the appropriate budget request format was explained. In the exercise session, case studies for ongoing projects and debt projects were prepared for participants to complete each suited format. With regards to the debt project formats, the participants seemed to have a better understanding

⁹ Some misprints were found in the PIP budget request format I-4, I-6, II-1, II-2, II-3, II-6, and II-7. The revised formats were given immediately after the Training to all the target organizations.

compared to previous training sessions. This was because the format was updated based on the participants' opinions.

2) Project Assessment

This component was generally well-understood by officials related to PIP management, because it has been continuously disseminated through past training sessions since PCAP1 first developed SPAS. Therefore, a meta-evaluation session was introduced for the first time in this training course. Meta-evaluation is aimed at evaluating the assessment report and the process itself, to ensure that proper assessment is conducted. In the beginning, it was difficult for the participants to understand the meta-evaluation concept due to the complexity of the method and the relatively poor explanations by the trainers. However, based on the meta-evaluation results, the DPI officials from all 16 provinces and Vientiane Capital successfully drew lessons for better assessment in the coming year. The table below shows a sample lesson learned.

Action Plan for Assessment in the Next Year by the Participants (Example)

| Strength and Weakness of the Assessment This Year (Based on the Meta-evaluation Results) | | Action Plan for Assessment Next Year |
|--|---|--|
| Strengths | Weaknesses | |
| <ul style="list-style-type: none"> ➤ Overall, assessors understand the assessment method. ➤ Assessors conducted the assessment properly by carefully studying the project reports. ➤ Assessors completed the assessment within the time frame. ➤ Assessors properly gave feedback on the assessment results to the project owners. | <ul style="list-style-type: none"> ➤ Sometimes the score was not given properly based on the criteria. ➤ Sometimes assessors' comments on the assessment results were not logical. ➤ Sometimes assessors conducted assessment without carefully studying the contents of the projects based on the project reports | <ul style="list-style-type: none"> ➤ The DPI will conduct training on assessment for both sector departments and DPI officials. ➤ The DPI will coordinate and communicate with project owners to deepen an understanding on the contents of the projects. ➤ The DPI will carry out further study, especially on the criteria scoring low. |

3) Project Assessment using SPAS

For ministries and central government organizations, project assessment and the utilization of SPAS have not yet become fully established as a common method. Therefore, the main points of the "Project Assessment through SPAS" were stressed both in the lecture and exercises during the TOT. The results show that as a whole the level of understanding on the five assessment criteria by the participants was high. The results also showed the ability of the participants to conduct assessments through SPAS. However, the management class and leaders also need to understand the importance of assessment as well as its workflow in order for the participants to conduct assessments in their duties.

(5) ODA-National Contribution Budget Management

Since this topic is relatively new, there were many questions related to the workflow for ODA-NCB requests and methods of completing the Simplified Project Information Sheet (SPIS). The lecturers were able to respond to these questions, which helped participants to gain a better understanding of this area.

The training contents were user-friendly. Thus they can be utilized in future training and as references. However, users are becoming confused about which format is appropriate in their respective case, due to the variation of its types. It is necessary to have charts and instructions on handbooks, in order to guide users to the suitable format depending on their situation and request status.

(6) District-Level PIP Management

This topic is also relatively new. Therefore the participants raised many questions. The lecturers explained the various potential routes for PIP budget requests from district levels. Many participants had difficulty in understanding the difference between Kum-ban¹⁰ development and district development. Since the government is still studying the direction for future district development through poverty reduction and rural development measures, the specific process for PIP budget requests must be in line with these developments.

(7) Sector Program and Comparative Assessment

This topic aimed to link the comparative assessment procedure with the provincial and sector development plans under the new National Socio-Economic Development Plan 2011-2015. The Program Objective Tree (POT), a tool developed by the Project, was utilized to find the criteria for PIP project selection in the comparative assessment workshop procedures. Many participants were familiar with both comparative assessment and the POT tool through past training sessions. Thus the combined exercises in this training program went smoothly.

Further consideration is needed on whether type 1 and type 2 PIP projects (where the MPI has the authority of assessment) should be included in the comparative assessment workshop hosted by the DPI.

¹⁰ Kum-ban: Clusters of villages designated as focal development zones. There are a total of 213 Kum-bans nationwide, and more are expected to be formed.

3. Expected Achievement of Outputs

3.1 [Output 1]Acquiring and establishing skills (Training/OJT)

| |
|---|
| [Output 1] DPI officials of all the provinces and planning department officials of all the ministries and other relevant organizations attain basic and overall PIP management knowledge and skills. |
| [Indicators] 1) More than 5 DPI members of staff in each province are capable of managing PIP projects in accordance with the existing manual(s) and handbook(s). 2) More than 5 planning department officials in each ministry or other relevant government organization are capable of managing the PIP in accordance with the existing manual(s) and handbook(s). |

Activities related to Output 1 have proceeded smoothly up to the present, and it is expected to be achieved by the completion of the Project. This year, in total, 66 directors, deputy directors, division heads, deputy division heads, and officials, from 16 provinces and Vientiane Capital DPI, successfully completed the “PIP Process & Financial Management Seminar.”

After the seminar, 103 officials from 16 provinces and Vientiane Capital DPI and 35 officials from eight central government ministries successfully completed the “PIP Management Training for Provincial DPI and Ministry Planning Department Officials (TOT: Training of Trainers).” Notably, for the first time in the project, in total 102 DPI officials from 16 provinces and the Vientiane Capital could confidently explain each PIP management method to a total of 811 participants or project owners through the “PIP Management Training for Provincial Project Owners.” This is considered a positive step for provincial DPI in playing a central role in managing the PIP in their respective provinces.

To fully achieve Output 1, the Project will keep conducting OJT in February and March 2011 and support provincial DPI, ministry planning departments and project owners in utilizing knowledge and methods gained through a series of training sessions in their day-to-day work of PIP management.

3.2 [Output 2] PIP Budget and Financial Management

| |
|---|
| [Output 2] Fiscal discipline is introduced and institutionalized in PIP management. |
| [Indicators] <ol style="list-style-type: none">1) The project manual and handbooks are upgraded or developed so as to cover PIP budget planning and management. The manual(s) and handbooks are approved and distributed to all relevant government organizations.2) More than 20 MPI officials and more than 5 planning department officials in each province, ministry and other relevant government organizations are capable of both managing the PIP in accordance with the manual(s) and handbooks that are developed or upgraded and training relevant provincial and district officials.3) The MPI and the DPI develop and establish the process of estimating budgets, limiting the amount of domestically funded PIP projects and ODA projects within the annual budget ceiling, and planning the budget execution schedule according to the estimation and the ceiling. |

Activities related to Output 2 are progressing smoothly, and provincial DPI officials now understand how to use PIP financial management tools. However, this does not necessarily mean that provinces are going to use the financial management tools for the PIP budget formulation process in the fiscal year 2011-12 and improve their financial status. This is mainly because implementation of the PIP financial management tools in the budget formulation are either not officially authorized or instructed from the MPI to provincial DPIs. Whether Output 2 will achieve its target depends on the institutionalization of the PIP financial management, through the incorporation of the topic in the Prime Minister's Decree on the implementation of the Public Investment Law.

In the Seminar, some province officials were concerned about the control of the budget for new projects, and they mentioned that provinces may not be able to achieve their development goals because of a possible decrease in allocations for such projects. These concerns may trigger high allocation to new projects; therefore in order to utilize the PIP financial management tools and limit the amount allocated, proper guidelines by the MPI to provinces in the PIP budget formulation process are essential.

When guidelines or instructions are issued by the MPI to provincial DPIs, it is expected that provincial DPIs and relevant departments in the MPI officially begin using the PIP financial management tools to improve their financial status, e.g., by avoiding the increase in due amounts and payment duration.

3.3 [Output 3] Public Investment Law Advisory Support

| |
|---|
| [Output 3] A legal framework of effective and efficient PIP management is developed and strengthened. |
| [Indicators] 1) A PIP management law and relevant specific decrees have been drafted, submitted and approved by the National Assembly. 2) A PIP management law and any relevant decrees specify responsible organizations and legal procedures for reviewing, changing, suspending, and discontinuing PIP projects including ODA projects, and penalizing relevant organizations and contractors. 3) The PIP management law and relevant decrees authorize manuals and handbooks, which are developed and upgraded in the Project, as a standard PIP management tool to be disseminated nationwide. |

This Output is expected to achieve its target by the completion of the project. The Public Investment Law was approved in the National Assembly in November 2009, and was made effective from December 2009. A booklet of the Law was printed and distributed to all participants of the Seminar and the training programs.

Formulation of a Prime Minister's Decree for implementation of the Law is now under way, and is expected to be approved by May 2011. The Project will discuss this with the formulation committee in the MPI so that the manuals and handbooks will stay relevant.

3.4 [Output 4] Activities for the Improvement of PIP Management Methods

| |
|--|
| [Output 4] MPI officials, DPI officials of all the provinces and planning department officials of the ministries upgrade PIP management knowledge and skills of ODA counterpart fund management, district-level PIP management, and sector program management. |
| [Indicators] 1) The Project Manual and handbooks are upgraded or developed so as to cover ODA counterpart fund management and district PIP management. The Manual and handbooks are approved and distributed to all relevant government personnel. 2) The Program Manual is upgraded, approved and distributed to all government personnel related to the PIP management. 3) More than 20 MPI officials and more than 5 planning department officials in each province, ministry and relevant government organization are capable of both managing the PIP in accordance with the manuals and handbooks that are newly developed or upgraded and the training of relevant provincial and district officials. |

Three components, i.e., ODA-NCR management, district-level PIP management, and program management, were to be respectively developed and established to meet the target for Output 4. The three components were developed and successfully introduced in the last series of training programs. The Project will further monitor the results of the annual PIP budget formulation procedure for the fiscal year 2011-2012, and validate the methods and tools for reflection in the final version of the

handbooks that are respectively designed for organizations related to PIP management.

(1) [Output 4-1] ODA Counterpart Fund Management

Achievements of Output 4-1

| Indicators | Achievements | | | | | | | | | | |
|---|--|------------------|-----------------------------|-------------|-----|--------------------|----|-----------------------------|-----|-------|-----|
| <p>4-1 The Project Manual and handbooks are upgraded or developed so as to cover ODA counterpart fund management. The Manual and handbooks are approved and distributed to all relevant government personnel.</p> | <ol style="list-style-type: none"> 1) ODA-NCB workflow, SPIS format and the revised comparative assessment workflow, which reflects issues of ODA counterpart fund management, were developed, and proposed to the MPI-DIC. 2) Manuals have been revised but handbooks are not yet finalized. 3) Manuals are being distributed to the relevant government personnel that received the training course implemented in November-December 2010. 4) Training materials of the contents related to ODA-NCB management were developed. | | | | | | | | | | |
| <p>4-3 More than 20 MPI officials and more than 5 planning department officials in each province, ministry and other relevant government organization are capable of both managing the PIP in accordance with the Manual and handbook(s) that are newly developed or upgraded and the training of relevant provincial and district officials.</p> | <ol style="list-style-type: none"> 1) As of the end of January 2011, the training has been completed. The number of officials trained in the training programs is listed in the table below. 2) The manual and training materials have been upgraded with this sub-component. 3) The capability will be evaluated through monitoring the annual PIP budget formulation process of the fiscal year 2011-2012. <p style="text-align: center;"><u>Numbers of trainees through the training program 2010-2011</u></p> <table border="1" data-bbox="715 1211 1369 1368"> <thead> <tr> <th data-bbox="715 1211 1038 1247">Training Program</th> <th data-bbox="1043 1211 1369 1247">Number of officials trained</th> </tr> </thead> <tbody> <tr> <td data-bbox="715 1247 1038 1283">TOT for DPI</td> <td data-bbox="1043 1247 1369 1283">103</td> </tr> <tr> <td data-bbox="715 1283 1038 1319">TOT for ministries</td> <td data-bbox="1043 1283 1369 1319">35</td> </tr> <tr> <td data-bbox="715 1319 1038 1355">Project Owners in provinces</td> <td data-bbox="1043 1319 1369 1355">811</td> </tr> <tr> <td data-bbox="715 1355 1038 1368">Total</td> <td data-bbox="1043 1355 1369 1368">949</td> </tr> </tbody> </table> | Training Program | Number of officials trained | TOT for DPI | 103 | TOT for ministries | 35 | Project Owners in provinces | 811 | Total | 949 |
| Training Program | Number of officials trained | | | | | | | | | | |
| TOT for DPI | 103 | | | | | | | | | | |
| TOT for ministries | 35 | | | | | | | | | | |
| Project Owners in provinces | 811 | | | | | | | | | | |
| Total | 949 | | | | | | | | | | |

As mentioned in the table above, the achievement level for this component is high, and is expected to reach its targets by the completion of the Project. The tasks remaining are to develop the final version of the handbooks, and to monitor the ongoing annual PIP budget formulation procedures to check whether ODA-NCB is appropriately requested through the SPIS format.

(2) [Output 4-2] District-Level PIP Management

Achievements of Output 4-2

| Indicators | Achievements | | | | | | | | |
|--|---|------------------|-----------------------------|-------------|-----|-----------------------------|-----|-------|-----|
| <p>4-1 The Project Manual and handbooks are upgraded or developed so as to cover District-level PIP management. The Manual and handbooks are approved and distributed to all relevant government personnel.</p> | <p>New PIP project proposal and assessment formats were developed for district-level PIP management, and were reflected in the Project Manual along with the introduction of various routes and resources for district-level project applications, including domestic and donor funds for rural development and poverty reduction.</p> <p>In the training course, discussions took place among provincial officers on how to support districts in PIP management, as part of the training. Various routes for PIP project applications in the specific areas were also discussed, providing opportunities to study the characteristics of the districts within each province.</p> | | | | | | | | |
| <p>4-3 More than 20 MPI officials and more than 5 planning department officials in each province, ministry and other relevant government organizations are capable of both managing the PIP in accordance with the Manual and handbooks that are newly developed or upgraded and the training of relevant provincial and district officials.</p> | <p>1) As of the end of January 2011, the training has been completed. The number of officials trained in the training programs is listed in the table below.</p> <p>2) The manual and training materials have been upgraded with this sub-component.</p> <p style="text-align: center;"><u>Numbers of trainees through the training program 2010-2011</u></p> <table border="1" data-bbox="719 1048 1362 1178"> <thead> <tr> <th data-bbox="719 1048 1038 1084">Training Program</th> <th data-bbox="1038 1048 1362 1084">Number of officials trained</th> </tr> </thead> <tbody> <tr> <td data-bbox="719 1084 1038 1115">TOT for DPI</td> <td data-bbox="1038 1084 1362 1115">103</td> </tr> <tr> <td data-bbox="719 1115 1038 1146">Project Owners in provinces</td> <td data-bbox="1038 1115 1362 1146">811</td> </tr> <tr> <td data-bbox="719 1146 1038 1178">Total</td> <td data-bbox="1038 1146 1362 1178">914</td> </tr> </tbody> </table> | Training Program | Number of officials trained | TOT for DPI | 103 | Project Owners in provinces | 811 | Total | 914 |
| Training Program | Number of officials trained | | | | | | | | |
| TOT for DPI | 103 | | | | | | | | |
| Project Owners in provinces | 811 | | | | | | | | |
| Total | 914 | | | | | | | | |

As mentioned in the table above, the achievement level for this component is also high, and is expected to reach its targets by the completion of the Project. The task remaining is to monitor the ongoing annual PIP budget formulation procedure to check whether the new district-PIP budget request formats are properly utilized through the appropriate budget route. New formats for project proposals and assessments need to be studied with other donor projects for effective use in the field.

(3) [Output 4-3] Sector Program Management

Achievements of Output 4-3

| Indicators | Achievements | | | | | | | | | | |
|---|---|------------------|-----------------------------|-------------|-----|--------------------|----|-----------------------------|-----|-------|-----|
| 4-2 The Program Manual is upgraded, approved and distributed to all government personnel related to PIP management. | Program Manuals were revised by including cases of program tools and challenges on sector program management. | | | | | | | | | | |
| 4-3 More than 20 MPI officials and more than 5 planning department officials in each province, ministry and other relevant government organization are capable of both managing the PIP in accordance with the Manual and handbooks that are newly developed or upgraded. The training of relevant provincial and district officials takes place. | <p>1) As of the end of January 2011, the training has been completed. The number of officials trained in the training programs is listed in the table below.</p> <p>2) The manual and training materials have been upgraded with this sub-component.</p> <p>3) The capability will be evaluated through monitoring the annual PIP budget formulation process of the fiscal year 2011-2012.</p> <p style="text-align: center;"><u>Numbers of trainees through the training program 2010-2011</u></p> <table border="1" data-bbox="719 824 1362 992"> <thead> <tr> <th data-bbox="719 824 1038 857">Training Program</th> <th data-bbox="1038 824 1362 857">Number of officials trained</th> </tr> </thead> <tbody> <tr> <td data-bbox="719 857 1038 891">TOT for DPI</td> <td data-bbox="1038 857 1362 891">103</td> </tr> <tr> <td data-bbox="719 891 1038 925">TOT for ministries</td> <td data-bbox="1038 891 1362 925">35</td> </tr> <tr> <td data-bbox="719 925 1038 958">Project Owners in provinces</td> <td data-bbox="1038 925 1362 958">811</td> </tr> <tr> <td data-bbox="719 958 1038 992">Total</td> <td data-bbox="1038 958 1362 992">949</td> </tr> </tbody> </table> | Training Program | Number of officials trained | TOT for DPI | 103 | TOT for ministries | 35 | Project Owners in provinces | 811 | Total | 949 |
| Training Program | Number of officials trained | | | | | | | | | | |
| TOT for DPI | 103 | | | | | | | | | | |
| TOT for ministries | 35 | | | | | | | | | | |
| Project Owners in provinces | 811 | | | | | | | | | | |
| Total | 949 | | | | | | | | | | |

As mentioned in the table above, the achievement level for this component is high, and is expected to reach its targets by the completion of the Project. The approach of combining POT into the comparative assessment procedure proved successful through the training program exercises, and is expected to be utilized in the actual procedure. The remaining task is to monitor the ongoing annual PIP budget formulation procedure to check whether this approach is functioning correctly.

4 Progress towards Achieving the Project Purpose

It is safe to say that the Project is progressing towards achieving the Project Purpose: the *MPI and the DPI process PIP projects through a new assessment procedure introduced by the Project within a strict budget ceiling, and the conducting of monitoring and evaluation*. The four outputs are all progressing smoothly, and are expected to achieve their targets. The achievement of the Project Purpose will be determined through the performance of the MPI, the DPI, planning departments and Projects Owners, accomplishing their roles in the preparation of the annual PIP budget for the fiscal year 2011-2012. Therefore, the Project will monitor closely this progress.

[Objectively Verifiable Indicators for the Project Purpose]

- ✧ The combined percentage of both the domestically funded PIP projects and the counterpart fund portion of ODA projects, which are assessed, monitored, and evaluated within the annual budget ceiling with a specific budget execution schedule, increases to 100% by the end of PCAP2.
- ✧ Reports for every domestically funded PIP project at each stage (planning/appraisal, monitoring and evaluation) are improved.
- ✧ The MPI and the DPI set and implement a budget ceiling at both the central and provincial levels with the MOF and the DOF.
- ✧ The amount and ratio of debts in annual PIP budgets decrease.
- ✧ The MPI and sector ministries develop sector programs with specific annual and regional targets, and develop the distribution of domestically funded PIP projects and ODA projects.

5 Impact

The Overall Goal; *Sector ministries and provincial sector departments effectively and efficiently implement PIP projects on schedule and in accordance with planned budget execution under an upgraded sector program*, needs to be measured only when the project effect can be seen after its completion. Therefore, it is not possible to determine the achievement level at present. However, some signs of positive effects can be seen through the results of activities conducted by the Project.

[Objectively Verifiable Indicators for the Overall Goal]

- ✧ An increased number and ratio of domestically funded PIP projects and ODA projects that are completed as initially scheduled.
- ✧ An increased number and ratio of domestically funded PIP projects and ODA projects are utilized and operated as originally planned.
- ✧ In sectors and provinces, target indicators are utilized for PIP project selection criteria.

6 Activities toward the Completion of the Project

The following activities are further planned before the completion of the Project in August 2011.

| Activity | Specific Activity Plan | Relation with Outputs |
|---|--|---|
| OJT | <ul style="list-style-type: none"> The OJT will be conducted with the objective of monitoring and following up on the annual PIP budget procedure for the fiscal year 2011-2012. Eight ministries will be covered in February 2011. 16 provinces and Vientiane Capital will be covered in March 2011. | <ul style="list-style-type: none"> Related to all Outputs. Directly related to Output 1 as part of the training. Outputs of the OJT are used for measuring the achievement of the Project Purpose, and monitoring the level of application for methods and tools developed within the Project. |
| Development of the final version of the handbooks | <ul style="list-style-type: none"> The drafted handbooks developed in the third year of the Project will be revised. This will be the final version. This final version will be more user-friendly, by incorporating diagrams and charts used in the training. | <ul style="list-style-type: none"> Closely related to Outputs 2 and 4. |
| Third Country Training to Malaysia | <ul style="list-style-type: none"> Currently discussing schedule with the Malaysian side. To be held in April 2011. It is planned to obtain knowledge and information on the public investment plan, its budget process and monitoring and evaluation system in Malaysia. | <ul style="list-style-type: none"> Related to all outputs. Also relates to the sustainability of the project results and the future capacity development required. |
| Terminal Evaluation | <ul style="list-style-type: none"> Terminal evaluation delegation expected in May 2011. | <ul style="list-style-type: none"> Joint study of the achievement levels of outputs and the Project Purpose. |
| PCAP2 Wrap-Up Seminar | <ul style="list-style-type: none"> This Seminar is planned for August 2011 before the completion of the project. Expected to invite GOL officials and donors. Presentation to be made on the achievement of the Project and the future prospects of PIP management. | <ul style="list-style-type: none"> Presentation of the achievement of the Project to GOL and donors. |

Although all the output targets are expected to be achieved by the end of the Project, some important activities must be done to ensure that the Project Purpose is achieved. From this viewpoint, measuring the performance level of the annual PIP budget formulation procedure for the fiscal year 2011-2012, which will be conducted during the OJT, is a vital upcoming activity.

7 Other Topics

[Observation of Training Program by Japan Overseas Cooperation Volunteers]

The two JOCV members, who have attended previous PCAP2 training sessions, have attended all three components of the training program conducted this year.

They have also had an opportunity to visit the Provincial Training conducted in provinces other than their own. Mr. Iizuka, the JOCV member dispatched to Khammuan Province, visited Saravan and Xekong provinces, while Mr. Nishimura, dispatched to Saravan Province, visited Xekong and Attapeu provinces. The following chart indicates the comments on the Provincial Training, obtained from the two JOCV members.

JOCV Members' Comments on Provincial Training

| Topic | Mr. Iizuka, Khammuan DPI | Mr. Nishimura, Saravan DPI |
|---|--|--|
| Observation of the Provincial Training conducted in their own provinces | <ul style="list-style-type: none"> • It was a pleasant surprise to see non-management staff levels contributing to the training through lectures and exercises. • Although time management, especially for exercises, was an issue, the DPI staff consulted well with the MPI to make adjustments. • With more experience with the initiative of the DPI, further improvements can be expected in the management of the training. | <ul style="list-style-type: none"> • Lecturers were well prepared. They created practice opportunities by conducting internal training. • Understanding of some training topics was incomplete (PIP financial management). • The duration of two days seemed sufficient. • Lectures were voluntarily responding to participant groups during exercise sessions. • The venue was too large, which dampened the concentration of the participants at times. • Only a few DPI staff participated. Some who participated were talking in the venue during the lecture. |
| Observation of the Provincial Training conducted in other provinces | <p>[Saravan & Xekong]</p> <ul style="list-style-type: none"> • Both provinces had trouble managing time for exercises. The MPI provided support on the adjustment to ensure that all topics were covered in the training. • Understanding of the training contents by the participants in Saravan Provinces seemed relatively high. • The performance of young DPI staff in Xekong seemed effective. | <p>[Xekong and Attapeu]</p> <ul style="list-style-type: none"> • Young DPI staff performed well. The management staff was backed up by the young staff, creating a good balance of training management. • Facilitation methods during exercises needed improvement. • Female lecturers and facilitators were active in Xekong. • In Attapeu, active lectures were made by exchanging comments during the session. |

| | | |
|---|--|---|
| <p>Comparison of training in own and other province</p> | <ul style="list-style-type: none"> • Our DPI was positive in a sense of ownership to the training. • All district officials were invited to our training, whereas only few were invited in other provinces. • However, the exercise style and facilitation needed improvement when compared to other provinces. | <ul style="list-style-type: none"> • Communication between the DPI and participants were active in our province. • However, the younger generation staff in the DPI was more active in other provinces. • Measures to attract participants during lectures needed improvement in our province. |
| <p>Objective evaluation of the training program</p> | <ul style="list-style-type: none"> • Ownership by the DPI was seen throughout the training; from preparation through to implementation. • Leadership potential was seen from the DPI. • Active communication was seen between the DPI and the participants. • Contents of the training were relevant in a sense that proper PIP projects were selected in the budget formulation process. • It seems liable for DPI to plan and manage its own training sessions. | <ul style="list-style-type: none"> • The DPI was managing the training without dependency on the MPI. • It seems that the DPI is now capable of conducting its own training. • It seems ideal that the DPI plan its own training programs in the future. |

[Appendices]

Appendix 1

Training Course Description: PIP Management Training for Provincial DPI Officials

Appendix 2

Training Course Description: PIP Management Training for Ministry Planning
Department Officials

Training Course Description

| Course Outline | | |
|-----------------------------|--|---|
| Course Name | PIP Management Training for Provincial DPI Officials | |
| Number of Conduction | The same training course will be conducted three times | |
| Date | In November 2010; 1) 1st round from Nov 8-12, 2) 2nd round from Nov 15-19, and 3) 3rd round from Nov 22-26 | |
| Duration | 5 working days per round | |
| Target | Target Organization | DPI of the Vientiane Capital and 16 provinces as; - 1st round for the Vientiane Capital and the 4 central provinces (30 officials in total), - 2nd round for the 4 northern provinces and 2 southern provinces (36 officials in total), - 3rd round for the 4 northern provinces and 2 southern provinces (36 officials in total) |
| | Target Officials | 102 officials in total (6 officials per the Vientiane Capital/province as); - 2 officials from the Planning Division (Head or Deputy Head and 1 official), - 2 officials from the Evaluation Division (Head or Deputy Head and 1 official), and - 2 officials from the International Cooperation Division (Head or Deputy Head and 1 official) |
| Venue | Vientiane Capital (MPI Training Center) | |
| Trainer | Trainer | Minimum 7 MPI officials (DOE, DOP, and DIC) per each round |
| | Coordinator | About 1-2 MPI coordinators (DOE, and DOOP) per each round |
| | Assistant/Adviso | PCAP2 local consultants and Japanese experts |

| Course Goal, Objectives, and Contents | | |
|---|--|--|
| Goal | DPI officials acquire practical knowledge and skills in PIP management | |
| Course Objectives | 1) DPI officials understand annual PIP budget request procedure and how to use each management method 2) DPI officials explain each management method to project owners and district officials 3) DPI officials propose annual PIP budget direction, proceeding schedule and budget outline to the director of DPI | |
| Course Unit Objectives (After the training, DPI officials will be...) | 1 | Public Investment Law Become aware of the importance and application of Public Investment Law |
| | 2 | Annual PIP Budget Request Procedure 1) Able to explain annual PIP budget request procedure, including key schedules and responsibilities of each stakeholder 2) Able to develop schedule for annual PIP budget request procedure and inform sector departments |
| | 3 | PIP Financial Management 1) Able to explain why PIP financial management is important 2) Able to understand how to use the key indicators of PIP financial management |
| | 4 | Project Request 1) Able to explain work flow of annual project budget request 2) Able to explain how to prepare and submit progress reports and debt payment reports |
| | 5 | ODA-NCB Management 1) Able to explain work flow of annual ODA-NCB request through SPIS 2) Able to explain how to prepare and submit SPIS |
| | 6 | Project Assessment Process Able to understand work flow of project screening, assessment, and compilation of the results |
| | 7 | Meta-evaluation Able to draw lessons learned for improving project assessment in quality and quantity for the next year from the meta-evaluation results |
| | 8 | Compass with POT 1) Able to explain work flow of Compass 2) Able to explain how to conduct Compass with POT perspective |
| | 9 | PIP Management at District Level 1) Able to explain various routes and their characteristics at the district level 2) Able to explain how to prepare and submit project request reports at the district level |
| Outputs | 1) Draft of annual PIP budget direction of each province 2) Draft of annual PIP budget proceeding schedule of each province 3) Draft of annual PIP budget outline of each province | |
| Materials | See the trainer's guide of each course unit | |
| Evaluation Methods | 1) Result of a pre-test and post-test, 2) Result of TOT and group exercise, 3) Quality of above-mentioned outputs, 4) General observation, and 5) Result of a training evaluation questionnaire | |

PIP Management Training for Provincial DPI Officials in November-December 2010

TIME TABLE

| Date | Time | Duration | Course Unit | Contents |
|------|---------------|----------|--|---|
| Day1 | 8:15 - 8:30 | (0:15) | | Reception |
| | 8:30 - 8:50 | (0:20) | | Opening Ceremony |
| | 8:50 - 9:20 | (0:30) | | Introduction to the Training |
| | 9:20 - 10:00 | (0:40) | | Pre-test |
| | 10:00 - 10:15 | (0:15) | | Coffee Break |
| | 10:15 - 10:40 | (0:25) | 1 <i>Public Investment Law</i> | Public Investment Law |
| | 10:40 - 11:30 | (0:50) | | Introduction to TOT |
| | 11:30 - 12:00 | (0:30) | 2 <i>Annual PIP Budget Request Procedure</i> | PIP Budget Direction and Annual PIP Budget Request Procedure (includes work flow, responsibilities and schedule) |
| | 12:00 - 13:00 | (1:00) | | Lunch Break |
| | 13:00 - 13:45 | (0:45) | 2 <i>Annual PIP Budget Request Procedure</i> | <TOT 1: Unit 2> PIP Budget Direction and Annual PIP Budget Request Procedure (includes work flow, responsibilities and schedule) |
| | 13:45 - 14:30 | (0:45) | 3 <i>PIP Financial Management</i> | PIP Financial Management |
| | 14:30 - 14:45 | (0:15) | | Coffee Break |
| | 14:45 - 15:45 | (1:00) | 3 <i>PIP Financial Management</i> | (continue) |
| | 15:45 - 16:00 | (0:15) | | Q&A and Wrap Up of the Day |
| Day2 | 8:15 - 8:30 | (0:15) | | Reception |
| | 8:30 - 8:45 | (0:15) | | Review of the Previous Day |
| | 8:45 - 9:30 | (0:45) | 4 <i>Project Request</i> | [Part 1] Annual Project Budget Request (work flow, responsibilities and schedule) |
| | 9:30 - 10:30 | (1:00) | | [Part 2] Tips for Preparing Progress Report and Debt Payment Report |
| | 10:30 - 10:45 | (0:15) | | Coffee Break |
| | 10:45 - 12:00 | (1:15) | 4 <i>Project Request</i> | < TOT 2: Unit 4 > [Part 1] Annual Project Budget Request (work flow, responsibilities and schedule) [Part 2] Tips for Preparing Progress Report and Debt Payment Report |
| | 12:00 - 13:00 | (1:00) | | Lunch Break |
| | 13:00 - 13:30 | (0:30) | 4 <i>Project Request</i> | (continue) |
| | 13:30 - 14:15 | (0:45) | 5 <i>ODA-NCB Management</i> | 1) Annual ODA-NCB Request through SPIS (work flow, responsibilities and schedule) |
| | 14:15 - 14:30 | (0:15) | | Coffee Break |
| | 14:30 - 15:45 | (1:15) | 5 <i>ODA-NCB Management</i> | 2) Tips for Preparing SPIS |
| | 15:45 - 16:00 | (0:15) | | Q&A and Wrap Up of the Day |

| Date | Time | Duratio | Course Unit | Contents | |
|---------------|-------------|---------------|-------------|---|--|
| Day3 | 8:15 - 8:30 | (0:15) | | Reception | |
| | 8:30 - 8:45 | (0:15) | | Review of the Previous Day | |
| | AM | 8:45 - 10:15 | (1:30) | 5 <i>ODA-NCB Management</i> | < TOT 3: Unit 5 > 1) Annual ODA-NCB Request through SPIS (work flow, responsibilities and schedule) 2) Tips for Preparing SPIS |
| | | 10:15 - 10:30 | (0:15) | | Coffee Break |
| | | 10:30 - 11:00 | (0:30) | 5 <i>ODA-NCB Management</i> | (continue) |
| | | 11:00 - 11:30 | (0:30) | 6 <i>Project Assessment Process</i> | Project Screening, Assessment, and Compilation of the Assessment Results (work flow, responsibilities and schedule) |
| | | 11:30 - 12:00 | (0:30) | | Feedback of the Assessment Ratio and results |
| | | 12:00 - 13:00 | (1:00) | | Lunch Break |
| | PM | 13:00 - 13:30 | (0:30) | 7 <i>Meta-evaluation</i> | Introduction to Meta-evaluation |
| | | 13:30 - 14:30 | (1:00) | | < EXERCISE > Meta-evaluation |
| | | 14:30 - 14:45 | (0:15) | | Coffee Break |
| | | 14:45 - 15:45 | (1:00) | 7 <i>Meta-evaluation</i> | (continue) |
| 15:45 - 16:00 | | (0:15) | | Q&A and Wrap Up of the Day | |
| Day4 | | 8:15 - 8:30 | (0:15) | | Reception |
| | 8:30 - 8:45 | (0:15) | | Review of the Previous Day | |
| | AM | 8:45 - 9:45 | (1:00) | 7 <i>Meta-evaluation</i> | < EXERCISE > Group Presentation of Meta-evaluation Results and Comments from MPI |
| | | 9:45 - 10:15 | (0:30) | 8 <i>Compass with POT</i> | 1) Compass with POT perspective (work flow, responsibilities and schedule) |
| | | 10:15 - 10:30 | (0:15) | | Coffee Break |
| | | 10:30 - 11:00 | (0:30) | 8 <i>Compass with POT</i> | 2) Facilitation Skills for Conducting Compass with POT perspective |
| | | 11:00 - 12:00 | (1:00) | | < TOT 4: Unit 8 > Conduction of Simulation of Compass Workshop |
| | | 12:00 - 13:00 | (1:00) | | Lunch Break |
| | PM | 13:00 - 14:00 | (1:00) | 9 <i>PIP Management at District Level</i> | 1) Various Rotes and their Characteristics at the District Level 2) Tips for Preparing Project Request Reports at the District Level |
| | | 14:00 - 14:30 | (0:30) | | < TOT 5: Unit 9 > 1) Various Rotes and their Characteristics at the District Level 2) Tips for Preparing Project Request Reports at the District Level |
| | | 14:30 - 14:45 | (0:15) | | Coffee Break |
| | | 14:45 - 15:45 | (1:00) | 9 <i>PIP Management at District Level</i> | (continue) |
| 15:45 - 16:00 | | (0:15) | | Q&A and Wrap Up of the Day | |
| Day5 | | 8:15 - 8:30 | (0:15) | | Reception |
| | 8:30 - 8:45 | (0:15) | | Review of the Previous Day | |
| | AM | 8:45 - 9:45 | (1:00) | 2 and 3 | < EXERCISE > Schedule for Annual PIP Budget Request Procedure and Announcement to Sector Departments |
| | | 9:45 - 10:30 | (0:45) | | Presentation of the above exercise and modification of the schedule sheet |
| | | 10:30 - 10:45 | (0:15) | | Coffee Break |
| | | 10:45 - 11:45 | (1:00) | 2 and 3 | < TOT 6: Announcement to Sector Departments > [Part II] Announcement of PIP Budget Direction, Budget Outline, and Budget Proceeding Schedule of the Province by DPI to Sector Departments |
| | | 11:45 - 12:00 | (0:15) | | MPI's Comprehensive Comments on TOI |
| | | 12:00 - 13:00 | (1:00) | | Lunch Break |
| | PM | 13:00 - 13:30 | (0:30) | | < Preparation of the Training by DPI to PO > Preparation and confirmation of the Training by DPI to PO |
| | | 13:30 - 14:05 | (0:35) | | Post-test |
| | | 14:05 - 15:00 | (0:55) | | Answer to the Post-test and Comments from MPI |
| | | 15:00 - 15:15 | (0:15) | | Coffee Break |
| 15:15 - 15:30 | | (0:15) | | Fill-in Training Evaluation Questionnaire | |
| 15:30 - 16:00 | | (0:30) | | Closing Ceremony and Certificate Award | |

Training Course Description

| Course Outline | | |
|-----------------------------|---|--|
| Course Name | PIP Management Training for Ministry Planning Department Officials | |
| Number of Conduction | The training course will be conducted one time only | |
| Date | From Nov 29 to Dec 3, 2010 (Except Dec 2nd, national holiday) | |
| Duration | 4 working days | |
| Target | Target Organization | Planning department of the 8 main line ministries (MOAF, MPWT, MIC, MOEM, MOE, MOH, MOIC, MOSW) |
| | Target Officials | 40 officials in total (5 officials per ministry as;) - 1 official from the Planning Division (Head) - 2 officials from the Evaluation Division (Head and 1 official), and - 2 officials from the International Cooperation Division (Head and 1 official) |
| Venue | Vientiane Capital (MPI Training Center) | |
| Trainer | Trainer | Minimum 7 MPI officials (DOE, DOP, and DIC) |
| | Coordinator | About 1-2 MPI coordinators (DOE, and DOOP) |
| | Assistant/Advisor | PCAP2 local consultants and Japanese experts |

| Course Goal, Objectives, and Contents | | |
|--|--|--|
| Goal | Officials in the Planning Department acquire practical knowledge and skills in PIP management | |
| Course Objectives | 1) Officials in the Planning Department understand annual PIP budget request procedure and how to use each management method 2) Officials in the Planning Department explain each management method to project owners in the respective ministry 3) Officials in the Planning Department propose annual PIP budget direction, proceeding schedule and budget outline to the director of Planning Department in the respective ministry | |
| Course Unit Objectives (After the training, Officials in the Planning Department will be...) | 1 | Public Investment Law Become aware of the importance and application of Public Investment Law |
| | 2 | Annual PIP Budget Request Procedure 1) Able to explain annual PIP budget request procedure, including key schedules and responsibilities of each stakeholder 2) Able to develop schedule for annual PIP budget request procedure and inform sector departments |
| | 3 | PIP Financial Management 1) Able to explain why PIP financial management is important 2) Able to understand how to use the key indicators of PIP financial management |
| | 4 | Project Request 1) Able to explain work flow of annual project budget request 2) Able to explain how to prepare and submit progress reports and debt payment reports |
| | 5 | ODA-NCB Management 1) Able to explain work flow of annual ODA-NCB request through SPIS 2) Able to explain how to prepare and submit SPIS |
| | 6 | Project Assessment Process 1) Able to understand work flow of project screening, assessment, and compilation of the results 2) Able to draw lessons learned for improving project assessment in quantity for the next year from the feedback of assessment ratio |
| | 7 | Project Assessment through SPAS 1) Able to understand five criteria for project assessment 2) Able to assess project through SPAS and submit SPAS results |
| | 8 | Compass with POT 1) Able to explain work flow of Compass 2) Able to explain how to conduct Compass with POT perspective |
| Outputs | 1) Draft of annual PIP budget direction of each ministry 2) Draft of annual PIP budget proceeding schedule of each ministry 3) Draft of annual PIP budget outline of each ministry | |
| Materials | See the trainer's guide of each course unit | |
| Evaluation Methods | 1) Result of a pre-test and post-test, 2) Result of TOT and group exercise, 3) Quality of above-mentioned outputs, 4) General observation, and 5) Result of a training evaluation questionnaire | |

PIP Management Training for Ministry Planning Department Officials

TIME TABLE

| Date | Time | Duration | Course Unit | Contents |
|-----------------|---------------|----------|------------------------------------|---|
| Day1 (11/29) | 8:15 - 8:30 | (0:15) | | Reception |
| | 8:30 - 8:50 | (0:20) | | Opening Ceremony |
| | 8:50 - 9:20 | (0:30) | | Introduction to the Training |
| | 9:20 - 10:00 | (0:40) | | Pre-test |
| | 10:00 - 10:15 | (0:15) | | Coffee Break |
| | 10:15 - 10:40 | (0:25) | 1 <i>Public Investment Law</i> | Public Investment Law |
| | 10:40 - 11:30 | (0:50) | | Introduction to TOT |
| | 11:30 - 12:00 | (0:30) | 2 <i>Annual PIP Budget Request</i> | PIP Budget Direction and Annual PIP Budget Request Procedure (includes work flow, responsibilities and schedule) |
| | 12:00 - 13:00 | (1:00) | | Lunch Break |
| | 13:00 - 13:45 | (0:45) | 2 <i>Annual PIP Budget Request</i> | <TOT 1: Unit 2> PIP Budget Direction and Annual PIP Budget Request Procedure (includes work flow, responsibilities and schedule) |
| | 13:45 - 14:30 | (0:45) | 3 <i>PIP Financial Management</i> | PIP Financial Management |
| | 14:30 - 14:45 | (0:15) | | Coffee Break |
| | 14:45 - 15:45 | (1:00) | 3 <i>PIP Financial Management</i> | (continue) |
| | 15:45 - 16:00 | (0:15) | | Q&A and Wrap Up of the Day |
| Day2 (11/30) | 8:15 - 8:30 | (0:15) | | Reception |
| | 8:30 - 8:45 | (0:15) | | Review of the Previous Day |
| | 8:45 - 9:30 | (0:45) | 4 <i>Project Request</i> | [Part 1] Annual Project Budget Request (work flow, responsibilities and schedule) |
| | 9:30 - 10:30 | (1:00) | | [Part 2] Tips for Preparing Progress Report and Debt Payment Report |
| | 10:30 - 10:45 | (0:15) | | Coffee Break |
| | 10:45 - 12:00 | (1:15) | 4 <i>Project Request</i> | < TOT 2: Unit 4 > [Part 1] Annual Project Budget Request (work flow, responsibilities and schedule) [Part 2] Tips for Preparing Progress Report and Debt Payment Report |
| | 12:00 - 13:00 | (1:00) | | Lunch Break |
| | 13:00 - 13:30 | (0:30) | 4 <i>Project</i> | (continue) |
| | 13:30 - 14:15 | (0:45) | 5 <i>ODA-NCB Management</i> | 1) Annual ODA-NCB Request through SPIS (work flow, responsibilities and schedule) |
| | 14:15 - 14:30 | (0:15) | | Coffee Break |
| | 14:30 - 15:45 | (1:15) | 5 <i>ODA-NCB Management</i> | 2) Tips for Preparing SPIS |
| | 15:45 - 16:00 | (0:15) | | Q&A and Wrap Up of the Day |

| | | | | | | |
|-----------------|---------------|---------------|--------|---------|--|--|
| Day 3 (12/1) | AM | 8:15 - 8:30 | (0:15) | | Reception | |
| | | 8:30 - 8:45 | (0:15) | | Review of the Previous Day | |
| | | 8:45 - 10:15 | (1:30) | 5 | <i>ODA-NCB Management</i> | < TOT 3: Unit 5 > 1) Annual ODA-NCB Request through SPIS (work flow, responsibilities and schedule) 2) Time for Preparing SPIS |
| | | 10:15 - 10:30 | (0:15) | | | Coffee Break |
| | | 10:30 - 11:00 | (0:30) | 5 | <i>ODA-NCB Management</i> | (continue) |
| | | 11:00 - 11:30 | (0:30) | 6 | <i>Project Assessment Process</i> | Project Screening, Assessment, and Compilation of the Assessment Results |
| | | 11:30 - 12:00 | (0:30) | | | Feedback of the Assessment Ratio and results |
| | 12:00 - 13:00 | (1:00) | | | Lunch Break | |
| | PM | 13:00 - 13:30 | (0:30) | 7 | <i>Project Assessment through SPAS</i> | Introduction to Project Assessment through SPAS |
| | | 13:30 - 14:30 | (1:00) | | | < EXERCISE > Project Assessment through SPAS |
| | | 14:30 - 14:45 | (0:15) | | | Coffee Break |
| | | 14:45 - 15:15 | (0:30) | 7 | <i>Project Assessment through SPAS</i> | (continue) |
| | | 15:15 - 15:45 | (0:30) | 7 | <i>Project Assessment through SPAS</i> | < EXERCISE > Group Presentation of SPAS Results and Comments from MPI |
| | | 15:45 - 16:00 | (0:15) | | | Q&A and Wrap Up of the Day |
| 15:15 - 16:00 | | (0:45) | | | Q&A and Wrap Up of the Day | |
| Day 4 (12/3) | AM | 8:15 - 8:30 | (0:15) | | Reception | |
| | | 8:30 - 8:45 | (0:15) | | Review of the Previous Day | |
| | | 8:45 - 9:30 | (0:45) | 8 | <i>Compass with POT</i> | 1) Compass with POT perspective (work flow, responsibilities and schedule) 2) Facilitation Skills for Conducting Compass with POT perspective |
| | | 9:30 - 10:15 | (0:45) | 8 | <i>Compass with POT</i> | < TOT 4: Unit 8 > Conduction of Simulation of Compass Workshon |
| | | 10:15 - 10:30 | (0:15) | | | Coffee Break |
| | | 10:30 - 11:30 | (1:00) | 2 and 3 | | < EXERCISE > Schedule for Annual PIP Budget Request Procedure and Announcement to Sector Departments |
| | | 11:30 - 12:00 | (0:30) | | | Presentation of the above exercise and modification of the schedule sheet |
| | 12:00 - 13:00 | (1:00) | | | Lunch Break | |
| | PM | 13:00 - 13:30 | (0:30) | | | MPI's Comprehensive Comments on TOT |
| | | 13:30 - 14:05 | (0:35) | | | Post-test |
| | | 14:05 - 15:00 | (0:55) | | | Answer to the Post-test and Comments from MPI |
| | | 15:00 - 15:15 | (0:15) | | | Coffee Break |
| | | 15:15 - 15:30 | (0:15) | | | Fill-in Training Evaluation Questionnaire |
| | | 15:30 - 16:00 | (0:30) | | | Closing Ceremony and Certificate Award |
| 15:30 - 16:00 | | (0:30) | | | Closing Ceremony and Certificate Award | |