

Annex 5

Outline of Work Plan for Inception Phase (draft)

During the inception phase the project will mostly focus on three important works as follows;

- 1) Preparation of MAF 5 year and Annual FS 2020 Implementation Plans
- 2) Addressing several urgent policy related Actions and their implementation/enforcement
- 3) Establishment of project working methods and management

1. Preparation of MAF 5 year and Annual FS 2020 Implementation Plans

Scope of work

MAF 5 year IP will be the most important framework for both FS implementation and FSIP and it will require FS Secretariat considerable time and efforts to formulate a draft plan, which is attractive and understandable to stakeholders both national and international so that they are convinced to implement concerned Actions proposed in the plan. This work will also include establishment of monitoring system and development of a set of sector performance indicators, which are under Component 2.

Main activities and players

Main activities are envisaged as follows;

- 1) Selection of Priority Actions and details of their implementation including institutional aspects, timeframe, steps, necessary resources and so on.
- 2) Establishment of monitoring system and development of a set of sector performance indicators.
- 3) Stakeholder consultation
- 4) MAF approval of the plans

FS Secretariat will be responsible for these activities with short term technical assistance for the activity 2).

Main FSIP input

- Technical advice to FS Secretariat
- Short term consultancy for the activity 2)
- Support to workshop for stakeholder consultation

2. Addressing several urgent policy related Actions and their implementation

During the inception phase FSIP will support addressing several outstanding policy issues, which are defined in FS 2020 and needs immediate support from FSIP. Possible Actions to be supported are listed below and most of them will be continued in the full implementation phase;

*Action 1: Preparation of MAF Regulations on control of large scale tree plantation investments
(tentative title)*

Scope of work

In order to deal with increasing investment proposals of large scale tree or agriculture commodity plantations, MAF needs to prepare regulations with focus on selection of plantation sites, conversion of forests and land, disposal of existing trees and vegetation, harmonization with local use and so on.

Main activities and players

Main activities during the inception phase are envisaged as follows;

- 1) MAF decision to prepare the regulations
- 2) Identification of main components of the regulations
- 3) Identification of surveys, studies or field trips necessary for drafting regulation
- 4) Conducting surveys and so on

Technical Division, DOF will be the key player in collaboration with Divisions of Forest Inventory and Planning and Planning and Cooperation. Field survey or studies may need to be carried out by local consultant.

Main FSIP input

- Technical advice to the concerned players
- Support to surveys or studies.

Action 2: Formulation of National Tree Plantation Development Plan

Scope of work

In the MAF 5 year plan for 2006-2010 formulation of this plan is given priority. In the inception phase some preparatory works for the plan formulation will be done and most of actual formulation works will be conducted in the full implementation phase.

Main activities and players

- 1) Establishment of MAF working group
- 2) Preparation of work plan for plan formulation
- 3) Identification of main components of the plan
- 4) Identification of necessary surveys and studies

MAF working group will be the main player.

Main FSIP input

- Technical advice to MAF WG

Action 3: Development of extension materials of rights and duties on land and forest resources at village level

Scope of work

The booklet of this title is for local officers and development projects/programs related to village land/forest use and the extension materials with visual contents, which will be developed based on the booklet, are for villagers to understand their rights and duties. The booklet has been developed jointly by DOF and Village Focus International with support from JICA and SUFORD. In the inception phase the booklet will be finalized and published and the work on development of extension materials will be commenced.

Main activities and players

- 1) Booklet finalization and DOF approval
- 2) Printing and distribution of booklet
- 3) Development of extension materials; design and work plan

4) Drafting of extension materials

Main player will be Technical Division, DOF and VFI.

Main FSIP Input

- Technical advice to players
- Support to booklet printing jointly with SUFORD
- Support to drafting, possibly by local consultant jointly with SUFORD

Action 4: Formulation and dissemination of policy and instructions on forest related programs in 2006/07

Scope of work

MAF's main forest related programs are logging in natural forests and tree planting and management under the commodity production program and shifting cultivation stabilization including land and forest allocation under the rural development program. GOL and MAF instructions on these programs for 2006/07 need to incorporate the policy and directions proposed in FS 2020 as well as in the new national 5 year socio-economic development plan and MAF 5 year plan. In the full implementation phase these new policy and directions in the form of GOL and MAF instructions need to be disseminated in detail to local levels to ensure compliance and enforcement.

Main activities and players

- 1) Review and analysis of various plans and strategies
- 2) Review of actual situation of the program implementation through survey or study
- 3) Preparation of new policy and program guidelines
- 4) Preparation of GOL and MAF instruction on these programs

Technical Division, DOF is responsible for plan/policy of logging and tree planting and Rural Development Division are responsible for tree planting activities and shifting cultivation stabilization.

Main FSIP Input

- Technical advice to players
- Support to survey and studies

Other Actions

3. Establishment of project working methods and management

During the inception period the project needs to establish working methods and management for smooth and efficient planning, implementation and monitoring of project activities.

Working methods

Given the fact that none of the GOL project staff are full time members of the project, the project needs to establish efficient systems of communication, decision making and data/document storage. The following are proposed to ensure these;

- 1) Meetings

Regular project meetings consisting of all GOL staff and advisers will be held at least once a month for making decisions on monthly planning, review and other necessary actions. The project director may also convene extraordinary project meetings when he considers necessary. Minutes of these meetings will be prepared and distributed to the project staff and advisers as well as to the donors.

2) Communication

Besides the decisions made in the project meetings, individual communication either verbal or written between GOL staff or between advisers and GOL staff will play a key role for smooth running of the project provided that important and necessary part of these communications are conveyed to other project staff or advisers. GOL project staff and advisers need to be equipped with efficient communication equipment such as e-mail.

3) Data/document storage

The project will produce considerable amount of data and documents related to both project activities and management and these need to be sorted, stored and retrieved in an efficient way. For this purpose the project manager, who will be responsible for day to day project operation, needs to be assisted by local project staff specialized in this.

Project management

During the inception period the project will procure some equipment and employ some local project staff within available budget for smooth project implementation as follows;

1) Equipment

Following equipment will be purchased in the initial period of the inception phase according to JICA rules and procedures.

- One vehicle
- Three sets of PC and peripherals
- Two laser jet color printers

2) Local project staff

Following local project staff will be recruited by the project.

- Data/document management on a temporary or part time basis (with Sida budget)
- Accountant for Sida budget use on a temporary or part time basis (with Sida budget)
- Administrative assistant for secretarial works, translation, record of meetings, etc. (with JICA budget)
- Driver (with JICA budget)

Annex 6

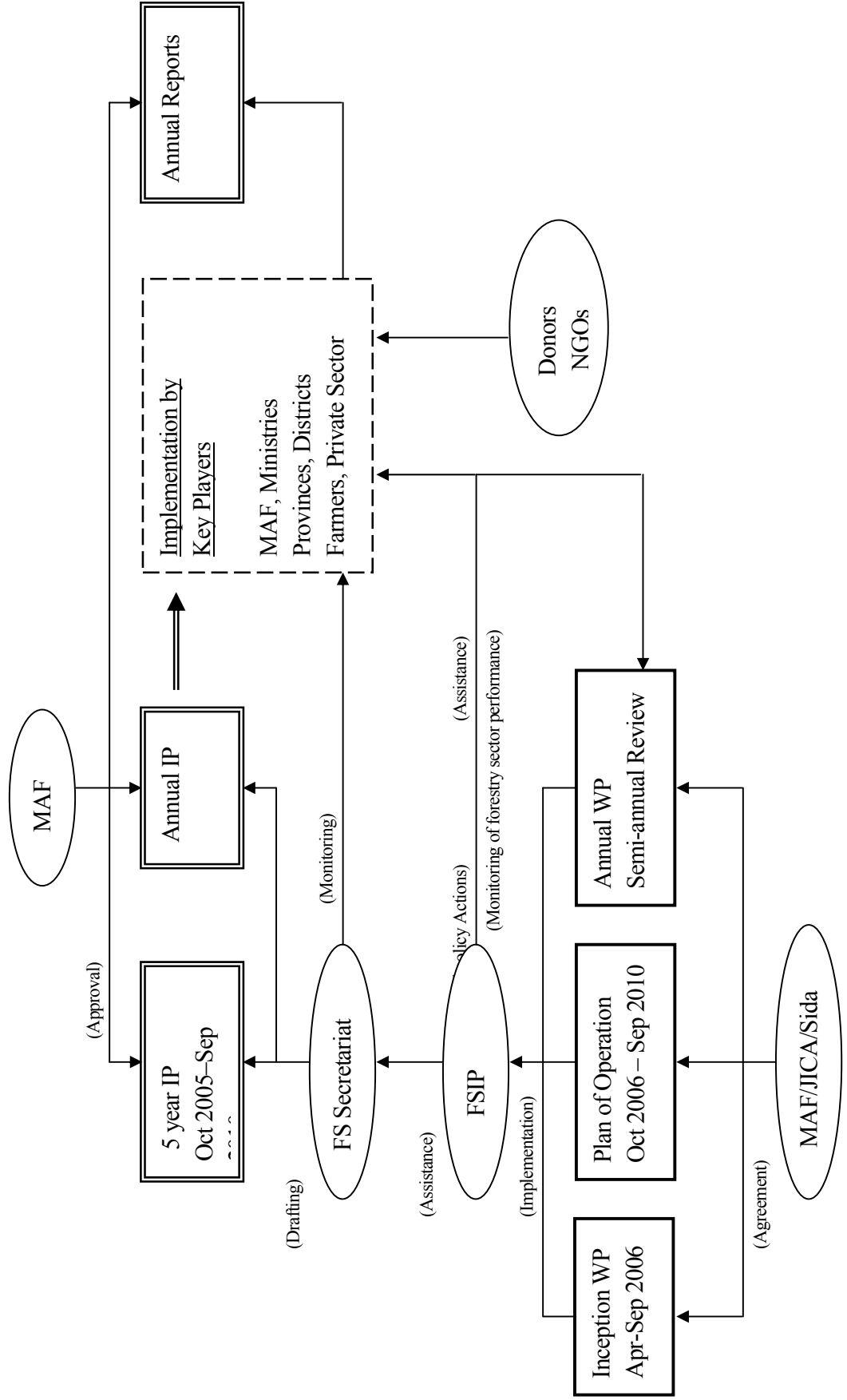
Indicative Project Implementation Schedule

Output and Activities	Calendar Year and Quarters														
	2006			2007			2008			2009			2010		
	II	III	IV	I	II	III	IV	I	II	III	IV	I	II	III	
<p>Output 1: <u>MAF FS 2020 Implementation Plans and Reports are prepared in a timely manner.</u></p> <p>1. To draft 5 year and annual FS 2020 Implementation Plans for MAF approval 2. To draft annual Reports on FS 2020 implementation for MAF approval</p>	*	*													
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<p>Output 2: <u>FS 2020 implementation status and forestry sector performance are monitored in a proper way.</u></p> <p>1. To establish a monitoring system of FS implementation 2. To conduct monitoring and analysis of monitoring results including recommendations for better implementation 3. To improve monitoring system for better implementation monitoring 4. To develop a set of indicators of sector performance 5. To conduct monitoring of sector performance and analysis of monitoring results including recommendations for better sector management 6. To improve indicators for better sector performance monitoring</p>	*	*													*
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<p>Output 3: <u>An institutional framework to promote effective inputs to FS 2020 implementation by stakeholders is established</u></p> <p>1. To study and analyze coordination situation among Lao stakeholders concerning inputs to FS 2020 implementation. 2. To study and propose a better way of coordination to ensure FS 2020 implementation 3. To organize annual dialogue on FS implementation plans, implementation status and sector performance with stakeholders including donors</p>															
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Output and Activities	Calendar Year and Quarters														
	2006			2007			2008			2009			2010		
	II	III	IV	I	II	III	IV	I	II	III	IV	I	II	III	
<p>Output 4: Proper institutional framework of sector planning and management after the initial 5 year period is in place.</p> <p>1. To evaluate FS 2020 implementation and its impacts on sector performance</p> <p>2. To propose an institutional framework of sector planning and management based on analysis of FS 2020 and its implementation framework.</p>															
<p>Output 5-1: A set of urgent policy related Actions planned in the Plan of Operation are addressed with clear conclusions and institutionalized as policy or program.</p> <p><i>Example: Preparation of MAF regulations on Large Scale Plantations</i></p> <p>1. To provide necessary studies, study tour, resource persons, workshops, technical advice and so on with organizations or agencies responsible for addressing policy related Actions to come up with clear conclusions.</p> <p><i>Example</i></p> <p><i>1.1 MAF working group establishment</i></p> <p><i>1.2 Identification of main components, procedure and necessary studies</i></p> <p><i>1.3 Conducting studies</i></p> <p><i>1.4 Drafting outline including consultation</i></p> <p><i>1.5 Final draft outline</i></p> <p>2: To assist GOL/MAF in institutionalizing the conclusions as policy or program.</p> <p><i>Example</i></p> <p><i>2.1 Drafting regulations and technical guidelines including consultation</i></p> <p>Output 5-2: Appropriate activities for field implementation/law enforcement are carried out.</p> <p>1. To assist GOL/MAF in preparing and carrying out necessary activities including dissemination, training and seminars for field implementation/enforcement of policy or program.</p>	*	*											*	*	

Output and Activities	Calendar Year and Quarters													
	2006			2007			2008			2009			2010	
	II	III	IV	I	II	III	IV	I	II	III	IV	I	II	III
<p><i>Example</i></p> <p>1.1 Printing of regulations and guidelines</p> <p>1.2 Organizing national seminar</p> <p>1.3 Preparation of training materials</p> <p>1.4 Implementation of training in three regions</p> <p>2. To evaluate status of field implementation/law enforcement and its impacts on resource use and/or villagers' livelihoods.</p> <p><i>Example</i></p> <p>2.1 Study of field implementation of regulations and guidelines</p>														
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FS 2020 Implementation Mechanism and FSIP Support



Annex 8

Terms of Reference for GOL project staff**1. Project Director**General description

The Project Director has overall responsibilities for implementation and management of the project. S/he keeps close contact and consultation with the Chief Adviser in all aspects of the project implementation and management. S/he will be also responsible for reporting project activities to MAF.

Specific tasks and responsibilities*Project activities*

- To convene and chair project meetings.
- To make decisions on plans, reviews and monitoring of the project in consultation with other GOL staff and advisers.
- To prepare draft reports on plans, reviews and monitoring results of the project for annual and semi-annual planning/review meetings of the three parties, namely MAF, JICA and Sida.
- To assign duties to each of GOL project staff in consultation with the Project Manager.
- To give guidance to the Project Manager and other GOL project staff concerning implementation of their duties.
- To facilitate implementation of Priority Actions through necessary actions including official requests, instruction and others to stakeholders responsible for the Actions.
- To communicate with stakeholders for dissemination of project activities and collection of their information related to the project.
- To ensure MAF approval of project activities including procurement.
- To represent the project in dissemination of the project activities and in dialogue with stakeholders.
- To attend the annual and semi-annual meetings between the three parties and provide necessary clarification or explanation concerning the plans and reviews of the project activities including financial matters.

Project management

- To oversee functioning of the project management and make necessary advice for improvement.
- To oversee planning, use and reporting of Sida budget.
- To employ local project staff (data/document management and accountant).

2. Project Manager

General description

The Project Manager has responsibilities for day to day implementation and management of the project under overall guidance of the Project Director. S/he also assists the Project Director for smooth running of the project and keeps close contact and consultation with the Chief Adviser in all aspects of the project implementation and management.

Specific tasks and responsibilities

Project activities

- To prepare for project meetings.
- To assist the Project Director in decision making on plans, reviews and monitoring of the project in consultation with other GOL staff and advisers.
- To prepare draft reports on plans, reviews and monitoring results of the project for annual and semi-annual planning/review meetings of the three parties, namely MAF, JICA and Sida.
- To communicate with other GOL project staff concerning implementation of project activities.
- To communicate with and assist agencies and institutions responsible for implementation of Priority Actions.
- To communicate with stakeholders for dissemination of project activities and collection of their information related to the project.
- To prepare draft documents for MAF approval of project activities including procurement.
- To attend the annual and semi-annual meetings between the three parties and provide necessary clarification or explanation concerning the plans and reviews of the project activities including financial matters.

Project management

- To administer use of Sida budget according to annual work plans and prepare reports on use of the budget.
- To give instructions to local project staff responsible for data/document management and accounting.

Annex 9

Terms of Reference for JICA advisers**1. Chief Adviser**General Description

The Chief Adviser assists the GOL project staff in planning, implementing and monitoring project activities. S/he also provides advice on management of the project including financial aspects. S/he is responsible for use and management of JICA budget. S/he maintains close contact and consultation with the Project Director and Manager in all aspects of the project implementation and management.

Specific Tasks and Responsibilities*Project activities*

- To attend project meetings and to provide necessary advice.
- To assist the Project Director and Project Manager in preparing plans, reviews and monitoring of the project including financial aspects.
- To assist the Project Director and Project Manager in preparing reports on plans, reviews and monitoring results of the project for annual and semi-annual planning/review meetings of the three parties, namely MAF, JICA and Sida.
- To communicate with and assist other GOL project staff concerning implementation of project activities.
- To communicate with and assist agencies and institutions responsible for implementation of Priority Actions.
- To communicate with stakeholders for dissemination of project activities and collection of their information related to the project.
- To assist the Project Director and Project Manager in preparing documents for MAF approval of project activities including procurement.
- To assist the tree plantation policy and planning Adviser in performing his/her tasks and responsibilities.
- To attend the annual and semi-annual meetings of the three parties and provide necessary clarification or explanation concerning the plans and reviews of the project activities including financial matters.
- To assist the Secretariat in preparing TOR including budget for short term consultants and identifying good candidates.

Project management

- To oversee functioning of the project management and make necessary advice for improvement.
- To employ local project staff (administrative secretary and driver) and oversee their works.
- To guide the tree plantation policy and planning Adviser concerning planning and use of JICA budget and preparation of reports on use of the budget and other matters to JICA.

2. Tree Plantation Policy and Planning Adviser

General Description

Under the overall guidance of the Chief Adviser the Tree Plantation Policy and Planning Adviser assists the GOL project staff and concerned agencies and officers (his/her counterparts) in charge of the project activities related to tree plantation policy and planning. S/he also assists the Chief Adviser in other activities of the project. S/he is responsible for use and management of JICA budget and other matters related to JICA.

Specific Tasks and Responsibilities

Project activities

- To attend project meetings and to provide necessary advice.
- To assist the Project Director and Project Manager in preparing plans, reviews and monitoring of the project related to tree plantation.
- To assist the Project Director and Project Manager in preparing reports on plans, reviews and monitoring results of the project related to tree plantation for annual and semi-annual planning/review meetings of the three parties, namely MAF, JICA and Sida.
- To communicate with and assist other GOL project staff concerning implementation of project activities related to tree plantation.
- To communicate with and assist agencies and institutions responsible for implementation of Priority Actions related to tree plantation.
- To assist the Chief Adviser in other project activities.
- To attend the annual and semi-annual meetings between the three parties and provide necessary clarification or explanation concerning the plans and reviews of the project activities including financial matters.

Project management

- To instruct local project staff (administrative secretary and driver) concerning their duties and responsibilities
- To administer use of JICA budget according to work plans and prepare draft reports on use of the budget and other matters to JICA.

1. Project title: Forest Strategy 2020 Implementation Promotion Project 2. Duration: 4 and half years 3: Project Area: Lao PDR

Narrative Summary/Statements	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
<p>4. Target Group: Staff of the FS 2020 Implementation Secretariat/GOL staff responsible for implementation of the Actions proposed in FS 2020</p> <p><u>Super goal</u> Forestry sector's sustainable contribution to socio-economic development, especially poverty eradication, and environmental conservation in Lao PDR is promoted on a long term basis through facilitating FS 2020 implementation, and sound and efficient management of the Lao forestry sector.</p>	<p>1. Poverty ratio in forest dependent areas is decreased beyond GOL target.</p>	<p>1. LECS 6 for 2017/18</p>	
<p><u>Overall Goal/Development Objective</u> Sustainable and productive forest use in Lao PDR through appropriate sector planning and management is promoted.</p>	<p>1. Institutional framework for sector planning and management is properly functioning. 2. Rate of forest loss/degradation between Year 2002 and 2012 is smaller than that of between Year 1992 and 2002. 3. Value-added per m3 of log from natural forest increases with a rate higher than GDP/capita increase.</p>	<p>1. Mid-term and Annual IPs and Reports. 2. Land use and forest cover survey in 2010. 3. Forestry sector GDP/Log production.</p>	
<p><u>Project Purpose/Project Objective</u> Capacity of forestry sector on planning and management is developed through formulation and monitoring of implementation plans, dialogues with stakeholders and addressing policy related priority actions for the initial five year period of FS 2020 implementation.</p>	<p>1. 80% of Priority Actions listed in 5 year IP have been or being implemented according to schedule. 2. Institutional framework for sector planning and management is established.</p>	<p>Annual Reports</p>	<p>1. Support to FS 2020 implementation continues both nationally and internationally 2. Off-farm job opportunities are created in upland areas in commensurate with population increase 3. Infrastructure and social service are developed and expanded in upland area</p>
<p><u>Output</u> 1. MAF FS 2020 Implementation Plans and Reports are prepared in a timely manner.</p>	<p>Plans and reports are prepared by early October of each year</p>	<p>5 year and Annual IPs and Annual Reports</p>	<p>-Stakeholders including Ministries, donors and private sector increase or realign their inputs to implement Priority Actions.</p>
<p>2. FS 2020 implementation status and forestry sector performance are monitored in a proper way. 3. An institutional framework to promote effective inputs to FS 2020 implementation by stakeholders is established.</p>	<p>Proper monitoring results are obtained. 1. Annual dialogues with stakeholders are organized. 2. A better way of coordination is in place.</p>	<p>Annual Reports Dialogue Report</p>	

<p>4. Proper institutional framework of sector planning and management after the initial 5 year period is in place.</p>	<p>1. Clear evaluation results are obtained. 2. Plan for establishing institutional framework for sector planning and management is proposed.</p>	<p>1. Evaluation Report 2. Proposal for institution</p>	
<p>5-1. A set of urgent policy related Actions planned in the Plan of Operation are addressed with clear conclusions and institutionalized as policy or program.</p>	<p>1. 80% of Actions identified in PO are addressed with clear conclusions and institutionalized as policy or program.</p>	<p>1. Annual Reports</p>	
<p>5-2. Appropriate activities for field implementation/law enforcement are carried out.</p>	<p>2. Activities for field implementation stated in PO and annual work plans are carried out for all of the addressed Actions.</p>	<p>2. Annual Reports</p>	

Narrative Summary	Inputs	Important Assumptions
<p>Activities</p> <p>1-a. To draft 5 year and annual FS 2020 Implementation Plans for MAF approval 1-b. To draft annual Reports on FS 2020 implementation for MAF approval</p> <p>2-a. To establish a monitoring system of FS implementation 2-b. To conduct monitoring and analysis of monitoring results including recommendations for better implementation 2-c. To improve monitoring system for better implementation monitoring 2-d. To develop a set of indicators of sector performance 2-e. To conduct monitoring of sector performance and analysis of monitoring results including recommendations for better sector management 2-f. To improve indicators for better sector performance monitoring</p> <p>3-a. To study and analyze coordination situation among Lao stakeholders concerning inputs to FS 2020 implementation. 3-b. To study and propose a better way of coordination to ensure FS 2020 implementation 3-c. To organize annual dialogue on FS implementation plans, implementation status and sector performance with stakeholders including donors</p> <p>4-a. To evaluate FS 2020 implementation and its impacts on sector performance 4-b. To propose an institutional framework of sector planning and management based on analysis of FS 2020 and its implementation framework.</p>		<p>1-1. GOL/MAF approves 5 year and annual FS 2020 IP in a timely manner. 1-2. GOL/MAF approves annual Reports in a timely manner. 2-1. There exist groups and/or associations of stakeholders well representing the whole forestry sector, which can provide information and data in full and in a timely manner for monitoring. 5-1. Organizations and agencies identified responsible for addressing selected policy related Actions commit themselves to doing so in a timely manner. 5-2. GOL/MAF institutionalizes the conclusions as policy in a timely manner.</p>

5-1-a. To provide necessary studies, study tour, resource persons, workshops, technical advice and so on with organizations or agencies responsible for addressing policy related Actions to come up with clear conclusions.

5-1-b. To assist GOL/MAF in institutionalizing the conclusions as policy or program.

5-2-a. To assist GOL/MAF in preparing and carrying out necessary activities including dissemination, training and seminars for field implementation/enforcement of policy or program.

5-2-b. To evaluate status of field implementation/law enforcement and its impacts on resource use and/or villagers' livelihoods.

Development), NAFES, 2) Director, Forest Research Center, NAFRI

* All project personnel will hold their own office concurrently.

2) Project Office

Project office will be provided in the DOF premise.

3) Local expenses

Utility costs of the project office and so on.



Estimate of External Assistance Budget

Component 1: Preparation of MAF 5 year and annual FS 2020 Implementation Plans

Main Cost Items: Printing of FS Implementation Plans and Reports, Translation of plans and reports

Component Total: \$ 29,500 (Sida)

Component 2: Monitoring of FS 2020 implementation status and forestry sector performance

Main Cost Items: Development of monitoring system and indicators, Translation and printing, Equipment for data/information storage and analysis, Study tour (Vietnam and/or Malaysia)

Component Total: \$ 107,600 (Sida)

Component 3: Establishment of institutional framework to promote effective inputs of stakeholders to FS 2020 implementation

Main Cost Items: Study and survey, Annual stakeholder consultation, Printing

Component total: \$ 32,000 (Sida)

Component 4: Establishment of proper institutional framework of sector planning and management for the following period after project termination

Main Cost Items: Evaluation of FS implementation impacts, Translation and printing

Component total: \$ 34,500 (Sida)

Component 5: Addressing policy related Actions and policy implementation/law enforcement

1. Addressing Actions

(Assumption)

Necessary budget varies depending on nature and magnitude of the Actions. Therefore, it is assumed 12 relatively complex Actions are addressed during the project period and a unit budget for one Action is estimated. Two of the 12 Actions are considered tree plantation related and the budget for formulation of a National Tree Plantation Development Plan is estimated additionally and separately.

Budget for Addressing 12 policy related Actions

Main Cost Items: Survey, study and reporting, Workshop, Translation and printing, Field trips

Unit budget per Action: \$ 48,000

Sub-total: \$ 48,000/action * 12 Actions = \$ 576,000

Budget for formulation of National Tree Development Plan

Main Cost Items: Survey, study and reporting, Workshop, Translation and printing, Field trips

Sub-total: \$ 138,000

Total budget for addressing policy Actions: \$ 714,000 (JICA: \$ 234,000, Sida: \$ 480,000)

1. Policy implementation/Law enforcement

(Assumption)

Of the 12 policy Actions 4 Actions are considered training is necessary and 9 Actions only need regional seminars for implementation. One of the three tree plantation related Actions needs training.

Training for implementation/enforcement

Main Cost Items: Training course development, Training course implementation

Sub-total: \$ 240,000 (\$ 60,000 per Action)

Seminars for implementation/enforcement

Main Cost Items: Development of guidelines or booklet, Translation, Field trip

Sub-total: 108,000 (\$12,000 per Action)

Total budget for policy implementation/law enforcement: \$ 348,000 (JICA: \$84,000, Sida: \$264,000)

Component total: \$ 1,062,000 (JICA: \$ 318,000, Sida: \$ 744,000)

Component 6: Project Management

Main Cost Items: 4 WD Vehicle, PC and Printer, Local project staff, Field trip and study tour for Advisers,
Consumables

Component total: US\$ 187,800 (JICA: \$ 160,800, Sida: \$27,000)

Total (Components 1-6): \$ 1,453,400

Contingency: 10% of Components 1-5 (\$ 1,265,600) = \$ 126,560

Grand Total: \$ 1,579,960

**JICA: \$ 510,600 (excluding TA of two advisers and short term training for GOL project staff in
Japan)**

Sida: \$ 1,069,360 (SEK 8,560,000)