



ສາທາລະນະລັດ ປະຊາທິປະໄຕ ປະຊາຊົນລາວ
ສັນຕິພາບ ເອກະລາດ ປະຊາທິປະໄຕ ເອກະພາບ ວັດທະນະຖາວອນ

ກະຊວງກະສິກຳ ແລະ ປ່າໄມ້
ກົມປ່າໄມ້

ເລກທີ 0337 /ກປມ.

ນະຄອນຫຼວງວຽງຈັນ, ວັນທີ 18 JAN 2021

ຂໍ້ຕົກລົງ

ວ່າດ້ວຍການຮັບຮອງ ແລະ ປະກາດໃຊ້ ແຜນຈັດສັນ ອຸທິຍານແຫ່ງຊາດ ນ້ຳແອດ-ຜູເລີຍ
ໄລຍະ 10 ປີ (2022-2031) ແລະ ແຜນດຳເນີນງານ 5 ປີ (2022-2026)

- ອີງຕາມ ກົດໝາຍ ວ່າດ້ວຍປ່າໄມ້ ສະບັບປັບປຸງ ສະບັບເລກທີ 64/ສພຊ, ລົງວັນທີ 13 ມິຖຸນາ 2019;
- ອີງຕາມ ກົດໝາຍ ວ່າດ້ວຍ ສັດນ້ຳ ແລະ ສັດປ່າ ສະບັບເລກທີ 07/ສພຊ, ລົງວັນທີ 24 ທັນວາ 2007;
- ອີງຕາມ ດຳລັດ ນາຍົກລັດຖະມົນຕີ ສະບັບເລກທີ 134/ນຍ, ລົງວັນທີ 13 ພຶດສະພາ 2015;
- ອີງຕາມ ດຳລັດນາຍົກລັດຖະມົນຕີ ສະບັບເລກທີ 35/ລບ, ລົງວັນທີ 15 ກຸມພາ 2019 ວ່າດ້ວຍ ການສ້າງຕັ້ງ ອຸທິຍານ ແຫ່ງຊາດ ນ້ຳແອດ-ຜູເລີຍ.
- ອີງຕາມ ຂໍ້ຕົກລົງ ຂອງລັດຖະມົນຕີ ກະຊວງກະສິກຳ ແລະ ປ່າໄມ້, ສະບັບເລກທີ 3822/ກປ, ລົງວັນທີ 18 ສິງຫາ 2017 ວ່າດ້ວຍ ການຈັດຕັ້ງ ແລະ ການເຄື່ອນໄຫວ ຂອງກົມປ່າໄມ້.

ກົມປ່າໄມ້ ຕົກລົງ:

- ມາດຕາ 1. ເຫັນດີຮັບຮອງ ແລະ ປະກາດໃຊ້ແຜນຈັດສັນ ອຸທິຍານແຫ່ງຊາດ ນ້ຳແອດ-ຜູເລີຍ ໄລຍະ 10 ປີ (2022-2031) ແລະ ແຜນດຳເນີນງານ 5 ປີ (2022-2026)
- ມາດຕາ 2. ມອບໃຫ້ພະແນກຄຸ້ມຄອງປ່າສະຫງວນ ເປັນໃຈກາງປະສານສົມທົບ ກັບພາກສ່ວນທີ່ກ່ຽວຂ້ອງ ທັງສູນ ກາງແລະ ທ້ອງຖິ່ນ ໃນການໂຄສະນາເຜີຍແຜ່ ແລະ ຈັດຕັ້ງປະຕິບັດ ແຜນຈັດສັນປ່າສະຫງວນແຫ່ງ ຊາດ ທີ່ກຳນົດໄວ້ໃນມາດຕາ 1 ຂອງຂໍ້ຕົກລົງສະບັບນີ້ ໃຫ້ໄດ້ຮັບຜົນດີ.
- ມາດຕາ 3. ບັນດາກົມ, ກອງ, ສູນ ແລະ ສະຖາບັນ ອ້ອມຂ້າງກະຊວງກະສິກຳ ແລະ ປ່າໄມ້, ພະແນກກະສິກຳ ແລະ ປ່າໄມ້ແຂວງ, ນະຄອນຫຼວງ, ຫ້ອງການກະສິກຳ ແລະ ປ່າໄມ້ເມືອງ ແລະ ພາກສ່ວນທີ່ກ່ຽວຂ້ອງຈິງຮັບ ຮູ້ ແລະ ໃຫ້ຄວາມຮ່ວມມື ໃນການຈັດຕັ້ງປະຕິບັດ ຂໍ້ຕົກລົງສະບັບນີ້ ຢ່າງເຂັ້ມງວດ.
- ມາດຕາ 4. ຂໍ້ຕົກລົງສະບັບນີ້ ມີຜົນສັກສິດ ນັບແຕ່ວັນລົງລາຍເຊັນເປັນຕົ້ນໄປ

ປອນນຳສົ່ງ:

1. ພະແນກຄຸ້ມຄອງປ່າສະຫງວນ 01 ສະບັບ
2. ພາກສ່ວນທີ່ກ່ຽວຂ້ອງ 01 ສະບັບ
3. ເກັບມ້ຽນ 01 ສະບັບ



ຫົວໜ້າ ກົມປ່າໄມ້

ບຸນປອນ ແສງທອງ



Lao People's Democratic Republic
Peace Independence Democracy Unity Prosperity

Ministry of Agriculture and Forestry
Department of Forestry

No. **0338** /DOF
Vientiane Capital, Dated. **18 JAN 2021**

ENDORSEMENT

ADOPTION AND OFFICIALLY USED NAM ET PHOU LOUEY NATIONAL PARK MANAGEMENT PLAN FOR NAM ET PHOU LOUEY NATIONAL PARK

- Pursuance to the Forestry Law (Improved Volume) No. 64/NA, dated 13/03/2019;
- Pursuance to the Wild Animals and Aquatic Resources Law No. 07/NA, dated 24/12/2007;
- Pursuance to the Decree on Protected Areas No. 134/PM, dated 13/05/2015;
- Pursuance to the Decree No. 35/PM, dated 15/02/2019 on establish the Nam Et Phou Louey National Park.
- Pursuance to Agreement of Minister of Ministry of Agriculture and Forestry, No. 3822/MAF, dated 18 August 2017 on activities and organization of Department of Forestry.

Department of Forestry Agree to:

- Article 1.** Adopt and officially use of the Nam Et Phou Louey Management Plan for 10 years (2022-2031) and Implementation Plant 5 years 2022-2026.
- Article 2.** Assign to Protected Area Management Division as central office to coordinate all of sectors including Central and provincial levels to propagate and implement the Collaborative Management Plan that is referred in article 1 to be successful.
- Article 3.** Concerned Departments, Center and institutes under the Ministry of Agriculture and Forestry, the Provincial Agriculture and Forestry and District levels to have a cooperation to implement the plan based on their roles and responsibilities.
- Article 4.** This agreement is effective from the date of signature.

Deputy Director General
Department of Forestry



Bounpone SENGTHONG

Delivered:

- | | |
|---------------------------------------|--------|
| 1. Protected Area Management Division | 1 item |
| 2. Concern sectors | 1 item |
| 3. Keeping | 1 item |



Lao People's Democratic Republic
Peace, Independence, Democracy, Unity, and Prosperity

Nam Et Phou Louey National Park Collaborative Management Plan

VOLUME II

1st 5-YEAR ACTION PLAN (2022-2026)

Protected Area Management Division
Department of Forestry
Ministry of Agriculture and Forestry

Date 18 January 2021

List of abbreviations

BFZ	Buffer Zone
CUZ T1	Controlled Use Zone of Type 1 Conservation and Tourism
CUZ T2	Controlled Use Zone of Type 2 Resources Use
DAFO	District Agriculture and Forestry Office
DOF	Department of Forestry
EPF	Environment Protection Funds
FLL	Forest Landscape and Livelihood (GCF-funded project)
GCF	Green Climate Fund
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (German technical cooperation agency)
GoL	Government of Laos
GVCA	Guardian Village Conservation Agreement
GVCO	Guardian Village Conservation Office
IUCN	International Union for Nature
KfW	Entwicklungsbank (German development bank)
LLL	Lao landscape and Livelihood (World Bank-funded project)
MAF	Ministry of Agriculture and Forestry
METT	Management Effectiveness Tracking Tool
MONRE	Ministry of Natural Resources and Environment
MoU	Memorandum of Understanding
NEPL	Nam Et Phou Louey
NP	National Park
NPA	National Protected Areas
NPSC	National Park Administration Committee
NPMO	National Park Management Office
NTFP	Non-Timber Forest Product
PAFO	Provincial Office of Agriculture and Forestry
PAMU	Protected Area Management Unit
PICT	Provincial office of Information Communication and Tourism
PAMD	Protected Area Management Division
REDD	Reducing Emission from Deforestation and Forest Degradation
TOR	Terms of Reference
TPZ	Totally Protected Zone
VFMP	Village Forest Management Plan
WCS	Wildlife Conservation Society

Executive summary

1. The Nam Et Phou Louey National Park (NEPL NP) was designated by Prime Minister Decree 35 of February 15, 2019 under the 2007 Forestry Law and subordinate Decree 134/PM of 13 May 2015. The Nam Et Phou Louey National Park is one of the two first national parks in Lao PDR¹. According to its designation decree, it was created “*to manage and protect the environment, forest, forest resources, aquatic and wildlife species and watershed; to conserve the natural beauty, historical artifacts, culture for recreational use, tourism and scientific research to contributing to the improvement of livelihoods of the peoples and the socio-economic development through green and sustainable growth.*”

2. The Management Plan has two Volumes: Volume I The 10-year Strategy and Volume II the 5-year Action Plan. This is Volume II. Chapter 1 of Volume II presents a summary of the background; Chapter 2 restates the National Park 10-year vision, sets the management plan 5-year strategic objective and the indicators that will track performance. Chapter 3 describes in detail the National Park Governance. Chapter 4 depicts the four programs in details for four scenarios. Chapter 5 explores option for financing and Chapter 6 provides planning and reporting procedures.

3. While the context is improving, some direct challenges remain critically high. The past 15 years of management has slowed, but not reversed, the decreasing trends of wildlife and natural habitat. Poaching and land encroachment, especially by cattle, remain high. Both are fueled by community response to increasingly accessible market opportunities. The table below summarizes the strengths, weaknesses, opportunities, and threats. It sets the stage for the planning of implementation activities.

<u>Strengths</u> -20 years of management history, facilities, equipment, staff and experience -Experience in recruitment, training, and mentoring staff locally with all ethnic background	<u>Weaknesses</u> -Inability to address squarely law enforcement challenges -Low education, awareness, and sensitivity of communities -Difficulty to coordinate all other projects and plans that occur within the NEPL landscape -Low government staff and national budget
<u>Opportunities</u> -Improved national policies, laws, regulations make it possible to address weaknesses and challenges -Trends of decreasing direct challenges (demography, poverty, capacity, deforestation rate, etc.) -Increased confidence by some donors in protected area sector with reasonable prospect to mobilize funds to implement the next 5-year plan.	<u>Threats</u> -Persistence of illegal harvesting of wildlife -Persistence of land uses that do not conform with Land Use Plans and Zoning such encroachment by cattle and sanaam.

4. The National Park vision, which is defined in Volume I, is translated into a 5-year strategic objective that seek to respond to the direct challenges identified. The 5-year strategic objective: *To establish a well-staffed, organized and funded NEPL National Park administration working in partnership with other organizations, administrations and all guardian villages that has significantly decreased the challenges to the security of endangered or vulnerable wildlife in the TPZ, improved the sustainable and equitable use of forest resources in the CUZ, established additional tourism ventures and effectively mitigated the challenges from incompatible infrastructures and concessions.*

5. The Action Plan develops 4 detailed scenarios, based on different levels of funding, with a low to baseline to medium and high-level scenarios based on (a) the number of guardian villages targeted and (b) the proportion of the TPZ covered:

¹ The other is Nakai Nam Theun National Park

- Low: 40 villages and 60% of the TPZ
- Baseline: 50 villages and 75% of the TPZ
- Medium: 75 villages and 100% of the TPZ
- High: 91 villages and 100% of the TPZ

6. Progress toward the 5-year Strategic Objective is measured by Impact Indicators and Outcome Indicators. The Action Plan describes these indicators in a result framework.

7. The NEPL National Park governance and management architecture is designed to respond to the strategic objective of Action Plan to deliver each Program with an efficient and effective structure and work force while conforming to the Guidelines on protected areas management office.

8. After approving the Management Plan, the Minister, MAF decides (a) the creation of the NEPL National Park Management Office (NPMO) including the application to the Ministry of Finance (MOF) for its establishment as Technical Business Unit and the appointment of its Director, (b) the creation of the National Park Steering Committee (NPSC) including the appointment of its chair.

9. The NEPL NPSC formulates opinions and advices to MAF, DOF and PAFO² on the Management Plan, Annual Work Plan, Annual Reports, any other relevant issue raised by the NPMO. The NPSC is the forum to discuss the National Park development integration in the districts and provinces as well as any land use that may challenge or support the objective of the National Park.

10. A National Park Management Office (NPMO) leads the daily management of the National Park. The NPMO has the status of Technical Budget Unit (granted by MOF), a stamp, logo and uniform. It operates with relative administrative autonomy. The partnership with Wildlife Conservation Society (WCS) will continue and be strengthened. Below the NPMO head office, four Units are established, one for each Program. Every Unit is led by a Unit Head. The minimal number of permanent staff to implement a low scenario is estimated at about 78. The baseline scenario requires 84 staff. The aim is to reach about 140 staff under a high case scenario³⁴ by the end of the Management Plan in 2031.

11. The signing of the Guardian Village Conservation Agreement (GVCA) will trigger the establishment by the village administration of a Guardian Village Conservation Office (GVCO). Under the proposed protected area decree, GVCO are “protected area implementing organization” placed in the village hierarchy under the Economic Unit of the village administration. Each GVCO implements forest management and uses activities in the village land especially in the CUZ and collaborates with the NPMO for the protection the TPZ. GVCOs must maintain the TPZ boundaries and do fire prevention.

12. Four Programs help focus implementation on the strategic priorities. Each Program is guided by a 5-year specific objective and is tracked by outcome indicators. Each Program implements both recurrent or “routine” activities” and investments activities or “special projects”. The 4 Programs are:

- Program 1 National park administration (oversight, planning, reporting, accounting, procurement, human resources, and financial security)
- Program 2 Tourism business development and communication
- Program 3 Community outreach, capacity building and livelihoods

² MAF Ministry of Agriculture and Forestry, PAFO Provincial Office of Agriculture and Forestry, and DOF Department of Forestry

³ This is less than the minimum. To calculate the minimal national park staffing, the following formula may be applied: 1 ranger for 5,000 hectares of TPZ and CUZ, 1 facilitator for 5 villages both augmented by 30% for their support, supervision, and management. Under the proposed zoning – 440,000 ha and 91 guardian villages -- a reasonable number of agents working full time on the NEPL National Park would be between 140 to 200.

⁴ Volunteer and villagers receive a small stipend, but the bulk of their compensation comes from the daily field allowance they receive while working.

- Program 4: Law enforcement, research, and monitoring

13. Based on funding levels, the Action Plan sets four scenarios, from a critically low but secured scenario (low case) to an ambitious scenario (high case scenario). The baseline scenario is considered the most desired and realistic.

BUDGET \$7.5M N	STAFF 78 +20 PARTNER S	VILLAGE 40 FULLY ENGAGED	AREA 60% TPZ FULLY COVERED	OPERATION \$1.1 M/YR	INVESTMENT \$2.0MN	LOW INCREASE EFFICIENCIES
DESIRED SCENARIO						
BUDGET 11.0 \$MN	STAFF 92 +25 PARTNER STAFF	VILLAGE 50 FULLY ENGAGED	AREA 70% TPZ FULLY COVERED	OPERATION \$1.6 M/YR	INVESTMENT \$2.8MN	BASELINE START GROWING
BUDGET 15 \$MN	STAFF 129 +34 PARTNER STAFF	VILLAGE 75 FULLY ENGAGED	AREA 100% TPZ FULLY COVERED	OPERATION \$2.1 M/YR	INVESTMENT \$4.5MN	MEDIUM BEGIN SCALE UP
BUDGET 20 \$MN	STAFF 148 +42 PARTNER STAFF	VILLAGE 91 FULLY ENGAGED	AREA 100% OF TPZ & CUZ FULLY COVERED	OPERATION \$2.6 M/YR	INVESTMENT \$7.1MN	HIGH FULL SCALE UP

14. At the end of 2020, the secured 5-year financing is about \$7.5 million. This is sufficient to fund the *low* scenario. This funding is constituted by:

- Government budget and payroll (maximum \$ 250,000). A GoL budget allocation to the National Park, beyond the salary of the civil servants, is not an option.
- Wildlife Conservation Society (estimated \$4 million). The 17-year partnership with WCS will continue. Current commitment is about \$800,000 per year or \$4.00 million over 5 years. WCS is committed to try to leverage additional financing.
- IDA and GEF-funded Lao Landscape and Livelihoods (LLL)(estimated maximum \$3.25 million). Of this allocation, \$2.1 is for investment and operation, \$350,000 for block grants to 30 villages, \$450,000 is reserved as matching fund to attract private investor in tourism and \$100,000 is reserved for vocational training.

15. The sources of funding below might add between \$1.2 to \$2.5 million to the 5-year budget. These sources will reduce but not close the \$3.5 million gap between low and *baseline* scenario:

- Green Climate Fund-funded Forest Landscape and Livelihood (FLL)(estimated maximum \$1 million). This project implements the REDD⁵ Action Plan in 3 Provinces, two of which are relevant to NEPL.
- German KfW-funded Village Forest Management Project (estimated maximum unknown). This project supports village forestry and overlaps with several Guardian Villages.
- Carbon emission reduction payment (estimated \$700,000 to \$1.8 million over 5 years). With the reduction of the rate of deforestation in the NEPL landscape, the National Park would generate emission reduction (ER) in order of 50,000 to 100,000 tons of CO₂ per year.
- Revenues (estimated maximum \$50,000 over the 5 years). Once the NPMO has obtained a status of Technical Budget Unit, some of the revenues may be retained.

⁵ Reducing Emission from Deforestation and Forest Degradation

CHAPTER 1 - BACKGROUND TO THE ACTION PLAN	8
SECTION 1.1: THE NAM ET PHOU LOUEY NATIONAL PARK	8
SECTION 1.2: THE ELEMENTS OF THE MANAGEMENT PLAN	8
CHAPTER 2 – VISION, OBJECTIVE, AND INDICATORS	9
SECTION 2.1: A VISION FOR THE NATIONAL PARK	9
SECTION 2.2: SUMMARY OF THE MAIN CHALLENGES	9
SECTION 2.3: THE 5-YEAR STRATEGIC OBJECTIVE	10
SECTION 2.4: THE FOUR IMPLEMENTATION SCENARIO	10
SECTION 2.5: KEY PERFORMANCE INDICATORS.....	12
CHAPTER 3 – PARK GOVERNANCE AND ADMINISTRATION	16
SECTION 3.1: THE MINISTRY OF AGRICULTURE AND FORESTRY	16
SECTION 3.2: THE NATIONAL PARK STEERING COMMITTEE.....	17
SECTION 3.4: THE NATIONAL PARK MANAGEMENT OFFICE	17
SECTION 3.5: THE GUARDIAN VILLAGE CONSERVATION OFFICES.....	19
CHAPTER 4 - PROGRAMS	20
SECTION 4.1: PROGRAM 1 NATIONAL PARK ADMINISTRATION	20
SECTION 4.2: PROGRAM 2 TOURISM BUSINESS DEVELOPMENT AND COMMUNICATION	26
SECTION 4.3: PROGRAM 3 COMMUNITY OUTREACH, CAPACITY BUILDING AND LIVELIHOODS	32
SECTION 4.4: PROGRAM 4 LAW ENFORCEMENT, RESEARCH, AND MONITORING	36
CHAPTER 5 – COSTS AND FINANCING OF THE ACTION PLAN	42
CHAPTER 6 – IMPLEMENTATION PROCEDURE.....	46
SECTION 6.1: ANNUAL ACTIVITY PLANNING.....	46
SECTION 6.2: ACTIVITY REPORTING	47
SECTION 6.3: PLANNING THE PHASE2 5-YEAR ACTION PLAN.....	48
ANNEX 1 – 5-YEAR STAFFING FOR ALL SCENARIOS.....	49
ANNEX 2 – TORS NATIONAL PARK STEERING COMMITTEE.....	52
ANNEX 3 – SCORE SHEET NATIONAL PARK MANAGEMENT EFFECTIVENESS	54
ANNEX 4 – SCORE SHEET MANAGEMENT OFFICE FUNCTIONAL CAPACITY	66
ANNEX 5 – SCORE SHEET GUARDIAN VILLAGE FUNCTIONAL CAPACITY	72
ANNEX 6 – 5-YEAR DETAILED BUDGET ALL SCENARIOS.....	76

List of Figures

Figure 1. Map of the Focal Areas for Each Scenario	11
Figure 2. The Seven Impact Dimensions.....	12
Figure 3. Governance Structure of the NEPL National Park	16
Figure 4. National Park Management Office structure.....	18
Figure 5. Map of (left) management infrastructure, (right) proposed tourism products.....	26
Figure 6. Budget in (US\$ '000) with Secured and Probable Financing	45
Figure 7. Flow chart: Preparation and Approval of the Annual Work Plan and Budget	46

List of Tables

Table 1. Summary of the strengths, weaknesses, opportunities, and threats	9
Table 2. Management Plan Impact Indicators.....	12
Table 3. Program Objectives and Outcome Indicators	13
Table 4. National Park work force under each scenario	18
Table 5. National Park Administration Section staffing.....	21
Table 6. Estimated 5-year Budget for the Administration Section for 4 scenarios	22
Table 7. Quantity of the main pooled equipment for each scenario.	23
Table 8. Program 1 Administration: Special Projects	24
Table 9. National Park Business Section staffing	27
Table 10. Estimated 5-year Budget for the Business Section for 4 scenarios.....	28
Table 11. Program 2 Business and Communication: Special Projects	29
Table 12. National Park Community Section staffing	32
Table 13. Estimated 5-year Budget for the Community Section for 4 scenarios	33
Table 14. Program 3 Community Engagement Operation : Special Projects	35
Table 15. National Park Field Operation Section staffing	36
Table 16. Estimated 5-year Budget for the Field Operation Section for 4 scenarios	37
Table 17. Type of patrol team and level of priority.....	38
Table 18. Program 4.1 Field Operations: Special Projects	39
Table 19. Program 4.2 Resource Monitoring: Special Projects	41
Table 20. Estimated 5-year Budget by Scenario and Program.....	42
Table 21 . Estimated 5-year Budget by Scenario and by Expenditure Category	43

CHAPTER 1 - BACKGROUND TO THE ACTION PLAN

SECTION 1.1: THE NAM ET PHOU LOUEY NATIONAL PARK

16. The Nam Et Phou Louey National Park (NEPL NP) was designated by Prime Minister Decree 35 of February 15, 2019 under the 2007 Forestry Law and subordinate Decree 134/PM of 13 May 2015. The Nam Et Phou Louey National Park is one of the two first national park in Lao PDR⁶. According to its designation decree, it was created *“to manage and protect the environment, forest, forest resources, aquatic and wildlife species and watershed; to conserve the natural beauty, historical artifacts, culture for recreational use, tourism and scientific research to contributing to the improvement of livelihoods of the peoples and the socio-economic development through green and sustainable growth.”*

17. The area is characterized by mixed evergreen and deciduous forest with patches of grasslands, ranging from 400 to 2,257 meters in elevation. It set considered the northern extension of the Annamites range and a transition to the Northern Highlands of Laos. It includes Montane Forest and Mixed Deciduous Dry Forests. Today, the NEPL National Park remains a critical area for species of conservation concern especially its carnivore or primate species, some of which are endangered or vulnerable such as the white cheeked gibbon, the clouded leopard and the dhole.

18. The National Park provides direct ecosystem services to over 44,500 people inhabiting 91 guardian villages who share land or are contiguous to the park and 39 outreach villages (18,000) who do not share land but use park resources. To these communities, the park provides land for agriculture, delivers water for irrigation and drinking, wild food and pharmacopeia. The increasing park-based economy provides some employment and source of income to residents.

19. The NEPL National Park itself will require redesignation because of (a) the difference in hectares between the designation decree text (411,000 ha) and its map (507,000 ha) and (b) the proposed protected area decree instruction to review Lao protected areas boundaries to resolve land use conflict, set detailed coordinate and apply for land registration.

SECTION 1.2: THE ELEMENTS OF THE MANAGEMENT PLAN

20. The Management Plan has two Volumes: Volume I The Strategy and Volume II the Action Plan.

21. The context and the strategic scope are set in Volume I. While Volume I is legally strong and intended to provide stability over a 10-year period, Volume II is meant to be adaptative to the realities and contexts that will influence its implementation over a 5-year period.

22. This document is Volume II of the Nam Et Phou Louey National Park management plan: the 5-year Action Plan. It covers the 1st phase of the Strategy. A second, of Phase 2, Action Plan will be prepared in year 4 of the first Action Plan.

23. Chapter 1 of Volume I of the Management Plan frames the NEPL in its historical context and describes the current management capacity; Chapter 2 paints a panorama of the geophysical, biological, socio economic and developmental context; Chapter 3 establishes the vision for the National Park and

⁶ The other is Nakai Nam Theun National Park

analyzes the challenges that need overcoming to achieve the vision and Chapter 4 defined the strategic objectives as well as how each of the National Park dimensions are expected to transform over the 10 years set by the vision. Volume I includes two key annexes which are defining to the Management Plan: (1) the Zoning Map, (2) the National Park regulations.

24. Chapter 1 of Volume II presents a summary of the background; Chapter 2 restates the National Park 10-year vision, sets the management plan 5-year strategic objective and the indicators that will track performance. Chapter 3 describes in detail the National Park Governance. Chapter 4 depicts the four programs in significant details and according to the four scenarios. Chapter 5 explores option for financing and Chapter 6 provides planning and reporting procedures.

CHAPTER 2 – VISION, OBJECTIVE, AND INDICATORS

SECTION 2.1: A VISION FOR THE NATIONAL PARK

25. The Vision was defined in Volume I and is repeated below. Consistent with the designation decree, it looks into the medium-term future to give directions to all implementation stakeholders.

26. Vision Statement: *The NEPL --- a model National Park sustainably administered by an organized, skilled and gender-balanced staff working in partnership with other organizations, administrations and all guardian villages of the landscape --- a supportive guardian villages population aware and convinced of the interest of the park and receiving equitable benefits from sustainable tourism and other income streams generated by the park – a growing contribution to the country socio economic and cultural development and to its international image – a more secured globally significant biodiversity, a reestablished forest cover in well-connected TPZ and CUZ with wildlife steady recovering in all the TPZ and part of the CUZ -- a largely disappeared challenge from incompatible land use concessions and infrastructure.*

SECTION 2.2: SUMMARY OF THE MAIN CHALLENGES

27. Volume I of the Management Plan shows a substantial reduction of some of the National Park past challenges and therefore an increased probability to achieve its vision. This is good news for the first national park in Laos given the Government of Laos (GoL) higher socio-economic expectations (although not yet matched by an increase in budgetary commitment.)

28. While the general context is becoming more positive, some direct challenges remain critically high. The past 15 years of management has slowed, but not reversed, the decreasing trends of wildlife and natural habitat. Poaching and land encroachment, especially by cattle, remain high. Both are fueled by community response to increasingly accessible market opportunities. Table 1 below summarizes the strengths, weaknesses, opportunities, and threats. It sets the stage for the planning of implementation activities.

Table 1. Summary of the strengths, weaknesses, opportunities, and threats

Strengths	Weaknesses
-20 years of management history, facilities, equipment, staff and experience	-Inability to address squarely law enforcement challenges
-Experience in recruitment, training, and mentoring staff locally with all ethnic background	-Low education, awareness, and sensitivity of communities
	-Difficulty to coordinate all other projects and plans that occur within the NEPL landscape

	-Low government staff and national budget
<u>Opportunities</u> -Improved national policies, laws, regulations make it possible to address weaknesses and challenges -Trends of decreasing direct challenges (demography, poverty, capacity, deforestation rate, etc.) -Increased confidence by some donors in protected area sector with reasonable prospect to mobilize funds to implement the next 5-year plan.	<u>Threats</u> -Persistence of illegal harvesting of wildlife -Persistence and increase of land uses that do not conform with Land Use Plans and Zoning such encroachment by cattle and sanaam.

SECTION 2.3: THE 5-YEAR STRATEGIC OBJECTIVE

29. The National Park vision is translated into a 5-year strategic objective that seek to respond to the direct challenges identified.

30. The 5-year strategic objective: *To establish a well-staffed, organized and funded NEPL National Park administration working in partnership with other organizations, administrations and all guardian villages that has significantly decreased the challenges to the security of endangered or vulnerable wildlife in the TPZ, improved the sustainable and equitable use of forest resources in the CUZ, established additional tourism ventures and effectively mitigated the challenges from incompatible infrastructures and concessions.*

SECTION 2.4: THE FOUR IMPLEMENTATION SCENARIO

31. The Action Plan develops 4 detailed scenarios, based on different levels of funding, with a low to baseline to medium and high levels based on (a) the number of guardian villages targeted and (b) the proportion of the TPZ covered:

- Low: 40 villages and 60% of the TPZ
- Baseline: 50 villages and 70% of the TPZ
- Medium: 75 villages and 85% of the TPZ
- High: 91 villages and 100% of the TPZ

32. The map in figure 1 below sketches the areas associated with each scenario. The strategy is to deliver a full package of program activities in the “scenario area”. The villages and areas of the TPZ which are not selected to be in a scenario, would receive a level of attention of about 25% of a full program so no part of the park is left unattended.

33. The baseline level is considered the most realistic. The management team may start with a select scenario and, as funding becomes available, upgrade to a higher-level scenario.

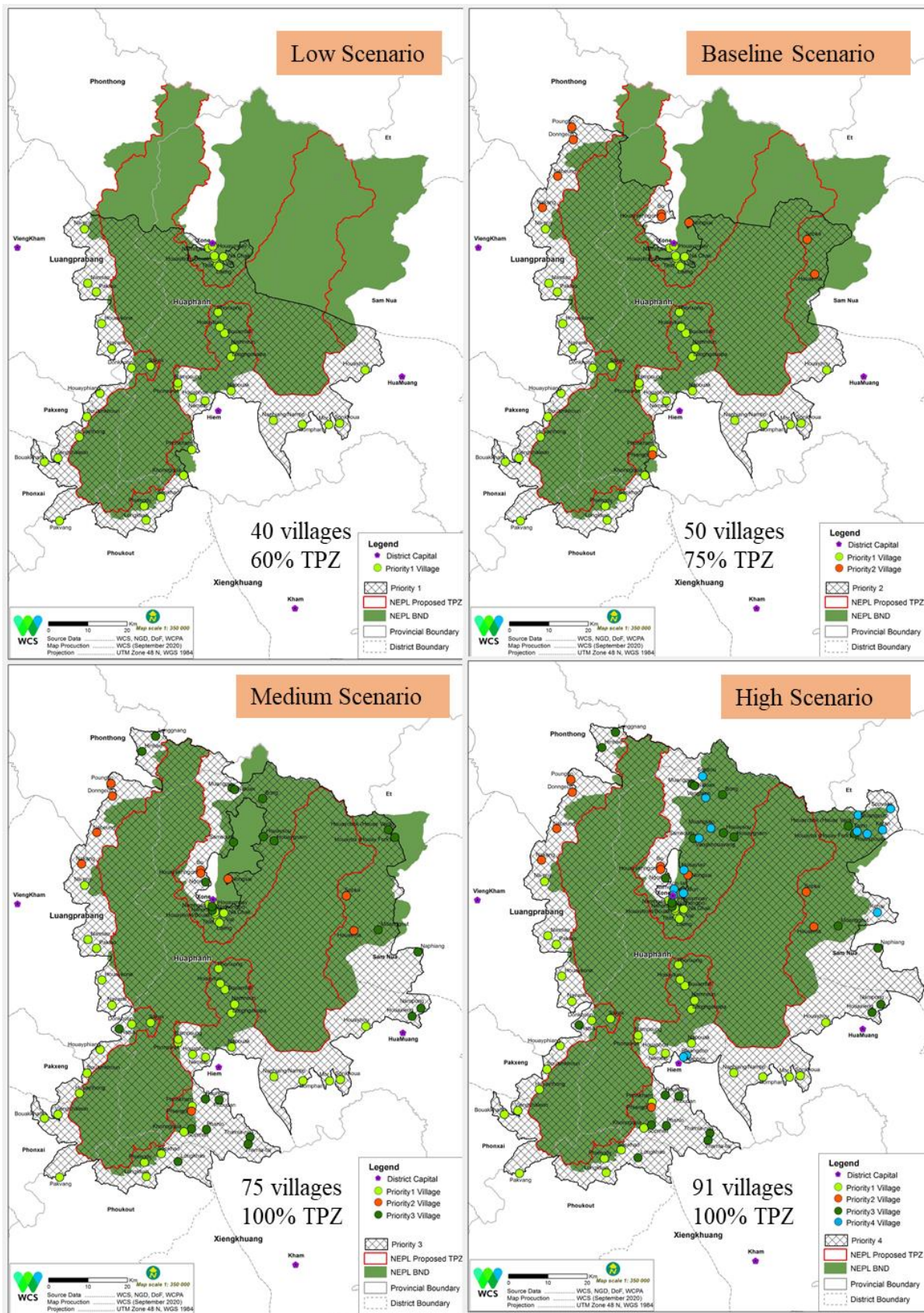


Figure 1. Map of the Focal Areas for Each Scenario

SECTION 2.5: KEY PERFORMANCE INDICATORS




34. Whether the Vision is being fulfilled is measured by impact indicators (see also Volume I).



Figure 2. The Seven Impact Dimensions



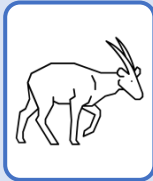

35. The Table 2 below list the indicators of the seven impact dimensions, their baselines and targets.

Table 2. Management Plan Impact Indicators

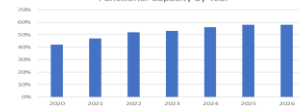
Impact dimension	Indicator	Baseline 2020 or 2021	5-year target 2026	10-year target 2031
Overall management effectiveness 	1.Score of Protected area management effectiveness by Management Effectiveness Tracking Tool (METT) (annual)	52%	58% (low case) 60% (high case)	68%
Decrease in external challenges 	2.Percentage of new ⁷ public or private investment project whose design/operation is fully compliant with the Environment and Social Impact Assessment and protected area decrees (annual)	0	40% (low case) 60% (high case)	80%
Socio-economic impact on communities 	3.Number of GV with financial flow from the NPMO greater than \$3000 per year (annual) (for GVCA compliance payment, PES payment, grants, labor, services, and goods)	0	30 (low case) 60 (high case)	60
	4. Number of households with a member whose jobs exist due to the operation of the NEPL National Park (annual)	NPMO 95 GVCO 0 Other 223 ⁸	NPMO 111 GVCO 30 Other 300	NPMO 161 GVCO 160 Other 1,200
Health of the watershed and rivers	5.Average sediment load/turbidity of 5 rivers at 2 points (TPZ and Park	<u>Baseline</u> Unknown	Measured and target set	Target achieved

⁷ "existing, proposed or planned" needs to be defined to avoid inaccuracy

⁸ Nam Nern & Phou Louey 143; Coffee producers 80. Note that there are more than 6,000 households in the 91 Guardian Villages.

	exit) (Nam Khan, Nam Et, Nam Nern, Nam Suang, Nam Xeng)			
Forest evolution 	6. Gross average 3-year forest loss rate in the TPZ, CUZ and BFZ ⁹	Baseline 2016-19 TPZ 0.1 %/yr CUZ/BFZ 1.35%/yr	Period 2024-26 TPZ 0.05%/yr CUZ 0.5% /yr BFZ 1.0%/yr	Period 2029-31 TPZ 0.0%/yr CUZ 0.1%/yr BFZ 0.5%/yr
	7. Annual emission reduction as compared to the average peak deforestation of 2007-13 (t CO ₂)	Baseline: 2014-19 188,000	Period 2020-205,000	Period 2030-31 Tbd
Wildlife evolution 	8. Trends of population & range of cats and dhole, bears, ungulates, primates in the “priority X” part of the TPZ ¹⁰ (<i>X equals 1 to 4 depending on scenario implemented</i>)	Baseline: 2016/17-20 Cats & dhole: ?, ? Bears: ?, ? Ungulate: ?, ? Primate : ?, ?	Period 2020-26 Carnivores: +, + Bears: +, + Ungulate: +, + Primate: +, +	Period 2026-31 Carnivores: +, + Bears: +, + Ungulate: +, + Primate: +, +
	9. Number among the current list of 31 present wildlife species listed by IUCN red-data list (CE, EN, VU) with confirmed presence in NEPL.	Baseline 2020 14 ¹¹	20	30
Change in tourism and other business 	10. Number of visitors paying entry fees (disaggregated by national and international)(annual)	Baseline 2019 500	800	1,600
	11. Amount of revenues collected by licenses, concessions, permits for any national park use (disaggregated by sector) (annual)	Baseline 2020 NP income: 0 GV permits. 0	NP income: 0 GV permits. 0	NP income: 0 GV permits. 0

36. The progress toward the 5-year specific objective of each Program is defined and monitored by outcome indicators as shown in Table 3 below.

Table 3. Program Objectives and Outcome Indicators				
Program specific objectives	Outcome dimension	Indicator	Baseline 2020 or 2021	5-year target 2026
The Program 1 “to organize all governance, management, partnerships, fiduciary, procurement, human resources and fundraising systems as well as to synchronize and integrate NEPL plans and activities	Governance and Administrative capacity	1.1. Score of functional capacity of NEPL Management (annual) ¹²	42% (2020) 	58% (low case) 63% (high case)
	Financial security	1.2. Amount of income and funds reserved / secured for the next 5 years	\$7.7 m (within 2 years it must increase to \$11 m to implement baseline scenario)	\$11 m (low case) \$19 m (high case)

⁹ BFZ Buffer Zone, CUZ Controlled Use Zone, TPZ Totally Protected Zone

¹⁰ Indicator must show for all species in the indicator a combined increase in population and range expansion.

¹¹ See species list in Volume I: Section 2.1 and Annex 5

¹² See template score sheet in Annex 5.

<i>with the district development plans and planning processes.”</i>	Achievement of infrastructure targets	1.3. Degree of completion of the infrastructures proposed by the Action Plan (point system)(cumulative)	0%	100% (low case) 100% (high case)
	Staff skill and performance:	1.4. Design and adoption of a simple staff evaluation system (yes/no) & percentage of staff employed by the NPMO whose score indicate a positive performance.	No, tbd	Yes, 60% (low case) Yes, 80% (high case)
	Additional training of NP and GV staff/committee members	1.5. Number of NPMO and GVCO staff (of which women) having completed at least two training short or long course.	0	80, 200 (low case) 130, 400 (high case)
	Integration with broader development plans	1.6. Percentage of projects lead by national, provincial and district administrations or sectors that operate in the NEPL NP landscape that have established a formal collaborative arrangement with the NPMO (annual)	0%	50%
<u>Program 2: to market and promote the NP to increase its national and international profile and catalyze the development of sustainable tourism business concessions in the CUZ in partnership with community enterprises, the provincial ICT office and private investors and operators.</u>	Capacity to organize tourism business	2.1. Degree of design and adoption of NP Tourism Development Business Plan and Procedures ¹³ (2 pts consultant signature, 2 pts draft Business Plan, 2 pts adoption of the plan by MAF, 2pts training workshop to all management staff, 2 pts for 1 st entry permit issues, 2 pts for 1 st license issued, 2 pts for 1 st concession signed).	0	14
	Tourism business progress	2.2. Number of tourism products or businesses facilitated by NPMO that have reached (a) concession signing or license issuing stage, (b) initiated investment, (c) started operation (cumulative)	0	6,5,4 (low case) 10,9,8 (high case)
	Popularity of NEPL on tourism markets	2.3. Number of (a) online reference and (b) social media followers	tbd	tbd
<u>Program 3: to raise the community general awareness and capacity and help them sustainably conserve and utilize the CUZ forest resources in</u>	Guardian villages engagement:	3.1. Number of villages which have a LUP consistent with the approved park zoning, a signed GVCA in conformity with the provision of the protected area decree and a GVCO (annual)	0	50 (low case) 91 (high case)

¹³ Procedures includes are to (i) identify potential tourism sites and products, (ii) attract and select tourism business investors, (iii) organize local SMMEs, (iv) set entry fee and conservation use fees and issue entry permits, (v) issue tourism operation license and sign concession agreements, (v) share profits/revenues between the park and guardian villages, etc.

<i>partnership with other projects and organizations</i>	Guardian villages compliance with CCA	3.2. Number of GV which score greater than 50% on the GVCO functionality score sheet ¹⁴ (annual)	<i>To be measured</i>	30 (low case) 60 (high case)
	Awareness building:	3.3. Number of villages primary school which have an active NEPL Club (annual)	0	30 (low case) 60 (high case)
	Contribution to legal livelihoods	3.4. Number of villages with at least 10 households engaged in alternate livelihoods compatible with the GVCAs such as NTFP, shade coffee ¹⁵ , fenced cattle, ecotourism, etc. (annual)	Tourism villages? Coffee villages?	30 (low case) 60 (high case)
Program 4.1: <i>To fully monitor and secure the TPZ and support guardian villagers managing the CUZ with a focus on deterring offenses, boundary management, law enforcement, intelligence, and data collection in partnership with the military, police and prosecutor office.</i>	National park boundary clarity:	4.1. Percentage of the TPZ and CUZ boundary clearly and unequivocally demarcated (annual)	TPZ: 0% CUZ: 0%	TPZ 80%, CUZ 0% (low case) TPZ 100%, CUZ 60% (high case)
	Patrol performance	4.2. Percentage of TPZ grid cells covered once and thrice by patrols (annual)	0	80/40 (low case) 90/60 (high case)
	Investigation and prosecution performance	4.3. Percentage of apprehensions leading to investigation report and penalty (fine, jail, damage payment) (annual)	0, 0	80, 60 (low case) 90, 70 (high case)
	Wildlife survey coverage	4.4. Percentage of the species present listed and CE, EN, VU, NT (IUCN) and Category 1 (Lao PDR) whose presence, trend, distribution, and threat is known (annual)	15% (5 out of 33)	30% (low case) 45% (high case)
	M&E capacity	4.5. Percentage of management plan indicators accurately monitored, evaluated, and used to make management decision (annual)	0	80 (low case) 100 (high case)
Program 4.2: <i>To organize and implement the National Park knowledge and science dimensions with a focus on tracking the management plan performance and stimulate external research</i>				

14 Number of guardian villages whose [NEPL-C] has reached a score of 10 on capacity scale: Score based on (a) registered with district and MU and received basic training, (b) proportional representation of social groups in the Guardian Village Forest Committees, (c) attendance to Annual Festival, (d) regularity of meeting, reactivity to issue, understanding of VFMP, (e) quality of supervision of CUZ compliance, (f) ability to relay information to villagers, (g) ability to mobilize and implement other projects (e.g. CLIPAD), (h) full committee meets once a quarter and produce minutes, (i) possess a bank account, a treasurer and can demonstrate transparency, (j) employs at least 5 guardians/village rangers.

15 In 2020, 80 households are involved in shade coffee.

CHAPTER 3 – PARK GOVERNANCE AND ADMINISTRATION

37. The NEPL National Park governance and management architecture is described in figure 3 below. It is designed in conformity with the provision of the MAF Instruction 3152, with the proposed protected area decree and guidelines on protected area management office. Its structure responds to the strategic objective of the NEPL National Park to implement each Program with an efficient and effective structure and work force.

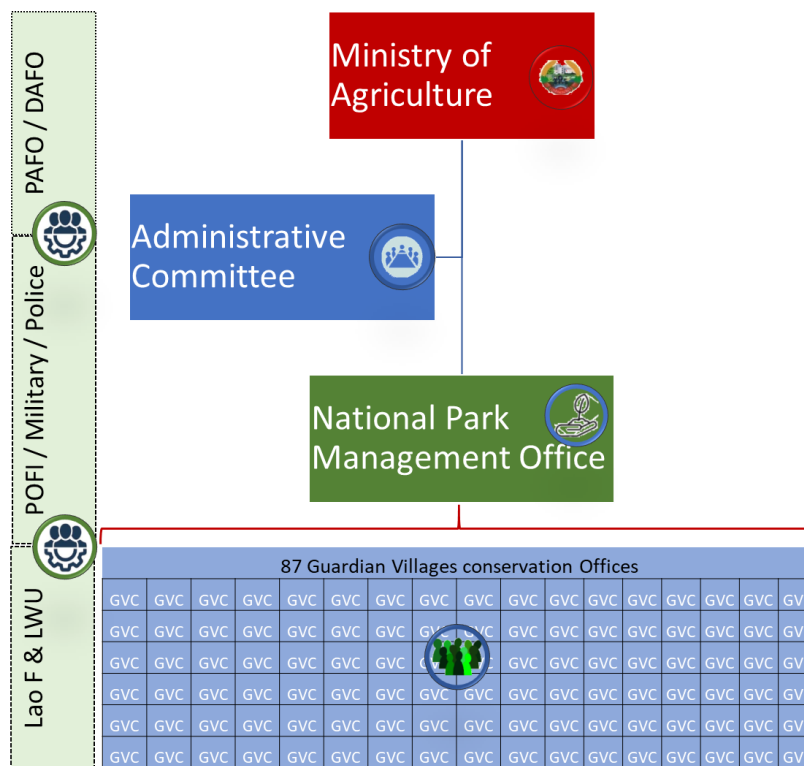


Figure 3. Governance Structure of the NEPL National Park

SECTION 3.1: THE MINISTRY OF AGRICULTURE AND FORESTRY

38. In addition to the approval of the NEPL Management Plan, the Minister, MAF decides (a) the creation of the NEPL National Park Management Office (NPMO) including the application to the Ministry of Finance (MOF) for its establishment as Technical Business Unit and the appointment of its Director, (b) the creation of the National Park Steering Committee (NPSC) including the appointment of its chair.

39. Subsequent decisions are made by the Minister, MAF or the Director, DOF, upon submission/request by the Director, NPMO (see below) and opinion/advice from the NPSC (see below).

40. The decisions and actions required from MAF or DOF are (a) the selection and appointment of the deputy directors and other management staff, (b) the approval of key documents such as the Annual Work Plans, Annual Reports, and external grants, (c) the signing of Memorandum of Understandings (MoU) or contracts with partners or firms, (d) the authorization of concessions and licenses for businesses uses in the National Park and (e) the approval the subsequent 5-year Action Plan.

SECTION 3.2: THE NATIONAL PARK STEERING COMMITTEE

41. The NEPL NPSC formulate opinions and advices to MAF, DOF and Provincial Office of Agriculture and Forestry (PAFO) on the Management Plan, Annual Work Plan, Annual Reports, any other relevant issue raised by the NPMO. The NPSC is the forum to discuss the NEPL National Park development integration in the districts and provinces as well as any land use that may challenge or support the objective of the National Park.

42. The chair of the NEPL NPSC is the deputy director of DOF and the vice chairs are the three deputy directors PAFO of Luang Prabang, Xieng Kuang and Houaphanh provinces. The secretariat is assured by the NPMO. Other members include:

- 10 representatives from Guardian Villages (1 for Pakxeng and Phonxai and 2 for Xone) selected by the Guardian village administrations - each with 2-year term;
- 10 representatives for district administration appointed by the District Governors - on a rotational 2-year term;
- 3 representatives for the Provincial Office of Information Culture and Tourism (PICT) appointed by the directors, PICTs of Luang Prabang, Xieng Kuang and Houaphanh provinces;
- 3 experts selected for their technical expertise and appointed by the Director, DOF,

43. The NPSC physically meets at least once a year to review the Annual Report and the next year's Annual Work Plan. Extraordinary meetings can be called by the chair or the director NPMO. Attendance by half of the members is necessary for the minutes of a NPSC meeting to be considered as valid, archived, and distributed.

44. The cost of the NPSC meetings is at the charge of the NPMO and follows Government regulations for such meetings. The NPSC Terms of Reference are proposed in Annex 2.

SECTION 3.4: THE NATIONAL PARK MANAGEMENT OFFICE

45. A National Park Management Office (NPMO) leads the daily management of the National Park. The NPMO has the status of Technical Budget Unit (granted by Ministry of Finance), a stamp, logo and uniform. It therefore operates with relative administrative autonomy.

46. The partnership with WCS will continue and be strengthened: the MoU with the Ministry of Foreign Affairs (2017-2021) is expected to be renegotiated and renewed for the period of this Action Plan.

47. The NPMO is led by a National Park Director appointed by the Director, DOF. The Park Director is supported by two Deputies also appointed by the Director, DOF and two advisors appointed by WCS. Together they constitute the National Park Management Team.

48. Below the Management Team, four Units are established, one Administration Unit and three Technical Unit¹⁶. Every Unit is led by a Unit Head. The four Unit Heads, and their advisors, constitute the Leadership Team. Figure 4 below illustrates the NPMO structure.

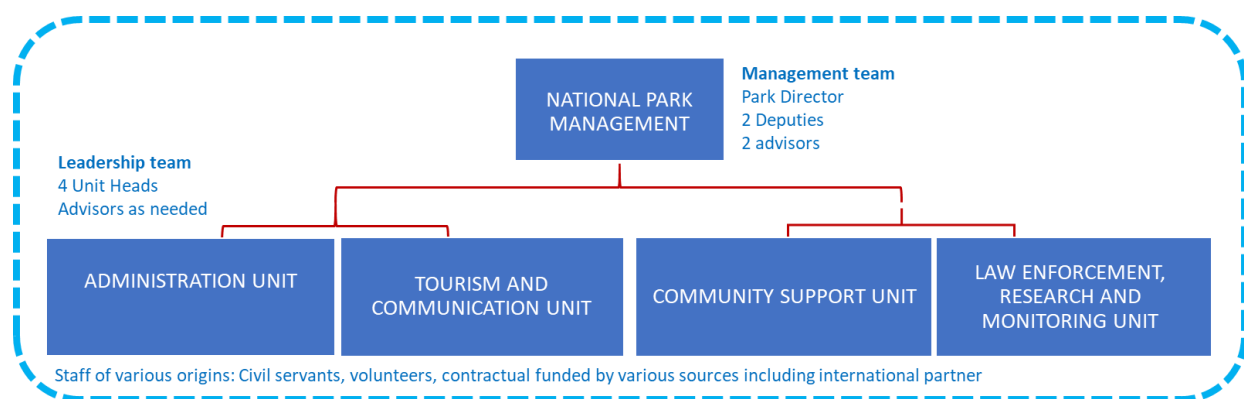


Figure 4. National Park Management Office structure

49. The Management Team selects the section heads subject to DOF endorsement. Other NPMO staff are selected by the Units based on qualifications and performance. Some are civil servants appointed by DOF, other are civilians contracted by the NPMO or WCS. More than 90% of the NPMO staff are project-funded and on contract.

50. In 2019, the Government team increased the number of permanently appointed civil servants to nine. While, structural constraint might limit additional appointment, the low case scenario targets three new civil servant appointment to fill the position of Unit heads.

51. The minimal number of PAMO permanent staff to implement a low scenario is estimated at about 78. The baseline scenario requires 84 staff while the hope is to reach about 140 staff under a high case scenario¹⁷¹⁸ by the end of the Management Plan in 2031 (see table 4 below).

Table 4. National Park work force under each scenario

Scenario	Total with partners staff	Total park staff	Management and Technical advisors	Technical staff	Volunteer and villagers	Support Staff	Partner's staff
Low	98	78	12	20	38	8	20
Baseline	115	85	14	20	40	11	30
Medium	164	120	17	28	59	16	44
High	199	144	17	34	70	22	56

* The total workforce including partners staff, at end 2020, is 87.

¹⁶ This organogram is consistent with (a) MAF Instruction 3152/2019 on NPA MU with an Administrative Unit and Technical Units which the number depends on the mandate, (b) the Guidelines on NPA Management Offices.

¹⁷ This is less than the minimum. To calculate the minimal national park staffing, the following formula may be applied: 1 ranger for 5,000 hectares of TPZ and CUZ, 1 facilitator for 5 villages both augmented by 30% for their support, supervision, and management. Under the proposed zoning – 440,000 ha and 89 guardian villages -- a reasonable number of agents working full time on the NEPL National Park would be between 140 to 200.

¹⁸ Volunteer and villagers receive a small stipend, but the bulk of their compensation comes from the daily field allowance they receive while working.

52. The staffing strategy focuses on securing leadership positions while drawing field staff from villages and district sector offices. Based on principles of collaborative management¹⁹, the NPMO will establish formal partnerships and agreements with :

- Guardian Villages by signing a Guardian Village Conservation Agreement (GVCA) with each village administration, which will define the roles, responsibility, and commitments of each. This agreement will be also endorsed by the District Office of Agriculture and Forestry (DAFO). A template GVCA is annexed to Volume 1 of the Management Plan.
- District sectors, especially DAFOs, Lao Women Union, Lao Front, the police, and the military by signing an MoU which will define the roles, responsibility, and commitments of each.

SECTION 3.5: THE GUARDIAN VILLAGE CONSERVATION OFFICES

53. By signing the GVCA, a village administration creates a Guardian Village Conservation Office (GVCO). Under the proposed protected area decree, GVCO are “protected area implementing organization” that are placed, in the village hierarchy, under the Economic Unit of the village administration.

54. Each GVCO is responsible to implement forest management activities in the village land especially in the CUZ and to collaborate with the NPMO for the protection of resources in the TPZ. A special task attributed to the GVCO is the maintenance of the TPZ and CUZ boundaries and fire prevention. The GVCO will also be the main entity for the guardian village in considering CUZ resource use requests by potential users and delivering Guardian Village permits²⁰.

55. Each GVCO will gradually build its capacity with the technical and financial assistance of the NPMO. The GVCO staffing is likely to start with village volunteers and gradually incorporate a small number of staff when revenues make it possible. Revenues may include payment by the NPMO for GVCO operations.

¹⁹ The expression “collaborative management” in this Action Plan, refers specifically about the principle or process whereby the protected area authority mobilizes other sector administration offices at the village, district, provincial and national levels to ensure coordinated efforts and share staff.

²⁰ Guardian Village permits, as per the protected areas decree refers to a modality of use by which a GVCO confers on an individual, legal entity, or organization the rights to a specified use of a protected area for public, family, or business benefit in the CUZ that is allotted to the guardian village, for a duration no longer than one-year renewable.

CHAPTER 4 - PROGRAMS

56. Volume I presented in general terms the 4-program response to direct challenges of making the 10-year vision a reality. A small number of programs helps the management system focus on the strategic priorities and stay relatively agile.

- Program 1 National park administration (oversight, planning, reporting, accounting, procurement, human resources, and financial security)
- Program 2 Tourism business development and communication
- Program 3 Community outreach, capacity building and livelihoods
- Program 4: Law enforcement, research, and monitoring

57. Each Program is guided by a 5-year specific objective tracked by outcome indicators (see also Table 3 in Section 2.5). Each Program implements both recurrent or “routine” activities” and investments activities or “special projects”.

- Routine activities. Each program includes a series of recurrent activities, basically the routine of its operation (pay salaries, purchase, and operate equipment, carry out daily tasks such as adaptive training, planning workshops, carry out office and field work, etc.). The scope of these routine activities is a direct function of budget availability and capacity of the NPMO staff and system.
- Special projects. Any activity which is considered “discrete” and / or transformational, is an investment. It is called a special project. Special projects vary greatly in size, scope, and complexity. To each special project, a level of priority is associated. A special project can be tangible (e.g., a building such as a substation) or intangible (e.g., a report such as the Tourism Business Plan).

58. In each program, the NPMO will face a choice of option when planning and conducting activities. To guide these choices, the Action Plan defines – for each program – a few approaches which are called “Orientations”. The proposed orientations are well aligned with the national policy and corresponds to the aspirations of the teams operating in NEPL in 2020.

59. A detailed budget has been calculated for each scenario. To all cost items, two contingencies are applied: (a) Lao inflation of 4% per year, (b) a 10% physical contingency. A constant Lao kip to US dollars exchange rate of 10 is applied. Detailed budget tables are provide in Annex 6 for the whole Action Plan. For each Program below, a budget summary is provided.

SECTION 4.1: PROGRAM 1 NATIONAL PARK ADMINISTRATION

Specific objective

60. The Program 1 specific objective is “*to organize all governance, management, partnerships, fiduciary, procurement, human resources and fundraising systems as well as to synchronize and integrate NEPL plans and activities with the district development plans and planning processes.*”

Strategic orientations

The Program 1 orientations are:

- Seek efficiency by pooling all support staff and manage all equipment under the responsibility of the administration Unit.
- Focus on strengthening and modernizing all NPMO procedures and increasing staff capacity;
- Centralize the procurement function of equipment and infrastructure while building the capacity for each Unit to issue specification and supervise purchase orders and contracts;
- Select most of the NPMO staff from the 10 NEPL districts, with a preference for guardian villages;
- Demonstrate and inform sector administration partners that the National Park is a development asset that can support sustainable district development as opposed to a restrictive measure.

Administration Unit: Human resources

61. Program 1 is under the responsibility of the Administration Unit and include the support to the NPMO Management Team. The number of staff is variable according to each scenario (see Table 7 and more details in Annex 1).

62. For the Administration Unit staff, the low scenario requires the current 14 staff increasing up to 31 for the high case scenario. The Administration Unit Head is currently a civil servant from DAFO; this arrangement will likely stay.

Table 5. National Park Administration Unit staffing

Scenario	Total	Management	Technical advisors	Technical staff	Volunteer	Support Staff (pooled)
Low	14	1	1	4	-	8
Baseline	16	1	1	4	-	10
Medium	26	1	1	8	-	15
High	35	1	1	11	-	22

*under the baseline scenario, the support staff are pooled and support all Sections.

Financial resources

63. A detailed budget is in Annex 6, a summary budget by scenario for Administration Unit is in Table 8. It should be noted that this budget also includes (a) the cost of the NPMO Management Team and (b) the cost of replacement of equipment for all Sections except specialized field equipment.

Table 6. Estimated 5-year Budget for the Administration Unit for 4 scenarios

Nam Et Phou Louey National Park		Low scenario				Baseline	Medium	High	Total
Expenditure Accounts by Financiers		GOV	GOV						
SECTION 1 (US\$ '000)		Budget	Payroll	WCS	LLL				
I. Investment Costs									
A. Gov staff cost									
Salary Gov Staff		0	111	-	99	269	308	67	854
Gratuity Gov staff		0	-	44	-	-	-	-	44
Subtotal Gov staff cost		0	111	44	99	269	308	67	898
B. Contractual services									
Salary TA Individual		0	-	365	-	-	-	-	365
Salary Contractual Staff		0	-	421	176	-	-	36	634
Fee ONG or Firm		0	-	-	100	-	13	-	113
Salary Labor		0	-	12	-	-	-	12	24
Subtotal Contractual services		0	-	798	276	-	13	49	1,136
C. Civil work									
Other infrastructure maintenance		0	-	-	18	-	-	-	18
D. Equipment									
Equipment Transport		0	-	-	92	210	224	210	737
Equipment Office		0	-	-	90	10	23	14	137
Subtotal Equipment		0	-	-	182	220	248	224	874
E. Training and workshops									
Training Adaptive		0	-	-	7	26	14	-	46
Workshop planning		0	-	-	23	143	2	13	180
Workshop training		0	-	-	-	26	-	-	26
Subtotal Training and workshops		0	-	-	30	195	15	13	252
F. Operating costs									
Equipment O&M and insurance		0	-	-	59	39	17	-	115
Utilities and rental		0	-	-	50	-	-	-	50
Travel		0	-	-	-	4	-	-	4
Other operations		0	-	-	12	-	-	-	12
Subtotal Operating costs		0	-	-	121	43	17	-	181
H. Special Projects									
Administration		-0	-	-	50	29	675	229	983
Business development		0	-	-	-	-	152	104	256
Community operation		0	-	-	-	-	209	433	642
Subtotal Special Projects		-0	-	-	50	29	1,035	766	1,881
Total PROJECT COSTS		0	111	842	776	756	1,636	1,119	5,241

Routine activities

64. To implement Program 1, the Administration Unit will:

- Organize the meetings of the NPSC and serve as its secretariat;
- Prepare the Annual Work Plan and Budget by consolidating the input from all Sections;
- Manage all national park accounts, revenues, and financial flows;
- Operate a new computerized financial and asset management system;
- Build the capacity of all staff to achieve fiduciary excellence;
- Organize and monitor external annual audits; and,
- Measure, analyze, and evaluate the impact indicators and outcome indicators attributed to Program 1 (see also Section 2.5).

65. To implement the procurement and maintenance of all equipment and infrastructure, its focal point will:

- support all Sections with their infrastructure needs either by helping them with the technical design (if they have the capacity) or selecting the engineers or architects that will carry out the design;

- handle the procurement of contractors. However, it is the Administration Unit who will supervise all engineers, architects, and contractors;
- Ensure the maintenance of the Hiem Headquarter building and any building under the administration Unit;
- organize the procurement of all equipment based on specifications prepared by all Sections; Sections to manage and supervise purchase orders and contracts;
- manage all equipment (except specialized field equipment) in a “pool” (see Table 10 below) including the allocation of office supplies, furniture, and computers;
- ensure the maintenance of all equipment in functioning order;
- maintain the asset register of all infrastructure and equipment;
- manages drivers including supervising safety and building capacity;

66. The NPMO has already substantial equipment. Under the baseline and low case scenario, the existing equipment will be gradually sold and replaced by new equipment.

Table 7. Quantity of the main pooled equipment for each scenario.

Scenario	Vehicles	Motorcycles	Computers
Low	7	27	54
Baseline	8	32	60
Medium	10	40	68
High	10	44	84

67. Regarding Human Resources, each Unit is responsible for leading the selection, for training and mentoring of its own staff and for monitor their performance and careers. The human resources focal point tasks are to:

- Develop the procedures for staff and consultant selection and staff management as part of the National Park manual of procedure;
- Advertise and carry out the administrative part of the staff and consultant selection process including preparing selection reports, minutes of negotiations and preparing contracts;
- Prepare staff training plan for all staff in all Sections, including partners staff working with the NPMO;
- Coordinate the implementation of the training plan by each of the Sections including mobilizing financing, assisting with the logistic of training, identifying training institutes or individual teachers, identifying scholarship opportunities, etc.
- Contribute to the design of the Law Enforcement training center and the Environmental Education School in the Xone Corridor multipurpose platform;
- Help organize the training of community members in various skills as needed;
- Support the Sections in evaluating staff performance, especially to assure a fair and standard evaluation across all Sections;

68. With the support of the Administration Unit, each Unit is responsible for coordinating its activities with the relevant district and provincial sectors and projects. The Development Integration focal point shall:

- Participate in project, district, and provincial planning fora to ensure that all such plans and project incorporate the vision of the National Park, or at the minimum does not increase its challenges. For example, the Houaphanh plan to increase the cattle herd creates a challenge for the National Park which could be discussed as part of district planning.
- Communicate with the relevant sectors to ensure compatibility in the portfolio of existing and future public and private investment projects with the National Park vision. Specifically, they

would obtain and review the impact assessments and management plans before the director NPMO clears the draft Environment and Social Certificates.

- Monitor investments and concessions, specifically these hydropower projects (Nam Nern 4, Nam Huang and Nam Khan 4), roads (Hiam to Phonsavanh), mines (quarries in the CUZ), agriculture;
- organize the cancelling of the tea concessions mistakenly granted inside the TPZ in Xone district as well as the removal of military outposts that are located inside the TPZ in Pakxeng, Hiem and Xone districts.

Investment activities

69. Four special projects are planned under Program 1 (see Table 9 below)

Table 8. Program 1 Administration: Special Projects		
Special projects	Scenario Inclusion	Budget US\$
(1) <u>Financial and revenue management system</u> : With NPMO becoming a Technical Budget Unit, and therefore managing revenues and larger budget, the NPMP will upgrade its financial management capacity by purchasing an accounting software, migrating all accounts to the system and gradually train officers in data entry, budget controls, cashflow planning, etc.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>All scenarios (top priority)</u> . This is a mandatory step to obtain fiduciary recognition by MOF and the various financiers that support NEPL.	75,000
(2) <u>National park procedure manual</u> : The NPMO is a new institution which needs to develop and adopt procedures for many of its functions such as human resources management, assets and vehicle management, procurement, etc. A consultant will draft a first manual and train the Unit heads and advisor to gradually update and improve the manual.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>All scenarios (top priority)</u> . This is an important step to increase management efficiency and to obtain credibility with the various financiers that support NEPL.	17,000
(3) <u>Unexploded Ordnance (UXO)</u> : The NEPL National Park was part of the war theater and UXO have been found in the past although not recently. This special project, may not be necessary, but may be required as tourism expands with new products and trails.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>At all scenarios or starting at baseline scenario</u> . This is reserved financing to mobilize official UXO team for investigation and/or clearance.	100,000
<u>Local Bachelor or Master Scholarships</u> : Given the orientation to favor locally recruited staff to build the NPMO, additional education opportunities are necessary. The plan is to have 1 new tested staff from the community entering a bachelor or master program at a Lao university. After 4 years, this implies that the park would permanently sponsor 4 such students.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>At all scenarios or starting at baseline scenario</u> . The leverage of scholarship fund tends to be different than other funds. The NPMO and WCS will leverage opportunities.	200,000
<u>International Master scholarships</u> : Given the orientation to favor locally recruited staff to build the NPMO, additional education opportunities are necessary. The plan is to have 1 new tested staff from the community entering an international program every two years. After 4 years, this implies that the park would permanently sponsor 2 such students.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>At all scenarios or starting at baseline scenario</u> . The leverage of scholarship fund tends to be different than other funds. The NPMO and WCS will leverage opportunities.	120,000
<u>Restoring legal land use in TPZ</u> . During consultation, it was clear that the provincial and district administration would prefer legal order in the TPZ. The issue of signed concession (e.g., tea concession) or military outpost was mentioned, and it was requested that the Management Plan addresses it.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>At all scenarios or starting at baseline scenario</u> . Illegal or incompatible uses of the TPZ is a direct challenge to the NEPL vision. This special project is of the high priority.	100,000

(4) <u>National Park Headquarter</u> : upgrade the current national park headquarter in Hiam to make it more functional and improve its access and aesthetic to a national park standard that can be suitable for the following 10 years ²¹ . Hiam is the most central location of the park. It is on a major road, has banks, guest houses, housing for staff, good communications, and a tourist stop-over area ²² .	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>Medium to high scenarios only</u> . The National Park current headquarter in Hiam is suitable under the low case scenario which does not require much increase in staffing.	140,000
(5) <u>Xone Multipurpose Platform</u> : design and gradually develop in the Xone Corridor as series of structure : (a) a law enforcement hub with office, training center and dormitories, (b) an environment awareness education center with office space, museum, classrooms and dormitories (see also under Program 3) (c) a camping ground, ablution and modest chalets and trail head for tourism and travelers (see also Program 2) and (d) a field research station (see also Program 4.2).	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>Medium to high scenarios only</u> . The establishment of the platform is a medium priority since it serves several purposes, one of which is to secure natural habitat and wildlife in the Xone corridor. But this is a substantial investment. Its design is a priority, but its development is a lesser priority. It is expected to be “organic” in function of funding availability.	670,000
<u>National Park boundary validation</u> : Under the new protected area decree, all protected area is required to validate their boundary to reduce the risk of land use conflict with other users, to ensure that park land is natural habitat, verify boundaries with other potential landowners, covert areas that no longer qualify as national park and designate new areas which do qualify as national park land;	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>In Medium and high scenarios only</u> . This task is expensive and time consuming. The management plan may progress toward the National Park vision without this being completed. There may be a national drive to achieve this which may increase its priority.	95,000
<u>National Park land registration</u> : Under the new protected area decree, all protected areas are required by law to register their land with MONRE, so they are included in the national cadaster and a title can be issued to the state. In the same vein, the community which will have residual fields in the CUZ will receive land use certificates. Once a national park title is obtained, the NPMO will place boundary concrete marker at all required locations.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <u>In high scenario only</u> . This task is likely beyond the capacity of the NPMO and requires the support from the central levels at MAF and MONRE. There may be a national drive to achieve this which may increase its priority	270,000
<u>Application to Biosphere Reserve and IUCN Green List certification</u> : The UNESCO Man and Biosphere Program appears suitable for NEPL landscape, with its well-organized zones and objectives to co-generate socio economic, cultural, and biological diversity benefits. The IUCN Green Listing is a certification of quality standard. Both international listing would help internationally document the progress of NEPL and give it a higher international standing.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <u>In high scenario only</u> . Both listings require extra effort to consolidate materials and support across wide range of stakeholders. Such initiative is less relevant to funding availability than to the common recognition of needs and value-added of these designations.	160,000

²¹ This will be gradual. A major transformation is expected once the DAFO – which currently shares the space with NPMO-- is relocated to the new government building center which is to be built in Hiam.

²² Other options considered were to build a new office building in Xone (Xone district) or in the Tadgood (Hiam District). Both options require a very substantial investment and would increase the cost national park operation without establishing a strategic advantage. .

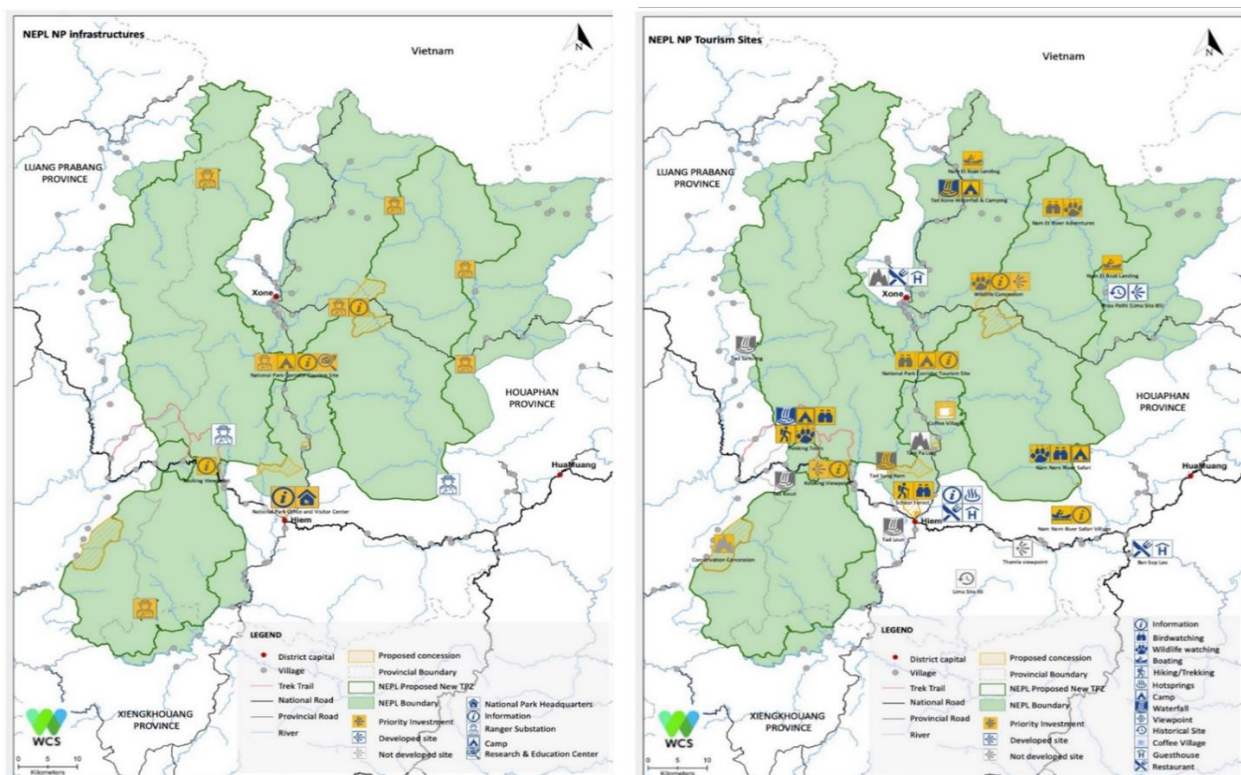


Figure 5. Map of (left) management infrastructure, (right) proposed tourism products.

SECTION 4.2: PROGRAM 2 TOURISM BUSINESS DEVELOPMENT AND COMMUNICATION

Specific objective

70. The Program 2 specific objective is “to market and promote the National Park to increase its national and international profile and catalyze the development of sustainable tourism business concessions in the CUZ in partnership with community enterprises, the provincial ICT office and private investors and operators.”

Orientations

71. The Program 2 orientations are:

- Verify and expand on the substance of this program by preparing a 10-year tourism business plan that validate the portfolio of tourism products, the marketing hypothesis and add details to these strategic orientations;
- Secure the foundation for ‘ecotourism’ growth by adopting procedures, brand, measures, practices that associate tourism to conservation outcome, attract “green and ethical investors” and deter “opportunistic developers”;
- Collaborate closely with the Provincial Offices of Information and Tourism, starting with the Houaphanh office to design and marketing of a tourism route from Samnuah;

- Prioritize and facilitates the emergence and capacity building of community-owned tourism enterprises and promote a model whereby these community owned enterprises (a) hold tourism concessions and (b) partner with tourism investors who bring capital, experience, and market linkages;
- Reduce the investment risk and attract investors, offer a scheme whereby either matching grants or low interest loans are provided to investors. The rules to access such financing will be developed in the Business Plan²³.

72. The development of tourism is neither the core culture nor experience of protected areas administrations. It is usually complex and, in the case of NEPL, especially challenging. An additional and optional strategic orientation is offered. The implementation of part of the tourism program could be outsourced to a private company. The NPMO could select -- or stimulate the incorporation of -- a tourism business development company (the company) dedicated to preparing the NEPL to become an important tourism destination. Until a critical mass of business is established, and the company can be financed through cost-recovery, it would be subsidized (the cost of this company is not included in the Action Plan budget). Such company would (a) operate independently according to private sector principles, (b) be held accountable to performance targets, (c) operate under a tourism business license, and (d) not hold any land or tourism concession.

Tourism and Communication Unit: Human resources

73. The *Program 2 on Tourism Business Development and Communication* is under the responsibility of the Tourism and Communication Unit. Under a baseline scenario, this Unit requires the current staff increasing up to 11 for the high case scenario. A Unit Head is meant to be selected among current staff be a newly appointed civil servant or . In case this appointment is not possible, a financial reallocation is necessary, to fill this essential position with a contractual staff.

Table 9. National Park Tourism and Communication Unit staffing

Scenario	Total	Management	Technical advisors	Technical staff	Volunteer / Villagers	Partners staff
Low	6	-	1	5	-	-
Baseline	9	1	2	5	-	1
Medium	11	2	2	6	-	2
High	11	2	2	6	-	2

Financial resource

74. Annex 6 provides detailed budget. A summary of the 5-year budget of the Tourism and Communication Unit is provided in Table 13 below for each of the 4 scenarios. It should be noted that this budget does not include the cost of the “optional” tourism development company (see below) but includes a provision for matching grants to attract tourism investors.

²³ Seed funding to be provided by the World Bank funded LLL project.

Table 10. Estimated 5-year Budget for the Tourism and Communication Unit for 4 scenarios.								
Nam Et Phou Louey National Park		Low scenario			Baseline	Medium	High	Total
Expenditure Accounts by Financiers		GOV	GOV					
SECTION 2 (US\$ '000)		Budget	Payroll	WCS	LLL			
I. Investment Costs								
A. Gov staff cost								
Salary Gov Staff	0	22	-	-	-	-	-	22
Gratuity Gov staff	0	-	9	-	-	-	-	9
Subtotal Gov staff cost	0	22	9	-	-	-	-	31
B. Contractual services								
Salary TA Individual	0	-	182	-	297	-	-	480
Salary Contractual Staff	0	-	45	9	-	31	-	85
Fee ONG or Firm	-	-	-	-	-	-	64	64
Subtotal Contractual services	0	-	227	9	297	31	64	629
C. Civil work								
Other infrastructure maintenance	0	-	-	6	-	-	-	6
D. Equipment								
Equipment Field	0	-	-	-	5	-	-	5
E. Training and workshops								
Training Adaptative	0	-	-	-	11	-	12	23
Workshop planning	0	-	-	2	-	-	-	2
Workshop training	0	-	12	-	8	21	-	40
Subtotal Training and workshops	0	-	12	2	18	21	12	65
F. Operating costs								
Equipment O&M and insurance	0	-	-	43	-	-	-	43
Travel	0	-	-	18	-	3	3	25
Printing and stationary	0	-	-	3	-	-	-	3
Other operations	0	-	-	-	18	-	-	18
Subtotal Operating costs	0	-	-	64	18	3	3	89
H. Special Projects								
Business development	0	-	209	224	303	254	653	1,643
Matching Grant	-	-	-	360	-	-	-	360
Subtotal Special Projects	0	-	209	584	303	254	653	2,003
Total PROJECT COSTS	0	22	457	665	642	310	733	2,829

Routine activities

75. Under Program 2, the focus will be to develop and build the capacity of the Tourism and Communication Unit to develop and monitor tourism business. The NPMO needs to satisfy the high GoL ambition for the NEPL while deterring potentially noxious investments. During the next 5 years, the Tourism and Communication Unit will focus on strengthening the NPMO procedures and increasing staff capacity. To implement Program 2, the Tourism and Communication Unit will:

- Prepare the Sections' Annual Work Plan and Budget and submit to the Administration Unit for consolidation;
- Select, support, and supervise the “company” or qualified technical assistance;
- Establish all procedures and processes to ensure that tourism is developed with principles of transparency, equity and profitability while keeping high standards of socio-economic and seeking the conservation outcomes;
- Coordinate closely with the tourism provincial offices especially in the establishment of tourism routes, tourism standards and certifications;
- Prepare and implement a national park communication strategy (web sites, social media, newsletter, posters, etc.);

- Maintain and gradually improve the existing tourism facilities at the National Park headquarter and the district tourism office;
- Build the capacity of all staff to improve skills, especially in facilitating the emergence of community tourism enterprises and training of villagers in becoming tourism guides;
- Develop and implement a communication strategy to promote the National Park with extensive use of social media tools and disseminate all information about the park, especially the Management Plan, the Annual Work Plan, the Annual Reports and technical reports, in both in Lao and English, through web posting and sharing with all districts and provincial administrations.
- Measure, analyze, and evaluate the impact indicators and outcome indicators attributed to Program 2 (see also Section 2.5).

76. Should the option for a company be adopted, in collaboration with the NPMO and provincial ICTs, the company would:

- Prepare a business plan for tourism development in NEPL National Park and for each of the pre-identified products;
- Develop standards, brand, criteria for tourism business selection, investment, operation, and monitoring in the NEPL and for the establishment of a tourism route initially from Samnuah;
- Improve the existing tourism reception and office in Hiem to cater better for an increase in tourism sale;
- Help the communities which own the Nam Nern Night Safari & Phou Louey Trail – incorporate, operate, secure, restructure and recapitalize their businesses and products while gradually improving quality and market linkages to increase profitability;
- facilitate the development of new tourism products such as, but not limited to, those listed below as “special project”, with an emphasis of community-private joint venture that maximize community ownership, benefit sharing, etc. as well as with leveraging capital investment;
- carry out destination marketing to target not only investors, but also client; as well as actively explore “green tourism” investors and tour operators capable to cater to the green Chinese market.

Investment activities

77. There are 13 special projects under Program 2.

Table 11. Program 2 Tourism and Communication: Special Projects		
Special project	Scenario Inclusion	Budget US\$
<u>1. Develop a tourism business plan for NEPL.</u> The development of tourism in NEPL requires integration into an overall product that meet the landscape needs, offer diversified experiences which add rather than compete.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>All scenarios (top priority).</u> The projects listed below all require a professional validation of design, market suitability, realism, organization, etc.	70,000
<u>2. launch and Implement tourism business plan for NEPL.</u> The implementation of tourism in NEPL requires a major technical input to ensure that all procedures are tested, all community enterprises of each product established and strengthen, that marketing is far reaching, etc. This can take the form of a dedicated company (preferred; see above) or a team assembled for this purpose for a few years.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>All scenarios (top priority).</u> This is high priority but requires additional fund raising.	500,000
<u>3. Establish a tourism route from Samnuah:</u> The “tourism route” is a virtual route, developed in collaboration with	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	125,000

the PICT. It connects sites of tourism interests with common branding and marketing and various standards. The special project consists in identifying the route, the branding and design and implement the route marketing and maintenance within the standard of the NEPL National Park. The route may gradually make Xone district a tourism hub.	<u>All scenarios or starting at baseline scenario</u> . There is strong ownership by PICT Houaphanh and good opportunity to learn to work together. A concurrence with PICT of scope, role and design is necessary.	
4. <u>Nam Nern Safari and Phou Louey trail</u> . These two products are functional one involving 14 villages and one 5 villages. While they placed NEPL on the map and have successfully helped with local wildlife increase and local staff capacity building, they are not yet profitable and require expansion, restructuring and recapitalizing.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>All scenarios (top priority)</u> . This can be carried out organically without stopping current operation.	300,000
5. <u>Energize and upgrade the School forest trail</u> This management of existing trail, which runs from the park headquarter to the Hiam hot spring, will be upgraded to a higher standard. Upgrading may include better trail head structure at both ends, additional interpretation, signs and trails.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>All scenarios (top priority)</u> . This is an easy product to improve that may convince tourists to spend an extra night in Hiam.	12,000
6. <u>Buam-fat cultural tourism</u> . This Hmong community between Hiem and the Xone corridor is easily accessible (Nam Nern and Napouak villages). They can offer a variety of products for a full-day visit including (a) shade coffee plantation, (b) archeological site with oldest human bones in Southeast Asia, (c) Tham Long Ngua Pa and Tham Hang Caves and (d) Hmong culture. The NPMO will help these two villages in developing an attractive product, install signage and train guides using a similar community institutional model as in Nam Nern safari	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>All scenarios or starting at baseline scenario</u> . The design the product and organizational set up with the communities is a priority. But the project is highly dependent on the prior paving of Hiam road. The product can be tested without much investment and possibly grow organically depending on the community interest and market response.	110,000
7. <u>Tad Kone resort</u> : This special project is strongly associated with the Nam Et river product. It requires first the restructuring and re-investing of the current Tad Kon resort by working with the current concession holder. The resort is already scenic and self-sufficient as rest areas. It would also be a departure of a white-water river adventure operation on the Nam Et river which could be held in concession by a community SMME.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>All scenarios or starting at baseline scenario</u> . It is important to start the relation with the concessionaire and assess the feasibility and possibly attract investors, recapitalize, and improve market linkages. It is highly dependent on the prior paving of Pathi road.	175,000
8. <u>Western corridor concession at Keo King</u> . This site is currently occupied by a camp of the Hiem district military. This site is on the road 1C, 35 km from Hien in a CUZ Type 1 carved out of the TPZ. The intention is to develop a rest area, possibly with coffee shop and short trail to a spectacular viewpoint on the Phou Louey mountain as well as a longer trail connecting with the current network of Phou Louey trails.	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>At Medium and high scenario</u> . This is high priority since it would help conserve the important western corridor. But it requires a business feasibility and prior agreement with the military.	150,000
9. <u>Nam Et River trail</u> : This special project is associated with the Tad Kon resort. Two river products are identified: (a) near Tad Kon a river rafting / kayaking product and (b) further downstream the Nam Et rivers calms as it crosses the northeast portion of the TPZ making possible a river adventure trail and safari. Tourism products on this portion of the river could be	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>At Medium and high scenario</u> . The design the product and organizational set up with the communities is a priority. But the project is highly dependent not only on the prior paving of Pathi road for access s and the	330,000

owned and operated by villages upstream and downstream of the TPZ.	conservation of the northern TPZ which is not the highest priority.	
<u>10. Xone corridor camp site and trail.</u> This is one of the peripheral investments at the Xone corridor multipurpose platform on the road between Hiam and Xone. It may be developed independently of the other structures of the platform. The product is meant, like the Nam Nern safari, to be community owned by four villages (Nam Nern, Long Ngua Pa, Houay Teun and Phonesong). The initial idea is to establish a camp site with ablution and a few rustic self-catering chalets as a rest stop to travelers which can grow according to the demand. The camp may be the start point of a new trail possibly to visit areas where gibbons are present.	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>At Medium and high scenario (See program 1).</u> This project could proceed ahead of the full development of the Xone Corridor platform. Most important is the completion of paving of the road to Muang Hiam .	40,000
<u>11. Tad Sang Nam tourism and conservation concession</u> This nearly 500-hectare area of wild rivers, dry forest with a spectacular waterfall and pool, is less than 30 minutes by vehicle away from to the Hiem park headquarter. It is available for a concession by a committed “green” private investor. Before a call for concession is launched, additional research is necessary to verify the feasibility and offer design options.	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>At Medium and high scenario.</u> This largely depends on the interest of investor. It is a top priority to assess the product and identify the sort of concession that would work.	75,000
<u>12. Pakxeng adventure tourism and conservation concession:</u> This nearly 5,000-hectare area of wild rivers and limestone escarpment, is adjacent to one of the highest biodiversity areas of the park. It is available for a concession by a committed “green” private investor. Before a call for concession is launched, additional research is necessary to verify the feasibility and offer design options.	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>At Medium or only at high scenario.</u> This largely depends on the interest of investor. It is a top priority to assess the product and identify the sort of concession that would work.	75,000
<u>13. Pathi Scenic Road:</u> This is a public investment to develop along the TPZ crossing along the Phati road a rest stop at the entrance gate with visitor center, rest points along the road and possibly accommodation or restaurant concession at the entrance or exit of the TPZ (and possibly access to the wildlife sanctuary when established).	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <u>Only at high scenario.</u> It requires significant investment which can probably wait for the mobilization of large funding or an investment by another project.	415,000

78. Other tourism attractions and opportunities are identified and will be reviewed when the tourism business plan is prepared (see Volume I). They may be added to a portfolio of available opportunities for investors. These include for example:

- The Dat Koud Fall on the main road: Potential rest point with nearby attractive waterfall in the TPZ (requires a concession),
- Hiem hot spring: integrate it with the Forest School trail with improvements to the pools and adding accommodation,
- Phou Phati mountain: promotion and improvement in collaboration with the military and PICT,
- Muang Hiem: facilitate private sector investment in an international standard lodges and restaurants and support to local guesthouses to promote and operate NEPL tours and improve their facilities,
- New trails: facilitate the establishment of new walking, horseback or mountain bike trails such as in from Pha Daeng to Nam Ngao across the TPZ from Viengkham to Xone districts or the “old French road” across the northern Pathi TPZ,
- Private lodge and wildlife safari in the Pathi wildlife sanctuary (see Program 4).

SECTION 4.3: PROGRAM 3 COMMUNITY OUTREACH, CAPACITY BUILDING AND LIVELIHOODS

Specific objective

79. Program 3 specific objective is “to raise the community general awareness and capacity and help them sustainably conserve and utilize the CUZ forest resources in partnership with other projects and organizations.”

Strategic orientations

80. The Program 3 orientations are:

81. Proximity. Increase staff proximity to guardian villages. The NPMO will deploy one facilitator for 5 guardian villages. Each facilitator will reside in one of the 5 villages. They will be supported by supervisors; one for 4 or 5 facilitators. The leaders will, when logistically possible, be posted in the DAFO office in the district capitals.

82. Broad and diverse outreach. Deploy the outreach team, methods and messages to guardian villages as well as to villages with no land in or adjacent to the National Park but which residents affect or depend on park resources (26 such villages are identified so far.)

83. Conservation-compatible livelihood. Gradually grow GVCO revolving funds in each guardian village using all possible sources of revenues for GVCO to offer increasingly substantial loans to promoters of conservation-compatible businesses and livelihood schemes, starting with the most vulnerable villagers and with the specific priority to find alternatives to cattle encroachment (see also EMC, 2020)

The Guardian village annual festival.

Part of outreach, this festival is an innovative approach to helping the Guardian Villagers understand and contribute to the “big picture” management of the NEPL landscape. It is intended as a festive annual event organized by NPMO to share information, exchange experiences, and discuss issues include which to bring to the attention of the NPSC. The festival should be attended by at least two representatives of each Guardian Village (seeking gender parity) - The festival may be the opportunity for villages to select who will represent them in the NPSC. Given its cost and the effort required to organize the event, the festival is expected to be organized under a medium to high scenario.

Community Support Unit: Human resources

84. The Program 3 on Community outreach, capacity building and livelihoods is under the Community Support Unit. Starring by scenario is summarized in Table 16 and more detailed in Annex 1.

85. Under a low case scenario, the Community Support Unit requires the current 17 staff. The number of staff would increase to 39 for the high case scenario. A Unit Head is meant to be selected among current staff be a newly appointed civil servant or . In case this appointment is not possible, a financial reallocation is necessary, to fill this essential position with a contractual staff.

Table 12. National Park Community Support Unit staffing

Scenario	Total	Management	Technical advisors	Technical staff	Volunteer / Villagers	Partners staff*
Low	17	1	1	15	-	-
Baseline	19	1	1	17	-	-
Medium	26	1	1	24	-	-

High	31	1	1	29	-	-
------	----	---	---	----	---	---

*Partners staff – especially DAFO, Lao front, Lao Women Union – are mobilized for each field mission. Since they are not allocated full time to national park work, their number does not appear in the table of the full-time workforce.

Financial resources

86. Detailed budget tables are provide in Annex 6. A summary of the budget that the Community Support Unit is expected to implement is provided in Table 17 below. It should be noted that this budget includes direct payments of grants to Guardian Villages.

Table 13. Estimated 5-year Budget for the Community Unit for 4 scenarios

Nam Et Phou Louey National Park					Baseline	Medium	High	Total
Expenditure Accounts by Financiers								
SECTION 3 (US\$ '000)								
	GOV Budget	GOV Payroll	WCS	LLL				
I. Investment Costs								
A. Gov staff cost								
Salary Gov Staff	0	44	17	-	-	-	-	61
B. Contractual services								
Salary Contractual Staff	0	-	294	132	17	68	66	577
Fee ONG or Firm	-	-	-	-	-	-	63	63
Subtotal Contractual services	0	-	294	132	17	68	129	640
D. Equipment								
Equipment Field	0	-	-	40	150	13	-	203
E. Training and workshops								
Training Adaptative	0	-	-	31	-	11	6	48
Workshop planning	0	-	-	4	12	-	61	76
Workshop training	0	-	-	-	-	-	17	17
Subtotal Training and workshops	0	-	-	34	12	11	84	141
F. Operating costs								
Equipment O&M and insurance	0	-	-	47	39	-	-	86
Community operation	0	-	280	347	222	565	809	2,222
Other operations	0	-	-	6	-	-	-	6
Subtotal Operating costs	0	-	280	401	261	565	809	2,315
G. Community Grants	0	-	-	331	739	172	199	1,442
H. Special Projects								
Community operation	-0	-	621	-	324	131	213	1,289
Total PROJECT COSTS	0	44	1,211	939	1,503	960	1,434	6,090

Routine activities

87. The next 5 years, the Community Support Unit will focus on building its procedures and staff capacity to conduct the following tasks:

- Prepare the Unit Annual Work Plan and Budget for submission to the Administration Unit for consolidation.
- Outreach. The NPMO outreach team will pursue outreach on three fronts: (1) to disseminate the National Park zoning, regulations and any information that is necessary for villagers to make decisions, (2) to inform the general adult population on the rationale, opportunities, and constraints of the NP, and the roles and rights of guardian villagers through proximity meetings, radio and village speaker shows, etc., (3) to reach out to the children through stimulation of “NEPL clubs” and ultimately in-situ park experience in the Xone corridor education center. The latter are transformational investments to be supported by “special projects” of various priorities, (4) organize the Annual Guardian Village festival and establish a reward system for performing individuals and villages.
- Stage-2 national park zoning and village Land Allocation Planning. In collaboration with DONRE and DAFOs as well as with projects that may support this process, the NPMO, will lead

concomitantly (a) stage-2 of the zoning revision process and (b) the participatory updating of the LUPs in all guardian villages. This process is now standard in Lao PDR. In a protected area, this process also entails for the community and the National Park to confirm the zoning of the National Park and how the Totally Protected Zone (TPZ), Controlled Use Zone (CUZ) and Buffer Zone (BFZ) overlap with the village administrative territory. A subsequent step (normally carried out once a GVCO is established) is the participatory design of the Village Forest Management Plan (VFMP) and possibly, on a case-by-case basis, a finer planning of the CUZ management and uses. In some cases, provided a budget is available, the NPMO may lead stage 3 of the LUP which is to the family-level land allocation.

- Guardian Village Conservation Agreement (GVCA). The NPMO, working with the village administration of the 91 potential guardian villages, will lead the negotiation with the village administration to draft GVCAs. The GVCA is based on the template in Annex 3 of Volume I. It describes the roles, responsibilities and commitment of the village administration and the National Park office in the management and use of the part of the National Park that overlap the village administrative land. The GVCA leads to the commitment by the village to establish a GV Conservation Office (GVCO) and achieve compliance and management results and the National Park office to support and reward this with technical assistance and funding. Once drafted the GVCA is signed by the village administration and the director, DAFO. The GVCO may be amended from time to time upon agreement by all parties.
- Guardian Village Conservation Offices. The village administration with the assistance of the NPMO will establish a GVCO. The GVCO board would include representatives of all village administration units²⁴. Additional members would be invited to ensure gender and ethnic parity for fair and equitable representation of the village community. Each GVCO will need to open two bank accounts: (a) one for its operation, (b) one as a revolving fund to support a micro-credit scheme. The NPMO will then organize a series of training to help the GVCO develop its capacity. The NPMO field facilitator then remains in weekly contact with each GVCO to accompany them with their tasks.
- Managing the CUZ of type 2 (collaboration between the Community Operation and Field Operation Sections). The GVCO will receive technical and financial support (through their operation account) from the NPMO to plan the management of the CUZ on their territory and the use of its natural resources. Managing the CUZ includes (a) marking the boundaries of both the TPZ and CUZ, (b) protecting wildlife and natural habitat and (c) developing use plans for NTFPs, tourism and others, and (d) issuing and monitoring Guardian Village Permits to users. Support to the GVCO to manage the CUZ will be provided in the order of priority, to guardian villages closer to the TPZ and/or having acute conflicts with the Park.
- Payment to Guardian Villages. Various payments schemes are expected to become available to GVCO. Some schemes will be processed according to the rules of supporting projects²⁵. This management plan advises to support schemes that are based on (a) capacity building of, and support to, the GVCO to manage the CUZ and its uses based on the GVCA and the VFMP, (b) payment based on verified conservation performance of the GVCO based on the GVCA and the VFMP with such payment made to a revolving fund, and (c) specifically payment made to base on the verified maintenance of the boundary trail and signage of the TPZ and CUZ.
- Support to micro-credit scheme. The NPMO will help build the capacity of the GVCO in providing loans from the revolving fund to guardian villagers for conservation-compatible livelihoods value chains and community-owned businesses with an initial focus on those livelihoods that contribute to alternative to cattle encroachments;

²⁴ Some of the unit heads are already receiving salary from government which is a better incentive to participate.

²⁵ For example, the World Bank LLL project will have \$10,000 reserved for a GV with \$2000 as a grant to poorest families at the beginning of engagement and \$8,000 as a grant to a revolving fund. The GCF/GIZ FLL will pay \$4,000 at the GVCA subsidiary agreement signature and then, based on forest criteria performance, an additional amount, (c) the KfW-funded Village Forest Management Project also include village payment.

- Monitoring and evaluation: The Unit will measure, analyze, and evaluate the impact indicators and outcome indicators attributed to Program 2 (see also Section 2.5).

Investment activities

88. Four special projects are planned under Program 3. Their goal is to supplement the “routine” business of engaging guardian villages by addressing specific community livelihood issues or needs through the stimulation of a green economy in the CUZ and BFZ that is compatible with the National Park vision.

Table 14. Program 3 Community outreach, capacity building and livelihoods: Special Projects

Special projects	Which Scenario will be it included in	Budget (US\$)
<u>Increasing compatibility between cattle value chain and national park vision</u> : A major challenge to the National Park is the cattle grazing practices that contribute to forest degradation. This responds to a provincial policy to increase the provincial herds to supply the Vietnamese and Chinese markets. The value chain will be analyzed in details and technical solutions that are feasible and adapted to local capacity will be developed. As law enforcement increases, the cattle owners will be offered incentive and technical support to establish their herds in the CUZ and BFZ areas that are designated for cattle (extensive range use) or in farmland (fenced enriched pasture). --- <i>Livestock support. Given the importance of livestock, and their invasion of parts of the TPZ, an important line of work will be to organize areas where the cattle's currently in the TPZ can be relocated. A specific strategy to organize this dimension needs to be developed (see also EMC, 2020).</i>	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>At all scenarios or starting at baseline scenario.</u> Cattle encroachment is one of two highest direct challenge to the NEPL vision. This special project is of the highest priority.	660,000
<u>Alternative livelihood through NTFPs and conservation agriculture value chains</u> : The NPMO will stimulate NTFP and conservation agriculture value chains, with an initial focus on shade coffee (in degraded areas of the BFZ) and diversification to commodities with market values such as red mushrooms, wild tea, etc. The NPMO will develop such support based on the community interest, potential for sustainable production, availability of market and availability of financing. As much as possible, financing of the beneficiaries will transit through the revolving fund account.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>At all scenarios or starting at baseline scenario.</u> Communities, the administrations, and donors are expecting the park to support alternative livelihood. While this is important, it would be more effective once the NPMO has established a working relation with the guardian villages. The NPMO will take an opportunistic approach to livelihood. If a financier wishes to support livelihoods, the NPMO will ensure that such support is directed to the most relevant communities.	340,000
<u>Establish NEPL clubs in primary schools</u> . Over time, all villages in the primary school of the NEPL landscape, will be invited to establish NEPL clubs. The NPMO will develop small curriculum and activities for each club and train teachers and villagers to facilitate and energized attendance, especially girl attendance.	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>Medium to high.</u> The regular adult outreach activities will continue. Reaching the children with a conservation message is important over the long term. This activity can therefore wait for the additional financing and capacity it requires for implementation.	140,000

<u>Development of Xone Corridor Environment Education Center:</u> This is one of the peripheral investments at the Xone corridor multipurpose platform on the road between Hiam and Xone. It may be developed independently of the other structures of the platform. The center aims to provide a location for the 100+ primary schools (and secondary schools) of the NEPL National Park landscape for teachers and children to receive a “contextualized” environment education and exposure to the park and its challenges. The objective is to ensure that all children of the landscape are exposed, at least once, to the park. The center is likely to have a small office, classrooms, dormitories, kitchen, and restaurant. Staffing would first be the NPMO outreach staff rotating. Cost recovery would be attempted by offering the program to private schools for a fee.	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>Medium to high.</u> This can only be developed with the same level of priority than the Xone Corridor Platform (see Program 1)	200,000
---	--	---------

SECTION 4.4: PROGRAM 4 LAW ENFORCEMENT, RESEARCH, AND MONITORING

Law Enforcement, Research and Monitoring Unit: Human resources

89. The *Program 4 on Law enforcement, research, and monitoring* is under the responsibility of the Law Enforcement, Research and Monitoring Unit. It is divided in two subprograms: (1) program 4.1. Law enforcement, (2) program 4.2. Research and monitoring.

90. The Table 20 below summarize the staffing required. Annex 1 provides more details. Under a baseline scenario, the Law Enforcement, Research and Monitoring Unit requires the current 36 staff increasing up to 68 for the high case scenario. A Unit Head is meant to be selected among current staff be a newly appointed civil servant. In case this appointment is not possible, a financial reallocation is necessary, to fill this essential position with a contractual staff.

Table 15. National Park Law Enforcement, Research and Monitoring Unit staffing

Scenario	Total	Management	Technical advisors	Technical staff	Volunteer / Villagers	Partners staff*
Low	56	1	1	5	29	20
Baseline	64	1	1	5	29	28
Medium	98	2	1	7	46	42
High	122	2	1	9	56	54

*Unfortunately, POFI is too short on staff to appoint staff to the NPMO (e.g., Luang Prabang has 20 staff to cover 13 districts). They can assist with serious crime investigation and prosecution monitoring.

Financial resources

91. Detailed budget tables are in Annex 6, a summary is in Table 21 below.

Table 16. Estimated 5-year Budget for the Law Enforcement, Research and Monitoring Unit for 4 scenarios

Nam Et Phou Louey National Park Expenditure Accounts by Financiers SECTION 4 (US\$ '000)	Low scenario				Baseline	Medium	High	Total
	GOV	GOV	WCS	LLL				
	Budget	Payroll						
I. Investment Costs								
A. Gov staff cost								
Salary Gov Staff	0	66	24	-	-	-	-	90
B. Contractual services								
Salary Contractual Staff	0	-	264	162	39	144	129	737
Fee Consultant Individual	0	-	-	-	-	27	-	27
Fee ONG or Firm	-	-	-	-	-	-	63	63
Subtotal Contractual services	0	-	264	162	39	172	192	828
C. Civil work								
Building maintenance	0	-	-	29	6	-	-	35
D. Equipment								
Equipment Field	0	-	27	76	26	40	33	202
E. Training and workshops								
Training Adaptative	0	-	25	-	5	27	12	69
Workshop planning	0	-	-	0	6	0	-	6
Workshop training	0	-	47	-	-	23	23	94
Subtotal Training and workshops	0	-	71	0	11	50	36	169
F. Operating costs								
Equipment O&M and insurance	0	-	51	47	-	15	-	113
Travel	0	-	-	-	7	-	-	7
Patrol operation	0	-	746	284	235	689	-	1,955
M&E operations	0	-	122	-	59	38	-	218
Other operations	0	-	-	4	2	-	-	6
Subtotal Operating costs	0	-	919	335	303	742	-	2,300
H. Special Projects								
Field operation	0	-	222	273	226	249	998	1,968
Total PROJECT COSTS	0	66	1,527	876	611	1,253	1,258	5,591

PROGRAM 4.1 LAW ENFORCEMENT

Specific objective

92. The Program 4.1 specific objective is “*To fully monitor and secure the TPZ and support guardian villagers managing forests in the CUZ with a focus on deterring offenses, boundary management, law enforcement, intelligence, and data collection in partnership with the military, police and prosecutor office.*”

Strategic orientations

93. The Program 4.1 orientations are:

94. National Park protection. The Field Operation Unit implements a deterrent strategy with a mix of approaches. For field operations, the NPMO relies on (a) substation teams, (b) mobile teams and (c) response teams. Each team, in addition to carrying out law enforcement surveillance, collects wildlife and “threat” data. Such data is entered in a database called SMART²⁶ for analysis. The analysis is used by the intelligence team to improve the efficiency and effectiveness of the patrol work. See also Table 22 below for patrol scenario.

²⁶ SMART Spatial Monitoring and Reporting Tool

Table 17. Type of patrol team and level of priority

Type of patrol team	Number of teams according to different scenarios
<u>Substation teams.</u> Such stations are placed at the most strategic location where local conditions for wildlife recovery are strategically important (e.g., a wildlife tourism areas). Substations will be watched by 6 agents of mixed origin (park rangers, soldiers, villagers) who carry out long and short patrols from the substation.	<ul style="list-style-type: none"> – Low: 2 (Nam Nern / Phou Louey) – Baseline: 4 (+2 on Phati road) – Medium / high: 6 (+ 2 on Nam Et) (evolving priorities may lead to positioning substation is other locations)
<u>Mobile team.</u> Team of 4 agents, of mixed origin (park rangers, soldiers, villagers), are dropped at strategic location determined from the analysis of intelligence and field reports. They are very mobile and usually travel from drop zone to a pickup zone.	<ul style="list-style-type: none"> – Low: 6 – baseline: 8 – Medium: 10 – High: 12
<u>Response team.</u> A team of 4 agents of mixed origin (park rangers, police officers), is ready to intervene based on a call for support from a mobile or substation team or from an information or intelligence report.	<ul style="list-style-type: none"> – Low / baseline: 1 – Medium / high: 2

95. The main protection strategy will be to deter wildlife poaching in the TPZ. This is because the main biodiversity value of the NEPL is the presence of endangered and vulnerable wildlife species. In addition, the NPMO will strengthen its capacity to protect the natural habitat from fire, agriculture and cattle encroachment inside the TPZ. In the future, while the priority will continue to be prevention and negotiation, the NPMO will begin enforcing the encroachment regulations more strictly. Fire and cattle litigation will focus mainly in the Xone and Samnuah districts. Agricultural litigation will start in: (i) Nam Ngao (small and recent), (ii) Huay Yom (small and temporarily managed), (iii) Sakok (substantial and conflictual) and (iv) Xone corridor (old paddy field in sensitive location to be resolved as part of the development of the Xone Corridor Platform.)

96. Investigation and prosecution. The appointment of officers with investigation authority in the NPMO staff will transform the capacity to enforce the park regulations (See Annex 2 in Volume I). The officers will be tasked to prepare investigation reports for the NPMO investigation committee. The NPMO director will establish an Investigation Committee. The Investigation committee should be small and limited to NPMO staff for confidentiality reason but may reach out to other investigation agencies. The Investigation Committee will meet when necessary, to review investigation report and decide whether a case will be administratively litigated in the district court or sent to the prosecutor and whether reparation damages will be pursued.

97. Boundary and infrastructure. This work is considered investment, at least during the period of the Action Plan and until it becomes routine. The Field Operation Unit will organize and oversee these special projects (see below).

98. CUZ management. The Field Operation Unit, in collaboration with the Community Operation Unit, will work with the GVCO to help them build the capacity to plan and manage the natural resources in the CUZ. Initially the focus will be on boundary management (see special project below) and gradually includes wildlife and habitat protection and management. The patrol teams of the Field Operation Unit will carry out boundary patrols to verify the maintenance of boundaries and monitor encroachment (compliance triggers payment as per Section 4.3)

Routine activities

99. Under program 4.1, the focus will be to strengthen the capacity of NPMO to:

- Prepare the Sections' Annual Work Plan and Budget and submit to the Administration Unit for consolidation;
- Protect and manage the National Park wildlife and natural habitat especially in the TPZ through improved intelligence, prevention, detection, investigation, and prosecution;
- Help and fund the GVCO to establish and maintain TPZ and CUZ a boundary trail and signage ;
- Support and build the capacity of GVCO to manage the CUZs and organize the use of natural resources;
- Collect patrol data, and carry out investigations, on the threats and distribution of wildlife and increase the knowledge on red-listed species, especially presence, distribution, threat and trend;
- Measure, analyze, and evaluate the impact indicators and outcome indicators attributed to Program 4.1 (see also Section 2.5).

Investment activities

100. Five special projects are planned under Program 4.1.

Table 18. Program 4.1 Law Enforcement: Special Projects		
Special projects	Which Scenario will be it included in: Scenario: Low (high priority) - baseline - medium - high (low priority)	Budget US\$
<u>1. Scale up intelligence and investigation.</u> This project will help the NPMO establish a modern intelligence gathering system and investigation through provision of technical assistance, training of investigators, modern equipment, and IT technology.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>Low.</u> Increasing success in law enforcement (and crime prevention) cannot improve without an intelligence capacity.	220,000
<u>2. Demarcate TPZ and CUZ boundaries:</u> This special project will be coordinated by the NPMO but implemented through performance contracts with the guardian villages (~20 million kips per year per village). The objective is to open a forest trail and install light information signage around the entire TPZ and CUZ and maintain both annually.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>Baseline to low.</u> This can be achieved with villages with which the park has a working relationship. The priority boundary will be of the areas selected for highest priority.	900,000
<u>3. Build up and establish substations:</u> With the northern extension of the TPZ and the plan to develop tourism safari and adventure in the Nam Et, the NPMO will require to increase resources protection where the Nam Et enters and exits the TPZ. Other substations are planned in the TPZ near Pakxeng/Phoukhout/Phonxai and one in the TPZ in Phonthong district.	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>Medium.</u> These substations are positioned in an important area which can only be covered and manned once the challenges in the highest priority areas are well addressed.	55,000
<u>4. Resources protection base camp.</u> A law enforcement base camp is planned in the Xone corridor integrated platform. The rational is to regroup all LE staff in isolation and provide “esprit de corps” and skill development. The corridor as training ground for LE, will become exceptionally well protected. All Law enforcement staff, including leaders, will stay at the camp which, with dormitory should accommodate about 80 staff. The camp would include office space, classrooms, dormitory and sport facility.	<u>See Program 1.</u>	See Program 1
<u>5. A fenced wildlife sanctuary</u> will be developed for the NEPL NP near the western Pathi road gate . First in Lao, the objective is dual (a) to serve as experiment and skills development area in intensive skills of wildlife management using non-threatened species such as most	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <u>High.</u> It is important but not urgent to develop wildlife reintroduction capacity in Laos and start reintroducing	800,000

deer species, (b) prepare the sanctuary for the reintroduction of species that have disappeared from the NEPL such as the gaur. The sanctuary will be developed as a “special project”. At some point, the sanctuary may become a standard “driving” or horse safari” product.	species that have been extirpated. But this is an expensive proposition that can only be implemented once other higher priorities are addressed.	
--	--	--

PROGRAM 4.2 RESEARCH AND MONITORING

Specific objective

101. Program 4.2 specific objective is “*to organize and implement the National Park knowledge and science dimensions with a focus on tracking the management plan performance and stimulate external research*” in all 4 programs.

Strategic orientations

102. Program 4.2 orientations are:

- The collection of field data by staff of the NPMO is primarily to monitor the indicators associated with the objective of the management plan and inform management decisions and secondary to advance science through publication;
- The collection of data with the primary objective to support research and publications is meant to be carried out by staff from, or contracted by, universities and research organizations and guided by a research strategy ;
- All research within the boundary of the NEPL requires a research permit issued by the NPMO for a fee, must be vetted and translated in Lao language before publication and posted in the NEPL website.

Routine activities

103. The Program 4.2 team main tasks are to:

- Support all Sections in designing their monitoring system and collecting data to measure their impact and outcome indicators;
- Train, and upgrade the skills of its staff, on GIS, SMART data analysis, camera trapping, etc.
- Organize and carry out the data collection and monitoring of field impact and outcome indicators attributable to Program 4;
- Carry out spatial data analysis and produce the relevant maps for field work (e.g., deforestation rates) and for reports;
- Draft the monthly, quarterly, and annual reports by consolidating information and data on activities, results, expenditures from all Sections (see also Chapter 6 below);
- In implementation of a Research Strategy (see Special Project below), stimulate research by fund raising and reaching out to external research institutions and universities, on subjects that are relevant to achieving the vision for the National Park;
- Organize the management of knowledge and information by developing and maintaining an archive database online and a library with lao-language resources.

104. The ecological monitoring focal point is especially tasked with the monitoring of complex field indicators which require specific data collection such as those listed below:

- Terrestrial Wildlife monitoring will continue to be carried out using camera-trap data collection campaigns. In the next years, data collection will expand, and analysis will become more systematically used for documenting the performance of the impact indicators.
- Other wildlife monitoring. Data on some of the NEPL species on the endangered list is not captured by camera traps. Additional method will be developed to detect, at least the presence/absence of these species. This can take the form of specific surveys (e.g., white cheeked gibbon) or chance encounters in patrols (e.g., on turtle species).
- Forest, deforestation, and carbon emission monitoring. This will be carried out annually using satellite images by the GIS team supplemented by data analysts, especially for CO₂ emission calculation (working with the REDD+ office). In addition, once every five years a full analysis of the land use cover (vegetation map) will be produced to assess finer trends in changes of habitat.
- Surface water monitoring will focus on measuring the variation on turbidity on the 5 main rivers as they exit the TPZ and then exit the National Park (or the landscape). The NPMO team will organize a team of 5 monitors, distribute equipment for monthly sampling of river water and determine turbidity (using turbidity meter).

Investment activities

105. Three special projects are planned under Program 4.2

Table 19. Program 4.2 Research and Monitoring: Special Projects		
Special project	Which Scenario will be it included in: Scenario: Low (high priority) - baseline - medium - high (low priority)	Budget US\$
<u>1. Establish the status of vulnerable and endangered wildlife</u> . This project will help the NPMO review the existing bibliography as well as carry out some field work to determine with additional accuracy the status of the NEPL endangered and vulnerable wildlife and advise on how to improve monitoring to report on the status and trend at least on of most species listed as VU, CE or EN on the red list.	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>Baseline</u> . The main rationale for protecting NEPL is its large list of viable population of vulnerable and endangered species, the ecological monitoring will become adapted to be able to report on whether the management prescriptions	150,000
<u>2. Develop a research strategy</u> . This project will help the NPMO prepare a strategy for conducting research in the National Park. Until now, most research has been conducted through analysis of data collected by WCS, or WCS-sponsored students mostly on wildlife. With the NEPL becoming a more ambitious national park, there is a need to open it to more and broader research topics (i.e., including agrarian, socio economic, policy research topic, etc.), close knowledge gaps of several taxa (e.g., plants, fish, insects), understand better some challenges (e.g., invasive alien, climate change) and possibly develop agreement with national and international research institutions and universities ²⁷ .	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <u>Medium</u> . While this is important, it is more a medium-term endeavor which will be initiated when financing is sufficient.	75,000
<u>3. Develop a field research station</u> : In the Xone corridor multipurpose Platform, if it is confirmed as important by the research strategy, the idea is to also develop a field research station with office space, laboratory, and dormitory.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <u>High</u> . This is an addition to the Xone Platform, which necessity needs confirmation based on more information on species status and research strategy.	115,000

²⁷ The literature on NEPL is rich in research topic ideas. Davidson (1998) list of research topic is an excellent starting point.

CHAPTER 5 – COSTS AND FINANCING OF THE ACTION PLAN

106. Because funding for protected area is scarce, the management plan has set four scenarios, from a critically low but secured scenario (low case) to a generous and ambitious scenario (high case scenario) through a “baseline” and “medium case” scenario. The baseline scenario is considered the most realistic. Table 21 and 22 below indicates the cost of each scenario.

Table 20. Estimated 5-year Budget by Scenario and Program								
Nam Et Phou Louey National Park Components by Financiers (US\$ '000)	Low scenario				Baseline	Medium	High	Total
	GOV	GOV						
	Budget	Payroll	WCS	LLL				
1. National Park Administration	0	111	842	776	756	1,636	1,119	5,241
2. Business and public relations	0	22	457	665	642	310	733	2,829
3. Community engagement operation	0	44	1,211	939	1,503	960	1,434	6,090
4. Field operations	0	66	1,527	876	611	1,253	1,258	5,591
Total PROJECT COSTS	0	242	4,038	3,255	3,512	4,159	4,544	19,751
Low Scenario	0	242	4,038	3,255				7,540
Baseline scenario	0	242	4,038	3,255	3,512			11,050
Medium scenario	0	242	4,038	3,255	3,512	4,159		15,210
High scenario	0	242	4,038	3,255	3,512	4,159	4,544	19,750

Table 21 . Estimated 5-year Budget by Scenario and by Expenditure Category

Nam Et Phou Louey National Park Expenditure Accounts by Financiers (US\$ '000)	Low scenario				Baseline	Medium	High	Total
	GOV	GOV						
	Budget	Payroll	WCS	LLL				
I. Investment Costs								
A. Gov staff cost								
Salary Gov Staff	0	242	41	99	269	308	67	1,027
Gratuity Gov staff	0	-	53	-	-	-	-	53
Subtotal Gov staff cost	0	242	95	99	269	308	67	1,080
B. Contractual services								
Salary TA Individual	0	-	547	-	297	-	-	844
Salary Contractual Staff	0	-	1,023	479	56	244	231	2,032
Fee Consultant Individual	0	-	-	-	-	27	-	27
Fee ONG or Firm	0	-	-	100	-	13	191	304
Salary Labor	0	-	12	-	-	-	12	24
Subtotal Contractual services	0	-	1,582	579	353	284	434	3,232
C. Civil work								
Building maintenance	0	-	-	29	6	-	-	35
Other infrastructure maintenance	0	-	-	24	-	-	-	24
Subtotal Civil work	0	-	-	54	6	-	-	59
D. Equipment								
Equipment Transport	0	-	-	92	210	224	210	737
Equipment Office	0	-	-	90	10	23	14	137
Equipment Field	0	-	27	116	181	53	33	409
Subtotal Equipment	0	-	27	298	401	301	257	1,284
E. Training and workshops								
Training Adaptative	0	-	25	37	42	51	30	186
Workshop planning	0	-	-	29	161	2	73	265
Workshop training	0	-	58	-	33	44	40	176
Subtotal Training and workshops	0	-	83	66	236	97	144	627
F. Operating costs								
Equipment O&M and insurance	0	-	51	197	77	32	-	358
Utilities and rental	0	-	-	50	-	-	-	50
Travel	0	-	-	18	11	3	3	36
Printing and stationary	0	-	-	3	-	-	-	3
Patrol operation	0	-	746	284	235	689	-	1,955
M&E operations	0	-	122	-	59	38	-	218
Community operation	0	-	280	347	222	565	809	2,222
Other operations	0	-	-	22	21	-	-	43
Subtotal Operating costs	0	-	1,199	921	625	1,327	812	4,884
G. Community Grants	0	-	-	331	739	172	199	1,442
H. Special Projects								
Administration	-0	-	-	50	29	675	229	983
Business development	0	-	209	224	303	406	758	1,899
Community operation	-0	-	621	-	324	340	646	1,931
Field operation	0	-	222	273	226	249	998	1,968
Matching Grant	-	-	-	360	-	-	-	360
Subtotal Special Projects	0	-	1,052	907	883	1,670	2,630	7,142
Total PROJECT COSTS	0	242	4,038	3,255	3,512	4,159	4,544	19,751
Operation low scenario	0.0	242.5	2,985.6	2,348.7				5,580
Operation baseline scenario	0.0	242.5	2,985.6	2,348.7	2,629.3			8,210
Operation medium scenation	0.0	242.5	2,985.6	2,348.7	2,629.3	2,489.4		10,700
Operation high scenario	0.0	242.5	2,985.6	2,348.7	2,629.3	2,489.4	1,913.7	12,610
Invesment low scenario	0.0	-	1,052.0	906.7				1,960
Investment baseline scenario	0.0	-	1,052.0	906.7	883.1			2,840
Investment Medium scenario	0.0	-	1,052.0	906.7	883.1	1,669.6		4,510
Investment high secnario	0.0	-	1,052.0	906.7	883.1	1,669.6	2,630.1	7,140

107. At the end of 2020, the known secured 5-year financing is limited to about \$7.5 million. This is sufficient to fund the *low* scenario.

- Government budget and payroll (maximum \$ 250,000). A Government budget allocation to the National Park, other than through the salary of the civil servants, is not an option. Each of the scenario requires the appointment of additional civil servant. Starting with 2 under the baseline scenario.
- Wildlife Conservation Society (estimated \$4 million). The 15-year partnership with WCS will continue. Current commitment is about \$800,000 per year or \$4.00 million over 5 years. WCS is committed to try to leverage additional financing.
- IDA and GEF funded Lao Landscape and Livelihoods (LLL)(estimated maximum \$3.25 million). Of this allocation, \$2.1 is for national park investment and operation, \$350,000 for block grants to 30 villages, \$450,000 is reserved as matching fund to attract private investor in tourism and \$100,000 is reserved for vocational training.

108. The sources of funding below might add between \$1.2 million to \$2.5 million to the 5-year budget. These sources will reduce but not close the gap between low and baseline scenario which is estimated at \$3.5 million:

- Green Climate Fund-funded Forest Landscape and Livelihood (FLL)(estimated maximum \$1 million). This project implements the REDD+ Action Plan in 3 Provinces, two of which are relevant to NEPL. Implemented by DOF with GIZ²⁸ technical assistance, the project has a small budget for the NEPL operation and a nominal amount to support village forestry and performance grants in some of the NEPL guardian villages. Since many FLL activities are implemented in the NEPL guardian villages, a close collaboration between the NPMO with this project could not only ensure consistency in the message but also contribute to overall financing the Action Plan.
- German KfW-funded Village Forest Management Project (estimated maximum unknown). This project supports village forestry in Luang Prabang district and overlaps with several Guardian Villages, e.g., the two Pakxeng guardian villages. It includes the preparation of the LUP, land use agreement, Village Forest Management Plan, and its implementation. Since these are implemented in the NEPL guardian villages, a close collaboration between the NPMO with this project could not only ensure consistency in the message but also contribute to overall financing the Action Plan.
- Carbon emission reduction payment (estimated \$700,000 to \$1.8 million over 5 years). With the reduction of the rate of deforestation in the NEPL landscape, the National Park will generate emission reduction (ER) in order of 50,000 to 100,000 tons of CO₂ per year. The value such emission reduction, through the current jurisdictional approach under the Lao REDD+ program funded by the World Bank Forest carbon Partnership Fund (FCPF), would be in the order of \$200,000 to \$500,000 per year. Such amount after application of the benefit sharing formula (REDD+, 2020), could lead to an annual payment of \$150,000 to \$350,000 to communities and \$7,000 to \$20,000 to the NPMO. Over five years this could represent an amount of \$0.70 to \$1.80 million US\$.
- Revenues (estimated maximum \$50,000 over the 5 years). Once the NPMO has obtained a status of Technical Budget Unit, some of the revenues may be retained. This includes tourism entries in the National Park (estimated at about \$5000 per year), the conservation use fee that will apply to tourism concessions (none expected during the next five year), the portion of administrative fines and damage payments (estimated at \$5,000 per year). At this time, there is only two hydropower projects, neither are large and neither are actively being developed. They may at some point contribute to the annual revenues, although this is unlikely during this management plan period.

109. Other ODA. Over the next few years, additional donors may offer support to protected areas in Lao or to coordinate efforts to support guardian villages livelihoods. Direct support to the National Park management is unlikely. Given the need of other protected areas, it is unlikely that the Government would

²⁸ German Technical Cooperation Agency

direct them to the NEPL landscape. The Government of Germany, which had been instrumental in supporting the Forest Sector and protected areas has announced that it would offer no new projects in Lao PDR.

110. Innovative financing. Although it is unrealistic to expect conservation financing to become available during the period of this management plan, over the medium term this prospect may be feasible. For example, some of the areas may attract a green investor interested in a conservation concession. Possibly, if the upcoming efforts to set up a conservation foundation with a conservation endowment are successful, it may become a conduit to financial resources to NEPL. Similarly, if the intended effort to establish the best protected areas as biodiversity bank, it is not farfetched to organize this possibility for NEPL.

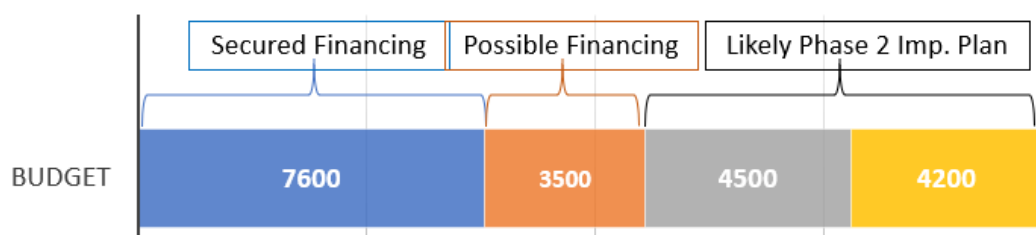


Figure 6. Budget in (US\$ '000) with Secured and Probable Financing

111. The figure above illustrates how the low scenario is met, the baseline scenario is realistic but that the medium and high scenario will be difficult to undertake.

112. The NPMO will focus its fund-raising efforts to close the gap toward a low case scenario by allocating efforts in engaging the GCF-FLL and the FCPF for carbon payment and by building its revenue collection capacity.

CHAPTER 6 – IMPLEMENTATION PROCEDURE

113. The internal procedures for managing the National Park will be developed as part of the implementation of the management plan. Some procedures will be offered by the Department of Forest as guidelines, or instructions. Each financier (or project) will request specific procedures. Below are three dimensions that may not be immediately available as procedure but might help the management team.

SECTION 6.1: ANNUAL ACTIVITY PLANNING

114. Here, the annual planning method is laid out. But each Unit team for their programs and cross-support programs may decide to have more frequent planning, biannual, quarterly, or monthly.

115. The planning focal point in the Administration Unit will support other Units in preparing an Annual Work Plan and Budget (AWPB) for the subsequent year. Ideally such planning activity takes place in the last quarter of a given year, to reflect on the progress of the first 3 quarters. The AWPB is a comprehensive single plan for a Unit which includes all activities and all sources of financing.

116. In September, each Unit team will draft the AWPB will follow a standard outline: (a) Context including progress thus far, fiduciary compliance issues, and identified changes needed, (b) targeted impact and outcome (from the Management Plan result framework), (d) targeted outputs, possibly in the form of an output table, with detailed of activities, (e) detailed budget. Some additional information might be requested by specific donors.

117. In October, the NPMO will organize an Annual Planning workshop with selected staff to discuss each of the Unit's AWPB and agree on impact, outcome as well as output targets for the following year. By end October, the planning focal point will consolidate all Unit's AWPB into a National Park AWPB and prepare a procurement plan.

118. In November, the NPMO will present the AWPB to the members of the NPSC for review and endorsement. This review does not require a physical meeting of the NPSC. By end of November, the planning focal point will make the final corrections to the AWPB and the Director, NPMO, will submit it for approval to the Director, DOF. If necessary, the AWPB will proceed to specific financiers for their own clearance or approval.

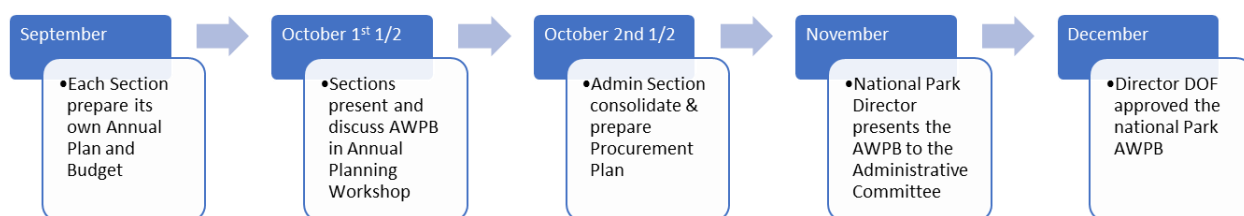


Figure 7. Flow chart: Preparation and Approval of the Annual Work Plan and Budget

SECTION 6.2: ACTIVITY REPORTING

119. There are two periodicities of reporting: Quarterly and Annual.

6.2.1. THE QUARTERLY REPORTS

120. Quarterly reports are prepared by each Unit and shared with the planning focal point 2 weeks after each quarter period end. The planning focal point consolidates into a single National Park Quarterly Report and submits to the Management Team. Once cleared the Quarterly Report is posted on the web no later than a month after quarter end. Its availability signaled to DOF, to the members of the NPSC and to all financiers and relevant parties.

121. The Quarterly Report will follow a standard outline: (a) recap of the context and the years targets, (b) progress toward output and activities implemented, (c) evaluation or progress and, possibly, corrective measures or activity change, and (e) budget implementation. The outline may be enhanced to accommodate specific financier's requirement but there can only be one Quarterly Report.

122. There is no Quarter 4 Report. It is replaced by the Annual Report (see the flow charter in figure 9 below)

6.2.2. THE ANNUAL REPORT

123. In February of each year, Annual report is prepared by each Unit, with the support of planning focal point. For Unit 1 this includes a Financial Report and a procurement report. The planning focal point consolidate and evaluate the impact and outcome indicators from all Units.

124. The planning focal point organizes a workshop in late February (a) for each Unit to present its own annual report (b) for planning focal point to present progress toward the impact and outcome indicator targets of the management, and (c) for the team to evaluate the progress and verify whether implementation needs adjustment and whether specific issues are to be presented and discussed at the NPSC meeting.

125. In early March, based on the conclusion of the workshop, the planning focal point produces the draft National Park Annual Report in close collaboration with the Management Team. If the Annual Report workshop has identified issue for NPSC discussion, such issues are prepared for tabulation.

126. The Annual Report will follow a standard outline: (a) Context including recap of management plan, summary narrative of the AWPB impact, outcome and output target and budget as well as explanation of changes that were adopted during the course the year, (b) status of impact and outcome indicators (from the Management Plan result framework) and evaluation, (d) achieved outputs, possibly in the form of an output table, with detailed of achieved activities, (e) detailed budget execution in comparison with the budget plans. Some additional information might be requested by specific donors and will be incorporated by improving the outline or adding specific annexes. There can only be one Annual Report version and it should be designed to satisfy the NPMO statutory obligations and the requirements all financiers.

127. In Late March, a meeting of the NPSC is organized where the NPMO presents the draft Annual Report as well as the issues agreed at the Annual Report workshop.

128. In April, based on the conclusion of the NPSC meeting, the Annual Report is finalized and submitted for approval to the Director, DOF. If necessary, the Annual Report will proceed to specific financiers for their own clearance or approval.

129. By end April, upon approval by all required parties, the Annual Report is posted on the NEPL National Park web site. A small number of printed copies are distributed on request to MAF, DOF and the main financiers. The Annual Report online availability is signaled to DOF, to the staff of PAMD and other Lao NPAs, to the members of the NPSC including all GVCO representatives, to the relevant sector national, provincial and district offices, to all financiers and to other relevant parties.

SECTION 6.3: PLANNING THE PHASE2 5-YEAR ACTION PLAN

130. In the last year of the Management Plan's first 5-year Action Plan, the NPMO will launch the preparation of the next five-year Action Plan. The task will be led by planning focal point which may elect to entrust a consultant to:

- Assess the degree of implementation of the Action Plan and likelihood it will reach the baseline case targets;
- Evaluate the causes of disparities, positive and negative, between the actual and intended results (impact, outcome, output, activities., budget, financing, etc.);
- Propose strategic and design improvement or adaptation as necessary including possibly adjusting indicators and targets
- Prepare the 2027 to 2031 Action Plan by also preparing scenario to achieving the vision to 2031

131. The design of the Action Plan will require consultation, mostly with the NPMO staff and its partners but also with the relevant district, provincial and national offices. It will require a workshop at the beginning once a draft diagnostic is available and to present and discuss the draft Action Plan.

132. Once the final draft of the revised Action Plan is implemented, the NPCA will review and endorse it before it is submitted the Director DOF for approval

ANNEX 1 – 5-YEAR STAFFING FOR ALL SCENARIOS

1. This annex offers the staffing for the Management Team and the 4 Units for all 4 scenarios. These levels of staffing are those that have been used to calculate the cost of each scenario. There is no difference made between civil servants and contractual staff and between government employed and WCS employed staff. The support staff and drivers are all “pooled” in the Administration Unit.

MANAGEMENT TEAM	Low	Baseline	Medium	High
Management	3	3	3	3
Director	1	1	1	1
Deputy Director Services	1	1	1	1
Deputy Director Operations	1	1	1	1
Technical assistance	2	2	2	2
National advisor	1	1	1	1
Projects advisor	1	1	1	1
Total staff	5	5	5	5

ADMINISTRATION UNIT	Low	Baseline	Medium	High
Management	1	1	2	2
Head Administration Unit	1	1	1	1
Technical assistants	1	1	1	1
Administration / Finance advisor	1	1	1	1
Technicians	4	4	8	11
Finance Chief	1	1	1	1
Finance Officer	1	1	1	1
Accountant	1	1	1	1
Cashier	-	-	-	1
Procurement officer	1	1	1	1
Human resources focal point	-	-	1	1
Development integration focal point	-	-	1	1
Infrastructure focal point	-	-	1	1
Training coordinator (CSP2)	-	-	1	1
Storeroom officer	-	-	-	1
Support staff (pooled)	8	10	16	22
Task assistants / Data entry clerks	3	5	10	15
Drivers	4	4	4	5
Janitors	1	1	1	2
Total	14	16	25	35

TOURISM & COMMUNICATION UNIT	Low	Baseline	Medium	High
Management	1	1	1	1
Head Business Communication Unit	1	1	1	1
Technical assistants	1	1	2	2
Ecotourism advisor	1	2	2	2
Technicians	5	5	6	6
Ecotourism Reservations Officer	1	1	1	1
Ecotourism Facilitator	3	3	3	3
Ecotourism Guides	1	1	2	2
Partner staff (full time)		1	2	2
Province Info./Comm. & Tourism Office	-	1	2	2
Total staff	6	9	11	11

COMMUNITY SUPPORT UNIT	Low	Baseline	Medium	High
Management	1	1	1	1
Head Community Operation Unit	1	1	1	1
Technical assistants	1	1	1	1
Community engagement advisor	1	1	1	1
Technicians	15	17	24	29
Lead outreach officer	1	1	1	1
Lead value chain officer	1	1	1	1
Snr. community facilitator (district post)	2	2	3	4
Outreach facilitators	3	3	4	5
Community facilitator (village posting)	8	10	15	18
Total staff	17	19	26	31

LAW ENFORCMENT, RESEARCH AND MONITORING UNIT	Low	Baseline	Medium	High
Management	1	1	2	2
Head Field Operation Unit	1	1	1	1
Coordinator CSP4	-	-	1	1
Technical assistants	1	1	1	1
Field operation advisor	1	1	1	1
Technicians	34	34	50	60
Lead ranger (& response unit)	1	1	1	1
Lead training officer	-	-	-	1
Senior investigator (Forestry officer)	1	1	1	1
Assistant investigator	1	1	2	2
Ranger (Civil servant)	-	-	1	1
Ranger (Gov. volunteer)	7	7	7	7
Ranger (Villagers)	13	13	23	31
Lead GIS officer (CSP4)	1	1	1	1
Lead ecologist (CSP4)	-	-	-	1
Assistant ecologist (CSP4)	1	1	1	1
Wildlife monitors (CSP4)	9	9	13	13
Partner staff (full time)	20	28	42	54
Ranger (DAFO)	1	1	2	2
Ranger (military)	17	25	36	48
Ranger (police)	2	2	4	4
Total	56	64	95	117

ANNEX 2 – TORS NATIONAL PARK STEERING COMMITTEE

1. The proposed protected area decree states that *“Any protected area management authority may establish a protected area steering committee. Protected area steering committees shall be chaired by a person appointed by the respective protected area management authority, have representation from stakeholder sectors and guardian villages and may have representation from other stakeholders including private investors. The role of a protected area steering committee is to advise protected area implementation organizations regarding all plans, reports, agreements, and other matters specific to a protected area.”*
2. The National Park Steering Committee (NPSC) is part of the advisory governance of the National Park. In the case of the NEPL, the opinion of the NPSC is required for all important decisions submitted to the Minister, MAF.
3. The Terms of Reference (TORs) below attempt to add details to the guidance of the decree. The TORs below are provided for guidance, but the final TORs may differ in form and substance.
4. Main Tasks of the NPSC:
 - Review and issue advise on the National Park Strategy and Action Plan including review of the zoning and regulations.
 - Attend NPSC meetings at least once a year or as needed to review the core documents submitted by the NPMO which are (a) the Annual Work Program and Budget, and (b) the Annual Reports and formulate advice to be incorporated prior to submission to MAF for approval.
 - Review and advise the NPMO on the selection of national park investors or NPMO partners, on the Standard Operating procedures, on the Tourism Business Plan, or any document submitted by the NPMO.
 - Verify that the objectives of the NEPL Strategy are incorporated in provincial and district development strategies.
 - Verify that the NEPL 5-year Action Plan is incorporated in the provincial and district socio-economic development plans.
 - Verify that other projects supporting any sector in the Guardian Village is coordinated with the NPMO and either support or at least does not undermine the objective of the management plan.
 - Verify that public and private investments in/around the NEPL are planned/implemented in accordance with the national sector and environmental legislation and contribute to financing the NEPL.
 - Ensure that the NPMO is compliant with the national policies and laws and the principles of good and shared governance.
 - Ensure that all relevant stakeholders, especially the GVCO, are involved in implementation.
 - Provide guidance and support to solve emerging problems and conflicts.
 - Review and issue advise on ecotourism developments inside the National Park.
 - Review and advise on major national park infrastructure developments.

- Acknowledge and reward outstanding performance of individuals or entities submitted by the NPMO.

ANNEX 3 – SCORE SHEET NATIONAL PARK MANAGEMENT EFFECTIVENESS

2. The Management Effectiveness Tracking Tool (METT) is a set of 30+ questions each covering a dimension of the management of a protected area. For each question, 4 possible answers attempt to describe the range of possibility from worst to best: worse scores “0”, best scores “3”. The objective is to identify the response that best fit the situation at the end of the year. The proposed answers are meant to guide the respondent but are not meant to always be taken literally since they do not always fit the specific situation of a protected area, in this case a national park, or a country legislation, in this case Lao PDR.
3. To identify the responses and determine the METT score, the park director sets up a meeting with his top managers and specialists as well as an external and objective facilitator who is knowledgeable of the park. The facilitator moderates the process, requests explanations in the choice of responses and challenges the choices until the group reaches a consensus.
4. Team members must remember that the METT is meant to describe a situation as it exists. The METT is not a tool to evaluate management or implementation performance each year, e.g., the funding of some equipment does not imply that the question on “equipment status” of a protected area will automatically score higher. An increase of a single point may take several years. Also, the higher the score the more difficult it is to improve it. It is essential to seek absolute objectivity.
5. The baseline 2020 of the METT scores in the table below has been prepared in October 2020 as a join exercise with the NEPL management team and staff and the management plan consultant²⁹. The method used departs from the METT practice by using ½ points thereby giving a broader range of answers to questions and enabling a more accurate score³⁰.

²⁹ An excel sheet is in the set of tools that accompany the management plan.

³⁰ Participants to the Oct 2020 scoring meeting were Mr. Bounpheng (Director), Mr. Vilakone (Deputy Director), Mr. Hounpheng (Deputy Director), Mr. Khamkeo (WCS NEPL advisor), Mr. Swanepoel (WCS project director), Mr. White (WCS operation advisor), Mr. Janina (WCS tourism advisor), Mr. Xayyasit (Outreach lead) and Jean-Michel Pavy (consultant).

Assessment Form Questions	Maximum score	2016 Score	2020 Base Score for Mgt Plan	2026 Target score for baseline scenario.	2031 Target score Mgt Plan	Description of ratings
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3.0	3.0	3.0	3.0	3.0	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted
Score 3: The 2019 decree designating the NEPL National Park is adopted. This score is not expected to change during the Mgt Plan.						
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g., hunting)?	3.0	2.0	1.5	2.0	2.0	0: There are no regulations for controlling land use and activities in the protected area 1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses 2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps 3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management
Score 1.5: For this score, one has to consider all the laws, decrees, etc. that determines uses in a national park land. This includes the 2019 Forestry Law, the protected area decree (not yet adopted in Oct 2020), the Management Plan Regulations (if adopted) as well as other laws such as the mining law, environment mgt law, energy law, criminal procedure law, penal code and wildlife law. The assemblage of laws is complex and unlikely to evolve fast. Score 2: The park staff are granted investigation authority and by how strong is the protected area decree on uses restrictions, investigation and inspection. This score is not expected to go higher than 2 during the period of the Mgt Plan.						
3. Law Enforcement: Can staff (i.e., those with responsibility for managing the site) enforce	3.0	2.0	1.5	1.5	2.0	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations 1: There are major deficiencies in staff capacity/resources to enforce protected area

protected area rules well enough?						<p>legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)</p> <p>2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain</p> <p>3: The staff have excellent capacity/resources to enforce protected area legislation and regulations.</p>
<p>Score 1.5: Staff have improved but they do not have enough resources for more than 50% of the PA. There is no staff with investigation authority and few staff with real national park law enforcement. Patrols rely on military with no training and no authority to investigate forestry crime. Score 2: The park staff have investigation authority and capacity and resources to protected most of the TPZ. The score is not expected to exceed 2 under this Mgt Plan.</p>						
4. Protected area objectives: Is management undertaken according to agreed objectives?	3.0	2.0	2.5	3.0	3.0	<p>0: No firm objectives have been agreed for the protected area</p> <p>1: The protected area has agreed objectives, but is not managed according to these objectives</p> <p>2: The protected area has agreed objectives, but is only partially managed according to these objectives</p> <p>3: The protected area has agreed objectives and is managed to meet these objectives</p>
<p>Score 2.5: The protected areas objectives are set in the 1993 decree and now the 2019 decree. These objectives imply that biodiversity is managed in the entire park. The park is managed to meet these objectives. Score 3: The Mgt Plan is approved and if the activities in the Annual Work Plan are aligned with its objective, the score will be 3.</p>						
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	3.0	1.0	1.0	1.0	1.0	<p>0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult</p> <p>1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management)</p> <p>2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)</p> <p>3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc.</p>
<p>Score 1: The shape of the park is a very poor design and makes achieving the objective challenging. The corridors are shrinking since 2016, so in 2020, the design is worse than 2016. The score is not expected to change during the period of the Mgt Plan. However, it could decrease to 0.5 if the corridors are severed. It could also improve to 1.5 if, when the redesignation is completed, there is improvement in shapes, wider corridors and well positioned CUZ areas.</p>						
6. Protected area boundary demarcation: Is the boundary known and demarcated?	3.0	2.0	1.5	2.0	2.5	<p>0: The boundary of the protected area is not known by the management authority or local residents/neighboring land users</p> <p>1: The boundary of the protected area is known by the management authority but is not known by local residents/neighboring land users</p> <p>2: The boundary of the protected area is known by both the management authority and local residents/neighboring land users but is not appropriately demarcated</p>

						3: The boundary of the protected area is known by the management authority and local residents/neighboring land users and is appropriately demarcated
Score 1.5: For this score, the national park boundary is defined as the TPZ boundary since the park boundary is actually diffuse. Most of the TPZ boundary is known by the community at large part is demarcated. Score 2: >60% of the TPZ boundary trail and signage is well maintained by GV and verified by the park. Score 2.5: >80%; Score 3: ~100%. the maximum score expected under this Mgt Plan is 2.5.						
7. Management plan: Is there a management plan and is it being implemented?	3.0	1.0	1.0	2.0	2.0	0: There is no management plan for the protected area 1: A management plan is being prepared or has been prepared but is not being implemented 2: A management plan exists but it is only being partially implemented because of funding constraints or other problems 3: A management plan exists and is being implemented
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1.0	0.0	1.0	1.0	1.0	0: No 1: Yes
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1.0	0.0	1.0	1.0	1.0	0: No 1: Yes
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1.0	0.0	1.0	1.0	1.0	0: No 1: Yes
Q7. Score 1: The Management Plan is being prepared. Score 2: The Mgt Plan is approved and if the funding for the low scenario materializes. Score 2.5: The baseline scenario funding materializes. 7b. Score 1: The adopted NPA Guidelines indicate that the Mgt Plan is reviewed periodically. The draft protected area decree is more precise but not adopted. 7c. Score 0.5: The monitoring and research are based on project indicators and not park indicators. Score 1: The Mgt Plan is approved, and its indicators are monitored.						
8. Regular work plan: Is there a regular work plan and is it being implemented	3.0	2.0	2.5	3.0	3.0	0: No regular work plan exists 1: A regular work plan exists but few of the activities are implemented 2: A regular work plan exists and many activities are implemented 3: A regular work plan exists and all activities are implemented
Score 2.5: The 2020 annual work plan >80% implemented (may be 90% if fund transfers resolved). Score 1: Annual Work Plan <60% implemented; Score 1.5: >60% implemented; Score 2: >70% ; Score 2.5: >80%; Score 3: >90%.						
9. Resource inventory: Do you have enough information to manage the area?	3.0	1.0	1.5	1.5	2.0	0: There is little or no information available on the critical habitats, species and cultural values of the protected area 1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making

						<p>2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making</p> <p>3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making</p>
<p>Score 1.5. Most of the information available is in English and not in Lao language. Still, there is enough information for some decision making even though there are still important knowledge gaps on species, distribution, trends, local knowledge, etc. Score 2. The presence, distribution and trend are available on about half of the park red-listed species and additional info is available on groups not researched yet like flora, fish, insects and available in Lao language. Score 2.5. the presence, distribution and trend are available on most of the park red-listed species, and enough knowledge has been developed on most groups to make management decision and is in Lao language.</p>						
10. Protection systems: Are systems in place to control access/resource use in the protected area?	3.0	1.0	1.0	1.5	2.0	<p>0: Protection systems (patrols, permits etc.) do not exist or are not effective in controlling access/resource use</p> <p>1: Protection systems are only partially effective in controlling access/resource use</p> <p>2: Protection systems are moderately effective in controlling access/resource use</p> <p>3: Protection systems are largely or wholly effective in controlling access/ resource use</p>
<p>Score 1. Except for reasonable capacity to control poaching on half of the TPZ, there has been no capacity to reduce agriculture, cattle encroachment or fire in the TPZ. In the CUZ, which is part of the park, there is no control of poaching. Score 1.5. There is more capacity to address poaching and encroachment in about half of the TPZ and about 50% success in prosecution. Score 2: There is capacity in addressing, investigating and prosecuting all park offenses in most of the TPZ and some CUZ. The score is not expected to increase beyond 2 B29doing the period of this Mgt Plan.</p>						
11. Research: Is there a program of management-orientated survey and research work?	3.0	1.0	1.5	1.5	1.5	<p>0: There is no survey or research work taking place in the protected area</p> <p>1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management</p> <p>2: There is considerable survey and research work but it is not directed towards the needs of protected area management</p> <p>3: There is a comprehensive, integrated program of survey and research work, which is relevant to management needs</p>
<p>Score 1.5. The questions 1 and 2 are read ignoring whether the research is directed toward the needs. In NEPL, there are surveys with camera trap with data used for publication. But it is limited. There are many critical species with no info. Little research or investigation in the community except recently cattle value chain. There is considerable data collected on communities, but it is not analyzed. There is no MoU with any university. Score 2: More than 5 research activities going in a year on subjects relevant to the park likely with MoU with university. A score beyond+B31 2 is not expected under this Mgt Plan.</p>						
12. Resource management: Is active resource management being undertaken?	3.0	1.0	1.0	1.5	2.0	<p>0: Active resource management is not being undertaken</p> <p>1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented</p> <p>2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed</p> <p>3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented</p>

Score 1: There is almost no active habitat management. Fire is not being controlled. Score 1.5: Some activities are ongoing to prevent and suppress fire and assisted regeneration on a scale greater than 500 ha per year. Score 2: A comprehensive fire control capacity is acquired and regularly practiced as well as assisted regeneration on a scale greater than 1000 ha per year. This score is not expected to reach beyond 2 during the period of this Mgt Plan.						
13. Staff numbers: Are there enough people employed to manage the protected area?	3.0	1.0	1.5	1.5	2.0	0: There are no staff 1: Staff numbers are inadequate for critical management activities 2: Staff numbers are below optimum level for critical management activities 3: Staff numbers are adequate for the management needs of the protected area
Score 1.5: The optimal staff number is about 200 including partners staff who are working with the park more than 50% of their time. There are about 100 staff in 2020 (although it is not stable or controlled by the Protected Area Management Unit (PAMU) or NPMO. Current staff cannot work comprehensively in more than half of the park. Score 2: 130 staff; Score 2.5: 160 staff; Score 3: 200 staff.						
14. Staff training: Are staff adequately trained to fulfill management objectives?	3.0	1.0	1.5	2.0	2.0	0: Staff lack the skills needed for protected area management 1: Staff training and skills are low relative to the needs of the protected area 2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management 3: Staff training and skills are aligned with the management needs of the protected area
Score 1.5: There has been training and indeed staff skills are improving and becoming "adequate" for some of the tasks but still, the level is far from professional park management. Score 2: More than half of the staff have formal training related to the function they occupy; all staff are regularly trained to adapt their skills to their functions and perform as professionals. This score is not expected to increase beyond 2 during the period of this Mgt Plan.						
15. Current budget: Is the current budget sufficient?	3.0	1.0	1.5	1.5	2.0	0: There is no budget for management of the protected area 1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage 2: The available budget is acceptable but could be further improved to fully achieve effective management 3: The available budget is sufficient and meets the full management needs of the protected area
Score 1.5: The \$1.1m annual operation budget secured with WCS and World Bank is sufficient for adequate management of less than half of the park. Score 2: annual operation budget is \$1.6m; Score 2.5: \$2.0m; Score 3: \$2.6m.						
16. Security of budget: Is the budget secure?	3.0	1.0	0.5	0.5	1.0	0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding 1: There is very little secure budget and the protected area could not function adequately without outside funding 2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding 3: There is a secure budget for the protected area and its management needs
Score 0.5: There is almost no secure budget from within Lao. The park is wholly reliant on external and variable funding. Score 1: Budget and revenues generated within Lao, such as the carbon payment or hydropower money becomes available to fund 20% of the operation budget. A score beyond 1 is not expected during the period of this Mgt Plan.						

17. Management of budget: Is the budget managed to meet critical management needs?	3.0	2.0	1.5	2.0	2.0	0: Budget management is very poor and significantly undermines effectiveness (e.g., late release of budget in financial year) 1: Budget management is poor and constrains effectiveness 2: Budget management is adequate but could be improved 3: Budget management is excellent and meets management needs
Score 1.5: Delays in mobilization of current project (LENS2) money undermines implementation. There is no computerized accounting, little financial controls and internal audit. Score 2: A fully functional computerized accounting and budget management authority with no interruption in budget availability for operations. Score 2.5: Internal final controls are functional and external audit are clean.						
18. Equipment: Is equipment sufficient for management needs?	3.0	2.0	2.0	2.0	2.0	0: There are little or no equipment and facilities for management needs 1: There are some equipment and facilities but these are inadequate for most management needs 2: There are equipment and facilities, but still some gaps that constrain management 3: There are adequate equipment and facilities
Score 2: The equipment currently available is adequate. It is not sufficient to manage the whole park (but there is not enough staff to use more equipment) and there are some gaps. Given the approach to renew and increase equipment only as staff increases, this score is expected to stay the same during the period of the Mgt Plan.						
19. Maintenance of equipment: Is equipment adequately maintained?	3.0	2.0	2.0	2.0	2.0	0: There is little or no maintenance of equipment and facilities 1: There is some ad hoc maintenance of equipment and facilities 2: There is basic maintenance of equipment and facilities 3: Equipment and facilities are well maintained
Score 2: The equipment and facilities maintenance are adequate and should stay at this level. The score is not expected to change during the period of this Mgt Plan.						
20. Education and awareness: Is there a planned education program linked to the objectives and needs?	3.0	2.0	1.0	1.0	2.0	0: There is no education and awareness program 1: There is a limited and ad hoc education and awareness program 2: There is an education and awareness program but it only partly meets needs and could be improved 3: There is an appropriate and fully implemented education and awareness program
Score 1: There is limited outreach and education as compared to the scale of the community and the potential target groups of children, adult, culturally adapted outreach, etc. It less than partially meets the needs. Score 1.5: The current outreach program is more structured with clearer message and reaches all GVs. Score 2: A structured outreach program to all GV where the park works and an active and structured school club program; Score 2.5: The comprehensive outreach program reaches 90% of GVs population and the Xone education center is fully functional. A score greater than 2 is not expected during the period of this Mgt Plan.						
21. Adjacent planning for land and water use: Does land and water use planning recognize the protected area and aid the achievement of objectives?	3.0	1.0	1.5	2.0	2.0	0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area 1: Adjacent land and water use planning does not take into account the long term needs of the protected area, but activities are not detrimental the area 2: Adjacent land and water use planning partially takes into account the long term needs of the protected area

						3: Adjacent land and water use planning fully takes into account the long term needs of the protected area
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g., volume, quality and timing of water flow, air pollution levels etc.) to sustain relevant habitats.	1.0	0.0	0.5	1.0	1.0	0: No 1: Yes
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g., to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1.0	0.0	0.5	0.5	0.5	0: No 1: Yes
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g., volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)".	1.0	0.0	0.5	0.5	0.5	0: No 1: Yes
<p><u>Q21. Score 1.5:</u> There is gradual improvement of district and sector planning to incorporate the existence of the park. Some decisions are positive, e.g., the Nam Et and Nam Nern dams and cancelling the road through north-west TPZ. Working with land, i.e., PONRE, is good. Planning water uses is difficult.</p> <p><u>Score 2:</u> Better integration in district plans and no issue with land or water. A score greater than 2 is not expected under this Mgt Plan. <u>21a. Score 0.5.</u> There is little planning over water. Both are assumed, in the park to be "adequate" and there is not water offtake control in the CUZ. <u>21b. Score 0.5:</u> River corridors</p>						

to the oceans (possible fish spawning) are no longer open. Work on corridor has been done but it is not clear whether these are safe and working for wildlife yet. 21c. Score 0.5: There is no specific species planning except 'protection' and no habitat management. The scores of 21a, 21b and 21c are not expected to change under this Mgt Plan.						
22. State and commercial neighbors' co-operation with adjacent land and water users?	3.0	1.0	1.0	1.5	2.0	0: There is no contact between managers and neighboring official or corporate land and water users 1: There is contact between managers and neighboring official or corporate land and water users but little or no cooperation 2: There is contact between managers and neighboring official or corporate land and water users, but only some co-operation 3: There is regular contact between managers and neighboring official or corporate land and water users, and substantial co-operation on management
Score 1.0: There is contact and some cooperation with district administration but not with corporate land users such as the tea plantation, the Tad Xon resort, etc. Score 1.5: Improved cooperation and collaboration with the 10 district administrations and some discussion initiated with the corporate users such as the small mines, tea, dam and tourism concessions. Score 2. Good cooperation with all district administration and constructive discussion with all concession holders.						
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?						0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area 1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management 2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved 3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management
<i>The question is removed and not scored: There is no such community in NEPL.</i>						
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	3.0	1.0	1.0	1.5	2.0	0: Local communities have no input into decisions relating to the management of the protected area 1: Local communities have some input into discussions relating to management but no direct role in management 2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved 3: Local communities directly participate in all relevant decisions relating to management, e.g., co-management
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers.	1.0	0.0	0.5	0.5	1.0	0: No 1: Yes
24 b. Impact on communities: Programs to enhance	1.0	1.0	0.5	0.5	1.0	0: No 1: Yes

community welfare, while conserving protected area resources, are being implemented.						
24 c. Impact on communities: Local and/or indigenous people actively support the protected area.	1.0	0.0	0.0	0.5	0.5	0: No 1: Yes
<u>Q24. Score 1.0:</u> GV were consulted regarding the TPZ. About half of the GV are consulted for decision regarding their land. GV are not yet involved at decision or advisory levels in planning or in management, etc. Score 1.5: GV are actively participating in the SteeringCommittee and CUZ negotiations show commitment by GV and half of the GV have a GVCO. Score 2: GV are able to influence the advice given by the SteeringCommittee, the GV festival is a forum where the GV express coordinated issues, 80% of the GV have a functional GVCO. A score greater than 2 is not expected under this Mgt Plan. <u>24a. Score 0.5:</u> There seem to be about half of the villages with which the park works. But not enough for them to change behavior much yet. <u>24b. Score 0.5:</u> There is the coffee and the two tourism products. They are modest in comparison to the scale of the livelihood issues. Score 1: The financial flow to the community is greater than \$200,000 a year. <u>24c. Score 0:</u> The community does not yet really support the park. The scores of 24a, 24b and 24c are expected to increase by 0.5 under this Mgt Plan.						
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g., income, employment, payment for environmental services?	3.0	2.0	2.0	2.0	2.0	0: The protected area does not deliver any economic benefits to local communities 1: Potential economic benefits are recognized and plans to realize these are being developed 2: There is some flow of economic benefits to local communities 3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Score 2: There is "some" financial low on employment and revenues but it is statistically insignificant with the scale and need of the community (at \$0.5 a day -- or 1/4 of the poverty minimum -- the flow would need to be \$8million to be significant). But the PES economic benefit is high with water for paddy, land for cattle, NTFP access, etc. This score is not expected to change during the period of this Mgt Plan.						
26. Monitoring and evaluation: Are management activities monitored against performance?	3.0	1.0	1.5	2.0	2.0	0: There is no monitoring and evaluation in the protected area 1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results 2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management 3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Score 1.5: This question is not correctly formulated. It is better to consider it a continuum between "no monitoring & evaluation" and "comprehensive M&E and incorporation in decision making". In 2020, there is M&E and some information are evaluated and factored in project decision making. Score 2: The Mgt Plan is approved, and its indicators are monitored, evaluated and the annual report or annual work plan show how the information is used to adapt the work plans. The score is not expected to be greater than 2 under this Mgt Plan.						
27. Visitor facilities: Are visitor facilities adequate?	3.0	2.0	2.0	2.0	2.0	0: There are no visitor facilities and services despite an identified need 1: Visitor facilities and services are inappropriate for current levels of visitation 2: Visitor facilities and services are adequate for current levels of visitation but

						could be improved 3: Visitor facilities and services are excellent for current levels of visitation
Score 2.0: The facilities are adequate for the current market. This score is not expected to change under this Mgt Plan, even if there are more visitors and facilities.						
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	3.0	1.0	1.5	2.0	2.5	0: There is little or no contact between managers and tourism operators using the protected area 1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters 2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values 3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values
Score 1.5: The current tour operators are promoting the NEPL to enhance experience and maintain protected area value, but the scale is low and there is not yet any private investor in tourism. Score 2: Most travel agents and travel operators and at least one private operation meets the conservation contribution criteria. Score 2.5: The NEPL destination is branded, all travel agents and travel operators and at least six private tourism concessions meet the conservation criteria. A score of 2.5. is expected to be the highest under this Mgt Plan.						
29. Fees: If fees (i.e., entry fees or fines) are applied, do they help protected area management?	3.0	1.0	1.0	1.5	2.0	0: Although fees are theoretically applied, they are not collected 1: Fees are collected, but make no contribution to the protected area or its environs 2: Fees are collected, and make some contribution to the protected area and its environs 3: Fees are collected and make a substantial contribution to the protected area and its environs
Score 1: All fee/revenues are low but the level is too low to be considered significant and not used for management. Score 1.5: Revenues > 5% of the park operation budget. Score 2: Revenues > 10%. Score 3: for revenues > 30%. A score of 2.0 is expected to be the highest under this Mgt Plan.						
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	3.0	1.0	1.0	1.0	1.0	0: Many important biodiversity, ecological or cultural values are being severely degraded 1: Some biodiversity, ecological or cultural values are being severely degraded 2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted 3: Biodiversity, ecological and cultural values are predominantly intact
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	1.0	1.0	1.0	1.0	1.0	0: No 1: Yes
30b: Condition of values Specific management programs are being implemented to address threats to biodiversity, ecological and cultural values	1.0	1.0	0.5	0.5	1.0	0: No 1: Yes

30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1.0	1.0	0.5	0.5	1.0	0: No 1: Yes
<i>Q31. Score 1: The fact that the area is secondary (even advanced in succession) means that the biodiversity is already degraded. Then, the fact that most apex species are lost further decrease the value. This score is expected to stay at 1 under this Mgt Plan. 30b. Score 0.50. There is little specific program, targeting specific threat except antipoaching over half of the TPZ and none of the CUZ. Score 1: Specific activities are targeting specific species such as gaur, elephant, pangolin when they require specific programs. 30c. Score 0.5. They are some specific ecological management but limited to antipoaching on half of the park and none on cultural value. Score 1.0: The specific conservation of most red-listed species is incorporated in the routine mgt of the park .</i>						
ASSESSMENT FORM SUM SCORE	99.0	46.0	51.0	60.0	69.0	
TOTAL SCORE		46%	52%	61%	70%	
YEAR		2016	2020	2026	2031	

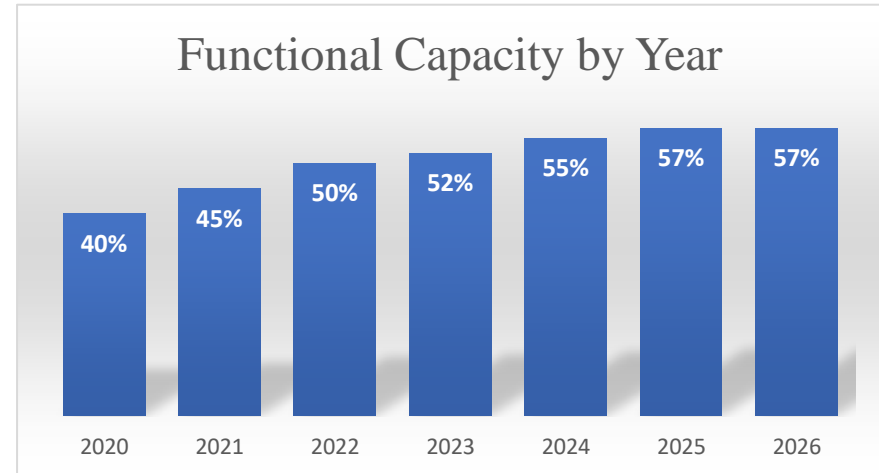
ANNEX 4 – SCORE SHEET MANAGEMENT OFFICE FUNCTIONAL CAPACITY

6. A functional capacity score (FCS) sheet had been defined in the context of the LENS2 project. It required adaptation to measure the functional capacity of a national park management office in the context of a Management Plan. The FCS is a set of 10 questions. For each question, a range of response is provided. The objective is to identify the response that best fit the situation at the end of the year.

7. To identify the response, the process and team is like the METT. The park director sets up a meeting with his top managers and specialist as well as an external objective facilitator who is well knowledgeable of the park. The objective-facilitator moderates the process, request smore explanation in the choice of responses and challenges the answers until the group reaches a consensus.

8. Team members must remember that the FCS, like the METT, is meant to describe a situation as it exists. This is not a tool to evaluate management or implementation performance. It is therefore essential to seek absolute objectivity and use it to identify the domains that require improvement.

9. The Table below has not been prepared as a group but by the Management Plan consultant. It may need to be verified at the end of 2021 and target reset³¹.



		2020	2021	2022	2023	2024	2025	2026
1. Staffing quantity (institution and partners)		5	6	6	6	6	6	6
0	No staff							
1	0 -20 full time staff overall: 40 to 60% rangers (full time assigned to resource protection) and 40-60% other staff (full time assigned to administration, community support, commercial development, M&E, etc.)							
2	20-40 full time staff overall: 40 to 60% rangers (full time assigned to resource protection) and 40-60% other staff (full time assigned to administration, community support, commercial development, M&E, etc.)							
3	40 - 60 full time staff overall: 40 to 60% rangers (full time assigned to resource protection) and 40-60% other staff (full time assigned to administration, community support, commercial development, M&E, etc.)							

³¹ An excel sheet is provided among

4	60 - 80 full time staff overall: 40 to 60% rangers (full time assigned to resource protection) and 40-60% other staff (full time assigned to administration, community support, commercial development, M&E, etc.)
5	80 - 100 full time staff overall: 40 to 60% rangers (full time assigned to resource protection) and 40-60% other staff (full time assigned to administration, community support, commercial development, M&E, etc.)
6	100 - 120 full time staff overall: 40 to 60% rangers (full time assigned to resource protection) and 40-60% other staff (full time assigned to administration, community support, commercial development, M&E, etc.)
7	120 - 140 full time staff overall: 40 to 60% rangers (full time assigned to resource protection) and 40-60% other staff (full time assigned to administration, community support, commercial development, M&E, etc.)
8	140 - 160 full time staff overall: 40 to 60% rangers (full time assigned to resource protection) and 40-60% other staff (full time assigned to administration, community support, commercial development, M&E, etc.)
9	160 - 180 full time staff overall: 40 to 60% rangers (full time assigned to resource protection) and 40-60% other staff (full time assigned to administration, community support, commercial development, M&E, etc.)
10	> 190 full time staff which is enough staff to carry all NPA functions comfortably (>100 rangers and >100 additional staff on administration, commercial development, M&E, etc.)

* IUCN standard is 5,000 ha per ranger in forest or 20 per 100,000 ha, or about 60 for the 300,000 ha of the NEPL TPZ. This is increased to 100 for the score of 10 to account for other functions such as for the CUZ

		2020	2021	2022	2023	2024	2025	2026
2. Staffing capacity and management		4	4	4	4	4	5	5
0	Staff have no training in NPA management, and their management is not controlled by the institution.							
2	The staff are not managed by the institution and the same applies for all the partners to which it outsources tasks or functions. The institution does not have staff management procedures or administrative management guidelines. Wages and conditions of employment are like civil services and do not stimulate strong performance. Less than 50% of the staff have received an education or have sufficient experience to handle well the function assigned to them. There is no human resource development strategy.							
4	The staff are all managed though not entirely by the institution and some of the partners to which it outsources tasks or functions are controlling the staff they employ. The institution possesses and applies old staff management procedures and conditions with wages and conditions of employment not sufficient to stimulate performance with all staff. More than 50% of staff have received an education and about 50% have enough experience to handle well the function assigned to them. There is a human resource development strategy, but it is partially implemented including at least one training per staff every two years.							
6	The staff are all managed though not entirely by the institution and the same applies for all the partners to which it outsources tasks or functions. The institution possesses and applies staff management procedures though they are not cutting edge with relatively competitive wages and conditions of employment. 80% of staff have received an education or have strong experience to handle the function assigned to them. There is a human resource development strategy, but it is partially implemented including at least a training per staff per year.							
8	The staff are all managed though not entirely by the institution and the same applies for all the partners to which it outsources tasks or functions. The institution possesses and applies staff management procedures though they are not cutting edge with relatively competitive wages and conditions of employment. 80% of staff have received an education or have strong experience to handle the function assigned to them. There is a human resource development strategy that is implemented including team building exercise, regular training, career development, etc.							
10	The staff are all managed through a policy entirely controlled by the institution and the same applies for all the partners to which it outsources tasks or functions. The institution can apply a modern staff management procedure, including community-based natural resources management and administrative							

	management, with competitive wages and conditions of employment. All staff have received an education or have strong experience to handle the function assigned to them. There is a human resource development strategy that is implemented including team building exercise, regular training, career development, etc.
--	--

		2020	2021	2022	2023	2024	2025	2026
3. Secured annual budget for combined investment and operation (any source)		5	5	6	6	6	6	6
0	No budget							
1	0 to 50,000							
2	50,000 to 200,000							
3	200,000 to 500,000							
4	500,000 to 1 million							
5	1 million to 1.5 million							
6	1.5 million to 2 million							
7	2 million to 2.5 million							
8	2.5 million to 3 million							
9	3 million to 4 million							
10	Budget is greater than US\$4 million per year							

		2020	2021	2022	2023	2024	2025	2026
4. Budget and Contract management		6	6	7	7	7	7	7
0	The NPMO/PAMU does not implement the budget and does not manage service or civil works contracts.							
2	The NPMO/PAMU implement the budget from Treasury but none of the project-based budget and manage service or civil works contracts only on behalf of others and cannot make decision.							
4	The NPMO/PAMU mobilizes and implement the budget from Treasury and about half of the project-based budget. It manages service or civil works contracts funded by the budget it implements.							
6	The NPMO/PAMU mobilizes and implement the budget from Treasury and most of the project-based budget. It manages service or civil works contracts funded by the budget it implements.							
8	The NPMO/PAMU mobilizes and implement the entire budget irrespective of it sources as well as all service or civil works contracts. It successfully achieves about 80% of budget execution.							
10	The NPMO/PAMU mobilizes and implement the entire budget irrespective of it sources as well as all service or civil works contracts. It successfully achieves 100% of budget execution.							

		2020	2021	2022	2023	2024	2025	2026
5. Planning		3	5	6	6	7	7	7
0	The NPMO has no plan for the park							

2	The NPMO operates according to a superficial protected area management plan, or project document, which is somewhat useful and with a succinct work plan.
4	The NPMO operates according to (a) a long-term vision or at least 10 years - not necessarily coherent with the province long term development vision, (b) a medium term, 5 to 10 years, protected area management plan of modest quality but cover the period under operation, and an (c) Annual Work Plans and Budget derived from the management plans but focuses more on input and output than outcome. All Plans approved by the relevant authority.
6	The NPMO operates according to (a) a long-term vision or at least 10 years expressed in a Strategy that sets conservation targets, (b) a 5 Action Plan which is modern and comprehensive and meet national standards, (c) and Annual Work Plans and Budget directly derived from the Action Plan, which track all levels of actions from input to output to outcomes. All Plans have been designed with input from communities, are gender informed and are approved by the relevant authority.
8	The NPMO operates according to (a) a 10 year vision expressed in a comprehensive Strategy that sets conservation, social, institutional and financial targets and a road map, (b) a 5 year Action Plan which is modern and comprehensive and, (c) a succinct Business Plan that describe potential sources of revenues but does not set the stage for full financial sustainability, (c) Annual Work Plans and Budget directly derived from the high levels plans, which track all levels of actions from input to output to outcomes and incorporate lesson from previous year. All Plans have been designed with input from communities, are gender informed and are approved by the relevant authority.
10	The NPMO operates according to (a) a 10 years expressed in a comprehensive Strategy that sets conservation, social, institutional and financial targets and road map, (b) a 5 years, Action Plan which is modern and comprehensive and has been endorsed by external peer reviewers of international reputation, (c) a Business Plan that clearly sets a road map to financial sustainability, (c) Annual Work Plans and Budget directly derived from the high levels plans, which track all levels of actions from input to output to outcomes and that are designed after lesson from previous year. All Plans have been designed with genuine input and decision from communities, are gender informed and are approved by the relevant authority.

		2020	2021	2022	2023	2024	2025	2026
6. Governance and Oversight		2	2	3	4	5	6	6
0	There is no decision or advisory governance and no oversight or control over the NPMO.							
2	The NPMO is being established and so its Governance instruments are not yet functional. It operates under the previous with a project-based steering committee and oversight by the 3 provinces PAFO and by DOF.							
4	The NPMO operates under MAF/DOF as decision making body are decisions tend to delay park operations. An Steering committee exists, and all positions are filled. The Steering committee meets at least once a year and a third of the members attend in person. Most members show that they are interested, committed and but not well informed. The advice from the committee tend are not always constructive or informed by national conservation policies.							
6	The NPMO operates under MAF/DOF as decision making body are decisions relatively timely to support park operations. An committee exists, and all positions are filled. The Steering committee meets at least once a year and more than 60% members attend. Most members show that they are interested, committed, and well informed. The advice from the committee tend to be constructive but not always informed by national conservation policies.							
8	The NPMO operates under MAF/DOF as decision making body and its decisions are timely to support park operations. An Steeringcommittee exists, and all positions are filled. The Steering committee meets as needed and most members attend in person. Most members show that they are interested, committed, and well informed. The advice from the committee tend to be constructive and well informed by national conservation policies.							
10	The NPMO operates under MAF/DOF as decision making body are decisions rapid and useful to expedite and support park operations. An Steeringcommittee exists, and all positions are filled. The Steering committee meets as needed and all members attend. All members show that they are interested, committed, and well informed. The advice from the committee is helpful both from a national conservation and from a local development point of view and well anchored in national policies.							

		2020	2021	2022	2023	2024	2025	2026
7. Fiduciary procedures		4	4	5	6	6	6	6
0	No procedure and no dedicated staff							
2	There are limited procedures and staff that follow procedures that are not specified in manuals. Limited reporting of financial and procurement.							
4	Financial management and procurement manuals exist and are partly followed. Government staff are in financial and procurement positions; however, they require significant external support to meet reporting requirements. Simple financial reports are provided.							
6	Detailed financial and procurement procedures are recorded in manuals and are mostly followed. Government staff are capable, however still require some external support to meet reporting requirements. Audits are conducted and provided to government and donors, however there is no public release of these audits.							
8	All financial management and procurement procedures are recorded in manuals which have been developed with assistance from experts. All fiduciary positions are fully staffed by specialist trained government staff. All accounting, budgeting, procurement, stock management, invoicing, etc. is computer-based and fully operational. Some internal and external audits are cleared and disclosed to the public. Most financial reports to funders are delivered on time and accepted.							
10	All financial management and procurement procedures are recorded in manuals which have been endorsed by professionals of the sector. All fiduciary positions are fully staffed by specialist trained government staff. All accounting, budgeting, procurement, stock management, invoicing, etc. is computer-based and fully operational. All internal and external audits are cleared and disclosed to the public. All financial reports to funders are delivered on time and accepted.							

		2020	2021	2022	2023	2024	2025	2026
8. Technical procedures		4	5	5	5	5	5	5
0	There is no guidelines or technical procedures or technical manuals							
2	Some guidelines exist with (approximately 20% of activities) with some being peer reviewed - limited use of technical implementation							
4	Some guidelines exist with (approximately 40% of activities) with some being peer reviewed - technical implementation only partially follow these guidelines							
6	Guidelines exist with (approximately 60% of activities) with most being peer reviewed - technical implementation follows these guidelines especially there are SOPs for Law enforcement.							
8	Guidelines exist with (approximately 80% of activities) with most being peer reviewed - technical implementation follows these guidelines							
10	There are comprehensive, high quality and tested technical guidelines on all dimensions of protected area management from national park planning, architecture, Community Engagement, law enforcement, wildlife monitoring. NPA mapping standards, infrastructure in NPAs, outreach, communication, etc. and all activities are implemented in compliance with these guidelines.							

		2020	2021	2022	2023	2024	2025	2026
9. Monitoring, evaluation, reporting		5	6	6	6	6	6	6
0	There is no M&E and no report is produced.							
2	There is limited M&E, with some reports produced, however these are only produced for donors with specific objectives							
4	There is limited M&E, with donor and an annual report produced, however the report is primarily narrative and not quantitative.							

6	There is a M&E system in place. Annual report is produced; however, these are mostly produced to meet donor requirements. The annual reports are reviewed by the steering committee, but not published. The Annual Report indicates how progress are made with respect to the management plan, and the annual work plan.
8	There is comprehensive M&E. Quarterly reports and Annual Report are produced, and annual reports are reviewed by the Steeringcommittee, and published. The Annual Report indicates how progress are made with respect the annual work plan, and the management plan. A simple Annual Report is shared with the public, possible through a website.
10	There is comprehensive M&E. Quarterly reports and Annual Report are produced, and annual reports are reviewed by the Steeringcommittee, and published. The Annual Report clearly indicates how progress are made with respect to the long-term vision, the management plan, the business plan, and the annual work plan. A succinct and aesthetic version of the Annual Report is shared with the public and reaches many. A quarterly newsletter or equivalent, on themes relevant to the NPA, is sent to a with a >1,000 address distribution list. An informative web site is updated at least every 3 months.

		2020	2021	2022	2023	2024	2025	2026
10. Business development and partnerships		2	2	2	2	3	3	3
0	There is no activity generating revenues or raising funds and no collaborating partners or business plan							
2	There are some activities generating revenues or raising funds, however these funds are limited and not a substantial part of the costs of the NPA. There are collaborating partners but no business plan							
4	There are some activities generating revenues or raising funds, however these funds are limited and not a substantial part of the costs of the NPA. There are collaborating partners, a basic business plan, and ongoing discussions regarding sustainable financing, for example from hydropower development outside of the NPA							
6	The NPA conducts some business planning and fund raising and keeps most revenues for operational activities. These revenues contribute to the NPAs management and functioning. There are collaborating partners, a basic business plan, and ongoing discussions regarding sustainable financing, for example from hydropower development outside of the NPA. Limited community enterprises, and joint Community-private partnership are operating.							
8	The NPA conducts significant business planning and fund raising and keeps most revenues for operational activities. These revenues contribute significantly to the NPAs management and functioning. There are collaborating partners, a business plan, and ongoing discussions regarding sustainable financing, and possibly limited payments being received, for example from hydropower development outside of the NPA. Some community enterprises, and joint Community-private partnership are operating.							
10	The NPA conducts significant business planning and fund raising and keeps >90% revenues for operational activities. These revenues contribute significantly to the NPAs management and functioning. There are long-term collaborating partners, a comprehensive business plan that is followed and reported against, and sustainable financing mechanisms in place that are financing the NPA, for example from hydropower development outside of the NPA. Advanced community enterprises, and joint Community-private partnership are operating.							

		2020	2021	2022	2023	2024	2025	2026
PERCENTAGE		40%	45%	50%	52%	55%	57%	57%

ANNEX 5 – SCORE SHEET GUARDIAN VILLAGE FUNCTIONAL CAPACITY

10. This score is meant to measure the evolution of a village in becoming guardian village and handling its role in conservation and livelihood support. The template below applies to one village and the score proposed is a typical scenario.

11. The score sheet below is supposed to be filled at least once a year by the NPMO facilitator and his/her supervisor. All facilitators and supervisors will receive training. The head of the community engagement section will verify the score sheets. The villages who are not engaged will not have a score sheet filled.

	2021	2022	2023	2024	2025	2026
1. Village administration performance	1	2	3	3	4	4
0 There is no engagement with the village administration by the park, or the village administration prefers to have no engagement with the park.						
1 Discussion between the park and the village administration toward a GVCA are ongoing.						
2 The park and the village administration have signed a GVCA.						
3 The village administration has initiated some steps to implement the GVCA and abide by its terms						
4 The village administration is implementing the GCVA with reasonable commitment and success.						
5 The village administration fully and proactively implements the GVCA and abide by its terms.						
2. Guardian village planning	1	2	3	4	4	5
0 There is no village LUP that is less than 10 years old, and there is no interest by the village to have LUP, or there is no external support to prepare a LUP.						
1 The village has initiated discussion with the park, or with a project, with funding to support with a new LUP and possibly the VFMP.						
2 The village has completed the LUP that is compatible with the park zoning plan but not yet a VFMP						
3 The village has completed the LUP as well as a VFMP which are both compatible with the park zoning, but they are not yet published, disseminated or approved						
4 The village has completed the LUP as well as a VFMP which are both compatible with the park zoning, published and disseminated but not approved						
5 The village has adopted a LUP including a CUZ separating well the BFZ and the TPZ and a VFMP that incorporates the management of the CUZ. Both are approved by the relevant authorities, are published on village board and well disseminated with all villagers.						

3. Guardian village conservation office		0	1	2	3	3	4
0	There is no GVCO nor any village structure tasked to manage natural resources						
1	The village administration has appointed a GVCO committee (or board)						
2	The GVCO committee meets at least quarterly, has adopted bylaws and a work plan for the year.						
3	The GVCO committee meets at least quarterly, operates according to bylaws and a work plan, has opened the operation and revolving accounts and employ villagers for specific tasks						
4	The GVCO committee meets at least quarterly, operates according to bylaws and a work plan, has an operation and revolving accounts and has established a secretariat with at least one staff, and employ villagers for specific tasks						
5	The GVCO committee meets at least quarterly, its secretariat has at least 2 permanent staff, it has a 5-year plan, and operation and a revolving account with at least one year of financing available, it works with annual plans and produces financial and technical reports to DAFO and the park						
4. GVCO capacity to support livelihood		0	0	1	2	3	3
0	There is no GVCO, or the GVCO has no finance and no plan for supporting livelihood.						
1	The GVCO has engaged discussion with the park, or with a project for livelihood support, and has adopted procedures to manage a revolving fund and finance conservation-compatible livelihood and business loans.						
2	The GVCO has opened a revolving account, disseminated its procedures and opportunities for loan in the village, received and reviewed proposal and gave its first loans.						
3	The GVCO revolving fund has capital is at least 50 million, it is giving loans to more than 5 villagers or village enterprises for conservation-compatible businesses and livelihoods, is starting to monitor and report on the compliance of its loan.						
4	The GVCO revolving fund operates for about 2 years, has capital is at least 200 million, it is giving loans to more than 20 villagers or village enterprises for conservation-compatible businesses and livelihoods, is able to monitor and report on the compliance of each of its loan, achieves less than 5% of loans are defaulting,						
5	The GVCO revolving fund operates for about 2 years, has capital is at least 200 million, it is giving loans to more than 20 villagers or village enterprises for conservation-compatible businesses and livelihoods, is able to monitor and report on the compliance of each of its loan, achieves less than 5% of loans are defaulting,						
5. GVCO capacity to manage natural resources		0	0	1	2	3	3

0	There is no GVCO or the GVCO has no capacity, finance or plan to manage natural resources
1	The GVCO has initiated discussion with the park for the implementation of the VFMP (or the CUZ if there is no VFMP) and for the management of boundary and fire in the TPZ adjacent to the village.
2	The GVCO is able to clear the TPZ boundary and has initiated implementation of some activities of the VFMP, control some illegal uses in the CUZ, initiated a GV permit system which generated some revenues.
3	The GVCO has mastered clearing the TPZ boundary and started to prevent fire, initiated implementation of some activities of the VFMP, control some illegal uses in the CUZ, initiated a GV permit system which generated some revenues.
4	The GVCO masters boundary of the TPZ, prevents most fire before they enter the TPZ, implement partly the VFMP, effectively control most illegal uses in the CUZ, implements a GV permit system which revenues finance part of the salary and operation of village rangers to implement the VFMP or manage the CUZ.
5	The GVCO effectively implements boundary and fire mgt in the TPZ, effectively implements the VFMP, fully control illegal uses in the CUZ, implement a GV permit system which revenues finance the salary and operation of village rangers to implement the VFMP.

6. Village and park compliance with GVCA		0	1	2	2	3	3
0	There is no attempt in the village to comply with any park regulation as shown by encroachment, poaching and fire originating from the village.						
1	There are some attempts by the village administration to disseminate the park regulations and discourage illegal users and uses, but with little effect on community changing behavior.						
2	The village administration disseminates the park regulations to all villagers and actively discourage illegal users and uses, with some effect on community changing behavior, showing a decrease in one of the threats.						
3	The village comply with some provision of the Mgt Plan in the TPZ and the GVCA/VFMP in the CUZ/BFZ reporting a decrease in encroachment, poaching and fire in the areas under its purview but receiving annual payment from the park.						
4	The village comply with most provision of the Mgt Plan in the TPZ and the GVCA/VFMP in the CUZ/BFZ reporting just a few events of encroachment, poaching and fire in the areas under its purview and receiving some annual payment from the park for this partial compliance.						
5	The village fully comply with all provision of the Mgt Plan in the TPZ and the GVCA/VFMP in the CUZ/BFZ reporting no encroachment, no poaching and no fire in the areas under its purview and receiving annual payment from the park for such compliance.						

7. Environment education and awareness		0	1	1	2	2	3
0	There is no initiative in the village toward educating or informing adults and children about the park and its rational						
1	There is an initiative from the park in the village toward educating or informing adults and children about the park and its rational which is supported by the village administration.						
2	The park is successful in the village in setting up a NEPL club in the primary school and successfully reached out to most adult in informing about the park and its rational with a message supported by the village administration.						

- 3 The village primary school has a NEPL Club with proactive teacher and some children members. The park and village administration /GVCO have designed an adult's information and awareness program.
- 4 The village primary school has an active NEPL Club with proactive teacher and most children members. The village administration /GVCO are implement an adult information and awareness program toward adults but have not reached everybody equally.
- 5 The village primary school has an active NEPL Club with practice teacher and most children members attending the week retreat in the Xone Corridor Center. The village administration /GVCO are implementing an adult awareness program reaching all adults to ensure that all are informed and aware.

8. Job created		1	1	1	1	2	2
0	There is nobody in the village, from the village, who has any job associated with the National Park						
2	There are at least 2 families in the village with 1 member either employed by the park or a GVCO, a park investor, a community enterprise or has generated his own job following a loan from the GVCO revolving fund.						
4	On average, each 20 families in the village has 1 member either employed by the park, by a park investor, by a community enterprise or has generated his own job following a loan from the GVCO revolving fund.						
6	On average, each 10 families in the village has 1 member either employed by the park, by a park investor, by a community enterprise or has generated his own job following a loan from the GVCO revolving fund.						
8	On average, each 5 families in the village has 1 member either employed by the park, by a park investor, by a community enterprise or has generated his own job following a loan from the GVCO revolving fund.						
10	On average, each family in the village has 1 member either employed by the park, by a park investor, by a community enterprise or has generated his own job following a loan from the GVCO revolving fund.						
TOTAL		3	8	14	19	24	27
PERCENTAGE		8%	20%	35%	48%	60%	68%

ANNEX 6 – 5-YEAR DETAILED BUDGET ALL SCENARIOS

1. In the next pages, a detailed budget is proposed. This budget includes all four scenarios. Each budget line is attached to a scenario with the mention S1 to S4. S1 for the low scenario, S2 for the baseline scenario, S3 for the Medium scenario and S4 for the high scenario.
2. The budget is prepared with a software called Costab which can be downloaded for free here : <https://asian-development-bank.software.informer.com/>. This is a powerful software but its use requires training.
3. However, this budget is available in Excel format. The NPMO planning team can use it to draft project proposals and to prepare the National Park Annual Budget.