

*NAM THEUN 2 WATERSHED MANAGEMENT AND PROTECTION AUTHORITY*

**SOCIAL AND ENVIRONMENT MANAGEMENT  
FRAMEWORK AND OPERATIONAL PLAN (SEMFOP-1)**

[1<sup>st</sup> April 2005 to 30<sup>th</sup> September 2011]

**PART 7**

**FINANCIAL AND BUDGETARY FRAMEWORK**

(Draft of January 2005)

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## **7.1 BUDGETARY AND FINANCIAL FRAMEWORK**

This Operational Plan for the first 7 Financial Years (FY) operation of the WMPA covers the period from April 1, 2005 to September 30, 2011 (78 months, referred to as the SEMFOP-1 period). It seeks to operationalize the planning, the proposed safeguards and mitigation measures and the institutional and management framework proposed under the SEMFOP-1. The plans have been developed to ensure that the funds allocated to the management and protection of the NT2 Watershed/NPA are effectively and efficiently utilized. As such, this Part 7 of the SEMFOP-1, essentially describes the Work plan for the WMPA's Executive Secretariat (Exsec) and the activities that it is responsible for directing and managing.

Key SEMFOP-1 activities to be conducted by the WMPA include:

- Establishment and management of the Executive Secretariat, including staffing, infrastructure development, equipment purchase, finance and administrative management, engagement of TA and training to develop staff capacity.
- Operation of the various support units such as GIS/MIS and Information/COCA units.
- Development of partnerships and working agreements with local authorities
- The core field activities of Forest and Land Use Planning, Allocation and Management (FLUPAM), Participatory Protected Area Management (PPAM), and Livelihood Development for Conservation (LDC) and community development and social services.

### **7.1.1 Long Term Framework**

The current Concession Agreement between NTEC and the GoL specifies that NTPC will provide US\$1 million per year to the WMPA, commencing COD, for the whole Operating Phase of 25 years. Prior to that, for the six years from PCD to COD, US \$6,500,000 will be provided to the WMPA in six installments. Thus, the WMPA has a long term framework of assured funding, unlike any other NPA in the Lao PDR.

This SEMFOP-1 is concerned with the funding prior to COD, phase (1) and (2) above, and two years of the normal post-COD operation Phase. The SEMFOP-1 plan is based on a 8.5 million budget scenario. Funding will be approved yearly based on the Annual Work plan for each financial year. The first Annual work plan has been prepared for the Financial year 1 (i.e. 6 months). After COD, it is expected that 5-year Plans will be developed, as SEMFOP-2 and so on.

Apart from the core funds to be provided by the NTPC, the WMPA is legally mandated to accept funding from other sources, funds directed to support specific activities in this SEMFOP, or for new or supplementary activities which would see the development of an expanded SEMFOP.

### **7.1.2 SEMFOP-1 Funding Installments**

The WMPA Operational Plan and the budget framework and timeline of SEMFOP-1 are specifically linked to the NT2 Project planning and construction timeline. Thus, the planning timeframe started at the PCD (Schedule 4, Part 3, Section 5.1, paragraph b). The first installment will be paid upon the approval of the SEMFOP-1 document. The second and subsequent installments of funding to the WMPA during the pre-COD period (as per the concession agreement) are payable at the start at May 8 of each annual funding period (see Table 7.1). During the post-COD period, installments are due at each anniversary of the COD (i.e. each November 8). Further details are given in Section 7.6.

**Table 7.1: Planned installments for the SEMFOP-1**

<b>NTPC INSTALLMENTS</b>	<b>PCD</b>	<b>SEMFOP Approval</b>	<b>First Inst.</b>	<b>FC/Inst. May'05</b>	<b>Inst. May'06</b>	<b>Inst. May'07</b>	<b>Inst. May'08</b>	<b>Inst. May'09</b>	<b>COD/Inst. Nov'10</b>	<b>Inst Nov'10</b>
<b>Date</b>	12-Dec-03	15-Feb-05	15-Mar-05	8-May-05	8-May-06	8-May-07	8-May-08	8-May-09	8-Nov-09	8-Nov-10
<b>Duration</b>	431	28	54	365	365	365	365	184	365	365
<b>End</b>	14-Feb-05	14-Mar-05	7-May-05	7-May-06	7-May-07	7-May-08	7-May-09	7-Nov-09	7-Nov-10	7-Nov-11
<b>Phase:</b>	PCD	SEMFOP Approval	First Inst.	FC/Inst. May'05	Inst. May'06	Inst. May'07	Inst. May'08	Inst. May'09	COD/Inst. Nov'10	Inst Nov'10
<b>Last NTPC payment</b>	\$ -	\$ 375,000	\$ 625,000	\$ 1,500,000	\$ 1,000,000	\$ 1,000,000	\$ 1,000,000	\$ 1,000,000	\$ 1,000,000	\$ 1,000,000
<b>Cummulative Pre COD</b>	\$ -	\$ 375,000	\$ 1,000,000	\$ 2,500,000	\$ 3,500,000	\$ 4,500,000	\$ 5,500,000	\$ 6,500,000	\$ -	\$ -
<b>Cummulative Post COD</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,000,000	\$ 2,000,000

**7.1.3 Linking Budget Funding to Operational Planning**

Although the Concession agreement mentions installments of US\$1,000,000 at pre-defined dates, recent discussions with the NTPC confirmed that the actual amount may be adjusted, depending on the proposed work-plans. Details are currently discussed and worked out.

**7.1.4 Financial Procedures and Management**

In order to operationalize the intentions and articles of the Decree, and to facilitate the timely and transparent operation of the WMPAs and its budget process, systems have been developed that ensure the timely and wise disbursement of funds to enable the effective operation of the Executive Secretariat and its field activities.

General procedures for its financial management procedures have been prepared and are described in the present Chapter. The financial management and administration procedures adopted by the WMPA (during SEMFOP-1) will depend on the source of its funding and in accordance with the normal financial management and administration procedures required by the World Bank. A proper accounting and financial reporting system is being prepared, to be used starting April 1, 2005.

More detailed procedures and manuals will be developed by the WMPA and its Secretariat with the support of an financial advisor during the first Financial year, and be included in the first annual report. These documents will have to be agreed to by the BoD and be consistent with relevant sections of Decree 25 which pertain to financial management of the WMPA and its Executive Secretariat, particularly articles 24, 27 and 28, as described in the following.

- a) *Article 24: "Duties of the Executive Secretariat" include*
  - 5: *to enter into contracts under the authority of the Board of Directors;*
  - 6: *to ensure that all money received is deposited as soon as possible in the Authority's bank account;*
  - 7: *to disburse funds in accordance with the annual budgets approved by the Board of Directors;*
  - 11: *to keep proper accounts and records of financial transactions and affairs of the Authority and arrange for accounts to be audited at the end of each financial year;*
  - 12: *to prepare quarterly progress reports of the Authority for distribution to the Board of Directors, such reports to include:*
    - (a) *the proceedings and activities of the Authority for that quarter;*
    - (b) *a summary of the financial transactions of the Authority for that quarter;*
- c) *Article 27: "Establishment of Fund..."*
  - 2: *The Board of Directors shall be responsible for managing the Fund so as to provide a long-term reliable source of funding for the Authority's activities.*
  - 3: *To give effect to Article 27(2), the Board of Directors shall instruct the Executive Secretariat to open and maintain such bank accounts in the name of the Authority in Lao PDR and offshore (with approval from the Bank of Lao PDR) and in such currencies as the Board of Directors shall determine, and without being obligated to convert from any currency to another currency.*
  - 4 *The Executive Secretariat shall deposit all moneys referred to in Article 27(1) into such bank accounts and may pay from the moneys standing to the credit of those accounts at any time:*
    - (a) *disbursements in accordance with annual budgets approved by the Board of Directors;*
    - (b) *moneys to be invested in accordance with investment policies and guidelines approved by the Board of Directors; and*

*(c) any other payments authorised by or under this Decree, upon the signature of persons authorised by the Board of Directors and pursuant to a resolution of the Board of Directors.*

*d) Article 28:*

*"The Board of Directors may engage a professional investment manager to assist it in managing the Fund and investing surplus funds in accordance with the investment policies and guidelines referred to in Article 21(7). Surplus funds may be invested in Lao PDR, or, with approval from the Bank of Lao PDR, offshore".*

Funding will be approved on an annual basis, based on annual Work plans and budgets, and the BoD will request the NTPC to transfer the installment to the WMPA fund, an account in US dollars, which may or may not be managed by an investment manager. Transfer of funds from the WMPA Fund to the Executive Secretariat imprest bank account in Khammoune Province will be effected on a quarterly basis and based on quarterly Work plans and budgets presented to and approved by the BoD standing member. Within this general framework, a clear set of general financial procedures of the WMPA and the Executive Secretariat are prepared (see section 7.4). Such a financial process will require detailed attention to accounting and budget request and transfers. One accounting staff will be assigned solely to monitor and coordinate these various transfers, and to keep project accounts up to date, on a daily basis.

## 7.2 EXECUTIVE SECRETARIAT ESTABLISHMENT

### 7.2.1 Approval of Organization and Staffing

A high priority task and focus of initial work of this SEMFOP-1 is the establishment and strengthening of the institution(s) which will be responsible for the management of the NT2 Watershed/NPA. This began with the promulgation of PM Decree 25 (2001) creating the WMPA, and specifying that an Executive Secretariat will be established and have responsibility for day-to-day operations and for the furtherance of the WMPA's objectives.

The second step in institutional development was the first meeting of the WMPA's Board of Directors on the 31<sup>st</sup> of August, 2001 which appointed a subcommittee to prepare for the establishment of the Executive Secretariat of the Authority. This sub-committee's responsibilities were to;

- i. determine criteria and guidelines for the procurement of the Director and deputy Directors of the Executive Secretariat of the authority;
- ii. devise and propose a the policy and regulations concerning the implementation of the Decree;
- iii. devise and propose the salary scale and other incentives for positions in the Executive Secretariat and propose the same to the BoD; and
- iv. select the Directors and deputy Directors of the Executive Secretariat and propose to the BoD meeting for consideration and adoption.

Regarding i) above, a primary criteria for the selection of the Director and Deputies is the structure, organization and staffing of the Secretariat which the Directors will be managing. This proposed organization is discussed in detail in Part 6 of the SEMFOP.

Regarding iii) above, the planned salary scales and incentives system is presented in detail in Part 6 and currently proposed scales are presented in Table 7.2. These have now been approved by the Board of Directors and will be reviewed at appropriate intervals.

**Table 7.2: Proposed (indicative) salary scale of Executive Secretariat core staff**

Staff position	Salary range	Source	Contractor	Evaluator
1. Director	\$1,800 - \$2,000	Government	BoD	IMA, CTA
2. Deputy Directors	\$1,500 - \$1,800	Government	BoD	IMA, CTA
3. Division Deputy Manager	\$600 - \$800	Govt or private	ExSec Director	ExSec Dir, CTA
4: Professional Officer	\$550 - \$800	Govt or private	ExSec Director	ExSec Dir, CTA
5: Technical Officer	\$250 - \$450	Govt or private	ExSec Director	ExSec Dir, CTA
6: Admin Officer	\$400 - \$500	Govt or private	ExSec Director	ExSec Dir, CTA
7. Admin Assistant	\$250 - \$350	Govt or private	ExSec Director	ExSec Dir, CTA
8: Mechanic/Technician	\$250 - \$350	Govt or private	ExSec Director	ExSec Dir, CTA
9: Drivers/Boatmen	\$100 - \$200	Govt or private	ExSec Director	ExSec Dir, CTA

### 7.2.2 Managing Directors – Selection and Engagement

The following directors will be sought and engaged:

- i. A Managing Director (MD).
- ii. 3 Deputy Directors, responsible for each of the Technical Divisions.
- iii. A Deputy Director, responsible for Administration and Personnel.

The indicative Terms of References for these positions are presented as General Annex 1.

7.2.2.1 *Directors Terms and Conditions:*

The Managing Director and Deputy Managing Directors will be selected and seconded from Government agencies. Such secondment of Government staff will be sanctioned by the Government via BoD approval. However, their release (nominally for 4 years at a time) will still require the approval of their supervisors and Units.

- The first Directors to be seconded (in the early years of SEMFOP-1) should have considerable experience in either NPA management based on PICAD and/or the development of this SEMFOP-1 program. This will ensure the smooth, effective and timely development of the Secretariat in the early years.
- It is essential that one of the first duties of the Directors is the establishment of a system for participation. One of the Deputies, the Deputy Director for LDC, must take immediate responsibility – in collaboration with the FLUPAM Advisor TA – for this task and put into place a mechanism for consultation and participation, including the WMPA staff, other officials and all other project stakeholders based on the participation framework described in Chapter 6.
- They will be seconded for periods of 4 years at a time, after which time they can return to their prior Government position. Dependant on a performance review, contracts could be extended for a further period.
- While on secondment, they would not have any administrative or reporting responsibilities to their prior Government agencies, Department or Ministry. They will also cease, temporarily (for the period of employment by the WMPA), to receive Government salaries or any other benefits.
- They will receive a salary according to the Executive Secretariat salary scales (See Table 7.2) and other benefits such as health insurance.

7.2.2.2 *Selection of Directors*

Candidates for the Director and Deputy Director positions will be canvassed from relevant Government Ministries at the Central and Provincial levels. The interim sub-committee will collate the CVs of all potential candidates who will then be compared by reference to a selection criteria matrix (Table 7.3).

**Table 7.3: General criteria for selection of Executive Secretariat Directors**

Managing Director	Deputies - Technical.	Deputy – Administration
1: Relevant Degree.	1: Relevant Degree	1: Relevant Degree
2: Protected Area management experience.	2: Biodiversity monitoring, management and protection exp.	2: Administration experience and ability.
3: Rural development planning & implementation experience	3: Forest and Land Use Planning experience	3: Staff management experience and ability.
4: Understanding of Integrated Conservation & Development	4: Protected Area management experience	4: Budget planning experience and ability.
5: Financial management & Budget planning experience and ability	5: Participatory rural development planning & implementation	5: Financial management experience and ability.
6: Administration and Staff management experience and ability	6: Administration and Staff management experience and ability	6: Protected Area management experience
7: Aptitude for public relations, inter-personal skill	7: Aptitude for public relations, inter-personal skill	7: Aptitude for public relations, inter-personal skill
8: Computer use ability	8: Computer use ability	8: Computer use ability
9: English language	9: English language	9: English language
10. Experience in formulating gender, ethnic and poverty safeguards.	10. Experience in applying gender, ethnic and poverty safeguards.	10. Experience in applying gender, ethnic and poverty safeguards.

Each candidate will be scored according to this matrix. This score will, however, be supplemented by a qualitative analysis and discussion – resulting in a final recommendation for each candidate, prepared (individually and in confidence) by the selection sub-committee. This score matrix and discussion will then be presented to the BoD meeting for their final decision.

Every four years, (or earlier, if a Director retires or is dismissed) this process will be repeated, managed again by a sub-committee appointed by the BoD, which should include the CTA.



7.2.3 Professional, Technical and Administrative Staff

7.2.3.1 Staff Numbers

To implement all activities for the SEMFOP-1, the maximum number of staff employed by the Executive Secretariat is estimated to reach 62 to work in the various Divisions and Units as detailed in Table 7.4 and Part 6.

Some positions will be phased out gradually, as the work program of the WMPA will change. At the end of the SEMFOP-1 phase, about 55 staff (19 Professional, 19 Technical and 17 administration/support staff) will be permanently employed by the Executive Secretariat (Table 7.5).

Table 7.4: Staffing distribution among the main Divisions

MAIN PROGRAMS	DIVISION	LEVELS	EXPENSES	Months	Nakai	Khamkerd	Grand Total	
1. WMPA Management	Exec. Secretariat Office	Director	WMPA Director	78	1		1	
		Division Deputy Manager	Khamkerd manager	78		1	1	
		Professional Officer	Professional Officer 1	66	1		1	
			Professional Officer 4	78	1		1	
			Tourism Officer	21	1		1	
		Technical Officer	Information Officer	78	1		1	
			Technical Officer 1	66	1		1	
	Exec. Secretariat Office Total					6	1	7
	Finance and Admin Division	Admin Assistant	Accountant 1		75	1		1
			Accountant 2		63		1	1
			Procurement and Logistics 1		78	1		1
			Secretary/Computer Operator 1		75	1		1
			Secretary/Computer Operator 2		75	1		1
			Secretary/Computer Operator 3		75	1	1	1
		Admin Officer	Admin and Office Management 1		75	1		1
			Admin and Office Management 2		63		1	1
		Deputy Directors	Deputy Director - Administration		78	1		1
		Drivers/Boatmen	Boatmen 1		75	1		1
			Boatmen 2		75	1		1
			Boatmen 3		75	1		1
			Driver 1/Main mechanic		78	1		1
			Driver 2		78	1		1
			Driver 3		78	1		1
			Driver 4		78	1		1
			Driver 5		78		1	1
Driver 6			78		1	1		
Finance and Admin Division Total					13	5	18	
1. WMPA Management Total					19	6	25	
2. FLUPAM Program	FLUPAM Division	Deputy Directors	Deputy Director - Technical 1	78	1		1	
			Professional Officer	GIS Officer 1	78	1		1
		Professional Officer 1		78	1		1	
		Professional Officer 2		48	1		1	
		Professional Officer 3		48	1		1	
		Technical Officer	Technical Officer 1	78	1		1	
			Technical Officer 2	48	1		1	
			Technical Officer 3	48	1		1	
			Technical Officer 4	78		1	1	
		FLUPAM Division Total					8	1
2. FLUPAM Program Total					8	1	9	
3. PPAM Program	PPAM Division	Deputy Directors	Deputy Director - Technical 2	78	1		1	
			Professional Officer	Wildlife - Professional Officer 1	78	1		1
		Wildlife - Professional Officer 2		78	1		1	
		Wildlife - Professional Officer 4		78	1		1	
		Wildlife - Professional Officer 6		78		1	1	
		Technical Officer		Ranger 01	78	1		1
				Ranger 02	78	1		1
			Ranger 03	78	1		1	
			Ranger 04	78	1		1	
			Ranger 05	78	1		1	
			Ranger 06	78	1		1	
			Ranger 07	60	1		1	
			Ranger 08	60	1		1	
			Ranger 09	60	1		1	
		Ranger 10	60		1	1		
		Ranger 12	60		1	1		
Ranger 13	78		1	1				
Ranger 14	78		1	1				
Ranger 15	60		1	1				
PPAM Division Total					13	6	19	
3. PPAM Program Total					13	6	19	
4. LDC Program	LDC Division	Deputy Directors	Deputy Director - Technical 3	78	1		1	
			Professional Officer	Community Development Professional 1	75	1		1
		Community Development Professional 2		45	1		1	
		Community Development Professional 3		36		1	1	
		Ethnic Development Professional		78	1		1	
		Gender Specialist Professional		78	1		1	
		Rural Infrastructure Professional		78	1		1	
		Technical Officer	Community Development Technical staff 1	75	1		1	
			Community Development Technical staff 2	45	1		1	
Community Development Technical staff 3	36			1	1			
LDC Division Total					8	2	10	
4. LDC Program Total					8	2	10	
<b>Grand Total</b>					<b>48</b>	<b>15</b>	<b>63</b>	

**Table 7.5: Average SEMFOP-1 Staffing schedule**

Staff Position	FY1	FY2	FY3	FY4	FY5	FY6	FY7
	1-Apr-05	1-Oct-05	1-Oct-06	1-Oct-07	1-Oct-08	1-Oct-09	1-Oct-10
	30-Sep-05	30-Sep-06	30-Sep-07	30-Sep-08	30-Sep-09	30-Sep-10	30-Sep-11
Director	1	1	1	1	1	1	1
Deputy Directors	3	4	4	4	4	4	4
Division Deputy Manager	1	1	1	1	1	1	1
Professional Officer	9	15	16	16	14	13	13
Technical Officer	9	16	23	23	21	19	19
Admin Officer	0	1	2	2	2	2	2
Admin Assistant	2	5	6	6	6	6	6
Mechanic/Technician	-	-	-	-	-	-	-
Drivers/Boatmen	5	9	9	9	9	9	9
	<b>29</b>	<b>53</b>	<b>62</b>	<b>62</b>	<b>58</b>	<b>55</b>	<b>55</b>

*7.2.3.2 Recruitment*

Candidates for the Professional and Technical Officer positions will be recruited on the open market, via the placement of advertisements in Lao and English language newspapers (and any other means of information) inviting application from both Government and private sector individuals. However, priority will be given to staff who have worked in projects or government programs in relation to the NT2 Watershed/NPA, and who have demonstrated skills and application in the conduct of these duties. At all levels Gender Balanced Targets and the overall ethnic make-up of the team will also be considered during the selection.

Candidates for both the admin and support positions will sought via advertisements in Lao and English language newspapers inviting application from both Government and private sector individuals. Interested applicants may also be identified by other formal or informal channels. In the case that a Government employee is chosen, he/she will be seconded from their Ministry under the same terms and conditions as the Directors (7.2.2.1 above). They will be seconded for periods of 4 years. Depending on a performance review, contracts could be extended for a further 2 years. While on secondment, they would not have any administrative or reporting responsibilities to their Ministry. They will receive a salary according to Executive Secretariat salary scales.

Some of the Professional and Technical officers will be based at the projects offices in Nakai or in Khamkerd, while others will be based permanently in the villages inside the NT2 Watershed- NPA.

The salaries of the P/TOs will range from \$US 250 to 800 per month (See Table 7.2), not including DSA or health insurance. The actual level will be based equally on a) on years of relevant and demonstrated experience (see section criteria matrix), and b) qualifications.

A comprehensive health insurance will be available. DSA will be paid for day or overnight trips to the forests or villages, and for overnight trips to other Districts, Provincial centers and Vientiane.

Selections for assignments, promotions and staff training will be done in a gender equitable manner, using Gender Balance Targets described in 6.2.

*7.2.3.3 Selection and Engagement*

The functional responsibility for organizing recruitment (seeking and engagement) of staff will rest with the personnel office of the Administration Division. They will coordinate the finalization of the ToR and contracts, and then advertising each staff position, in Lao and English language newspapers. For certain types of recruitment, particularly for the Development Volunteers, notices will be posted in local markets, shop and on village notice boards. They will coordinate the interviews for prospective candidates. For all professional and technical positions, the Managing Directors will comprise a gender appropriate interview team, assisted by the relevant TA members if appropriate. While the interview panel will make a choice, the final decision for engagement will be made by the BoD.

For the administration staff positions, the selection panel will include the administration manager, one deputy managing Director, and a representative of the assisting agency. Following selection, the Personnel Office will finalize the contracts with the administration unit. Thus, the selection and engagement process will include the following tasks;

- review and finalize the ToRs and terms and conditions for each position;
- preparation of advertisements, the placement of advertisements in newspaper;
- organization of selection committee;
- drafting of a selection criteria matrix, including sensitivity to gender, ethnicity and origins from difficult backgrounds;
- preliminary review and scoring of applicants;
- calling short list applicants for interview;
- applicants interviewed by panel - composed of the Executive Secretariat Directors and, for Director Positions- relevant BoD members. The positions Terms of Reference will be the selection panels guiding document, in the form of a selection criteria matrix;
- the selection panel makes their commendations, and these are forwarded to the BoD for approval.

Although technical qualifications and experience of candidates will be a major selection criteria, communication skills, sensitivity to gender, ethnicity, and poverty will also rate highly and be assessed during the interviews. Proven ability in any of the local dialects spoken by the various ethnic groups will also rate highly in the final selection of candidates. The recruitment process will also attempt to achieve an appropriate gender and ethnic balance in the eventual staff complement. In addition, preference will be given to candidates from the local area, particularly those from NPA or PIZ communities. Overall gender and ethnicity make-up of the staff will be critical for effective work.

It may well be necessary to identify and recruit staff from outside the local area, and candidates who already have good experience in other programs or regions, or new graduates from NUOL and other educational institutions will be considered. Thus, the Executive Secretariats will maintain regular contact with the NUOL in order to identify appropriate graduates who could join the Executive Secretariat, particularly those who have conducted research or surveys in the NT2 Watershed/NPA as part their studies while at NUOL.

For the administration staff positions, the selection panel will include the administration manager, one deputy managing Director, and a representative of the assisting agency. For interviews with women, the interview team will ensure that at least one qualified woman interviewer is present. While the interview panel will make a choice, the final decision for engagement will be made by the BoD. Following selection, the Personnel Office will finalize the contracts with the administration unit. Selection of staff will take into consideration Gender Balanced Targets described in 6.2 and revised annually for personnel recruitment.

#### **7.2.4 Establishment and Management of Facilities/Equipment**

The establishment of sound, appropriately designed and functional infrastructure will provide a good basis on which the Executive Secretariat can function effectively and efficiently. Where appropriate, elements of the WMPA (in particular, the Technical Divisions) will be housed implementing partners in existing accommodation which will be renovated/extended as appropriate. Further details on the budget allocations are given in Section 7.6.

##### *7.2.4.1 Offices and Accommodation*

The Executive Secretariats offices and accommodation to be built during the first 2 years includes those facilities presented in

Table 7.6.

**Table 7.6: Proposed Infrastructure – offices and accommodation, to be constructed by the WMPA**

Facility	Location
1: Temporary office	Old NPA HQ, or District Offices
2: Headquarters (main office):	Nakai District town
3: Sub-headquarters (branch off.)	Luk 20 town, Khamkeut District
4: Accommodation	In old NPA HQ, near new HQ, etc,
5: Visitor center	Not yet planned or budgeted
6. Technical Divisions	Existing Offices in Nakai District

However, as such infrastructure will take time to design and construct, the lack of office and accommodation space in the first year may be a significant constraint to the early development and function of the Executive Secretariat. Thus, while the permanent headquarters are designed and built it is planned to initially renovate and improve existing buildings in Nakai town. Such temporary office accommodation could be a combination of:

1. the current NPA HQs at Nakai;
2. current district administration offices; or
3. some other building or compound.

Making use of the current NPA office would be appropriate as this office will be automatically merged with the newly established NT2 WMPA Executive Secretariat. However, it is currently too small to office all of the Executive Secretariat staff in its first two years. The Nakai District administration has started to build an extensive new office, although this building is only about 25 % complete. If the District is assisted to finalize at least part of its new office space, the Executive Secretariat may be able to occupy rooms in the Districts old (current) building. This would be the desired option, as it would be an effective means of promoting coordination and cooperation between the Executive Secretariat and District authorities.

During the first financial year, the WMPA’s Executive Secretariat headquarters complex at Nakai District town will be professionally designed, while the construction will be completed in the second financial year. The design will allow for progressive additions of buildings and rooms, as funds become available and staff and offices become functional. Eventually, the HQ complex will include offices, a library and visitor information centre, a storeroom and a machinery workshop. Depending on its location, it may also include a ramp to the reservoir, a restaurant (privately run), and a small botanical garden (representing plateau species).

A sub-headquarters will be built in Khamkerd District, probably in Km 20 town, and ideally these would be located in the compound of either the DAFO or of the District administration.

Accommodation for the Executive Secretariat staff and all TA may be a problem in the early years of the SEMFOP-1. In Khamkerd, all staff and TA will be expected to find their own accommodation. As the situation in Nakai is more serious, funds have been allocated to construct accommodation. The location of this is as yet unknown.

*7.2.4.2 Field Stations, Posts and Gates*

A network of field stations, monitoring posts and checkpoint gates will be developed over time, the extent of the network to be developed during SEMFOP-1 (see Map 13). Field stations will be placed in focal villages in enclave zones, for both accommodation base and office’s for enclave based staff. In some cases, these will be ex-DUDCP field stations, renovated and expanded. Monitoring posts may be somewhat more isolated, and will be dry and warm refuges for staff, partners and village monitoring staff to rest up during forest missions. Gates will be placed at strategic points, to intercept and check either regular or irregular transit of persons and goods. Some gates may be permanent, many will be mobile in which staff decide to set up a checkpoint at any location based on information or understanding of transit

routes. In most cases, field stations and posts inside the NPA would be built from local materials, while those on or in the reservoir and in peripheral impact zones could be built from cement.

*7.2.4.3 Transportation, Field and Office Equipment*

A wide range of transportation, field and usual office equipment will be purchased and put to effective use. Transportation equipment will include 4-wheel drive, motorbikes and different boats (river and ferry). Office furniture will include; furniture, desk top and notebook computers, printers and accessories, photocopiers, a few air conditioners, telephones, photocopiers, etc.,

Further details and budget estimates are given in Section 7.6.

### **7.3 CAPACITY BUILDING AND TECHNICAL ASSISTANCE**

#### **7.3.1 Staff Training**

During this SEMFOP-1, and especially the first 2 years of operation of the Executive Secretariat, developing the capacity and ability of the Executive Secretariat's new complement of staff will be of critical importance. In close cooperation with the Deputy Directors, the Managing Director will review previous training needs assessments and conduct a new training needs assessment, linked to the on-going development of the organization and staffing of the WMPA and the required functions of its Executive Secretariat. This assessment will;

- i) identify the subjects for which training will be required;
- ii) identify which staff require training in those disciplines;
- iii) provide an analysis and clear presentation of the range of training courses and education opportunities available and appropriate. These training and education opportunities will include;
  - training courses organized by the Executive Secretariat, and held in Nakai HQs;
  - training organized by another agency or organization especially for the ExSec, and conducted at the WMPA headquarters or at another location in the country;
  - attendance to already organized training courses, usually in the Provincial or nationally, but possibly within the region; and
  - attendance to longer term education institutions to undertake formal education programs, such as bachelor or post-graduate courses.

Selected staff will then be supported to attend these training or education opportunities. Provision is also made to support students to conduct thesis field work in the NT2 Watershed/NPA, through the Executive Secretariat. Furthermore, a specific requirement of Technical Assistance will be to provide on-the-job or in-service training, and TAs effectiveness in this respect will be a specific component of TA evaluation.

Training of staff will also be conducted through the hiring of various NGOs and/or Consultants to carry out specific tasks within the project. These include: Project Management Support, Ranger & VCMU Training, Biodiversity Baseline Survey, and Community Participation Support.

#### **7.3.2 Technical Assistance Requirement**

The SEMFOP-1 is designed to ensure that the Technical Assistance will assist the WMPA's Executive Secretariat, rather than direct it or run in parallel to it. This will be achieved through the engagement of 3 long term TA, each to be engaged for an estimated duration of 42 months:

- The PPAM/CTA Advisor will act as counterpart to the Deputy Directors responsible for PPAM and will support the WMPA management in general project implementation and coordination.
- The FLUPAM Advisor will act as counterpart to the Deputy Director responsible for FLUPAM.
- The Community Development and Participation Advisor will work under the direct supervision of the LDC Deputy Director, and will work closely with the other TA team members and all other Deputy Directors with the aim of mainstreaming ethnic issues and concerns in all the SEMFOP-1 programs.

The primary, and probably the most important role of the long-term Technical Assistance, will be to provide on-the-job training to the directors and staff of their respective division. This will emphasize team-building and competency, with the objective of developing staff capacity throughout the WMPA to the point that the TA will be able to withdraw at the end of their respective terms, leaving competent and self-reliant management and staff in place.



### **7.3.5 Staff Training**

During this SEMFOP-1, and especially the first 2 years of operation of the Executive Secretariat, developing the capacity and ability of the Executive Secretariat's new complement of staff will be of critical importance. A training needs assessment will be conducted in year 1, linked to the on-going development of the organization and staffing of the WMPA and the required functions of its Executive Secretariat. This assessment will:

- i) identify the subjects for which training will be required;
- ii) identify which staff require training in those disciplines;
- iii) provide an analysis and clear presentation of the range of training courses and education opportunities available and appropriate. These training and education opportunities will include;
  - training courses organized by the Executive Secretariat, and held in Nakai HQs;
  - training organized by another agency or organization especially for the ExSec, and conducted at the WMPA headquarters or at another location in the country;
  - attendance to already organized training courses, usually in the Provincial of nationally, but possibly within the region; and
  - attendance to longer term education institutions to undertake formal education programs, such as bachelor or post-graduate courses.
- iv) Identify training needs in regard to staff sensitivity on gender, ethnicity and poverty. The aim is to raise staff awareness on how to mainstream these concerns into all SEMFOP activities.

Selected staff will then be supported to attend these training or education opportunities. Training opportunities will set Gender Balanced Targets to ensure that women are afforded equal opportunity.

Furthermore, a specific requirement of Technical Assistance will be to provide on-the-job or in-service training, and TAs effectiveness in this respect will be a specific component of TA evaluation.

Provision is made to support students to conduct thesis field work in the NT2 Watershed/NPA, through the Executive Secretariat.



## **7.4 EXECUTIVE SECRETARIAT MANAGEMENT**

### **7.4.1 Staff Management**

Administrative management of the Executive Secretariats staff (and implementing partners) will be based in the personal office of the Administration and Finance unit. Following selection and engagement of the staff (see Section 7.2) all data related to staff will be updated and filed in this office. This will include:

- CVs and work history;
- records required for health insurance coverage;
- monitoring of days worked, leave due and leave taken - attendance and leave records - (staff will have to submit monthly timesheets for payment of salary and payment of DSA).

This office will also (i) inform the finance section of monthly salaries and DSA due; and (ii) organize and facilitate the annual evaluation of all staff, the results of which will be filed accordingly.

In terms of technical management, staff will report specifically to the Deputy Director in charge of their particular Division or Unit. Besides daily management of their staff, each Division Deputy Director will have to lead an annual evaluation of staff performance, which will lead to one of three scenarios:

- 1: performance satisfactory (or better) and staff encourage to continue; or
- 2: performance not satisfactory, but redeemable – staff to undergo counseling; or
- 3: performance not satisfactory nor redeemable – staff engagement to be terminated.

Staff performance reviews will include compliance with WMPA's Personnel Regulations.

### **7.4.2 Technical Assistance Management**

As for permanent staff, the administrative management of the Executive Secretariats TA will be based in the Personal Office of the Administration and Finance Division. Following selection and engagement of the TA, all data related to them will be updated and filed in this office, including:

- CVs and work history;
- records required for health insurance coverage;
- monitoring of days worked, leave due and leave taken - attendance and leave records - (TA will have to submit monthly timesheets for payment of salary and payment of d.s.a.);
- informing the finance section of monthly salaries due and d.s.a. due; and
- organizing visas and other permits as required.

In terms of technical management, the TA will report to their respective Deputy Director. Each Division Head will have to lead an evaluation of TA performance after the end of each TA input. This will allow the Executive Secretariat to decide if the TA should be considered for further inputs as planned. One of three scenarios is likely:

- I: TA performance satisfactory (or better) and they would be encouraged to provide further inputs, as planned; or
- 2: TA performance not satisfactory, but redeemable, and they would be encouraged to provide further inputs as long as (i) they agree to their appraisal evaluation, and (ii) they guarantee their performance can improve on the next input; or
- 3: TA performance is not satisfactory nor redeemable, and the incumbent will not be considered for further inputs.

TA performance reviews will include compliance with WMPA's Personnel Regulations.

### **7.4.3 Infrastructure and Equipment Management and Maintenance:**

#### *7.4.3.1 Office Management and Maintenance*

The management and maintenance of all the various buildings of the Executive Secretariat will be the responsibility the O&M Unit, under the leadership of the Deputy Director – Administration.

Management will include ensuring all offices and accommodation is occupied appropriately, and maintain an inventory. Buildings maintenance will include ensuring all electrical wiring and outlets are safe and effective etc., ensuring any damages are repaired, ensuring roading and tracks are keep in good condition, ensuring waters pipes and drains are in working order, and ensuring all toilets are used and working properly, etc. It may transpire in later years that an electrician and handyman will be employed.

Experience has shown that adequate and timely supply (availability) of consumable office and field supplies is required to avoid bottlenecks in the conduct of field and office activities. Thus, the administration unit will maintain a storeroom with all the required consumable field and office supplies, to be issued to staff on an as-needs basis, upon the signature of the Deputy Director. Replenishment of this store will be the responsibility of the Administration Office, probably on a monthly basis. Field supplies will include falms, torches, batteries, shoes, socks, raincoats other field clothes, field (pocket sized) notebooks, pens etc.,

#### *7.4.3.2 Vehicle Management and Maintenance*

The fleet of vehicles will be used on difficult terrain, especially prior to and during the reservoir construction. Thus, staff allocated and responsible for all the vehicles and boats will ensure logbooks are kept up to date for all 4-wheeled vehicles and all boats. The O&M Unit will keep track of the logbooks and mileage of all vehicles, and inform responsible officers of the imminent need to service a vehicle. This Unit will operate a limited equipped workshop, which, under the supervision of a main driver/mechanic, will provide basic service the vehicles, and keep in stock basic spare parts and tires. More significant repairs and timely maintenance will be ensured through the services of a reputable ‘garage’ in Thakek and km20.

Good vehicle operation of the vehicles will be stressed, and Unit will also be responsible for training in good vehicle operation.

Limited personal or private use of vehicles will be allowed although the vehicle must be driven only by the staff specifically assigned as responsible for that vehicle. All private trips over 5 kms must be recorded in the logbook, and for trips over 10 kms, the driver must fully cover the cost of fuel. For trips over 20 kms, specific prior permission must be obtained from the responsible Deputy Director.

#### *7.4.3.3 Communications Management and Maintenance*

During and after installation of the external and internal communications network, a team (one person initially) will be responsible specifically for the management of the network, including;

- developing a network protocol;
- training of operators;
- regular equipment maintenance; and
- general trouble shooting.

This person will be based at the Nakai HQs ‘communications centre’. Considering the wide area to be covered, the mountainous and forested terrain and the range of ‘teams’ who may be using the system (including the military and police partners) a short, independent consultancy may be required to

adequately plan and budget such a system (or may be included in the tender for prospective contractors to sell and install the system).

**7.4.4 Financial Management**

Functional management of the financial aspects of the Executive Secretariat will be the responsibility of the Administration and Finance office, although approval responsibilities will apply to each specific financial plan, approval and transaction, as detailed below.

The financial year of the WMPA corresponds with the financial year of the Lao Government (i.e. Oct 1 to September 30). An overview of the annual cycle of planning and installments is show in Table 7.1.

**Figure 7.1: Overview of the Financial Year main activities (SEMFOP-1)**

	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Start of Financial year	█											
Replenishment of WMPA account (Pre-COD)								█				
Replenishment of WMPA account (post COD)	█											
Independent Audit		█	█									
IMA review										█	█	
ES Preparation of Annual Work Plans/budget											█	█
ES Preparation of Annual report	█											█
Presentation of Annual Work Plans/budget											█	
BOD Approval of Annual Work Plans/budget												█

In general, funding will be approved on an annual basis, based on annual Work plans and budgets, but the transfer of operational funds from the WMPA Trust Fund to the Executive Secretariat imprest bank account in Khammoune Province will be effected on a quarterly basis and based on quarterly Work plans and budgets presented to and approved by the BoD standing member. Within this general framework, the Executive secretariat will follow a clear set of financial procedures as follows:

*Annual Budget Approvals and Release of Funds*

1. Together with its annual report, the Executive Secretariat will develop annual Work Plans and budget, and the 1<sup>st</sup> quarterly budget.
2. The IMA will review these Work Plans and budget, and certify them (or direct immediate revisions are made).
3. The Executive Secretariat will then forward annual Work Plans and budgets to the BoD at least one month before the scheduled annual meeting of the BoD.
4. The BoD will then consider these budgets prior to and then at its annual meeting, at which time any comments or recommendations on the budget will be aired. If consensus is found and the budget approved, the BoD will inform the NTPC of this approval, and request that the NTPC (or WB) to make a timely release of the funding installments for the coming budget year.
5. The NTPC or WB then (within 15 days) transfers that budget (US \$1 million, plus indexation) to the Bank account of the WMPA Fund.
6. The BoD will inform its investment manager of this request and imminent annual budget installment.

*Quarterly Budget Approvals and Release of Funds*

1. At least 2 weeks before the start of each new quarter, the Executive Secretariat will submit quarterly activity and budget reports, and quarterly Work Plan and budget plan to all the members of the BoD. (the 1st quarters Work Plan and budget will be submitted along with the annual plan to the BoD meetings).
2. If no objections are forthcoming, the Chairman and standing member will approve this Work Plan and budget within 2 weeks of receiving it. If contentious issues are found, the BoD will call a meeting of the BoD to discuss and resolve contentious issues or budget expenses.
3. If approved, the BoD chairman instructs the Investment manager to release the required quarter budget requirement of the Executive Secretariat.
4. [actions v) vi) and vii) will be repeated each subsequent quarter]
5. The funds released, on a quarterly basis, from the WMPA trust fund will be transferred to a US \$ Bank account in Thakek town of Khammoune Province, under the signature of the Managing Director of the Executive Secretariat.

*Monthly Budget Approvals and Release of Funds*

1. The Executive Secretariat admin manager drafts a monthly Work Plan and budget with input from the Managing Director and Deputy Managers, and requests that those funds to be spent in Nakai are transferred to a Nakai Bank (or safe of the Executive Secretariat in the absence of a good), and those funds to be spent in Luk 20 to be transferred to a Luk 20 bank account. Those funds to be spent elsewhere are to be transferred to a second \$ account in Thakhek, from which daily disbursements are made as required.
2. Each month, those funds remaining in the monthly bank accounts (one in Thakek, Nakai and Luk 20) are returned to the quarterly bank account in Thakek.
3. Each quarter, any funds remaining in the Thakek quarterly account are transferred back to the WMPA fund, or more likely discounted from the approved advance for the following quarter.

Such a financial process will require detailed attention to accounting and budget request and transfers. One accounting staff will be assigned solely to monitor and coordinate these various transfers, and to keep project accounts up to date, on a daily basis.

*7.4.4.1 Bank Accounts*

In order to facilitate the financial procedures and management as detailed above, the WMPA will establish a series of bank accounts, as follows:

i) WMPA US \$ Account 1 – WMPA Fund:

A US\$ account which will receive annual installments from the NTPC, and from which the quarterly transfers of funds to the Executive Secretariats 'US \$ account 1' will be made. As some of the monies in this account will not be transferred until quarter 2, 3 and 4, the account may be subdivided into 3 medium term deposits 3, 6, and 9 months. Each quarter (maturation of the term deposit), the planned and approved funds (on average, 25% of the annual budget) would be matured and returned to the Account, for release to the Executive Secretariat Operational account 1.

This account may be managed by an Investment Manager who will be remunerated by a mutually agreed % of the interest accumulated annually. The use of the remaining interest, which would be in the order of many 1,000's of dollars, will be reviewed by the BoD, but could include (i) invest in the Trust Fund, or (ii) use for WMPA activities.

iii) Executive Secretariat US \$ Account 1:

A US\$ account, probably in Thakhek, which is replenished from the WMPA account 1, and from which the Executive Secretariat will withdraw its monthly budget requirements.

iv) Executive Secretariat US \$ Account 2:

A US \$ account Thakhek, which will be used to finance daily US \$ expenditures within any particular month in the region of Thakhek or Vientiane. This account will have a check facility.

v) Executive Secretariat Lao Kip Account 1/Nakai:

A Lao Kip account in Nakai, which will be used to finance daily expenditures within any particular month in and around Nakai District.

vi) Executive Secretariat Lao Kip Account 2/Khamkerd:

A Lao Kip account in Lak Sao town of Khamkerd District, which will be used to finance daily expenditures within any particular month in and around Khamkerd District.

*7.4.4.2 Trust Fund*

In addition to these regular bank accounts, a Trust fund may be established to receive any residual funds following each years disbursements. This fund will be managed to ensure fund growth, and the interest from this fund will then be used for long term Protected Area management. However, it is not expected that annual funding will be in excess of requirements during the early years of the WMPA's operation. That is, there will be few, if any residual funds to invest on this trust fund. If there are, they will be relatively small, and thus the interest accumulated relatively small. Thus, it is not likely that this trust fund will become significant in the short to medium term.

There will be 3 funding phases with different funding sources for SEMFOP:

1. Pre Financial Close (NTPC)
2. FC to Pre-COD (WB equity & NTPC)
3. Post-COD to end concession period (NTPC)

It is therefore unlikely that any remaining funds will be available to capitalize the proposed trust fund until possibly towards the end of SEMFOP-1. By that time, the LECF will have been established (see Part 4 of the SEMFOP) and it is proposed that a specialized financing window be established under the LECF framework for any monies remaining over and above WMPA spending. Investment revenue from capital accumulated over 25 years would provide a sustainable funding source for NNT NPA after the concession period.

*7.4.4.3 Procurement and Disbursement Approvals*

Procurement packages have been defined based on mainly sources of funding and the type of activities. The overall summary is given in Table 7.7. Procurement plans will be prepared on an annual basis and attached to the annual work plans.

**Table 7.7: Procurement Packages**

Package Code	Type	Description	Pre-COD Funding
<b>1 Civil Works</b>			
1.1 Office Construction/Rehabilitation	NCB/NS	National Competitive Bidding/	World Bank
1.2 Construction of Field Facilities	NS	National Shopping	World Bank
1.3 VDC Facilities	NS	National Shopping	World Bank
1.4. Other	NS	National Shopping	World Bank
<b>2 Goods/Equipment</b>			
2.1 WMPA Office Equipment	NS	National Shopping	World Bank
2.2 WMPA Field equipment	NS	National Shopping	World Bank
2.3 Vehicles	IS	International Shopping	World Bank
2.4 Boats	NS	National Shopping	World Bank
2.5 Motorcycles	NS	National Shopping	World Bank
2.6 Maps, Satellite images, data	IS	International Shopping	World Bank
2.7 Village Development	NS	National Shopping	World Bank
2.8 Other	tbd	To Be Determined	Tbd
<b>3 Services/Training</b>			
3.1 Project Monitoring	CQ	Consultants Qualifications	World Bank
3.2 Project Management	IC	Individual consultants	World Bank
3.3 Training Contracts	IC	Individual consultants	World Bank
3.4 Design and Construction Supervision	IC	Individual consultants	World Bank
3.5 Various contracts	IC	Individual consultants	World Bank
3.6 Other	SOE	Statement of Expenses	World Bank
<b>4 Technical Assistance</b>			
4.1 International Technical Advisors	IC	Individual consultants	World Bank
4.2 Short-term Technical Advisors	IC	Individual consultants	World Bank
4.3 Other	tbd	To Be Determined	Tbd
<b>5 Recurrent Operating Costs</b>			
5.1 WPMA Staffing costs	IC	Individual consultants	NTPC Pre-COD
5.2 WMPA Operating costs	SOE	Statement of Expenses	NTPC Pre-COD
5.3 Transportation	SOE	Statement of Expenses	NTPC Pre-COD
5.4 WMPA field expenses	SOE	Statement of Expenses	NTPC Pre-COD
5.5 Partner field expenses	SOE	Statement of Expenses	NTPC Pre-COD
5.6 Miscellaneous	SOE	Statement of Expenses	NTPC Pre-COD
5.7 Meetings, Workshops	SOE	Statement of Expenses	NTPC Pre-COD
5.8 Other	tbd	To Be Determined	Tbd
<b>6 Other</b>			
6.1 Preparations until June 2004	SOE	Statement of Expenses	NTPC Pre-COD
6.2 Remaining Balance (March 31, 2005)	SOE	Statement of Expenses	NTPC Pre-COD
6.3 Contingencies	tbd	To Be Determined	NTPC Pre-COD

Larger procurement will be undertaken by the NTPC, following standard World Bank Procurement guidelines. Smaller procurement will be undertaken by staff of the Admin and Finance Unit of the Executive Secretariat, and will follow standard procurement guidelines to be developed in association with the Institutional and Finance Management Advisor. The procedures are likely to be similar to the following:

- Approvals for operational disbursements from the petty cash register of up to US \$50 can be made on the approval of the administration officer;
- Approvals for operational disbursements from the petty cash register from US \$50 up to US \$250 can be made on the approval of the Deputy Director - Administration

- Approvals for operational disbursements from the petty cash register of over US \$250 and up to US \$1000 (the limit of the petty cash) can be made on the approval of the Administration Deputy Director, but must be countersigned by the Director or Deputy Director technical.
- Approvals for withdrawals or disbursements from the monthly bank accounts of under US \$1000 can be then made on the signature of the Deputy Director - Administration
- Approvals for withdrawals or disbursements from the monthly bank accounts of under US \$1000 to US\$4,500 can only be made on the signature of the Deputy Director - Administration Approvals but counter signed by the Director.
- Expenditures (bank withdrawals, checks, contracts or purchase orders) over US \$4,500 and up to US \$10,000 must be signed first by the Director and then sent to the BoD Deputy Chairman for their non-objection. If no reply is received within one week, then this is accepted as a non-objection, and the signature of the Managing Director and at least one Deputy Managing Director is accepted.
- Expenditures (or contracts or purchase orders) over US \$10,000 must be signed first by the MD and then sent to the BoD Deputy Chairman for their non-objection, which must be obtained before the expenditure is incurred.

These limits or ranges of approval delegation will be reviewed annually, and amended as appropriate.

The purchase of equipment, supplies or services costing over US \$4,500 will have to be procured through an open tendering process. Ad hoc bidding and inspection committees will be formed comprising senior WMPA staff, as appropriate to the nature of each purchase. These committees will be responsible for approving bid announcements and specifications, selecting the successful bid and inspecting/approving delivered items or services.

#### **7.4.5 Coordination and Cooperation**

##### **1. External Coordination**

The Manager and Deputies of the Executive Secretariat will be required to co-ordinate with many stakeholders and implementing partners at the local and provincial level, including the range of Government agencies, the NTPC and the RMU. It is proposed that regular, quarterly, co-ordination meetings are convened with the RMU, Nakai District and the NTPC to review progress, co-ordinate activities and resolve issues as they arise.

##### **2. Internal Coordination**

Regular internal meetings will be held on a monthly basis in order to co-ordinate and share information between all of the Units and Divisions, including Luk20 office, and to discuss budget planning. The location of this meeting will rotate, probably twice in Nakai and once in Km20 office, per quarter.

Other ad-hoc or as-required meetings will be convened as and when issues arise within the Executive Secretariat itself or with implementing partners. The Executive Secretariat must be proactive in convening such meetings to address issues as they arise and seek consensus on resolution of issues or modifications and improvements required in the work plan and activities.

##### **3. Board of Directors Meetings**

The Executive Secretariat Managing Directors will act as Secretary to the meetings of the WMPA Board of Directors. This BoD will meet twice per year, with one meeting per year focused on review of the annual report and review, for approval of the following years work plan and budget.

The Secretary (Managing Director of the Executive Secretariat) will be required to submit agendas two weeks in advance, organise the meetings and take minutes.

##### **4. Trans-boundary Coordination Meetings**

A large tract of the boundary of the NT2 Watershed/NPA is also the national boundary between the Lao PDR and Vietnam PDR. The spirit of co-operation between these two countries extends to watershed and conservation management issues, which are very similar in these two countries. The trans-boundary co-operation efforts undertaken to date will be continued and strengthened for the mutual benefit of both countries.

#### 7.4.6 Planning and Reporting

##### 7.4.6.1 *Regular Reporting and Planning*

A rigorous schedule of reporting and planning (Table 7.8) will be followed by the Managing Directors, each of which will have responsibility for their Division and Units, while the Managing Director will be ultimately be responsible for the compilation of these report and plans and passing them onto the BoD members.

**Table 7.8: Regular Reports and Plans to be submitted by the Executive Secretariat to the BoD**

Reports – activities and budget	Language	Approximate size	Due date
i) Monthly Reports	Lao	5 to 10 pages	End of month
ii) Quarterly Reports	Lao/English	10 to 15 pages	End of quarter
iii) Annual Report	Lao and English	No limit	Two weeks before BoD meeting
iv) STC reports	Lao and English	No limit	End of each consultancy
<b>Plans –activities and budget</b>			
i) Quarterly Work plan & Budget.	Lao & English	No limit	Two week before start of qtr
ii) Annual Work plan & Budget	Lao & English	No limit	Two weeks before BoD meeting
iii) Monthly Plans & Budgets	Lao	No limit	Every month

##### 7.4.6.2 *Programmatic Planning*

Towards the end of SEMFOP-1 (starting the third quarter of Financial year 7) the plan and budget for SEMFOP-2 must be developed. This will primarily be the responsibility of the Managing Directors, the CTA, and international and national consultants employed specifically for SEMFOP-1 review and SEMFOP-2 drafting.

#### 7.4.7 Operational Support

The three main operational support units mandated to support all of the operational divisions as and when required, are:

- GIS, mapping and database (GMD) Unit
- Training, Information and Outreach Unit.
- Hydrometeorology Unit (managed by the NTPC)

##### 7.4.7.1 *GIS, Mapping and Database Management*

The GIS/Mapping Unit will be based inside the FLUPAM Division, but will provide services to all programs and divisions. Mapping will be an essential part of the management of the NT2 Watershed/NPA, as maps display a wide range of information; and provide the spatial framework on which rational management decisions will be made and activities coordinated.

Maps which will be managed, generated and supplied by the GMD Unit will include (see annex 3 for inventory of maps and aerial photos covering the NT2 Watershed/NPA).



Topographic Maps: Topographic maps of scale 1:25,000, 1:50,000 and 1:100,000 which will be purchased and stored as paper copies in the Executive Secretariat. At least the 1:50,000 series will also be procured in digital format, and filed on computer. This format is particularly useful for the printing of maps of any required area, at any time, and in unlimited quantity.

Topographic maps will be taken into the field to guide surveys, boundary delineation, village level land forest use planning and allocation, forest and wildlife monitoring and patrolling etc.,. However, while topo maps are useful for showing terrain and watercourses, the alignment of roads and location and names of villages is usually incomplete or incorrect, and these features will need correction or updating and reprinted by the GIS mapping Unit.

Aerial Photographs: There a number of aerial photographic coverage's available for the NT2 Watershed/NPA (Table 7.9). These include 1992 coverage of mainly the peripheral impact zones and corridors, flown at 1:40,000, and the JICA funded coverage at 1:50,000 flown in 1998/1999 which covers the inner Watershed/NPA. In addition, the coverage at 1:30,000 of the reservoir area also includes some of the lower Watershed/NPA..

**Table 7.9: Summary of recent aerial photo coverage of the NT2 Watershed/NPA**

Year	Scale	Description
1981	1:30,000	These photos were used to make the UTM/1:100,000 maps
1993	1:25,000 & 1:40,000	Includes Bolikhamsy, the NT reservoir and lower and mid-watershed:
1994	1:10,000 & 1:30,000.	Specifically the NT2 dam area.
1999	1:50,000	Does not cover the lower watershed, as it was considered that the 1993 coverage was sufficient.

For budgeting purposes, coverage of the whole Watershed/NPA area requires about 90 of the 1999 1:50,000 series photos (printed on 25 x 25 cm paper) and 50 of the 1993 1:40,000 photos (printed on 25 x 25 cm paper). Thus, 140 photos at US\$5/each would cost about US\$840. Enlargements of these photos to a more useful 1:25,000 scale (useful for survey and land and forest use planning and allocation) would require their printing on sheets of about 50 x 50 cm, which, at about \$10/sheet, would cost about US\$1,400. Due to this good (prior) coverage, and the fact that satellite data is becoming more detailed, new aerial photographic coverage is not envisaged in the current planning timeframe (and budget).

Remote Sensed Data: Up-to-date information on forest cover land use, and other issues can be gleaned from interpretation of remote sensed (satellite) data. Relevant satellite data includes:

- Landsat ETM (TM7). While each scene covers a very large area, in the case of the NT2 Watershed/NPA three overlapping scenes are required to cover all of the NPA. As each scene costs about US \$600/scene, then an investment of about US1,800 per year is required.
- Spot:
- IRS data is higher resolution than Landsat. 2 scenes are required to cover the Watershed/NPA and as each scene costs US \$3,500, then US \$7,000 per year is required, if purchased annually.
- If certain areas require very high resolution to gain reliable and up to date information, then digital cover from 'Ikonos' can be purchased. These images give about 2m resolution but are viewed and printed comfortably at about 1:5,000. They cost about 34 per km<sup>2</sup>, with a minimum of US \$2,000 - or 60 km<sup>2</sup> per purchase.

A combination of these satellite image sources may replace the need to undertake new aerial photography, at least within the current project time frame. Given budget constraints and quality requirements, it is likely that only the Landsat TM images and data will be procured and used.

Interpretation and use of this satellite data requires a computer powerful enough to manipulate satellite data, and with appropriate GIS programs. Staff will be trained to manipulate and interpret the data and produce maps as required by the Executive Secretariat Directors and managers. For this purpose, a GIS consultant will be employed on a recurrent, short term basis.

Thematic GIS Maps: Information represented on GIS thematic maps will provide decisions makers (such as the BoD) and field staff with a useful tool. These maps often use the topographic map information, digitised into the computer, as a background or template, and other information is added as layers, which can be manipulated and combined to compare and present information as and when required. Information can be added either as point data, polygon data, or as excel tables – thus the database nature of the GIS systems.

Examples of some of the GIS Information and Thematic maps to be developed include:

- Base Map, showing NT2 watershed boundaries, Provincial and District boundaries, stakeholder village location, roads and main tracks, roads and main tracks.
- Resources Use and Management Maps, to define land use and management zones in the W/CA which are useful for implementing and monitoring land and forest management agreements reached with villagers and other stakeholders. They could include the location of TPZ and CUZ, once defined, and the location of major commercial NTFPs or other forest product sources.
- Land and Forest Allocation maps.
- Patrolling sectors and patrol routes.
- Ecology maps of forest types, important habitat features (wetlands, salt licks), etc.
- Watershed maps to delineate watersheds and sub-catchments, land and forest use and management zones within these areas, and a watershed analysis for focus areas.
- Reservoir maps showing the reservoir at different flooding and drawdown levels, the placement of facilities and roads, land use and management zonation, etc,
- 3-D models of both the watershed and the reservoir will be constructed and used as a participatory planning and implementation tool.

#### *7.4.7.2 Information, Training and Outreach Unit*

The Unit will report directly to the WMPA Director, but will provide services to all divisions across the entire program of the WMPA.

An information office – or library and documentation centre- will collect, collate and organise all information about the NT2 Watershed/NPA, and the many and various activities of the WMPA and its stakeholders. Information to be collated will include relevant decrees and laws, and those rules and regulations developed, over time, to control activities in and around the NT2 Watershed/NPA.

A Community Outreach and Conservation Awareness office will ensure information is drafted into user friendly pamphlets, posters and other information and training formats. This will include making legal documents and local level rules and regulations available to all stakeholders, in a user friendly format. They will also provide interpretative advice on the documents, especially for the Monitoring and Protection Division enforcement activities. Thus, this COCA office will be aimed at two main audiences. Firstly, the general audience of all stakeholder interested in the NT2 Watershed/NPA, including government agencies and ministries, private and business entities and any international stakeholders. The second audience is the villagers and others working on a daily basis with and in WMPA activities.

## **7.5 MONITORING AND EVALUATION**

### **7.5.1 Internal M & E**

Internal monitoring and evaluation will be a specific function of the reporting schedules of the Executive Secretariat. The monthly reporting format will include a section requiring an analysis of good and weak aspects and of lessons learned. These reports will be submitted to all BoD members. In addition, the BoD will make 2 trips to the NT2 Watershed/NPA, as part of their annual meetings to be held in Nakai, and this will represent a form of internal monitoring by the BoD itself.

Similarly, such an internal evaluation will be included as a specific section of the Annual Report, as presented to the IMA and then the BoD's annual meeting. The inclusion of such M & E reporting requirements will require that Executive Secretariat Directors maintain a constant analytical framework in the way they plan, conduct and then report on the work, and as such can be an effective method for internal monitoring and evaluation.

An independent SEMFOP review will be conducted in year 4-5 to evaluate progress towards objectives and provide recommendations on required changes.

#### *7.5.1.1 Monitoring and Evaluation Framework*

Internal M&E systems will be outcome focused (impact monitoring) where the outcomes of project activities will be measured against baseline indicators. M&E systems will be developed for each of the major SEMFOP components. An indicative M&E approach has been presented in Part 6.

The M&E framework emphasizes participatory evaluation procedures, particularly for evaluating the outcomes of village level activities and for WMPA staff appraisals and performance evaluations. Staff performance evaluations will adopt the 360 degree approach where appraisals are conducted with (i) superiors or supervisors, (ii) horizontally with colleagues, and (iii) with subordinates. The M&E framework will include assessments on compliance with gender, ethnic and poverty safeguards.

### **7.5.2 External M & E**

#### *7.5.2.1 Independent Monitoring Agency*

As detailed in Part 6, the IMA will undertake annual missions in last Quarter of each Financial Year (August) to:

- a) review work conducted and how budget has been spent in the current year, and
- b) review the annual work plan and budget for the following year.

They will be required to give confirmation, or otherwise, that the previous year's activities and budget and the following year's work plan and budget are consistent with the objectives of the WMPA and the SEMFOP. Their conclusions in this respect will be conveyed to the World Bank, the WMPA Board of Directors and NTPC who, under the concession agreement, may withhold budget disbursements until any outstanding issues have been rectified to the satisfaction of the IMA.

The IMA will comprise 2 international experts, with regional and Lao experience, one with PA experience and the other with institutional management experience in a development setting. It will also include 2 Lao experts with similar experience and expertise. Although IMA fees and expenses will be the responsibility of the WMPA, their independence and impartiality will be ensured by seeking World Bank approval prior to their appointment.

#### *7.5.2.2 Independent Auditor*

A local auditing firm will be engaged at the end of the beginning of each financial year to check the accounts of the Executive Secretariat. They will provide their report to both the IMA and the BoD.

## 7.6 **BUDGET ESTIMATE**

### 7.6.1 **Indicative SEMFOP-1 Budget Plan**

Core funding for the implementation of the NT2 WMPA's SEMFOP is guaranteed in the Concession Agreement between the NTPC and the GoL, in which Schedule 4, Part 3, Section 5 notes that the company will fund the WMPA for 31 years, in three main phases and for the amounts as follows:

- (i) US \$1,000,000 to be provided from PCD (soon after signing of the CA and approval of the SEMFOP) up until financial closure or CPCD, expected to be about 15 months later;
- (ii) US \$5,550,000 to be provided in five installments during the construction phase, from CPCD until COD, expected to take about 5 years; and
- (iii) post-COD, that is, for the whole Operating Phase, (the NTPC will) provide US \$1,000,000 annually (indexed to inflation) for next 25 years.

The total allocated budget for the SEMFOP-1 is accordingly 8.5 million US\$, i.e. the funding prior to COD, including both (i) and (ii) above, for a period of about 6 years, and for two years after the COD.

Apart from the core funds to be provided by the NTPC, the WMPA is legally allowed to accept funding from other sources, funds directed to support specific activities in this SEMFOP, or for new or supplementary activities which would see the development of an expanded SEMFOP.

### 7.6.2 **Organization of the Budget**

The SEMFOP-1 budget can be presented in three different ways:

Program component/Activity: in which the major budget lines or budget categories (in the case of SEMFOP-1) are:

1. Establishment and Operation of the Executive Secretariat
2. FLUPAM Implementation
3. PPAM Implementation
4. LDC Implementation

Disbursement category: which is similar to the system used by the Government of Lao, and in which the major budget lines or budget expenditure categories are:

- Budget Category 1: Civil Works
- Budget Category 2: Equipment/Goods
- Budget Category 3: Services and Training
- Budget Category 4: Technical Assistance
- Budget Category 5: Recurrent Operating Costs
- Budget Category 6: Other

Procurement package: which is similar to disbursement categories, although budget categories are linked to specific procurement procedures and requirements. The different packages are listed in Table 7.10, including their funding sources for the pre-COD phase of the SEMFOP-1.

**Table 7.10: Procurement packages and funding sources.**

Type		World Bank		NTPC Pre-COD		NTPC Post-COD		Total		
<b>1 Civil Works</b>										
1.1	Office Construction/Rehabilitatic	NCB/NS	\$ 320,000	10.3%	\$ -	0.0%	\$ -	0.0%	\$ 320,000	3.8%
1.2	Construction of Field Facilities	NS	\$ 70,440	2.3%	\$ -	0.0%	\$ 2,000	0.1%	\$ 72,440	0.9%
1.3	VDC Facilities	NS	\$ -	0.0%	\$ -	0.0%	\$ -	0.0%	\$ -	0.0%
1.4	Other	NS	\$ 85,000	2.7%	\$ -	0.0%	\$ -	0.0%	\$ 85,000	1.0%
			<b>\$ 475,440</b>	<b>15.3%</b>	<b>\$ -</b>	<b>0.0%</b>	<b>\$ 2,000</b>	<b>0.1%</b>	<b>\$ 477,440</b>	<b>5.6%</b>
<b>2 Goods/Equipment</b>										
2.1	WMPA Office Equipment	NS	\$ 138,750	4.5%	\$ -	0.0%	\$ -	0.0%	\$ 138,750	1.6%
2.2	WMPA Field equipment	NS	\$ 94,336	3.0%	\$ -	0.0%	\$ 23,000	1.2%	\$ 117,336	1.4%
2.3	Vehicles	IS	\$ 168,000	5.4%	\$ -	0.0%	\$ -	0.0%	\$ 168,000	2.0%
2.4	Boats	NS	\$ 4,200	0.1%	\$ -	0.0%	\$ 40,000	2.0%	\$ 44,200	0.5%
2.5	Motocycles	NS	\$ 16,950	0.5%	\$ -	0.0%	\$ -	0.0%	\$ 16,950	0.2%
2.6	Maps, Satellite images, data	IS	\$ 57,000	1.8%	\$ -	0.0%	\$ -	0.0%	\$ 57,000	0.7%
2.7	Village Development	NS	\$ 331,600	10.7%	\$ -	0.0%	\$ 184,000	9.2%	\$ 515,600	6.1%
2.8	Other	tbd	\$ -	0.0%	\$ -	0.0%	\$ -	0.0%	\$ -	0.0%
			<b>\$ 810,836</b>	<b>26.2%</b>	<b>\$ -</b>	<b>0.0%</b>	<b>\$ 247,000</b>	<b>12.4%</b>	<b>\$ 1,057,836</b>	<b>12.4%</b>
<b>3 Services/Training</b>										
3.1	Project Monitoring	CQ	\$ 267,500	8.6%	\$ -	0.0%	\$ 117,500	5.9%	\$ 385,000	4.5%
3.2	Project Management	IC	\$ -	0.0%	\$ -	0.0%	\$ -	0.0%	\$ -	0.0%
3.3	Training Contracts	IC	\$ 62,500	2.0%	\$ -	0.0%	\$ 11,500	0.6%	\$ 74,000	0.9%
3.4	Design and Construction Supen	IC	\$ 43,000	1.4%	\$ -	0.0%	\$ -	0.0%	\$ 43,000	0.5%
3.5	Various contracts	IC	\$ 331,250	10.7%	\$ -	0.0%	\$ -	0.0%	\$ 331,250	3.9%
3.6	Other	SOE	\$ 34,500	1.1%	\$ -	0.0%	\$ 3,500	0.2%	\$ 38,000	0.4%
			<b>\$ 738,750</b>	<b>23.8%</b>	<b>\$ -</b>	<b>0.0%</b>	<b>\$ 132,500</b>	<b>6.6%</b>	<b>\$ 871,250</b>	<b>10.3%</b>
<b>4 Technical Assistance</b>										
4.1	International Technical Advisors	IC	\$ 985,125	31.8%	\$ -	0.0%	\$ 56,055	2.8%	\$ 1,041,180	12.3%
4.2	Short-term Technical Advisors	IC	\$ 89,415	2.9%	\$ -	0.0%	\$ 9,435	0.5%	\$ 98,850	1.2%
4.3	Other	tbd	\$ -	0.0%	\$ -	0.0%	\$ -	0.0%	\$ -	0.0%
			<b>\$ 1,074,540</b>	<b>34.7%</b>	<b>\$ -</b>	<b>0.0%</b>	<b>\$ 65,490</b>	<b>3.3%</b>	<b>\$ 1,140,030</b>	<b>13.4%</b>
<b>5 Recurrent Operating Costs</b>										
5.1	WPMA Staffing costs	IC	\$ -	0.0%	\$ 1,530,675	45.0%	\$ 645,000	32.3%	\$ 2,175,675	25.6%
5.2	WMPA Operating costs	SOE	\$ -	0.0%	\$ 432,200	12.7%	\$ 237,600	11.9%	\$ 669,800	7.9%
5.3	Transportation	SOE	\$ -	0.0%	\$ 36,000	1.1%	\$ 16,000	0.8%	\$ 52,000	0.6%
5.4	WMPA field expenses	SOE	\$ -	0.0%	\$ 260,746	7.7%	\$ 144,000	7.2%	\$ 404,746	4.8%
5.5	Partner field expenses	SOE	\$ -	0.0%	\$ 581,336	17.1%	\$ 256,072	12.8%	\$ 837,408	9.9%
5.6	Miscellaneous	SOE	\$ -	0.0%	\$ 1,500	0.0%	\$ -	0.0%	\$ 1,500	0.0%
5.7	Meetings, Workshops	SOE	\$ -	0.0%	\$ 141,225	4.2%	\$ 54,000	2.7%	\$ 195,225	2.3%
5.8	Other	tbd	\$ -	0.0%	\$ -	0.0%	\$ -	0.0%	\$ -	0.0%
			<b>\$ -</b>	<b>0.0%</b>	<b>\$ 2,983,682</b>	<b>87.8%</b>	<b>\$ 1,352,672</b>	<b>67.6%</b>	<b>\$ 4,336,354</b>	<b>51.0%</b>
<b>6 Other</b>										
6.1	Preparations until June 2004	SOE	\$ -	0.0%	\$ 377,922	11.1%	\$ -	0.0%	\$ 377,922	4.4%
6.2	Remaining Balance (March 31, .	SOE	\$ -	0.0%	\$ -	0.0%	\$ -	0.0%	\$ -	0.0%
6.3	Contingencies	tbd	\$ -	0.0%	\$ 37,500	1.1%	\$ 200,000	10.0%	\$ 237,500	2.8%
			<b>\$ -</b>	<b>0.0%</b>	<b>\$ 415,422</b>	<b>12.2%</b>	<b>\$ 200,000</b>	<b>10.0%</b>	<b>\$ 615,422</b>	<b>7.2%</b>
	<b>Total:</b>		<b>\$ 3,099,566</b>	<b>100.0%</b>	<b>\$ 3,399,104</b>	<b>100.0%</b>	<b>\$ 1,999,662</b>	<b>100.0%</b>	<b>\$ 8,498,332</b>	<b>100.0%</b>
	<b>Available:</b>		<b>\$ 3,100,000</b>		<b>\$ 3,400,000</b>		<b>\$ 2,000,000</b>		<b>\$ 8,500,000</b>	

### 7.6.3 Funding Installments and Budget Plan

The WMPA Operational Plan and the budget framework and timeline of SEMFOP-1 is specifically linked to the NT2 Project planning and construction timeline. The cyclical planning timeframes for the WMPA will be based on these cyclical funding installments (and thus planning and reporting report requirements). At present, the best estimate of proposed funding installments to the WMPA are the scheduled installments as shown in Table 7.1 and Table 7.11. Assuming that this funding timeline – over a total period of 6 years and 6 months - is realized, it will be rounded to 7 planning years for the purposes of the SEMFOP-1.

Annual budgets by Financial Year for the implementation of the SEMFOP-1 is summarized for funding sources (Table 7.12), procurement packages (Table 7.13), and main activities (Table 7.14).

Table 7.11: Indicative timeline and amount of budget core funding by NTPC to the WMPA

FINANCIAL YEARS	PCD		Financial Year 1	Financial Year 2	Financial Year 3	Financial Year 4	Financial Year 5	Financial Year 6	Financial Year 7
	Preparation		FY1	FY2	FY3	FY4	FY5	FY6	FY7
Start	12-Nov-03	1-Jun-04	1-Apr-05	1-Oct-05	1-Oct-06	1-Oct-07	1-Oct-08	1-Oct-09	1-Oct-10
Duration	202	214	183	365	365	366	365	365	365
End	31-May-04	31-Mar-05	30-Sep-05	30-Sep-06	30-Sep-07	30-Sep-08	30-Sep-09	30-Sep-10	30-Sep-11
Funding	\$377,922	\$	\$ 2,500,000.00	\$ 1,000,000.00	\$ 1,000,000.00	\$ 1,000,000.00	\$ 1,000,000.00	\$ 1,000,000.00	\$ 1,000,000.00
Cummulative funding:	\$	\$	\$ 2,500,000	\$ 3,500,000	\$ 4,500,000	\$ 5,500,000	\$ 6,500,000	\$ 7,500,000	\$ 8,500,000

Financial Planning

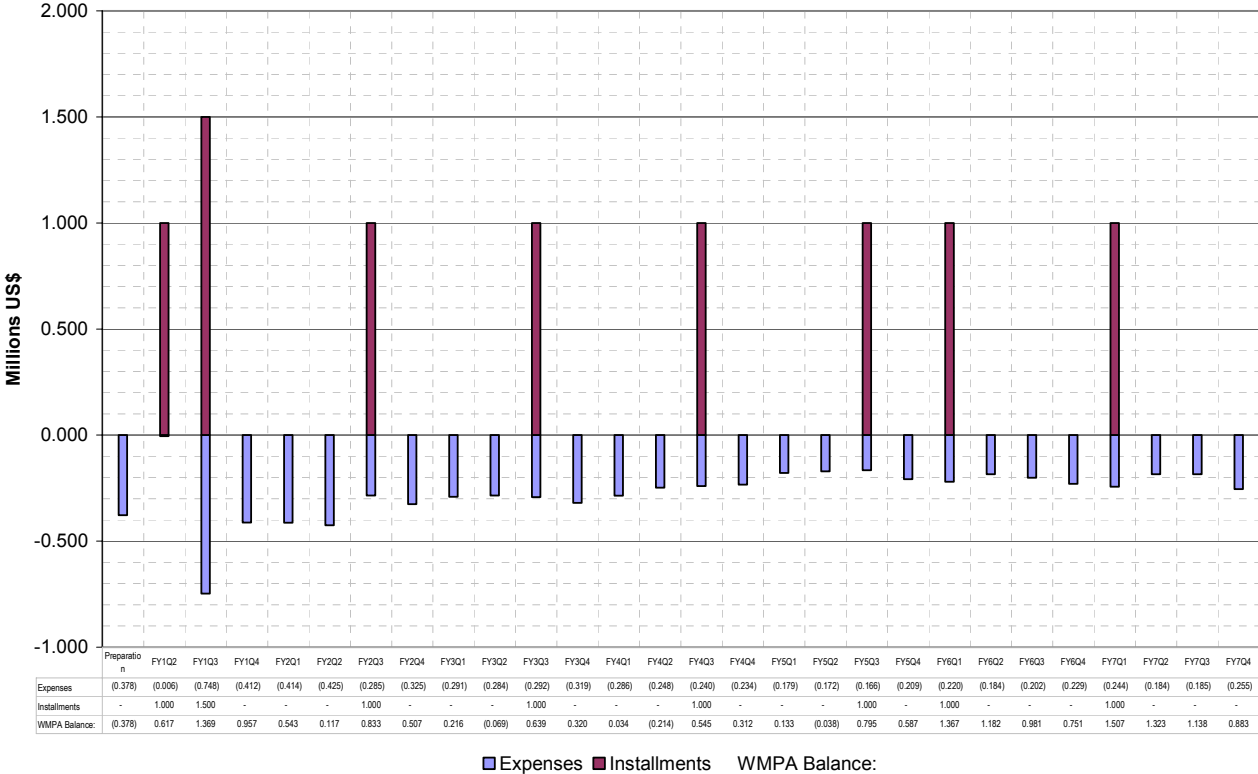


Table 7.12: Indicative timeline and amount of budget core funding by NTPC to the WMPA

	Preparation	FY1	FY2	FY3	FY4	FY5	FY6	FY7	Total
	1-Jun-04	1-Apr-05	1-Oct-05	1-Oct-06	1-Oct-07	1-Oct-08	1-Oct-09	1-Oct-10	
	31-Mar-05	30-Sep-05	30-Sep-06	30-Sep-07	30-Sep-08	30-Sep-09	30-Sep-10	30-Sep-11	
<b>World Bank</b>									
1 Civil Works	\$ -	\$ 224,940	\$ 246,500	\$ 2,000	\$ 2,000	\$ -			\$ 475,440
2 Goods/Equipment	\$ -	\$ 392,136	\$ 144,200	\$ 91,500	\$ 91,500	\$ 91,500			\$ 810,836
3 Services/Training	\$ -	\$ 115,500	\$ 237,000	\$ 215,000	\$ 101,250	\$ 70,000			\$ 738,750
4 Technical Assistance	\$ -	\$ 198,195	\$ 315,795	\$ 306,360	\$ 241,425	\$ 12,765			\$ 1,074,540
5 Recurrent Operating Costs									
6 Other									
<b>Sub-total:</b>	<b>\$ -</b>	<b>\$ 930,771</b>	<b>\$ 943,495</b>	<b>\$ 614,860</b>	<b>\$ 436,175</b>	<b>\$ 174,265</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 3,099,566</b>
<b>NTPC Pre-COD</b>									
1 Civil Works									
2 Goods/Equipment									
3 Services/Training									
4 Technical Assistance									
5 Recurrent Operating Costs	\$ -	\$ 295,728	\$ 622,886	\$ 701,016	\$ 694,416	\$ 669,636			\$ 2,983,682
6 Other	\$ 377,922	\$ -	\$ 7,500	\$ 10,000	\$ 10,000	\$ 10,000			\$ 415,422
<b>Sub-total:</b>	<b>\$ 377,922</b>	<b>\$ 295,728</b>	<b>\$ 630,386</b>	<b>\$ 711,016</b>	<b>\$ 704,416</b>	<b>\$ 679,636</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 3,399,104</b>
<b>NTPC Post-COD</b>									
1 Civil Works						\$ 2,000	\$ -		\$ 2,000
2 Goods/Equipment						\$ 143,500	\$ 103,500		\$ 247,000
3 Services/Training						\$ 70,000	\$ 62,500		\$ 132,500
4 Technical Assistance						\$ 12,765	\$ 52,725		\$ 65,490
5 Recurrent Operating Costs						\$ 676,436	\$ 676,236		\$ 1,352,672
6 Other						\$ 100,000	\$ 100,000		\$ 200,000
<b>Sub-total:</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,004,701</b>	<b>\$ 994,961</b>	<b>\$ 1,999,662</b>
<b>Total (per year):</b>	<b>\$ 377,922</b>	<b>\$ 1,226,499</b>	<b>\$ 1,573,881</b>	<b>\$ 1,325,876</b>	<b>\$ 1,140,591</b>	<b>\$ 853,901</b>	<b>\$ 1,004,701</b>	<b>\$ 994,961</b>	<b>\$ 8,498,332</b>

Table 7.13: Summary of annual budgets, presented by expenditure category

Type	Pre-COD Funding	Preparation 1-Jun-04 31-Mar-05	FY1 1-Apr-05 30-Sep-05	FY2 1-Oct-05 30-Sep-06	FY3 1-Oct-06 30-Sep-07	FY4 1-Oct-07 30-Sep-08	FY5 1-Oct-08 30-Sep-09	FY6 1-Oct-09 30-Sep-10	FY7 1-Oct-10 30-Sep-11	FY8 1-Oct-11 30-Sep-12	Total
<b>1 Civil Works</b>											
1.1 Office Construction/Rehabilitation	NCB/NS	World Bank	\$ -	\$ 80,000	\$ 240,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 320,000
1.2 Construction of Field Facilities	NS	World Bank	\$ -	\$ 59,940	\$ 6,500	\$ 2,000	\$ 2,000	\$ -	\$ 2,000	\$ -	\$ 72,440
1.3 VDC Facilities	NS	World Bank	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
1.4 Other	NS	World Bank	\$ -	\$ 85,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 85,000
			\$ -	\$ 224,940	\$ 246,500	\$ 2,000	\$ 2,000	\$ -	\$ 2,000	\$ -	\$ 477,440
<b>2 Goods/Equipment</b>											
2.1 WMPA Office Equipment	NS	World Bank	\$ -	\$ 88,750	\$ 20,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ -	\$ -	\$ 138,750
2.2 WMPA Field equipment	NS	World Bank	\$ -	\$ 80,336	\$ 3,500	\$ 3,500	\$ 3,500	\$ 3,500	\$ 11,500	\$ 11,500	\$ 117,336
2.3 Vehicles	IS	World Bank	\$ -	\$ 138,000	\$ 30,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 168,000
2.4 Boats	NS	World Bank	\$ -	\$ 4,200	\$ -	\$ -	\$ -	\$ -	\$ 40,000	\$ -	\$ 44,200
2.5 Motorcycles	NS	World Bank	\$ -	\$ 16,950	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 16,950
2.6 Maps, Satellite images, data	IS	World Bank	\$ -	\$ 35,000	\$ 22,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 57,000
2.7 Village Development	NS	World Bank	\$ -	\$ 28,900	\$ 68,700	\$ 78,000	\$ 78,000	\$ 78,000	\$ 92,000	\$ 92,000	\$ 515,600
2.8 Other	tbd	Tbd	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ 392,136	\$ 144,200	\$ 91,500	\$ 91,500	\$ 91,500	\$ 143,500	\$ 103,500	\$ 1,057,836
<b>3 Services/Training</b>											
3.1 Project Monitoring	CQ	World Bank	\$ -	\$ 47,500	\$ 55,000	\$ 55,000	\$ 55,000	\$ 55,000	\$ 55,000	\$ 62,500	\$ 385,000
3.2 Project Management	IC	World Bank	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
3.3 Training Contracts	IC	World Bank	\$ -	\$ 11,500	\$ 16,500	\$ 11,500	\$ 11,500	\$ 11,500	\$ 11,500	\$ -	\$ 74,000
3.4 Design and Construction Supervisor	IC	World Bank	\$ -	\$ 26,000	\$ 17,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 43,000
3.5 Various contracts	IC	World Bank	\$ -	\$ 10,000	\$ 145,000	\$ 145,000	\$ 31,250	\$ -	\$ -	\$ -	\$ 331,250
3.6 Other	SOE	World Bank	\$ -	\$ 20,500	\$ 3,500	\$ 3,500	\$ 3,500	\$ 3,500	\$ 3,500	\$ -	\$ 38,000
			\$ -	\$ 115,500	\$ 237,000	\$ 215,000	\$ 101,250	\$ 70,000	\$ 70,000	\$ 62,500	\$ 871,250
<b>4 Technical Assistance</b>											
4.1 International Technical Advisors	IC	World Bank	\$ -	\$ 127,650	\$ 306,360	\$ 306,360	\$ 231,990	\$ 12,765	\$ 12,765	\$ 43,290	\$ 1,041,180
4.2 Short-term Technical Advisors	IC	World Bank	\$ -	\$ 70,545	\$ 9,435	\$ -	\$ 9,435	\$ -	\$ -	\$ 9,435	\$ 98,850
4.3 Other	tbd	Tbd	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ 198,195	\$ 315,795	\$ 306,360	\$ 241,425	\$ 12,765	\$ 12,765	\$ 52,725	\$ 1,140,030
<b>5 Recurrent Operating Costs</b>											
5.1 WMPA Staffing costs	IC	NTPC Pre-COD	\$ -	\$ 147,975	\$ 326,100	\$ 359,400	\$ 359,400	\$ 337,800	\$ 321,600	\$ 323,400	\$ 2,175,675
5.2 WMPA Operating costs	SOE	NTPC Pre-COD	\$ -	\$ 19,000	\$ 95,800	\$ 105,800	\$ 105,800	\$ 105,800	\$ 118,800	\$ 118,800	\$ 669,800
5.3 Transportation	SOE	NTPC Pre-COD	\$ -	\$ 5,000	\$ 7,000	\$ 8,000	\$ 8,000	\$ 8,000	\$ 8,000	\$ 8,000	\$ 52,000
5.4 WMPA field expenses	SOE	NTPC Pre-COD	\$ -	\$ 32,246	\$ 42,500	\$ 62,000	\$ 62,000	\$ 62,000	\$ 72,000	\$ 72,000	\$ 404,746
5.5 Partner field expenses	SOE	NTPC Pre-COD	\$ -	\$ 56,782	\$ 124,486	\$ 138,816	\$ 132,216	\$ 129,036	\$ 129,036	\$ 127,036	\$ 837,408
5.6 Miscellaneous	SOE	NTPC Pre-COD	\$ -	\$ 1,500	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,500
5.7 Meetings, Workshops	SOE	NTPC Pre-COD	\$ -	\$ 33,225	\$ 27,000	\$ 27,000	\$ 27,000	\$ 27,000	\$ 27,000	\$ 27,000	\$ 195,225
5.8 Other	tbd	Tbd	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ 295,728	\$ 622,886	\$ 701,016	\$ 694,416	\$ 669,636	\$ 676,436	\$ 676,236	\$ 4,336,354
<b>6 Other</b>											
6.1 Preparations until June 2004	SOE	NTPC Pre-COD	\$ 377,922	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 377,922
6.2 Remaining Balance (March 31, 2005)	SOE	NTPC Pre-COD	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
6.3 Contingencies	tbd	NTPC Pre-COD	\$ -	\$ -	\$ 7,500	\$ 10,000	\$ 10,000	\$ 10,000	\$ 100,000	\$ 100,000	\$ 237,500
			\$ 377,922	\$ -	\$ 7,500	\$ 10,000	\$ 10,000	\$ 10,000	\$ 100,000	\$ 100,000	\$ 615,422
<b>Total (per year):</b>			\$ 377,922	\$ 1,226,499	\$ 1,573,881	\$ 1,325,876	\$ 1,140,591	\$ 853,901	\$ 1,004,701	\$ 994,961	\$ 8,498,332



Table 7.14: Details of annual budgets, presented by Activity category

	Preparation	FY1	FY2	FY3	FY4	FY5	FY6	FY7	Total
		1-Apr-05 30-Sep-05	1-Oct-05 30-Sep-06	1-Oct-06 30-Sep-07	1-Oct-07 30-Sep-08	1-Oct-08 30-Sep-09	1-Oct-09 30-Sep-10	1-Oct-10 30-Sep-11	
<b>1. WMPA Management</b>									
1.01 Construction of Offices/Accommodation	\$ -	\$ 171,000	\$ 249,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 420,000
1.02 Purchase of General Equipment	\$ -	\$ 239,100	\$ 50,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 40,000	\$ -	\$ 359,100
1.03 Installation of a MIS/GIS	\$ -	\$ 43,800	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 43,800
1.04 BoD Support and supervision	\$ -	\$ 30,755	\$ 11,000	\$ 11,000	\$ 11,000	\$ 11,000	\$ 11,000	\$ 11,000	\$ 96,755
1.05 WMPA Staffing costs	\$ -	\$ 45,375	\$ 104,700	\$ 111,000	\$ 111,000	\$ 111,000	\$ 116,400	\$ 118,200	\$ 717,675
1.06 Office running costs	\$ -	\$ 17,800	\$ 93,400	\$ 103,400	\$ 103,400	\$ 103,400	\$ 116,400	\$ 116,400	\$ 654,200
1.07 Evaluation, Monitoring and Reporting	\$ -	\$ 54,700	\$ 63,400	\$ 63,400	\$ 63,400	\$ 63,400	\$ 63,400	\$ 70,900	\$ 442,600
1.09 Technical Assistance (Secretariat)	\$ -	\$ 70,545	\$ 9,435	\$ -	\$ 9,435	\$ -	\$ -	\$ 9,435	\$ 98,850
1.10 Unforeseen	\$ -	\$ -	\$ 7,500	\$ 10,000	\$ 10,000	\$ 10,000	\$ 100,000	\$ 100,000	\$ 237,500
1.11 Other (General WMPA)	\$ 377,922	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 377,922
	\$ 377,922	\$ 673,075	\$ 588,435	\$ 308,800	\$ 318,235	\$ 308,800	\$ 447,200	\$ 425,935	\$ 3,448,402
<b>2. FLUPAM Program</b>									
2.02 Flupam Implementation costs (WMPA)	\$ -	\$ 42,500	\$ 86,500	\$ 92,800	\$ 92,800	\$ 82,000	\$ 71,200	\$ 71,200	\$ 539,000
2.01 Procurement of Field Equipment (FLU)	\$ -	\$ 8,908	\$ 1,500	\$ 1,500	\$ 1,500	\$ 1,500	\$ 1,500	\$ 1,500	\$ 17,908
2.05 Meetings/Trainings (FLUPAM)	\$ -	\$ 4,500	\$ 6,500	\$ 4,500	\$ 4,500	\$ 4,500	\$ 4,500	\$ -	\$ 29,000
2.03 Flupam in NPA villages	\$ -	\$ 5,300	\$ 10,600	\$ 13,780	\$ 3,180	\$ -	\$ -	\$ -	\$ 32,860
2.04 Flupam in PIZ villages	\$ -	\$ -	\$ 3,000	\$ 2,000	\$ 6,000	\$ 6,000	\$ 6,000	\$ 4,000	\$ 27,000
2.06 Evaluation of FLUPAM Process	\$ -	\$ 2,750	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 32,750
2.07 Technical Assistance (FLUPAM)	\$ -	\$ 48,850	\$ 113,240	\$ 113,240	\$ 54,390	\$ 3,885	\$ 3,885	\$ 7,770	\$ 345,260
2.08 Other (FLUPAM)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	\$ -	\$ 112,808	\$ 226,340	\$ 232,820	\$ 167,370	\$ 102,885	\$ 92,085	\$ 89,470	\$ 1,023,778
<b>3. PPAM Program</b>									
3.01 Boundary Demarcation	\$ -	\$ 12,000	\$ 22,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 34,000
3.02 Procurement of Field equipment (PPA)	\$ -	\$ 69,160	\$ 2,000	\$ 2,000	\$ 2,000	\$ 2,000	\$ 2,000	\$ 2,000	\$ 81,160
3.03 Construction of PPAM Facilities	\$ -	\$ 40,790	\$ 2,000	\$ 2,000	\$ 2,000	\$ -	\$ 2,000	\$ -	\$ 48,790
3.04 Patrolling Program Implementation	\$ -	\$ 69,400	\$ 162,800	\$ 202,800	\$ 202,800	\$ 202,800	\$ 202,800	\$ 202,800	\$ 1,246,200
3.05 Meetings/Training	\$ -	\$ 6,000	\$ 7,000	\$ 6,000	\$ 6,000	\$ 6,000	\$ 6,000	\$ -	\$ 37,000
3.06 Transboundary cooperation	\$ -	\$ 3,720	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 33,720
3.07 Special Studies/Research	\$ -	\$ -	\$ 125,000	\$ 125,000	\$ 31,250	\$ -	\$ -	\$ -	\$ 281,250
3.08 Technical Assistance (PPAM)	\$ -	\$ 49,950	\$ 119,880	\$ 119,880	\$ 99,900	\$ 4,995	\$ 4,995	\$ 19,980	\$ 419,580
3.09 Other (PPAM)	\$ -	\$ 3,456	\$ 4,000	\$ 4,000	\$ 4,000	\$ 4,000	\$ 4,000	\$ 4,000	\$ 27,456
	\$ -	\$ 254,476	\$ 449,680	\$ 466,680	\$ 352,950	\$ 224,795	\$ 226,795	\$ 233,780	\$ 2,209,156
<b>4. LDC Program</b>									
4.01 Procurement of Field Equipment (LDC)	\$ -	\$ 2,268	\$ -	\$ -	\$ -	\$ -	\$ 8,000	\$ 8,000	\$ 18,268
4.02 LDC Implementation costs (WMPA)	\$ -	\$ 51,640	\$ 84,600	\$ 88,800	\$ 88,800	\$ 78,000	\$ 77,200	\$ 77,200	\$ 546,240
4.03 Village Development Fund	\$ -	\$ 88,882	\$ 125,086	\$ 131,036	\$ 131,036	\$ 131,036	\$ 145,036	\$ 145,036	\$ 897,148
4.04 Meetings/Training	\$ -	\$ 4,500	\$ 6,500	\$ 4,500	\$ 4,500	\$ 4,500	\$ 4,500	\$ -	\$ 29,000
4.05 Technical Assistance (LDC)	\$ -	\$ 38,850	\$ 93,240	\$ 93,240	\$ 77,700	\$ 3,885	\$ 3,885	\$ 15,540	\$ 326,340
4.06 Other (LDC)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	\$ -	\$ 186,140	\$ 309,426	\$ 317,576	\$ 302,036	\$ 217,421	\$ 238,621	\$ 245,776	\$ 1,816,996
<b>Total (per year):</b>	<b>\$ 377,922</b>	<b>\$ 1,226,499</b>	<b>\$ 1,573,881</b>	<b>\$ 1,325,876</b>	<b>\$ 1,140,591</b>	<b>\$ 853,901</b>	<b>\$ 1,004,701</b>	<b>\$ 994,961</b>	<b>\$ 8,498,332</b>
<b>Total (cumulative):</b>	<b>\$ 377,922</b>	<b>\$ 1,604,421</b>	<b>\$ 3,178,302</b>	<b>\$ 4,504,178</b>	<b>\$ 5,644,769</b>	<b>\$ 6,498,670</b>	<b>\$ 7,503,371</b>	<b>\$ 8,498,332</b>	
	<b>\$ -</b>	<b>\$ 2,500,000</b>	<b>\$ 3,500,000</b>	<b>\$ 4,500,000</b>	<b>\$ 5,500,000</b>	<b>\$ 6,500,000</b>	<b>\$ 7,500,000</b>	<b>\$ 8,500,000</b>	

Table 7.15: Details of Activities, presented by Expense category

	1 Civil Works	2 Goods/Equipment	3 Services/Training	4 Technical Assistance	5 Recurrent Operating Costs	6 Other	Total	
<b>1. WMPA Management</b>								
1.01 Construction of Offices/Accommodation	\$ 405,000	\$ -	\$ 15,000	\$ -	\$ -	\$ -	\$ 420,000	4.9%
1.02 Purchase of General Equipment	\$ -	\$ 359,100	\$ -	\$ -	\$ -	\$ -	\$ 359,100	4.2%
1.03 Installation of a MIS/GIS	\$ -	\$ 43,800	\$ -	\$ -	\$ -	\$ -	\$ 43,800	0.5%
1.04 BoD Support and supervision	\$ -	\$ -	\$ 8,500	\$ -	\$ 88,255	\$ -	\$ 96,755	1.1%
1.05 WMPA Staffing costs	\$ -	\$ -	\$ -	\$ -	\$ 717,675	\$ -	\$ 717,675	8.4%
1.06 Office running costs	\$ -	\$ -	\$ -	\$ -	\$ 654,200	\$ -	\$ 654,200	7.7%
1.07 Evaluation, Monitoring and Reporting	\$ -	\$ -	\$ 385,000	\$ -	\$ 57,600	\$ -	\$ 442,600	5.2%
1.09 Technical Assistance (Secretariat)	\$ -	\$ -	\$ -	\$ 98,850	\$ -	\$ -	\$ 98,850	1.2%
1.10 Unforeseen	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 237,500	\$ 237,500	2.8%
1.11 Other (General WMPA)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 377,922	\$ 377,922	4.4%
	\$ 405,000	\$ 402,900	\$ 408,500	\$ 98,850	\$ 1,517,730	\$ 615,422	\$ 3,448,402	40.6%
<b>2. FLUPAM Program</b>								
2.01 Procurement of Field Equipment (FLUPAM)	\$ -	\$ 17,908	\$ -	\$ -	\$ -	\$ -	\$ 17,908	0.2%
2.02 Flupam Implementation costs (WMPA)	\$ -	\$ -	\$ -	\$ -	\$ 539,000	\$ -	\$ 539,000	6.3%
2.03 Flupam in NPA villages	\$ -	\$ -	\$ -	\$ -	\$ 32,860	\$ -	\$ 32,860	0.4%
2.04 Flupam in PIZ villages	\$ -	\$ -	\$ -	\$ -	\$ 27,000	\$ -	\$ 27,000	0.3%
2.05 Meetings/Trainings (FLUPAM)	\$ -	\$ -	\$ 29,000	\$ -	\$ -	\$ -	\$ 29,000	0.3%
2.06 Evaluation of FLUPAM Process	\$ -	\$ -	\$ -	\$ -	\$ 32,750	\$ -	\$ 32,750	0.4%
2.07 Technical Assistance (FLUPAM)	\$ -	\$ -	\$ 50,000	\$ 295,260	\$ -	\$ -	\$ 345,260	4.1%
2.08 Other (FLUPAM)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	0.0%
	\$ -	\$ 17,908	\$ 79,000	\$ 295,260	\$ 631,610	\$ -	\$ 1,023,778	12.0%
<b>3. PPAM Program</b>								
3.01 Boundary Demarcation	\$ -	\$ 22,000	\$ -	\$ -	\$ 12,000	\$ -	\$ 34,000	0.4%
3.02 Procurement of Field equipment (PPAM)	\$ -	\$ 81,160	\$ -	\$ -	\$ -	\$ -	\$ 81,160	1.0%
3.03 Construction of PPAM Facilities	\$ 48,000	\$ -	\$ -	\$ -	\$ 790	\$ -	\$ 48,790	0.6%
3.04 Patrolling Program Implementation	\$ -	\$ -	\$ -	\$ -	\$ 1,246,200	\$ -	\$ 1,246,200	14.7%
3.05 Meetings/Training	\$ -	\$ -	\$ 37,000	\$ -	\$ -	\$ -	\$ 37,000	0.4%
3.06 Transboundary cooperation	\$ -	\$ -	\$ -	\$ -	\$ 33,720	\$ -	\$ 33,720	0.4%
3.07 Special Studies/Reseach	\$ -	\$ -	\$ 281,250	\$ -	\$ -	\$ -	\$ 281,250	3.3%
3.08 Technical Assistance (PPAM)	\$ -	\$ -	\$ -	\$ 419,580	\$ -	\$ -	\$ 419,580	4.9%
3.09 Other (PPAM)	\$ -	\$ -	\$ -	\$ -	\$ 27,456	\$ -	\$ 27,456	0.3%
	\$ 48,000	\$ 103,160	\$ 318,250	\$ 419,580	\$ 1,320,166	\$ -	\$ 2,209,156	26.0%
<b>4. LDC Program</b>								
4.01 Procurement of Field Equipment (LDC)	\$ -	\$ 18,268	\$ -	\$ -	\$ -	\$ -	\$ 18,268	0.2%
4.02 LDC Implementation costs (WMPA)	\$ 24,440	\$ -	\$ -	\$ -	\$ 521,800	\$ -	\$ 546,240	6.4%
4.03 Village Development Fund	\$ -	\$ 515,600	\$ 36,500	\$ -	\$ 345,048	\$ -	\$ 897,148	10.6%
4.04 Meetings/Training	\$ -	\$ -	\$ 29,000	\$ -	\$ -	\$ -	\$ 29,000	0.3%
4.05 Technical Assistance (LDC)	\$ -	\$ -	\$ -	\$ 326,340	\$ -	\$ -	\$ 326,340	3.8%
4.06 Other (LDC)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	0.0%
	\$ 24,440	\$ 533,868	\$ 65,500	\$ 326,340	\$ 866,848	\$ -	\$ 1,816,996	21.4%
	\$ 477,440	\$ 1,057,836	\$ 871,250	\$ 1,140,030	\$ 4,336,354	\$ 615,422	\$ 8,498,332	100.0%

## **7.6.4 Civil Works Budget**

### 7.6.4.1 WMPA Executive Secretariat Facilities

Of the total US\$405,000 to be invested in various facilities of the WMPA's Executive Secretariat, the main expenditures include the construction of the main office complex in Nakai District center, for a total planned budget of US \$280,000 (excluding US \$15,000 allocated for the construction supervision of this main office complex). The construction for the Khamkerd office is estimated at US\$ 25,000.

In the 1<sup>st</sup> year US \$15,000 will be spent upgrading current buildings in the NPA headquarters and Nakai district offices, to be the temporary offices of the Secretariat for the 1<sup>st</sup> two years. Following construction of the main office, these buildings (at least the current NPA compound), will probably become accommodation. A further US \$85,000 will be spent to develop accommodation for non-local ExSec staff and TA in Nakai.

### 7.6.4.2 PPAM Biodiversity Monitoring, Management and Protection Facilities

A total of US \$48,000 has been allocated over the SEMFOP-1 period to build, repair and maintain biodiversity monitoring and protection posts (see map 12) – a total of about 13 - which will be both accommodation and offices for staff, army and police partners in this program. These will be built from local material, constructed by contracts with local villages.

No funds have been allocated to construction of radio repeater towers, as the type of radio system to be developed has not yet been decided.

### 7.6.4.3 Tourism

Investments in nature, cultural and sports related tourism have not yet been defined, because:

- a) tourism development under the SEMFOP-1 will focus on community-based nature tourism which requires only very limited funding, which will be sourced from village livelihood development budgets.
- b) any large scale tourism development will only be initiated after the unsettled period of construction, when the reservoir is in its normal operating cycle, and once important lessons have been learned from the community-based nature tourism program.
- c) any large scale tourism development will be financed and owned by private enterprise, under carefully licensed and controlled concessions from the WMPA.

## **7.6.5 Equipment Budget**

### 7.6.5.1 Office and Transportation

Of the total US \$325,000 budget allocated to the purchase of transportation and field equipment; the following is allocated to vehicles:

- US \$168,000 to two 4WD wagons (land cruiser type), five 4WD double cabs;
- US\$ 44,200 for boats, including rubber dinghy's, long tail boats, and goods transport boats (once the reservoir is impounded, flat wetland boats will also be required).
- US \$16,950 for bicycles and 22 motor bikes, (14 off road, Ag200);

Most vehicle procurement will be undertaken in year 1, and some in year 2. The administration manager, in cooperation with the Directors cabinet, will develop the required specifications, then seek quotations for these.

A total of US \$129,950 is allocated to the purchase of office equipment over the 6 year period, including;

- computers (including portables and GIS capable desktop);
- printers, and 1 large format (A0) printer;
- the full range of office furniture;
- photocopy machine, fax and telephone, satellite TV system, and air conditioners.

US \$30,0000 will be spent to upgrade current radio systems (if more is required, funds should be drawn from contingencies). Two general types of communications systems are required:

1: External Communication System

Telephone, fax and internet/email connections will be installed in Nakai HQs and in the Luk Xao branch office.

2: Internal Communications System

To enable all the teams and staff working to communicate in the field, and back to headquarters. Such communication is required to;

- i) facilitate co-ordination and improving efficiency of activity implementation;
- ii) facilitate the monitoring, patrolling and enforcement activities;
- iii) in case of emergencies, including medical emergencies;
- iv) for flood warnings and the hydro-meteorological information system (with NTPC)

The internal (radio) communication system will have at least three components:

- 1: A series of base and sub-base stations to connect the HQs to field stations, gates and posts (similar to the radio telephone system already operational in the three zones field stations in Ban Navang, Ban Makfeuang, and Ban Dteung).
- 2: Radio sets permanently fitted to vehicles and some boats.
- 3: Hand held sets for mobile (monitoring and patrolling) teams - land and water based.

Before procuring these items, a detailed review of the radio equipment installed and used by the WB's UDCP will be undertaken (they have purchased and use ICOM HF transceiver, IC-718). Following this, those additional components required to develop it into a fully operational internal communications system will be known, and then procured.

*7.6.5.2 Field and Communication Equipment*

A wide range of field equipment will be purchased (Table 7.16), for which US\$117,336 is allocated. Care will be taken to procure appropriate items of durable quality and effectiveness. Some of the field equipment will be allocated to each field staff, as personal work equipment. The more expensive equipment will be retained on the inventory of each Divisional (in Nakai and in Luk 20) and issued to staff and teams on an as-needs basis.

**Table 7.16: Tentative field equipment procurement plan, and allocation**

Equipment on inventory	No.	Equipment allocated to staff	No. staff	No. partners
1. gps	8	1. rucksacks	14	15
2. camera	4	2. sleeping bags	14	15
3. camera traps	150	3. silva compass	14	15
4. survey level	2	4. tents (to some staff)	6	6
5. theodolite	1	5. field cooking set	6	15
6. survey staffs etc	6 sets	6. water bottles	14	15
7. sunnto compass/tandem	6	7. field boots	14	15
8. measuring tapes	10	8. field clothes – 2 sets/yr	14	15
10. tents	many	9. tarpaulins		
		10. binoculars		

### 7.6.5.3 GIS and Database Systems

A total of US\$35,000 has been allocated for the purchase of GIS and mapping equipment. The database, GIS system and mapping unit will require;

- i) a GIS capable computer;
- ii) a large format (A0) printer;
- iii) GIS programs;
- iv) metal map cabinets;
- v) full sets of all available aerial photos;
- vi) full sets of topographic maps in paper format (and at least the 1:50,00 in digital format);
- vi) satellite data (probably Quickbird imagery).

Development of the specifications for this equipment will be undertaken by the GIS officer, assisted by the GIS consultant.

### 7.6.5.4 LDC Village/Community Development Facilities

Community development budget (goods/equipment) (US\$ 897,148) will be used for activities in both enclave and peripheral impact zone (PIZ) villages according to the threat posed to NPA resources and other appropriate criteria described in Section 5.5.2. It should be noted that the funding for village facilities is a rough estimate only, as a large portion for village facilities also consists of equipment and goods (see Section 7.6.5.2). The actual interventions still have to be decided.

## **7.6.6 Service and Training Budget**

The Independent Monitoring Agency has been allocated US \$280,000. A total of US \$ 105,000 has been allocated for the hiring of an auditing firm.

A full US \$112,000 is allocated over the SEMFOP-1 period to the training of Executive Secretariat staff and implementing partners staff (DAFO and PAFO, DEO/PEO and DHO/PHO, and military and police officers), and the implementation of various services (

Table 7.17). While the exact training plan will be developed annually, it will include:

- training provided by engaged trainers at the ExSec headquarters in Nakai;
- attendance of rating course provincially or nationally;
- attendance of regional training course;
- the conduct of study tours; and
- attachment of university students to undertake thesis field work.

Moreover, training will be provided for village teachers, health workers facilitators and coordinators, village staff, including village monitoring and patrolling staff.

Other services include the supervision of construction and contracts for community participation support and biodiversity baseline survey (US\$ 374,250).

**Table 7.17: Summary of Services and Training budget**

3 Services/Training	Unit Cost	FY1	FY2	FY3	FY4	FY5	FY6	FY7	Total
Independent Auditing Firm		\$ 7,500	\$ 15,000	\$ 15,000	\$ 15,000	\$ 15,000	\$ 15,000	\$ 22,500	\$ 105,000
Independent Monitoring Agency (IMA)		\$ 40,000	\$ 40,000	\$ 40,000	\$ 40,000	\$ 40,000	\$ 40,000	\$ 40,000	\$ 280,000
		\$ 47,500	\$ 55,000	\$ 55,000	\$ 55,000	\$ 55,000	\$ 55,000	\$ 62,500	\$ 385,000
Other Training-Courses (FLUPAM)		\$ 3,000	\$ 5,000	\$ 3,000	\$ 3,000	\$ 3,000	\$ 3,000	\$ -	\$ 20,000
Other Training-Courses (PPAM)		\$ 4,000	\$ 5,000	\$ 4,000	\$ 4,000	\$ 4,000	\$ 4,000	\$ -	\$ 25,000
Other Training-Courses (LDC)		\$ 3,000	\$ 5,000	\$ 3,000	\$ 3,000	\$ 3,000	\$ 3,000	\$ -	\$ 20,000
Study Tours (LDC)		\$ 1,500	\$ 1,500	\$ 1,500	\$ 1,500	\$ 1,500	\$ 1,500	\$ -	\$ 9,000
Study tour (BoD)		\$ 8,500	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 8,500
Study Tours (FLUPAM)		\$ 1,500	\$ 1,500	\$ 1,500	\$ 1,500	\$ 1,500	\$ 1,500	\$ -	\$ 9,000
Study Tours (PPAM)		\$ 2,000	\$ 2,000	\$ 2,000	\$ 2,000	\$ 2,000	\$ 2,000	\$ -	\$ 12,000
Agricultural training		\$ 7,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 7,000
Study tour (Villagers)		\$ 1,500	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,500
		\$ 32,000	\$ 20,000	\$ 15,000	\$ 15,000	\$ 15,000	\$ 15,000	\$ -	\$ 112,000
Design&Construction Supervision		\$ 6,000	\$ 9,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 15,000
Survey construction/improvement small village infrastructure		\$ 20,000	\$ 8,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 28,000
Community Participation Support		\$ 10,000	\$ 20,000	\$ 20,000	\$ -	\$ -	\$ -	\$ -	\$ 50,000
Biodiversity Baseline Survey & Ranger/VCMU training		\$ -	\$ 125,000	\$ 125,000	\$ 31,250	\$ -	\$ -	\$ -	\$ 281,250
		\$ 36,000	\$ 162,000	\$ 145,000	\$ 31,250	\$ -	\$ -	\$ -	\$ 374,250
<b>Total:</b>		<b>\$ 115,500</b>	<b>\$ 237,000</b>	<b>\$ 215,000</b>	<b>\$ 101,250</b>	<b>\$ 70,000</b>	<b>\$ 70,000</b>	<b>\$ 62,500</b>	<b>\$ 871,250</b>

### 7.6.7 Technical Assistance

The SEMFOP-1 period allocation of US \$1,107,225 for international and national level technical assistance will be disbursed over the entire 6.5 year period, but with more intensive TA support in the early years (Table 7.18). The main long-term, international TA include the FLUPAM, the Conservation advisor/CTA and the Community Development and Participation specialist. All other advisors are short term, but preferably recurrent. Either International or national candidates will be considered for these positions.

**Table 7.18: Technical Assistance**

	Unit Cost	FY1	FY2	FY3	FY4	FY5	FY6	FY7	Total
<b>4.1 International Technical Advisors</b>									
FLUPAM Advisor	\$ 7,770	\$ 38,850	\$ 93,240	\$ 93,240	\$ 54,390	\$ 3,885	\$ 3,885	\$ 7,770	\$ 295,260
Community Development & Participation Advisor	\$ 7,770	\$ 38,850	\$ 93,240	\$ 93,240	\$ 77,700	\$ 3,885	\$ 3,885	\$ 15,540	\$ 326,340
PPAM Conservation/CTA Advisor	\$ 9,990	\$ 49,950	\$ 119,880	\$ 119,880	\$ 99,900	\$ 4,995	\$ 4,995	\$ 19,980	\$ 419,580
<i>sub-total:</i>		\$ 127,650	\$ 306,360	\$ 306,360	\$ 231,990	\$ 12,765	\$ 12,765	\$ 43,290	\$ 1,041,180
<b>4.2 Short-term Technical Advisors</b>									
Project Management Advisor	\$ 9,435	\$ 18,870	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 18,870
Financial/Institutions Management Advisor									
Accounting and training advisor									
GIS, remote sensing, database advisor	\$ 9,435	\$ 18,870	\$ 9,435	\$ -	\$ 9,435	\$ -	\$ -	\$ 9,435	\$ 47,175
<i>sub-total:</i>		\$ 37,740	\$ 9,435	\$ -	\$ 9,435	\$ -	\$ -	\$ 9,435	\$ 66,045
<b>Total:</b>		<b>\$ 165,390</b>	<b>\$ 315,795</b>	<b>\$ 306,360</b>	<b>\$ 241,425</b>	<b>\$ 12,765</b>	<b>\$ 12,765</b>	<b>\$ 52,725</b>	<b>\$ 1,107,225</b>

### 7.6.8 Operating Budget - Recurrent Costs

#### 7.6.8.1 *Salaries for Executive Secretariat Professional and Administrative Staff (5.1)*

The number and positions of the Executive Secretariat professional, technical and administrative staff are summarized in Table 7.4 and Table 7.5. The WMPA, as a financially independent authority of the Government of the Lao PDR, will pay salary direct to its Executive Secretariat staff (including those on official secondment from the Government), according to its own salary scale previously presented in Table 7.1).

On the basis of staff numbers and salary scales, the average annual budget for salaries for the WMPA's staff is between US\$321,000 and US\$360,000 per year (Table 7.19). However, payroll tax of between 20% to 40% may be applicable on these salaries.

**Table 7.19: WMPA Salaries and associated costs**

	FY1	FY2	FY3	FY4	FY5	FY6	FY7	Total
Professional	\$ 108,000	\$ 226,800	\$ 230,400	\$ 230,400	\$ 216,000	\$ 207,000	\$ 208,800	\$ 1,427,400
Technical	\$ 27,000	\$ 59,400	\$ 82,800	\$ 82,800	\$ 75,600	\$ 68,400	\$ 68,400	\$ 464,400
Administrative	\$ 6,225	\$ 23,700	\$ 30,000	\$ 30,000	\$ 30,000	\$ 30,000	\$ 30,000	\$ 179,925
Support staff	\$ 6,750	\$ 16,200	\$ 16,200	\$ 16,200	\$ 16,200	\$ 16,200	\$ 16,200	\$ 103,950
<b>Total:</b>	<b>\$ 147,975</b>	<b>\$ 326,100</b>	<b>\$ 359,400</b>	<b>\$ 359,400</b>	<b>\$ 337,800</b>	<b>\$ 321,600</b>	<b>\$ 323,400</b>	<b>\$ 2,175,675</b>

*7.6.8.2 Other Staff and WMPA Operating Costs (5.2)*

The total budget allocated for other WMPA operating costs is US\$ 721,800. The breakdown of the costs is given in Table 7-20.

**Table 7-20: Other WMPA operating costs**

Other WMPA Operating Costs	FY1	FY2	FY3	FY4	FY5	FY6	FY7	Total
Monthly reporting	\$ 600	\$ 1,200	\$ 1,200	\$ 1,200	\$ 1,200	\$ 1,200	\$ 1,200	\$ 7,800
Quarterly & Yearly reporting	\$ 600	\$ 1,200	\$ 1,200	\$ 1,200	\$ 1,200	\$ 1,200	\$ 1,200	\$ 7,800
Building Maintenance	\$ -	\$ 500	\$ 1,000	\$ 1,000	\$ 1,000	\$ 10,000	\$ 10,000	\$ 23,500
Rental of existing office	\$ 3,000	\$ 3,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 6,000
Electricity	\$ 1,200	\$ 4,000	\$ 4,000	\$ 4,000	\$ 4,000	\$ 4,000	\$ 4,000	\$ 25,200
Water	\$ 100	\$ 400	\$ 400	\$ 400	\$ 400	\$ 400	\$ 400	\$ 2,500
Communication	\$ 5,500	\$ 22,000	\$ 22,000	\$ 22,000	\$ 22,000	\$ 22,000	\$ 22,000	\$ 137,500
O&M Motorcycles	\$ -	\$ 7,500	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 57,500
O&M Vehicles and Boats	\$ -	\$ 30,000	\$ 40,000	\$ 40,000	\$ 40,000	\$ 40,000	\$ 40,000	\$ 230,000
Stationary, emergency, etc.	\$ 5,000	\$ 16,000	\$ 16,000	\$ 16,000	\$ 16,000	\$ 16,000	\$ 16,000	\$ 101,000
Other staff and implementing costs	\$ 3,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 14,000	\$ 14,000	\$ 71,000
Vehicle and Transportation costs (FLUPAM)	\$ 1,300	\$ 2,100	\$ 2,400	\$ 2,400	\$ 2,400	\$ 2,400	\$ 2,400	\$ 15,400
Vehicle and Transportation costs (LDC)	\$ 1,300	\$ 2,100	\$ 2,400	\$ 2,400	\$ 2,400	\$ 2,400	\$ 2,400	\$ 15,400
Vehicle and Transportation costs (PPAM)	\$ 2,400	\$ 2,800	\$ 3,200	\$ 3,200	\$ 3,200	\$ 3,200	\$ 3,200	\$ 21,200
<b>Total:</b>	<b>\$ 24,000</b>	<b>\$ 102,800</b>	<b>\$ 113,800</b>	<b>\$ 113,800</b>	<b>\$ 113,800</b>	<b>\$ 126,800</b>	<b>\$ 126,800</b>	<b>\$ 721,800</b>

*7.6.8.3 Transportation (5.3)*

About US \$8,000 per year is allocated for vehicle insurance and other miscellaneous operating costs.

*7.6.8.4 WMPA and Partner Staff Per Diems (5.4)*

Per diems or daily subsistence allowance (DSA), will be paid for work done in the villages and the forest, and overnight stays in the field and villages. While per diems will be applicable to both WMPA core staff, and for staff from implementing partners, they will be slightly higher for implementing partner staff, as core WMPA staff will already be receiving a basic monthly salary.

Thus, while DSA rates for WMPA staff will be:

- for daily work in village or field, with no overnight stay: US \$2 per day
- for work and overnight stay in village, field or forest: US \$3 per day

The per diem rates for seconded implementing partner staff will be based on:

DAFO Staff: Day trip: \$2/day, overnight in field station: \$3/night, overnight in other villages \$4/night.

Police Staff: On-duty and overnight at post, \$2.5/day, and overnight forest or another village, \$4/day

Military Staff: On-duty and overnight at post, \$2.5/day, and overnight forest or another village, \$4/day

Village Staff: Village teacher assistants (22) DSA of \$3/day

Village health assistants (8) DSA = \$3/day

Village militia - overnight in forest = \$3/night

Based on these rates, the total budget required for DSA per diems has been calculated (Table 7.21), based on the staff and time required for the three main components:

**Table 7.21: Estimated DSA requirements and Miscellaneous field expenses**

	FY1	FY2	FY3	FY4	FY5	FY6	FY7	Total
5.4 WMPA field expenses	\$ 32,246	\$ 42,500	\$ 62,000	\$ 62,000	\$ 62,000	\$ 72,000	\$ 72,000	\$ 404,746
5.5 Partner field expenses	\$ 56,782	\$ 124,486	\$ 138,816	\$ 132,216	\$ 129,036	\$ 129,036	\$ 127,036	\$ 837,408
5.6 Miscellaneous	\$ 1,500	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,500
5.7 Meetings, Workshops	\$ 33,225	\$ 27,000	\$ 27,000	\$ 27,000	\$ 27,000	\$ 27,000	\$ 27,000	\$ 195,225
<b>Total:</b>	<b>\$ 123,753</b>	<b>\$ 193,986</b>	<b>\$ 227,816</b>	<b>\$ 221,216</b>	<b>\$ 218,036</b>	<b>\$ 228,036</b>	<b>\$ 226,036</b>	<b>\$ 1,438,879</b>

*7.6.8.5 Meetings (5.6)*

A total of US \$195,225 has been allocated to cover the costs of meetings of the Board of Directors (at least once per year), trans-boundary liaison meetings, at least twice per year, and a range of other meetings and workshops.

**7.6.9 Other**

The budget includes a contingency of US\$ 237.500.

It is assumed that by March 31, 2005 the WMPA will have used an amount of US\$ 377,922 for all preparatory activities and running costs of the WMPA..