Asia-Pacific Network for Sustainable Forest Management and Rehabilitation

PROJECT PROPOSAL

Enhancing ecosystem services under forest transition Using the Policy Learning Protocol and the Pathway of Influence Framework

Center for Southeast Asia Studies, Kyoto University

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Project title	Enhancing ecosystem services under forest transition: Using the Policy Learning Protocol and the Pathway of Influence Framework
Executing agency	Center for Southeast Asia Studies, Kyoto University

Expected project duration: **1**/5/2017 to 30/04/2019, 36 months

Target area (project locations and context)

Selected and representative areas in China and Laos including areas where forest still play important roles in local and regional economies, and where forest rehabilitation has taken place

Total budget(USD) 492,000	**Expected APFNet grant(USD) 335,000**	**Counterpart contribution (USD) (in cash and in-kind) 157,000**

Project summary:

China and Laos are two Asian economies where forest transition has taken place. The two economies have experienced forest rehabilitation, partly by implementing measures to revert a decreasing forest area into forest area increase. Rehabilitated forests provide limited environmental, economic and social benefits, or forest ecosystems services (FES), compared to natural forests. The project will assess how FES transit under forest transition and how FES can be enhanced under forest transition. The results are intended to support future forest policies and other related policies and forest rehabilitation efforts to enhance FES outcomes. The project will contribute to APFNet priorities as it aims to increase the environmental, economic and social benefits from rehabilitated forests and forest rehabilitation policies and practices.

The project will apply the 'Policy Learning Protocol' and 'Pathway of Influence Framework'. PLP is an approach for those with interest in applied policy develop to create related knowledge on a policy topic that explores necessary resources, engages multiple parties with interest in the policy challenge, and develop a product that is likely to have most impact in the relevant policy arena. The PIF explores how policy instruments and policies in general, both international and national achieve actual impact related to the policy challenge that is being addressed.

The PLP includes 10 steps that ultimately will result in a so called Playbook. The playbook contains the insights that have been produced in steps 1-10, but is also formulates policy options that can be considered by the partners in the project exercise, but also by others who are interested in the policy challenge that is being addressed. The Playbook will also reflect on and to the extend possible prepare policy implementation pathways, differentiated for multiple possible users of the Playbook, and project outcomes in general, including government actors, civil society groups, private sector actors and organizations representing forest users. The project will be implemented by two teams for China and Laos, supported by the overall coordinators. Ph.D. students will participate to also have a maximum capacity building impact.

The collaborating partners in the project have a long trajectory of research on forest rehabilitation, forest transition and forest ecosystem services. The economy team coordinators and overall coordinator have collaborated on previous projects, and they are well recognized in the Asia region. They have successfully implemented a considerable number of projects and engaged in training of students and young professionals.

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Abbreviations and acronyms

ES – Ecosystem services
FES – Forest Ecosystem Services
MEA – Millennium Ecosystem Assessment
PIS – Pathway of Influence Framework
PLP – Policy Learning Protocol

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Project details

1. Background and Rationale

The total area of forest in Asia is on the increase. Forest recovery in Asia is the result of reducing deforestation, but especially of forest rehabilitation efforts. The countries in Asia collectively experienced forest decline until the end of the 20th century. FAO (2010) reported an annual net forest loss for 1990-2000 for Asia, except Siberia. However, during 2000-2010 this had reverted to an annual increase of 2.2. Million ha. The latter "primarily due to the large-scale afforestation reported by China and despite continued high rates of net loss in many countries in South and Southeast Asia" (FAO, 2010: xvi). The trend continued until 2015, as between 1990 and 2015 the annual forest cover change for the entire region was a positive 0.17% (FAO, 2015).

While these are positive trends, it is not yet clear whether if forest ecosystem services (FES) are actually augmenting or whether they are still declining. For instance, while the total forest area in Asia is increasing, the total area of natural forest in Area declined every quinquennial assessed by FAO since 1990 (FAO, 2015).

The process of forest cover decline over a historical period, followed by a sustained increase in forest cover is called forest transition. Forest transition was first observed to have happened in Europe, but quickly it became apparent that it meanwhile occurs in many economies in all forested continents. Prominent economies that have experienced forest transition include China, India, Vietnam and Philippines. In the latest Global Forest Resource Assessment, Laos has now been identified as having experienced forest transition between 2000 and 2005, while in FAO (2010) it was still qualified as a net deforestation economy. The latter is the result of a more consistent use of the definition of forests, as an area with a minimum of 10% tree cover. The project proposed here builds on a project on forest transition in Asia, supported by APFNet and implemented among others by the writers of the proposal (e.g. Ashraf, 2016: Liu et al., 2016; Youn et al., 2016)

Since the completion of the Millennium Ecosystem Assessment (MEA, 2005), the concept of ecosystem services (ES) has been broadened to include all goods and services that are relevant and important for human society. The MEA popularized the term ES, but it also provided a comprehensive framework to systematically organize ecosystems services into: supporting, provisioning, regulating and cultural ecosystem services. Numerous FES services can be identified as belonging to each of the four groups of ecosystems services.

When forest transition occurs, the returning forest that replaces previous forest does not provide the same kind of or amount of FES. The novel forests (c.f. Sist et al., 2014) are mostly planted forests that hold fewer species, are lower in biomass, and have much less biodiversity than the original forest. Forest transition restores some of the forest ecosystems services, but not all of them, and not in the same magnitude.

An environmental management and policy challenges thus is, whether if there are options to enhance FES when an economy is passing through a process of forest transition. This will include exploring options to enhance the recovery of FES when undertaking forest rehabilitation, which is one of the contributing factors to forest transition. Possible other options to enhance a recovery of FES may include adjusting other forest policies, for instance, providing incentives or guidelines that promote forest management that enhances FES, or adapting wider land use policies to enhance provision of ES, including FES.

The project proposed here will build on the past experience of assessing forest transition in nine Asian economies (e.g. de Jong et al., 2016) and identify options to enhance provision of FES under forest transition. The underlying rational of the project is that forest transition is the result of national and subnational socio-economic trends, but that multiple forest stakeholders play an important role reverting forest cover decline into forest recovery. These

actions can be divided in direct and indirect causes of (declining) deforestation and forest degradation and forest recovery (e.g. Ashraf et al., 2016; Li et al, 2016; Liu et al., 2016; Youn et al.). Both actions are relevant and needed to be assessed on how they can causally be related to the enhanced provision of FES. If these causal links can be revealed and understood, they can be used to enhance FES outcomes of forest rehabilitation, and ultimately forest transition.

The project will also contribute to a still expanding international effort to restore forest landscapes. Forest rehabilitation has been on the agenda of organizations like FAO, CIFOR, and international conservation organizations. They have resulted in special programs like the Global Partnership on Forest and Landscape Restoration, or the APEC 2020 forest cover goal as contained in the organisation's Sydney Declaration. Forest restoration is included as one of the targets of SDG 15. Forest rehabilitation and how this relates to the provision of ES is also intensively discussed in the academic literature. Most of this literature points at trajectories of a progress return of FES, when rehabilitated forests go through a process of maturity depending how long they have been established, but also on how the forest rehabilitation was implemented (e.g. Aerts and Honney, 2011; Chazdon, 2008; Ciccarese et al., 2012). So far only a dirt of studies have actually linked national rehabilitation policies to restoration of FES (e.g. Liu et al., 2007), or tried to assess how forest rehabilitation projects actually influence availability of FES that are of interest to local users of those services, or how the services from rehabilitated forests are evaluated by the local population, compared to FES from natural forests (e.g. Ronnback et al., 2007).

To our knowledge, no systematic comparison has ever been undertaken to assess how provision of FES evolves along forest landscapes, or when a whole national region experiences a process of forest transition. Neither has there been any systematic assessment of how a range of FES users evaluate the transition of the provision of FES when forest transition takes place.

Considering these reflections, the collaborators in the project: Enhancing ecosystem under forests transition, using the Policy Learning Protocol and the Pathway of Influence Framework intend to achieve the following goals and objectives.

2. Goal and Objectives

Given the argument summarized above, the project aims to pursue the following goal and objectives.

Goal.

- Enhance the provision of forest ecosystem services under the process of forest transition

Objectives

a) Recovery of FES during the process of forest transition are characterized in selected regions in China and Laos
b) Demand and actual benefits derived from FES by multiple user groups related to the process of forest transition are characterized
c) Forest rehabilitation practices, and forest and land use policies are causally linked to FES provision under forest transition
d) Knowledge models and policy decision making tools are developed that represent FES recovery under forest transition and possible future trends in FES recovery as a function of forest rehabilitation interventions, forest policies and wider land use policies

The project will be implemented in two economies: China and Laos, in selected locations as explained below. The two economies are both reported in FAO (2015) to already have

experienced forest transition. Forest transition in China has been well studied and reviewed in the literature (e.g. Li et al., 2016; Liu et al., 2016), but this is not yet the case for Laos (Youn et al., 2016). Forest transition in China is the result largely of much government efforts to restore forest cover, in response to environmental calamities attributed to a past recent history of intensive deforestation. In Laos, on the other hand, forest transition appears the result of expansion of smallholder teak and rubber plantations, which have benefitted from government and international development cooperation support, but also from spontaneous actions of smallholders themselves. The social and economic realities of the two economies are very different, but to some extent Laos experiences a reality similar to China Southern region a few decades ago. The two economies are increasingly interacting in cross-border trade, and entrepreneurs from China engaging in agricultural production in Laos. These realities: similarities and differences in forest policies, in forest transition trajectory and the increased economic and agroforestry production integration of the two economies make them appropriate candidates to attempt to pursue the goal and objectives as outlined above.

The project proponents are aware of the tremendous diversity in an economy like China. While the project will focus on a specific location in China, we will also try to extrapolate location specific results to a wider geographic regional or national cover. We will, for instance, try to develop maps that extrapolate project findings over wider areas, areas that have similarities to the project locations.

3. Outputs and Strategic Activities

The Policy Learning Protocol was initially developed by collaborating members of the "Forest Policy Learning Architectures" working party at IUFRO and by Yale University's Governance, Environment and Markets (GEM) Initiative (Cashore and Lupberger, 2015; Cashore et al., 2016). The PLP provides a framework to undertake a sequence of actions to develop policy options for a particular environmental policy challenge. The protocol includes bringing together a group (stakeholders) that has an interest in the policy challenge that is being addressed, but also to achieve consensus of what that challenges truly means for each stakeholder. This part of the protocol is referred to as the "Getting Ready" Phase (Cashore and Lupberger, 2015). The protocol then proposes a number of steps to explore all related information and knowledge that are relevant for the policy challenge at hand, and analyze this information. Finally, the completion of the protocol is to result in both identification of policy options, but also suggestions of pathways through which the policy options can be implemented and the policy challenge overcome.

The 10 steps of the PLP assume that a project team, identified as knowledge broker mobilizes a group of stakeholders who in some form will engage with the project team to provide their required input when the policy challenge is being addressed. Once steps 1-10 have been completed, the project team and the partners with which the project engages develop a so called "Playbook". The Playbook, synthesizes the findings and reflections that have of steps 1-10, and which have been laid down in a documentation of each of the steps. The Playbook also policy options, and pathways through which these options can be implemented.

The Playbook will provide a detailed understanding of how the provision of FES evolves when a confined geographic area experiences forest transition, and of the factors that shape the trajectory of provisions of FES in areas where forest cover return. The assessment of FES transition will take place at various scales, from local level, where it is more relevant to identify specific forest rehabilitation practices and their direct outcomes, to wider regional and national scales, where transition of forest ecosystems services will be linked to policies, regulations and incentives. The playbook will include scenarios of alternative FES provision

outcomes during forest transition, and identify options for forest rehabilitation and forest rehabilitation policies that enhance FES outcomes.

Step No	*Title*	*Lead responsible*	*Completion (months)*
1	Identify a Knowledge Broker	Coordinator and project teams	6
2	Identify the Problem	Coordinator and project teams	6
3	Identifying the Relevant Participants for Co-generating Insights	coordinator and project teams	6
4	Classify the Problem	Coordinator, project teams and partners	12
5	Scoping Knowledge of the Problems at Hand	Project teams and partners	30
6	Applying the Pathways of Influence Framework	Coordinator, project teams with input from partners	30
7	Scope Interventions for Following Pathways	Coordinator, project teams with input from partners	30
8	Assessing Comparative Advantage	Coordinator, project teams with input from partners	30
9	Identifying Instruments and Interventions to be Pursued	Coordinator, project teams with input from partners	30
10	Develop Clearly Identified Causal Logics (Linking Means to Ends)	Coordinator, project teams with input from partners	30
11	Developing the Playbook	Coordinator, project teams with input from partners	36

Table 1. The Policy Learning Protocol (adapted from Cashore et al., 2016)

The steps of the PLP are listed in Table 1. Each of the 10 steps will be documented as a stand-alone chapter seize text, i.e. of between 5000 and 8000 words and can be presented as a single report. The collection of reports are to be published as a single volume. The Playbook will be published separately. As mentioned, the Playbook summarizes the activities undertaken under steps 1-10, the insights derived from these activities, and how based on these insights policy options and potential implementation pathways can be prepared. In addition to a documented PLP and Playbook, project team members will publish results in academic journals, and produce other dissemination materials, as explained in the project's communication strategy.

The Policy Learning Protocol and its application to enhance forest ecosystems services under forest transition

The protocol has three phases: getting ready (steps 1-3), co-generating insights (steps 4-10) and implementation (Playbook). Steps, in each of the three groups are implemented simultaneously. The three groups, however are completed one after the other.

Steps 1 - 3 of the protocol include the getting ready phase of the protocol. **Step 1 establishes the project implementer, identified as a knowledge broker.** The knowledge

broker is a group of specialists that can collaborate with other actors with interest in the policy challenge that is being addressed. The knowledge broker's task is to mobilize the group that will interact during the implementation of the project, and it coordinates the implementation. In the logic of the PLP, the knowledge broker is well aware of the policy challenge, but also of all the actors who are affected by the policy challenge, or the possible policy implementation. The broker also is well aware of how those actors relate to each other, whether they can cooperate, or whether their involvement requires a more diplomatic approach. The knowledge broker also needs to be well aware of the policy challenge, the backgrounds to the challenge, its evolution, and alternative options that are being considered to address the challenge.

In this project, the knowledge broker will include two teams led by prof. Liu for China and prof. Youn for Laos. Each of the two teams will identify collaborators to complete the teams. Each economy team intends to engage three student collaborators who are at the beginning of will soon start a Ph.D. trajectory, related to forest ecosystems services. **Step 2** entails **identifying the problem (i.e. policy challenge)**. Once the teams for each economy are in place, the identification of the policy challenge as formulated above, will be revisited to achieve a shared understanding among the teams and all of its complexities. This process will also recognize possible variations or nuances in the problem between different economies and regions. **Step 3** aims to **identify and engage other participants** who are expected to have interest in the policy challenge, and who are likely to benefit from implementing the project, and its outcomes.

Steps 4-10 of the policy learning protocol are intended to **co-generate insights.**

Step 4 aims to **classify the problem**, by answering three questions: 1) How do stakeholders prioritize this questions compared to others? 2) Does addressing this problem lead to the generation or worsening of other problems, or are there synergies with other problems? 3) How might unintended negative effects be made transparent, and managed? The problem will be classified as a win/win, win/lose (compromise) or win/lose (hierarchy) type of problem (Cashore et al., 2016). Problems are identified as win/win when its solution is beneficially for almost everyone, which implies that minimal trade-offs need to be made. A win/lose (compromise) problem implies that one or more compromises are needed, when deriving solutions for the problem that is being addressed. Win/lose (hierarchy) problems directs participants to consider whether the particular problem in question will lead to trade-offs with others, but that the problem in question, or other problems, should be treated as some type of hierarchy in which some are designated as more important than others. The classification enables recognizing the wider relevance of the problem related to other problems and identify necessary trade-offs.

Step 5, scoping knowledge of the problem at hand entails producing relevant knowledge that is necessary for the identification policy options and implementation pathways, for the challenge that is being addressed. This step will review relevant sources but also implement on site field work to produce relevant and necessary knowledge. Teams will select locations based on existing inventories and maps that are available. The teams will pursue necessary cross referencing of information sources, to assure that information is as accurate as possible, and where necessary implement field verification. Fieldwork will identify FES from rehabilitated forests that are considered most relevant and valued. Locations will be selected that characterize the economy's forest transition and select locations that contain novel forests, and old forest frontiers. Four groups of forest users will be consulted: local forest users or residents adjacent to rehabilitated forests who derive benefit from FES largely related to meeting livelihood needs; distant forest users or distant residents who are indirectly affected by FES (e.g. hydrological services, recreational benefits, forest products that are harvested and traded); forest agencies with public responsibility

related to forest management; civil society organizations whose priority is the preservation and enhancement of landscape biodiversity and wildlife.

The field assessments will identify FES that are valued by forest users, which will provide a verification of the information provided during the interviews. The field assessments will use standard methods, i.e. vegetation inventory to measure biodiversity, wood volume, carbon stocks, measures of productivity of consumables or trade commodities, and water traps or evaporation traps to measure soil or atmospheric water flows.

Project teams will reconstruct vegetation histories of the forest rehabilitation over the past few decades or longer if appropriate. This component will use key informant interviews and review written documentation and remote sensing data. Following, the rehabilitation history of the site will be analyzed, including an evaluation of the socio-political factors that might have influenced how forest rehabilitation was pursued or occurred.

Taking as a basis the latter analysis, **step 6** will **apply the pathways of influence framework** to identify the influence of national, but also international policies and policy instruments on FES of rehabilitated forests. The framework has been developed by Bernstein and Cashore (2011) to understand how international policy instruments find their way to locations where on the ground policy challenges are being addressed, and how in those locations support can be derived from these international policy instruments. The project will expand the use of the PIF include national policy instruments. The framework recognizes four pathways: a rules pathway, a norms pathway, a market pathway and a direct access pathway. Applying the framework will make it possible to identify causal linkages between national policies and their impact on the ground, where forest rehabilitation is being pursued. Decisions made by actors who initiated, implemented or facilitated (i.e. through foregone land use) forest rehabilitation are the key determinants that influence ES from rehabilitated forests. The actors who implement forest rehabilitation are motivated by external drivers, for instance, regulations, incentives, or market conditions, that oblige or encourage actors to actively or passively rehabilitate forests, as well as protocols, information, constraints, and social pressures that influence and shape how forest rehabilitation proceeds. Government targets and policies are important in advancing rehabilitation agendas, and the teams will therefore analyze policies and how policy instruments drive forest rehabilitation, using the PIF.

Steps 7-10 are designed to undertake a profound analysis of steps 4-6, to convert data and information into knowledge. **Step 7** will **identify possible interventions** that can contribute to the project goal, enhancing ecosystem services under forest transition, scoping related national and international policy initiatives, and developing scenarios how they can travel through the PIF. Under **step 8** project teams will **identify the competing merits** of the policy interventions considered in Step 7. The teams and participants who will engage in the project will evaluate comparative advantages of alternative policy options that have been derived under step 7. This will subsequently lead to **step 9** which will **identify interventions and instruments to be pursue,** or the identification of policy options**.** The project will consider national instruments and international instruments on equal basis. The instruments will be scrutinized in much detail both in their current applications as well as their theoretical implications for further developments in enhancing forest ecosystem services in China and Laos. The project will explore how national stakeholders can play a role in national, regional or international negotiations on the selected instruments. **Step 10** then will **develop prospective implementation pathways** of the policy options identified under step 7, 8 and 9.

Under the final step of the policy learning protocol we will combine all the insights from the steps 1-10 to produce the so called "**Playbook**". The Playbook brings together the most important insights from the project and reiterates the policy options and prospective implementation pathways the project teams and project collaborators believe are important to

take forward. The Playbook includes an adequate summary of the steps 1-10, to demonstrate how they have led to the insights and identified policy options and implementation pathways. It will include maps to be developed that represent variations of FES across forest landscapes. Teams will furthermore develop explanatory models of changes in FES along the forest transition trajectory, disaggregated by forest user, which are expected to become a decision making tools, as the models will anticipate possible future trends of FES.

In addition to its expected value for enhancing FES outcomes of future efforts to accelerate forest transition, the project will provide key new insights in how FES evolve when forest rehabilitation leads to forest transition, and how demand for FES changes through forest transition. The project will have important applied significance as it will allow a critical assessment of forest rehabilitation outcomes and it will make it possible to enhance FES outcomes of current and future forest rehabilitation efforts. Hence in addition to producing outcomes that are relevant for the targeted economic (China and Laos), we will also adequately analyze project results, learn lessons that can be applied to other locations, and adequately disseminate those. This requires separate focused efforts to derived these lessons and communicate those adequately to interested parties. In addition to academic journal papers, the project will produce a project website, but also outputs targeted at various forest users, support groups, or forest and environmental decision makers in general.

Guided by the above methodology, the project will include following outputs and activities:

Output 1. **The knowledge broker has been identified; relevant project partners have been identified, and a consensus has been agreed between project teams and partners on the problem definition**

Activity 1.1 Coordinate with APFNet to complete relevant steps that allow implementation of the project, and simultaneously and subsequently with the China and Laos project teams. This activity is mainly to be undertaken by the lead project coordinator

Activity 1.2 Following completion of activity 1.1 the first full project team meeting will be held, either in Kyoto, or elsewhere depending on agreement between project partners. This activity is to be organized by the project coordinator and the leaders of project teams. At this meeting, steps 1-3 of the PLP will be discussed, including general issues related to the project.

Activity 1.3 Following the completion of activities 1.1 and 1.2, drafts will be prepared for PLP steps 1, 2 and 3.

Output 2. **Problems have been classified; Strategy and specific plans of knowledge scoping of problem at hand have been completed**

Activity 2.1 Meetings are to be held in China and Laos to discuss in relevant detail PLP step 4. These meetings will also once again include an introduction to the project, the PLP and the PIF and an evaluation of progress and draft versions of the reports related to PLP steps 1-3. At the same meetings, step 4 of the PLP will be proceeded. This will include coordination on drafting the report for step 4.

Finally, at the meetings, the PLP step 5 will be planned in much detail. Step 5 is the most comprehensive step of the project, and it requires careful planning and coordination.

Activity 2.2 Following the meetings in China and Laos, a report will be prepared of the PLP step 4.

Output 3 **Knowledge of the problems at hand has been scoped, and the knowledge has adequately been analyzed**

Activity 3.1 The first part of implementing PLP step 5 includes a review of relevant sources by the two project teams independently. Essentially this implies consulting all relevant sources that have relevance: academic literature, project reports, reports prepared by government organizations, civil society organizations.

Activity 3.2 Activity 3.2 includes undertaking fieldwork, to obtain information on the needs and provision of FES by four groups (near and distant users, forest administration, civil society organizations and private sector)

Activity 3.3 This activity also implies undertaking field work, to assess the provision of FES from rehabilitated forests through ecological surveys. This relates to onsite evaluation of all FES that are being produced by forests, where forest rehabilitation has happened, or where original forest exists

Activity 3.4 After completion of previous steps, all information is to be analyzed, which requires a collaboration between teams and with participants at the second meetings in China and Laos

Activity 3.5 The last activity under this output is to draft reports on PLP step 5. These reports are to be drafted by economy teams, supported by coordinator

Output 4 **Pathways of Influence Framework applied, Scoping of interventions for following pathways undertaken; comparative advantage assessed; instruments and interventions to be pursued identified; clearly causal logics identified**

Activity 4.1 Under this activity, influences of national and international policy instruments will be assessed, using the PIF. This will be done by consulting existing documentation and interviews with key informants. The project teams will meet in Seoul to work on output 4.

Activity 4.2 The next activity is to develop scoping interventions for following pathways. This activity will require intense collaboration with all project team members. It will require a considerable number of skype meetings

Activity 4.3 In similar fashion, activity 4.3 will assess the prospective policy options, compare them to each other and recommend those most likely to be successful. Again, this activity will be done mostly via skype meetings but also face to face meetings, where possible

Activity 4.4 Under activity 4.4, the instruments and interventions to be pursued will be identified. These relate mostly to instruments and interventions that can actually support policy options identified under 4.2 and 4.3 and that can will together help the identification of prospective implementation pathways. This activity is also likely to be implemented via skype meetings, but also face to face meetings, where possible

Activity 4.5 Activity 4.5 then is the designing of prospective policy implementation pathways

Activity 4.6 The final activity under output 4 is the complete documentation of Output 4, i.e. the documentation of PLP steps 6-10. Country teams are responsible for drafting these reports, but they will be share between each other, and the project coordinator and team leaders will support drafting these reports.

Output 5 **Draft reports shared, revised, and finalized. Discussions on Playbooks held and its outline and content drafted and finalized**

Activity 5.1 Output 5 is the consolidation of output 4 as a prerequisite for the preparation of the final Playbook. The preparations will be started at project meetings in China and Laos where reports on PLP steps 6-10 will be reviewed, revised and completed. At these meetings, feedback will be sought from participants. The Play book will be drafted by project teams and project collaborators

Activity 5.2 After the meetings under activity 5.1. the reports on PLP steps 6-10 will be further revised and finalized

Activity 5.3 Simultaneously, project teams and project coordinators will further develop the Playbook. This will require additional skype meetings and possible additional face to face meetings as will be possible

4. Risks and assumptions

The project major challenge is to organize capable project teams that each can implement the project in their respective economy, complete all the steps of the PLP, and produce a written report on each of the steps, including the Playbook. It will be necessary to engage students who are capable to understand the logic of the protocol, apply it during the project, assist with all activities under the protocol's step and prepare drafts of reports for each of the steps and Playbook, under guidance of de Jong, Liu, and Youn. This challenges will be met by allowing some time to identify student collaborators who are well prepared and to provide sufficient guidance to students who do have the potential to respond to the challenges of this project, but also to the great opportunities it offers.

A next challenges will be to identify forestry participants in each of the two economies and locations where the project will be implemented. They will be invited to attend project working meetings and to respond to follow-up interviews. They will also be asked to provide feedback on drafts of reports that document the implementation of the relevant steps of the protocol. This may imply some commitment from participants. This challenge wil be met by relying on the good contacts of the three senior members of the project teams, and the recognition of their home organizations.

A third challenge of the project is to find receptiveness among forest policy decision makers or those engaging in forestry developments for the findings of the project. This challenge can best be met by trying to engage as early and as well as possible with policy decision makers, forestry administrators or their advisors in the project, civil society organizations and forest user groups, which will be a strategy that the project will pursue from its start.

5. Human Resources and capacity assessment

The project will be supported by three senior professionals, six Ph.D. students and national participants. The overall project coordinator will be Dr. Wil de Jong. Two co-coordinators of the project include: Dr. Jinlong Liu, Professor at Renmin University and Director of its Centre for Forestry and Natural Resource Policy Study, Dr. Yeo-Chang Youn, Professor at the Department of Forest Sciences, College of Agriculture and Life Sciences, Seoul National University.

Prof Wil de Jong has worked on tropical forestry for 34 years, and in tropical Asia, Latin America and Africa. Before becoming professor in Japan he worked as scientist and senior scientist with CIFOR, based in Indonesia. His specialities include tropical forest governance and policy, forests and climate, forest transition, forest sector legality, and smallholder and community forestry. His over 140 peer reviewed publications includes multiple peer reviewed journal articles, edited special issues of academic journals and monographs and edited books.

Prof Jinlong Liu is currently Professor of School of Agricultural Economics and Rural Development and the Director of the Centre for Forest, Environmental and Resources Policy Study of Renmin University of China. He is Coordinator of the IUFRO Working Group on Traditional Forest Knowledge in tropical and subtropical regions. His fields of expertise include: participatory forest management, environmental policy, nature resource management and poverty reduction.

Prof Yeo-Chang Youn has been working in forestry for 36 years. He is now professor at Seoul National University, responsible for teaching and research on ecological economics and forest policy. He previously worked as a researcher for the Korea Forest Research Institute and University of Washington (Seattle, USA). He is also the coordinator of IUFRO's Working Party for Traditional Forest Knowledge. He is an expert of the Intergovernmental Platform on Biodiversity and Ecosystem Services, and a Coordinating Lead Author for Asia and Pacific Regional Assessments of Biodiversity and Ecosystem services.

Collaborating institutions in the project are: **Kyoto University's Center for Southeast Asia Studies**, **Renmin University's Centre for Forest, Environmental and Resources Policy Study**; **Seoul National University's Forestry Department** and **Souphanouvong University Luang Prabang**, **Laos**. These collaborating institutions have a long track record of implementing and administrating international collaborative projects. Their administration will support the project implementation with adequate managing of funds, which will be their major contribution, as the implementation responsibility will lie with the project coordinators and their teams. In addition to the five organizations the project will seek intensive collaboration with organizations that have under their responsibility forest landscape management and administration. Partners that will be approached include: Ministries of forestry or environment in the three economies; contacts will first be made with national level offices, but subsequently collaboration will be sought with offices in the regions where the project will be implemented. Civil society organizations that have interests in environmental protection or management, including nature conservation organizations will also be invited to collaborate. The teams will also seek collaboration with private sector actors. The project will collaborate with local and distant resident forest users, if possible through organizations that represent local residents in areas where the project will be implemented. If collaborations is sought directly with local or distant resident forest users, these will be approached at the most appropriate way possible, following all required or correct pathways (.i.e. first approaching regional and local authorities, before approaching residents directly).

The various participants listed above will be involved as intensive as possible with the implementation of the project. A comprehensive number of organizations will be visited early on during the project, at which time the project will be explained and the organization's interest in the project and degree of collaboration will be assessed. All the organizations who will be visited, and others to be defined, will be invited to the two workshops that will be held in each of the three locations where the project will be implemented.

The project envisions to hold a total of seven meetings in which all the team members from the two economies are expected to participate. Four of these meetings will be held in the locations where the project will be implemented. The three other meetings will be held in Kyoto, Seoul and Beijing, and will largely be for the purpose of planning and coordination, and for the purpose of analysis and completion of outputs.

In addition to meetings, the collaborators will engage in frequent skype meetings, which will involve all project teams' members. Project team members are located in places where there is adequate internet available, and online meetings can be undertaken. Project collaborators will, furthermore engage intensively via email exchange.

The main responsible for an effective communication and coordination will be prof. de Jong, who will have the task of overall coordination, assisted by prof. Liu and prof. Youn.

6. Budget, funding resources and financial management

The funding requested from APFNet will support a discrete number of project costs. The collaborating organizations will fully cover the personnel costs and office expenses of de Jong, Liu, and Youn and contribute meeting room facilities for domestic meetings. The organizations will also provide in kind contribution for administrating the project budgets.

APFNet contributions will be used to provide support to students. The latter will include covering student stipends for a three year period, depending also when appropriate candidates can be identified, and from when students can be enrolled at universities.

Travel and related expenses are for project team members to attend a total of seven project meetings. It is important for team members to meet frequently to assure in depth discussion and assure a well-coordinated progress of the project. Other participants will only join in national meetings, i.e. in principal they will join two meetings during the course of the project. Where possible, and to the extent APFNet permits, use will be made of low cost carriers to travel between Japan, China, Laos and South Korea. Allowances will only cover the duration of project members attending meetings, and only to cover real expenses. The rates of allowances will be decided between the project coordinator and team coordinator. Some budget will be reserved for other expenses related to the meetings, like for venues, travel costs and a small allowance for participants who will attend domestic meetings, secretarial assistance and additional miscellaneous expenses.

Expenses are allocated to implement field work under step 5 of the PLP. The field expenses will include: traveling to the locations, expenses for stay at the research locations, hiring of local assistance, some equipment necessary for the field work, and expenses required to undertake meetings with groups who benefit from forest ecosystem services.

The project's senior members have been preparing several project proposals for work that complements the project proposed here.

7. Monitoring and evaluation

In close collaboration with APFNet, the project will implement the required progress monitoring, and implement an internal and external project evaluation. The PLP through its 10 steps and Play Book, provides an appropriate framework that also can be used for monitoring progress and project evaluation. At any moment during the project, it will be possible to review progress of the 10 steps of the protocol, and assess whether if progress is consistent with the planning. An evaluation of progress will be made at the conclusion of every project meeting.

In addition to the 10 steps of the protocol, a few additional indicators define project progress. These indicators relate to project organizational matters. They include, among others: Agreements on collaboration and financial arrangements, and financial transactions between APFNet, Kyoto University and the other partners in the project; engagement of students; holding of the seven national and non-national meetings, including an assessment of each of the meetings; implementation of fieldwork. In line with the APFNet project management guideline, the project team will prepare annual progress report and submit those to APFNet by the end of each project year.

Evaluation of the project will need to rely on assessing the implementation of the PLP, and of achieving the objectives and goals of the project. The evaluation of the PLP will need to rely on reviewing that each of the two economy teams have completed the writing of a comprehensive text on each of the 10 steps and of the Playbook, but also that these texts meet required standards of writing quality and relevant and appropriate content. As for the latter, it will be necessary to provide external evaluators with sufficient background on the PLP, to be able to implement the evaluation. Finally, an evaluation should also include an assessment of

project achievements versus its stated goals and objectives. This assessment should also address the question whether if the PLP was an appropriate tool to achieve the goals and objectives of the project. Consequently, a mid-term evaluation and a terminal evaluation will be organized by APFNet to evaluate the project progresses and outcomes.

The project goal is enhancing FES when an economy is restoring its forest cover, and the project can only be declared successful if and when FES enhancement has occurred. While the latter is a long term process that will continue after the project proposed here has been completed, we will monitor uptake of project outputs, and uptake of suggestions and recommendations. One activity of the project includes developing scenarios of FES provision, depending on policy and intervention choices that will be made to foster forest cover, which can be used also to monitor actual impact of the project, its outputs and dissemination.

8. Dissemination and sustainability

We will disseminate information on the project, and findings and outcomes using multiple pathways. The project will produce one single report for each of the two participating economies. The reports will contain chapter long reports on each of steps 1-10. In addition the two economies teams will prepare a Playbook, which represents the final product of the PLP. The Playbook will contain the major new insights that have been produced during the process of going through steps 1-10, and the major policy recommendations or recommendations for actions. The Playbook will also contain a summary of the entire process of its preparation, such that it will adequately support the insights and recommendations.

The individual reports will be made available online, on websites of the organizations of the participating partners, including APFNet. A number of copies of the two economy reports and of the two Playbooks will be printed to make them available to multiple interested parties. The printed reports will be made available to the project participants, i.e. collaborating organizations in the project. They will also be made available to senior officials in organizations that have major responsibilities or institutional goals that link with the project goals and objectives. The latter include forest agencies, forest policy decision makers or their entourage, civil society organizations with interest in forest restoration, conservation or forest dependent people and livelihoods.

The presentation of the completion of the final reports in printed versions, and of the Playbooks, will take place with a seminar in which one or more of the project team members will explain the project goals and objectives, the approach, including the PLP and framework of influence analysis, and the major outcomes. The most relevant document to be presented is the Playbook, and its major findings, especially the policy and intervention options that have been identified through the policy learning process.

In addition to the two reports and two Playbooks, project members will produce a number of more focussed outputs that are intended for wider dissemination, and that will be based on the analysis of project results to extract lessons learned that can be applied to other locations, and adequately disseminate those. The latter will include short information notes that can be put on websites, or sent out to list servers, like for instance the IISD Forest Policy Info Mailing List. The same short notes will also be made available for dissemination in print.

Project team members will produce academic outputs, including academic journal papers. The students who participate in the project, a total of six, will pursue the completion of the requirements of a Ph.D. degree. The latter will include the writing of journal papers.

Project team members will identify opportunities at international events to present the project and it outcomes. This will, for instance happen at the next IUFRO World Congress in Curitiba Brazil, the next World Forestry Congress, or other similar international events.

The outcomes of the project, in addition to the above, will include a gained experience among project participants related to forest transition, and how the latter influences FES outcomes. In addition to the identification of specific policy and intervention options, the project teams will strive to convey the relevance and value of the FES concept, and share information on debates international initiatives related to ES, with project participants. Project team members will to the extent possible deliver lectures to students or other interested audiences in the locations where the project will be implemented.

Annex A: Project sites map and relevant information

Project locations

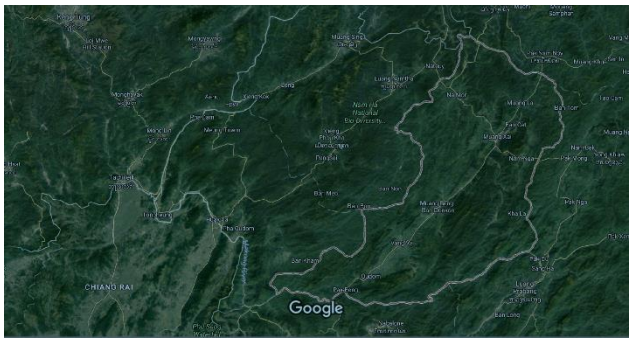
The project will be implemented in two economies: China and Laos. Prospective project locations have been identified, however with the caveat that final decision on where activities will be undertaken will be decided during implementation. The detailed description of project activities, especially those related to PLP step 5 consider a methodological approach on how the selection of project locations will take place. Here a general overview of project regions where project locations are planned to be identified.

China

The location to be selected in China is Fujian province. In the province two possible locations are considered: Changting county and Yongan county. Fujian is coastal semi-tropical province still fairly well covered with forests. It has a range of forest types, from tropical forests to temperate climatic forests types. The province has an intensive commercial forest sector and it has experienced important forest rehabilitation efforts. The two counties possibly selected for the project are about 3000 km^2 in total area, and contain both areas of natural forests and important areas of rehabilitated forests. Renmin University has considerable experience in working in Fujian province, which will provide a head start when implementing the project.

Laos

The project will chose locations in northern Laos, in or near Udomxay province. The locations will include Bui Hui Pi National Biodiversity Conservation Area and Namha Biodiversity Conservation Area, and locations of rehabilitated forests in between. Northern Laos is a hilly region covered with a mixed vegetation of pockets of natural forest in remote difficult accessible regions, natural forest in protected areas, swidden fallow secondary forests, and lately increasing areas of rubber and teak forests often related to smallholder agriculture. The project will select a number of locations where forest users are located near rehabilitated forests, natural forests, but also in landscapes that are dominated with rubber and teak plantations. Forest users however, will be located directly adjacent to selected locations, in regional economic hubs, and all the way to Luang Prabang.



Annex B: Project logical framework

Items	Intervention logic	Objectively verifiable indicators of achievement[5]	Sources of information and means of verification[6]	Assumptions[7]
Goal(s)	Enhance the provision of FES, under the process of forest transition	FES provide in forest landscapes that has experienced forest transition, and compared to a comparable or theoretical baseline	A comprehensive assessment of FES in at least one forest landscape that has experienced forest transition	Target users of PLP report and the Playbook adopt the project outputs and implement identified policy and intervention options
Objectives	Recovery of FES during the process of forest transition are characterized in selected regions in China and Laos	Results of field work to be implemented under step 5, analysis of its result	Report on step 5 of the PLP report	Field work successfully implemented; research methods are adequate
	Demand and actual benefits derived from FES by multiple user groups related to the process of forest transition are characterized	Results of field work to be implemented under step 5, analysis of its result	Report on step 5 of the PLP report	Different user groups have typical and distinguishable demands for FES. User groups respond positively to requests for cooperation
	Forest rehabilitation practices, and forest and land policies are causally linked to FES provision under forest transition	Analysis of national and international policy instruments using the pathway of influence framework	Report on step 6 of the PLP report	Rehabilitation practices, and forest and land use policies do have impacts on FES and the influences can be recognized
	Knowledge models and policy decision making tools are developed, which represent FES recovery under forest transition and possible future trends in FES recovery as a function of forest rehabilitation interventions, forest policies and wider land use policies	Knowledge models and policy decision making tools have been developed	Three Playbooks to be developed as part of the PLP report	Causal linkages between policies, rehabilitation practices and FES provision can be generalized and alternative options for the latter can be hypothesized
Output 1	Knowledge broker, problem and relevant participants for co-generating insights identified	Project teams in three economies well established. Agreements between three project teams and coordinating organization signed. First workshop held PLP steps 1-3 completed	Signed agreements between coordinating agency and project teams Summary of first workshop Written reports on PLP step 1-3	All parties commit to the project and take adequate steps to prepare for its initiation

Annex B: Project logical framework

Activity 1.1	Coordination with APFNet with China and Laos project teams To be lead project coordinator	Established agreements between APFNet and Kyoto University and between Kyoto University and project participants	Signed agreements (MOUs)	Host institutions in Japan, China and Laos can accommodate the project and agree to establishing agreements
Activity 1.2	First full project team meeting in Kyoto Organized by project coordinator and leaders of project teams Discussions on PLP steps 1-3	Completed project meeting	Written summary of project meeting	Kyoto meeting can be organized and attend by participants
Activity 1.3	Draft PLP steps 1-3 report	Collaborations well established Draft reports PLP steps 1-3 completed	Written draft reports PLP steps 1-3	Project teams and partners can agree on a shared definition of the problem Successful implementation of first project meeting China and Laos project teams complete reports on PLP steps 1-3
Output 2	Problems have been classified and knowledge of the Problems at hand has been scoped	Project meetings in three economies held Introduction to PLP provided Discussions held on PLP steps 1-3 with invited participants Draft report for PLP step 4 Agreed upon plan for PLP step 5	Written summaries on China and Laos meetings Revisions of draft reports PLP steps 1-3 Written report PLP step 4	Participants can respond positively to PLP and PIF Reports PLP steps 1-3 find resonance among participants Concept of classifying problem finds resonance among participants
Activity 2.1	Meetings China and Laos Discussions on PLP step 4 Introduction to project, PLP and PIF and discussions on PLP steps 1-3 Discussions on PLP step 4 Planning for implementation PLP step 5	Completed project meeting PLP PIF introduced and accepted ty meeting participants PLP steps 1-3 reviewed and if appropriate revised Discussions on PLP step 4 completed Agreed upon outline for implementation PLP step 5	Written summary of project meeting, including - Feedback on PLP and PIF - Feedback on reports PLP step 1-3 - Input into PLP step 4 - Draft plan for PLP step 5	Project plans and its underlying ideas find interest among possible participants Participants find it of interest to collaborate and provide feedback

Annex B: Project logical framework

Activity 2.2	Drafting written report PLP step 4	Written report PLP step 4 completed	Written report PLP step 4	Project teams adopt notion of problem classification and are able to elaborate relate narrative for written report PLP step 4
Output 3	The scoped knowledge of the problems at hand, has been implemented	Detailed plan of activities to be undertake under step 5 completed Review of relevant sources completed and recorded in separate document Field work completed and recorded in two separate documents, including preliminary analysis	Activity plan step 5 Report on review of sources Two field work reports, containing research questions, research methods, results and preliminary analysis Report on PLP step 5	Different user groups actually rely on rehabilitated forests for provision of FES, and this FES dependency can adequately be revealed
Activity 3.1	Review of relevant sources by three project teams independently	Sources reviewed and linked to identified problem	Report on sources related to policy instruments and forest rehabilitation practices to be included in written report on PLP step 5	Adequate sources can be identified an accessed
Activity 3.2	Fieldwork: Assessing FES need and provision by four groups (near and distant users, forest administration, civil society organizations and private sector)	Results from field work	Report on field work to be included in written report PLP step 5	Fieldwork can implemented successfully Authorization for fieldwork can be obtained Collaboration of forest user groups can be assured
Activity 3.3	Fieldwork: Assessing provision of FES from rehabilitated forests through ecological surveys	Results from field work	Report on field work to be included in written report PLP step 5	Fieldwork can implemented successfully Authorization for fieldwork can be obtained Collaboration of forest user groups can be assured
Activity 3.4	Analysing results activities 5.3 and 5.4, between economy teams and with participants at meeting 2 in China and Laos	Complete analysis of results of fieldwork completed under activities 5.3 and 5.4	Report on analysis of field work results, included in written report PLP step 5	Fieldwork results are of good quality and analysis can be undertaken by project teams

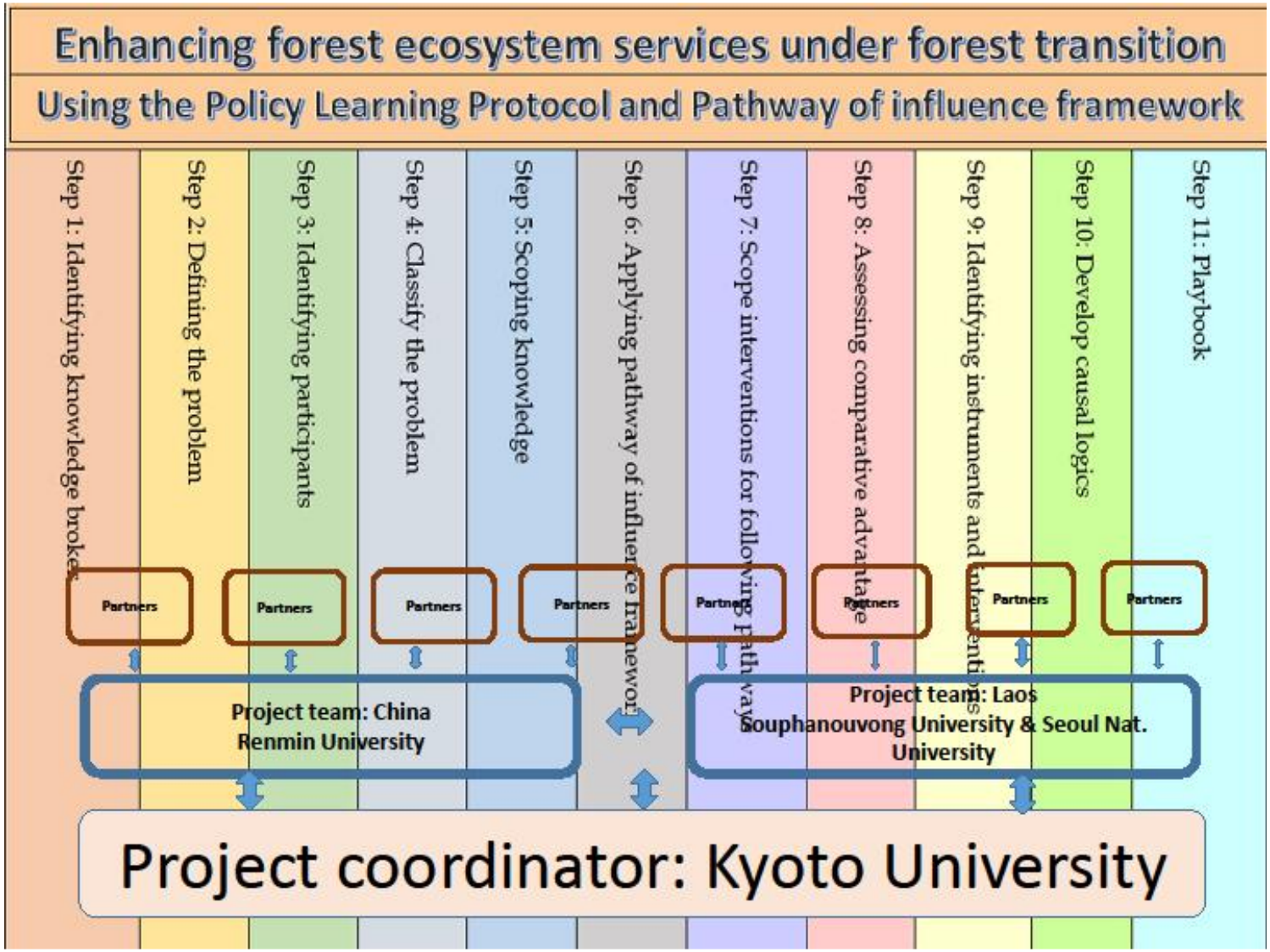
Annex B: Project logical framework

Activity 3.5	Drafting report on PLP step 5: report: Scoping knowledge of the problems at hand Reports to be drafted by economy teams, supported by coordinator	Report completed	Written report on PLP step 5	China and Laos project teams complete reports on PLP step 5
Output 4	- Pathways of Influence FrameworkPIF applied, Scoping of interventions for following pathways undertaken; comparative advantage assessed; instruments and interventions to be pursued identified; clearly causal logics identified	- Completed project meeting - Analysis of national and international policies and practices using the pathway of influence framework completed - Their comparative advantages assessed - Options to enhance FES outcomes identified - Hypothetical pathways through which FES provision can be enhanced identified	Report on project meeting in Seoul Written reports on PLP steps 6-10	Policy instruments and forest rehabilitation practices can be distinguished, and their influences can be recognized Comparative advantage for enhancing FES outcomes can be distinguished This knowledge can be used for strategic development to enhance FES in forest rehabilitation and thus during forest transition
Activity 4.1	Analysis of influences of national and international policy instruments using pathway of influence framework (documentation reviews and interviews with key informants)	Completed analysis of influences of policy instruments and forest rehabilitation practices using the pathway of influence framework	Written report on step 6	Policy instruments and rehabilitation practices can be subjected to pathway of influence analysis
Activity 4.2	Develop scoping interventions for following pathways Mostly via skype meetings	Documentation of scoping of interventions for following pathways	Written report on PLP step 7	Interventions can be identified that can assessed to follow pathways of influence
Activity 4.3	Develop assessment of comparative advantages Mostly via skype meetings	Documentation of assessing comparative advantages	Written report PLP step 8	Interventions can be identified that can be assessed to follow pathways of influence
Activity 4.4	Instruments and interventions to be pursued identified Mostly via skype meetings	Documentation of identification of instruments and interventions to be pursued	Written report on PLP step 9	Interventions can be identified that can assessed to follow pathways of influence

Annex B: Project logical framework

Activity 4.5	Clearly identified causal logics developed Mostly via skype meetings	Documentation of clearly identified causal logics	Written report PLP step 10	Interventions can be identified that can assessed to follow pathways of influence
Activity 4.6	Drafting reports PLP steps 6-10	Reports completed	Written draft reports on PLP step 6-10	Activities 4.1-4.6 implemented successfully China and Laos project teams complete reports on PLP step 10
Output 5	Draft reports PLP Steps 6-10 shared, revised, and finalized. Discussions on Playbooks held and its outline and content drafted and finalized	Completed project meetings Input into draft reports on PLP steps 6-10 Outline for the Playbook	Written summary of project meeting Revisions of written reports PLP steps 6-10 Draft Playbook	Meetings can be organized and attend by participants Participants respond positively to draft reports, and can provide input Playbook concept fids resonance
Activity 5.1	Meetings in China and Laos - Presentations of reports steps 6-10 - Receiving and adopting feedback from participants - Collaborative drafting of Playbook outline	Completed project meeting Feedback received on PLP steps 6-10 Relevant input received for Playbook and outline of the Playbook completed	Written summary of project meeting Revisions of reports PLP steps 6-10 Playbook for China and Laos completed	Meetings can be organized and attend by participants
Activity 5.2	Revisions of reports PLP steps 6-10	Completed project meeting	Written summary of project meeting	Adequate and relevant input on draft reports PLP steps 6-10 received
Activity 5.3	Producing the Playbook Initiated at second China and Laos meetings, to be completed by project teams Supported by skype meetings	Playbook completed for China and Laos	Electronic and printed versions of playbooks	All previous outputs produced as planned and a comprehensive synthesis can be made according to the planned design

Annex C: Project organizational chart



Annex D: Overall Project Work Plan with budget by activity

	Responsible Party	Project year 1												Cost (USD)		Project year 2												Cost (USD)		Total (USD)
		1	2	3	4	5	6	7	8	9	10	11	12	APFNet Grant	Counterpart Contribution	1	2	3	4	5	6	7	8	9	10	11	12	APFNet Grant	Counterpart Contribution	
Output 1	Project coordinator and China and Laos project teams																													
Activity 1.1	Project coordinator													4,000	9,000															13,000
Activity 1.2	Coordinator & teams													22,600	13,000															35,600
Activity 1.3	Project teams													11,200	9,000															20,200
Subtotal														37,800	31,000															68,800
Output 2	China, Laos project teams, project coordinator, China, Laos partners																													
Activity 2.1	Teams & partners													12,200	9,000															21,200
Activity 2.2	Teams & coordinator													40,250	17,000															57,250
Subtotal														52,450	26,000															78,450
Output 3	Project teams & partners, with support of coordinator																													
Activity 3.1	Project teams (students)													15,400	6,000													4,000	4,000	29,400
Activity 3.2	Project teams (students)																											39,400	8,000	47,400
Activity 3.3	Project teams (students																											39,400	8,000	47,400
Activity 3.4	Project teams & coordinator																											19,400	9,000	28,400
Activity 3.5	Project teams & coordinator																											19,400	11,000	30,400
Subtotal														19,400	10,000													117,600	36,000	183,000

Annex D: Overall Project Work Plan with budget by activity

	Responsible party	Project year 3												Cost (USD)																
		1	2	3	4	5	6	7	8	9	10	11	12	**APFNet Grant**	**Counterpart contribution**															
Output 4	Project teams and coordinator																													
Activity 4.1	Project teams coordinator													13,700	8,000															21,700
Activity 4.2	Project teams coordinator													6,800	4,000															10,800
Activity 4.3	Project teams coordinator													6,800	4,000															10,800
Activity 4.4	Project teams coordinator													6,800	4,000															10,800
Activity 4.5	Project teams coordinator													6,800	4,000															10,800
Activity 4.6	Project teams coordinator													5,800	5,000															10,800
Subtotal														46,700	29,000															75,700
Output 5	Project teams, partners, coordinator																													
Activity 5.1	Project teams, partners, coordinator													8,600	7,000															15,600
Activity 5.2	Project teams, partners, coordinator													40,250	11,000															51,250
Activity 5.3	Project teams coordinator													12,200	7,000															19,200
Subtotal														61,050	25,000															86,050
														APFNet	Partners															Total budget
Totals														335,000	157,000															492,000

Annex E: Project budget by category

Costs category	Rate (USD)	Unit	Project Year 1		Project Year 2		Project Year 3		TOTAL (USD)
			APFNet Grant	Counterpart Contribution	APFNet Grant	Counterpart Contribution	APFNet Grant	Counterpart Contribution	
Project staff cost[1]									
Stipends Ph.D. students China 3 x 36 months (China or other nationals)	500	36 month	18,000		24,000		12,000		54,000
Stipends Ph.D. students located at SNU 3 x 36 months (Laos, Korea, Myanmar nationals)	700	36 month	25,200		33,600		16,800		75,600
Salary costs de Jong, Youn, Liu				30,000		18,000		24,000	72,000
Subtotal project staff cost			43,200	24,000	43,200	24,000	43,200	24,000	201,600
Consultancy cost[2]	250	60 day	3,000		4,000		8,000		15,000
Subtotal consultancy cost			3,000		4,000		8,000		15,000
Travel and related cost[3]									
Flights Seoul – Osaka	400	4 ticket	1,600						1,600
Flights Beijing – Osaka	600	4 ticket	2,400						2,400
Visa and travel to airport (domestic and Osaka –Kyoto)	200	8 person	1,600						1,600
International allowances Kyoto 5 days each	120	8 pax x5 days	4,800						4,800
Flight Osaka Beijing	600	1 ticket	600				600		1,200
Flights Seoul Beijing	400	4 ticket	1,600				1,600		3,200
Travel Beijing to China project location	250	9 person	2,250				2,250		4,500
International allowances Beijing 5 days each	100	5x5 days	2,500				2,500		5,000
Visa and travel to airport (domestic and airport Beijing)	200	5 person	1,000				1,000		2,000
International allowances 5 days each	50	5x5 days	1,250				1,250		2,500

Annex E: Project budget by category

Fight Osaka Luang Prabang	600	1 ticket	600				600		1,200
Flights Beijng Luang Prabang	900	4 ticket	3,600				3,600		7,200
Flights Seoul Luang Prabang	1000	4 ticket	4,000				4,000		8,000
Travel Luang Prabang to Laos project location	500	Rented vehicle	500				500		1,000
International allowances Laos 5 days each	50	9x5 days	2,250				2,250		4,500
Visa and travel to airport (domestic)	100	9 persons	900				900		1,800
Flight Osaka Seoul	400	1 ticket					400		400
Flights Beijng Seoul	400	4 ticket					1,600		1,600
Relocation to airport	100	7 person					700		700
International allowances Seoul 5 days each	120	7 persons					4,200		4,200
Subtotal			31,450				27,950		59,400
Meeting and training cost[4]									
Kyoto meeting miscellaneous expenses			1,000	4,000					5,000
China meeting. Inviting participants			2,500				2,500		5,000
China meeting miscellaneous expenses			1,000	2,000			1,000	2,000	6,000
Laos meeting, inviting participants			2,500				2,500		5,000
Laos meeting, miscellaneous expenses			1,000	2,000			1,000	2,000	6,000
Seoul meeting miscellaneous expenses							1,000	4,000	5,000
Subtotal			8,000	8,000			8,000	8,000	32,000
Field activities cost[5]									
Field work China					15,000				15,000
Field work Laos					25,000				25,000
Subtotal					40,000				40,000
Publication &Dissemination cost[6]									
Project website				5,000		2,000		2,000	9,000

Annex E: Project budget by category

Editing PLP reports and Playbook							5,000		5,000
Print ship PLP report and Playbook							10,000		10,000
Office Operation cost[7]									
Office and office equipment			10,000	10,000		10,000		10,000	40,000
Project administration				10,000		10,000		10,000	30,000
Procurement [8]									
Monitoring, evaluation, audit cost[9]			5,000		5,000		5,000		15,000
Midterm evaluation (retained by APFNet)					10,000				10,000
Final evaluation (retained by APFNet)							10,000		10,000
Miscellaneous[10]			5,000		5,000		5,000		15,000
Subtotal			20,000	25,000	20,000	22,000	35,000	22,000	144,0000
TOTAL APFNET CONTRIBUTION			105,650		121,600		107,750		335,000
TOTAL PARTNERS				63,000		40,000		54,000	157,000
TOTAL, TOTAL			105,650	63,000	121,600	40,000	107,750	54,000	492,000

Annex F: Communication strategy template

Communication strategy

Objectives	Target audience	Key message	Communication tools	
			Products/Tools	**Media/Channels/Activities**
Project objective				
Recovery of FES and demand under forest transition characterized and causally linked to forest rehabilitation practices and policies Models and policy decision making tools to enhance use of policy instruments and rehabilitation practices shared with target audiences	Forest policy makers, administrators, forest civil society organizations, forest user groups, academics	FES under forest rehabilitation can and should be enhanced Policy instruments and forest rehabilitation practices can causally be linked to FES outcomes and enhanced for improved FES provision Models and decision making tools are available for that purpose	Playbooks for China and Laos Project briefs, including for popular media Presentations at national and international meetings Journal papers	Printed products to be disseminated Same products available online List servers Project website with dissemination documents and models and tools Presentations at events available online
Communication objectives				
1.Awareness of opportunities to enhance FES under forest transition	Forest policy makers, administrators, forest civil society organizations, forest user groups, academics	FES under forest rehabilitation can and should be enhanced	Project briefs including for popular media Presentations Journal papers	Online list servers Public media Academic journals Project website
2.Opportunities of use of PLP and PIF to undertake policy learning	Forest policy makers, administrators, forest civil society organizations academics	Policy instruments and forest rehabilitation practices can causally be linked to FES outcomes and enhanced for improved FES provision	Playbook Presentations Journal papers	Playbook printed and online Journal papers
3.Recognition of how policy instruments and forest rehabilitation practices through different influence pathways can result in enhanced FES under forest transition	Forest policy makers, administrators, forest civil society organizations, forest user groups, academics	Models and decision making tools are available for that purpose	Playbook, which include models and tools	Playbook Academic journals Project website

Annex F: Communication strategy template

Work plan and budget for communication strategy

Activities (what)	When	Who	Estimated budget
Development and production of communication tools/products	Since year one of the project (when reports on PLP steps are being prepared)	Project teams, coordinators, partners	About 25% of project costs
Pretesting of tools/products	During the process of developing the Playbook	Project teams, coordinator, partners	About 25% of project costs
Production of tools/products	When Playbook is being prepared and shared	Project teams, coordinator, partners	Total about 10% of project costs, includes USD 15,000 of funds for printing and shipping Playbook
Dissemination of tools/products, for national and international audiences	Since year two of the project, and continuing when project will be finished	Project team, coordinator partners	USD 9,000 for development and maintaining of website USD 5,000 of funds for printing and shipping playbook Also included staff costs, etcetera
Monitoring and evaluation	Self-monitoring during the project and afterwards During mid-term and final project evaluation	Project team, coordinator, evaluation team	Some amount of the evaluation costs (total USD 20,000)

Monitoring and evaluation of communication strategy

Communication objectives	Success indicators	What information to collect	How to collect information	Who will collect the information	When to collect information
1. Recovery of FES and demand under forest transition characterized and causally linked to forest rehabilitation practices and policies	1. Dissemination vehicles have been read, or noticed by target audiences	When references being made to dissemination vehicles	By scrutinizing media in which reference will be made the vehicles, i.e. public media, but more important in discussions among target audiences	Project teams and coordinator, but mostly project members should be instructed to communicate when such references are noticed	Since about the second year of the project
	2.Reference is being made to project outputs: PLP report, Play book, project briefs, presentations, papers	This relates more to formal references, i.e. citations in reports, or in other academic papers	Observing references when they appear	Project teams and coordinators	This is likely only to happen later in the project, i.e. as of year 3
2. Models and policy	1.Models and tools are	Downloads of Playbook	Count number of	Project teams and	This will happen only

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decision making tools to enhance use of policy instruments and rehabilitation practices shared with target audiences	consulted	References made to models and tools	downloads of Playbook Count references to models and tools in reports and academic literature	coordinator	whey Playbooks have been finalized and made available to target audiences
	2.Models and tools are actually used by target audiences	Reports of use of models and tools in official documents or academic literature	Assess report on actual use of models and tools, in reports and academic literature	Project teams and coordinator	This will happen only when Playbooks have been finalized and made available to target audiences