

# INTERNATIONAL TROPICAL TIMBER ORGANIZATION (ITTO)

## THEMATIC PROGRAMME ON COMMUNITY FOREST MANAGEMENT AND ENTERPRISE (CFME)

### PROJECT DOCUMENT

TITLE:	INCREASING ACCESS TO MARKETS AND CAPITAL FOR TEAK PLANTATION SMALLHOLDERS IN THAILAND
SERIAL NUMBER:	CFM-PPD 005/10 Rev.1 (M)
SUBMITTED BY:	GOVERNMENT OF THAILAND
ORIGINAL LANGUAGE:	ENGLISH

#### SUMMARY:

In Thailand, smallholder tree plantations are playing an increasingly important role in the supply of tropical timber, and have the potential to contribute significantly to income generation in rural households. The proposed pre -project will seek to improve smallholder access to markets both by addressing barriers in government legislation and increasing smallholder effectiveness in the initial stages of the value chain by improved primary processing (e.g. felling, skidding to roadside and grading and potentially squaring of logs on site).

Due to immediate cash needs, plantations are very often harvested prematurely, before trees reach optimum diameters and value per volume. In a number of cases, for example in Lao PDR, smallholders have successfully used their standing trees as collateral in microfinance schemes, by using forest certification (FSC) documentation of their legal rights over plantation management. This project will actively learn from good practice examples in the region, and develop a strategy for applying lessons learned in the context of smallholders in Thailand.

This approach will also lead to extended rotation times thereby increasing carbon storage in forestry production systems. This in turn will also provide access to additional financial resources for smallholders.

#### The outputs of the pre-project are as follows:

- Output 1: Identification of constraints in relation to rotation time and share in value chains for sawn plantation teak timber in smallholder teak production
- Output 2: Understanding of the opportunities, risks and legal constraints of using standing trees as collateral in loans from commercial banks and micro finance institutions
- Output 3: Identification of good practice in the region (Lao PDR and Indonesia) on certified teak timber value chains focusing on smallholders' share and increased access to capital
- Output 4: Development of a full ITTO project to act on the findings from the pre-project

EXECUTING AGENCY: Forest Resource Management Office 3 (Lampang),  
ROYAL FOREST DEPARTMENT OF THAILAND

DURATION: 6 MONTHS

BUDGET AND PROPOSED SOURCES OF FINANCE:	Source	Contribution in US\$
	<b>ITTO</b>	31,104.00
	Govt. of Thailand/RECOFTC (staff time)	22,800.00
	<b>TOTAL</b>	<b>53,904.00</b>

## List of Abbreviations and Acronyms

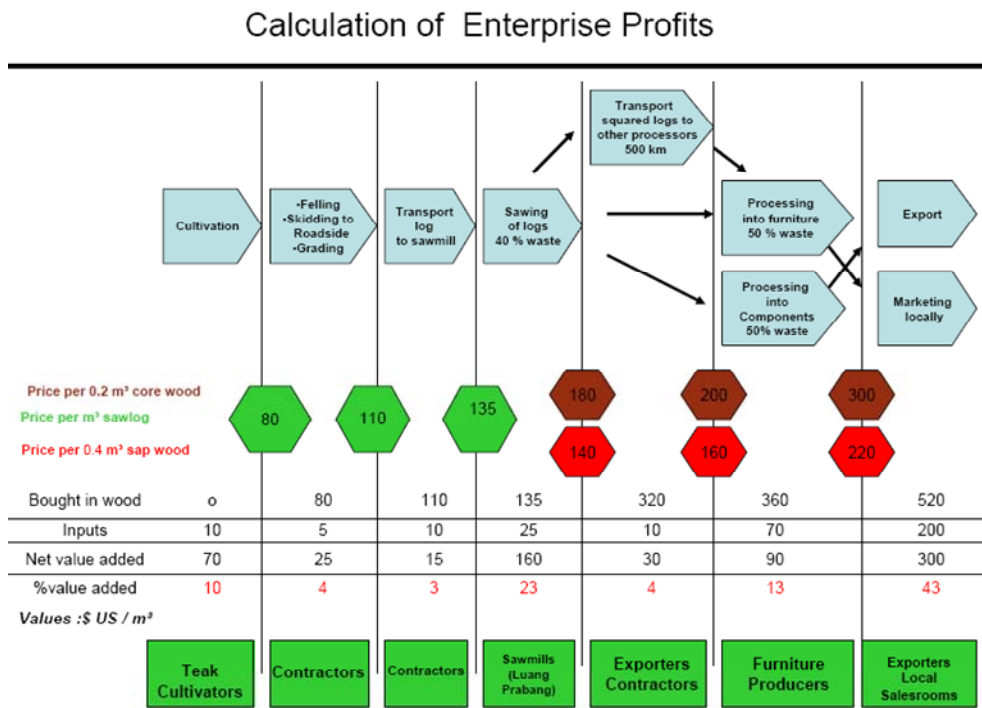
CFE	Community forestry enterprise
FIO	Forest Industry Organization
FSC	Forest Stewardship Council
MSU	Michigan State University
RECOFTC	Regional Community Forestry Training Center for Asia and the Pacific (RECOFTC - Centre for People and Forests)
RFD	Royal Forest Department of Thailand
TFT	Tropical Forest Trust

# Part 1: Pre-Project Context

## 1.1 Origin and justification

Smallholder tree plantations play an ever increasing role in the supply of tropical timber. In many cases this economic activity is contributing significantly to income generation in rural households. Many countries have developed conclusive policies and regulations to **establish** such plantations involving in many cases various forms of government subsidy schemes. However, there are still considerable barriers in government legislation to create a supportive environment for enabling smallholder's easy access to markets. Constraints include:

**Fig.1.1 a: Value chain analysis for teak plantation timber in Lao PDR**



(1) In many cases middlemen play a decision-making role in the grading, valuing, harvesting and transporting smallholder plantation timber. Often this limits the share going to smallholders, who are the primary producer in value creation. Most regional studies indicate this share to be typically below 15% (see Fig.1.1 a) of the value chain up to the sawn timber stage. This is partly due to the fact that the relationship between silvicultural treatment e.g. thinning, rotation length and economic valuation of the plantations is poorly understood by smallholders.

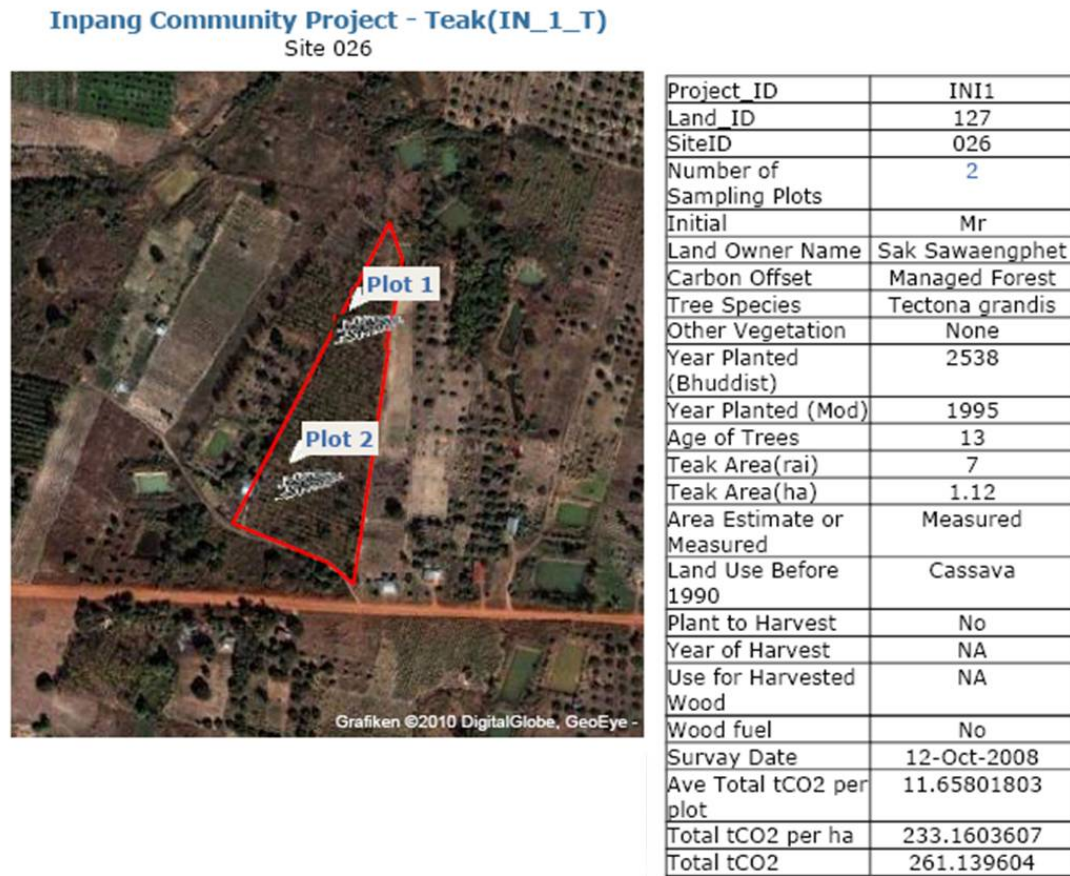
(2) Smallholder plantations are too often harvested prematurely before the timber reaches optimum diameters, and subsequently optimal value per volume. Several studies in the region (Indonesia, Lao PDR) identify immediate cash needs of the smallholder producer as the dominant factor in deciding on rotation times overriding long term economic benefits.

(3) A number of examples have emerged in the region where Forest Certification (FSC) has successfully identified and addressed the above constraints. An increase in the smallholder's share of the value chain has been achieved by engaging them in the first stages of primary processing e.g. felling, skidding to roadside and grading of logs and local processing of plantation logs into squared scants have been identified as major steps in this direction.

(4) Proof of documentation of **legal rights over plantation management** has made it possible for standing trees to be used as collateral in microfinance schemes, even without actual ownership of land. The ability of such schemes to ‘unlock’ the capital tied up in standing trees may effectively reduce early harvesting of plantations to meet immediate cash needs.

(5) Pilot projects in the region (Fig 1.1.b) have highlighted extended rotation times) as a major strategy for **increasing carbon storage in forestry production systems**, both plantations and natural forests. This enables access to carbon markets, and increases the potential for financial benefits for forest owners.

**Fig. 1.1 b: Carbon accounting in the Inpang network (MSU 2009)**



## 1.2 Relevance

### 1.2.1 Conformity with ITTO’s objective and priorities

The pre-project supports one of the **overarching objectives** of the ITTA, 2006, as listed in the ITTO Action Plan, ‘to promote sustainable management of tropical timber-producing forests’. It directly addresses **the following ITTO’s objectives as expressed in Article 1 of the ITTA, 2006**; (c) contributing to sustainable development and poverty alleviation, and (g) developing mechanisms for the provision of new and additional financial resource, at the same time promoting adequacy and predictability of necessary funding and expertise.

### Conformity with TP objectives and scope

The pre-project conforms to the TP's general objective 'to contribute to poverty reduction in tropical forest areas by: (i) strengthening the ability of forest communities and smallholders to sustainably manage their tropical forest resources; and (ii) assisting CFEs to add value to and market the products and services obtained from these resources'. It conforms to one of the specific objectives of the TP 'to strengthen community level capacity in SFM and adding value to the forest resource'.

This pre-project is also aligned with the outcomes of the **TP** and in particular:

**Outcome 2:** Improved access by CFE to capital and technology and strengthened marketing capacities by:

- (1) improving knowledge and technical skills to participate in first stages of timber value chains
- (2) documenting value of standing timber and carbon storage through improved inventories
- (3) developing a concept to use standing trees as microfinance collateral.

### **1.2.2 Relevance to the submitting country's policies**

Thailand has a total of more than 80,000 ha of teak plantations, of which more than half have been established in smallholder schemes. Many studies have pointed to the growing importance of this resource in ensuring the supply base of a strong Teakwood industry sector during the last two decades. An effective logging ban in natural forests has been in place in the country since 1990, which has dramatically reduced the availability of local raw material supplies.

Teak from smallholder plantations has so far only covered the lower quality segments of the industry sector, mainly due to the immaturity of plantations and - as mentioned above - the harvesting of smaller diameters, typically below 30 cm, at early rotation ages. Thus, there is an urgent need to increase smallholder understanding and motivation for improved silvicultural practices, as well as providing a financial incentive scheme for prolonging the rotation times of teak plantations.

**With an attempt to promote forest plantation within the country, the Royal Forest Department has established Master Plan for Economical Viable Tree Planting in 2006. This ten-year plan aims to promote economical reforestation that will be conducted by tripartite: RFD, commercial company, and smallholders. This is mainly a response to the fact that further public reforestation that used to be on the hands of governments sector will be declined and gradually hand over to private sector. In particular, the Government's target for 10 years will be 2.4 million ha or approximately 240,000 ha per annum.**

## Part 2: Justification of Pre-Project

### 2.1 Objectives

The main objective of this pre-project is to improve both the quality and quantity of the supply base for high value timber plantations, at the same time increasing income and **contributing to poverty reduction** through smallholder forestry in rural areas of Thailand. This is aligned with ITTO's objectives of promoting the sustainable management of tropical timber through sustainable development and poverty alleviation.

#### 2.1.1 Development objectives

- (1) Smallholder plantation owners have an increased share of plantation timber value chains, and improved access to capital via specific microfinance schemes.
- (2) **Smallholder plantation owners' obtain additional financial benefits through access to carbon markets as** carbon stocks in plantations are increased through prolonged rotation times, against a baseline of premature harvesting.

#### 2.1.2 Specific objectives

The pre-project will assess options to:

- (1) Increase smallholder's share in plantation teak value chains by improving harvesting, grading and pre-processing stages
- (2) Improve the documentation of plantation management, timber valuation and carbon accounting in smallholder teak plantations
- (3) Link with established microfinance schemes to use standing trees as collateral in order to prevent premature harvesting of young teak plantations.

### 2.2 Preliminary problem identification

In the context of smallholder teak plantations the following problems have been identified:

- (1) Smallholders have limited understanding of the incremental value of plantation teak in relation to age, diameter and commercial volume. The effects of thinning regimes on diameter growth are poorly understood. Too often, plantations are not thinned.
- (2) Smallholders have limited technical knowledge and capability to participate effectively in the initial stages of harvesting of plantation timber. Trees are very often sold standing on the stump, thus value additions of harvesting and grading are not realized.
- (3) There are legal, **regulatory and institutional** obstacles to increasing smallholder shares in the value chain, through lengthy procedures and restrictions imposed on felling and road transport of timber.
- (4) In Thailand there are no existing mechanisms in place to directly link the value of standing trees to microfinance. Access to capital for smallholder forestry is not yet formalized.

## Part 3: Pre-Project Interventions

### 3.1 and 3.2 Outputs and Activities, inputs and unit costs

Output/ Activities	Description	Quantity	Unit	Unit Cost USD
<b>Output 1</b>	<b>Identification of constraints in relation to rotation time and share in value chains for sawn plantation teak timber in smallholder teak production</b>			
<b>A1.1</b>	Conduct pilot smallholder survey in 3 three provinces (Lampang, Phrae, and Nan) of the Northern teak production region focusing on access to markets <b>(including industry partnerships)</b> and capital			
<b>A1.2</b>	Conduct pilot survey of teak timber industry perception (FIO) and future role in improving in the supply base in three production regions			
	1 x Senior staff	1	Person Month	6,000
	Junior staff (Survey Team)	6	Person Month	1,200
	Travel costs and transport			4,500
<b>Output 2</b>	<b>Understanding of the opportunities, risks and legal, <u>regulatory and institutional</u> constraints of using standing trees as collateral in loans from commercial banks and micro finance institutions</b>			
<b>A2.1</b>	Analyze economic performance of teak plantations at ages between 10 and 30 years in order to assess viability of tree collaterals			
<b>A2.2</b>	Carry out a pilot survey with respective institutions to Identify perception on trees as collaterals			
<b>A2.3</b>	Identify legal constraints in consultation with government institutions (RFD,FIO)and other stakeholders			
	1 x Senior staff	1	Person Month	6,000
	Junior staff	2	Person Month	1,200
<b>Output 3</b>	<b>Identification of good practice in the region (Lao PDR and Indonesia) on certified teak timber value chains focusing on smallholders' share and increased access to capital</b>			
<b>A3.1</b>	Document findings and best practices of TFT experiences in the teak smallholder schemes in Lao PDR (Luang Prabang) and Indonesia (Sulawesi and Java)			
<b>A3.2</b>	Carry out literature review on experiences ( South America) on best practices and technologies in view of access to timber markets and capital (including overseas investment schemes in teak plantations)			
<b>A3.3</b>	Assess potential links with the Carbon in Agro-forestry Landscape Project of the Asia Pacific Network for Climate Change Research Inpang pilot sites, Isarn			
	1 x Senior Staff	2.5	Person Month	6,000
<b>Output 4</b>	<b>Development of a full ITTO project to act on the findings from the pre-project</b>			
<b>A4.1</b>	Document findings from above outputs and distribute to stakeholders for comments			
<b>A4.2</b>	Establish links between government agencies Industry timber organization and private sector teak timber industry for project implementation			
<b>A4.3</b>	Conduct a project planning workshop with all relevant stakeholders to develop a project proposal			
<b>A4.4</b>	Finalize proposal and submit to ITTO			
	1 x Senior staff	1.5	Person Month	6,000
	1 x Workshop, 15 participants	2	Event Day	750
	<b>ITTO Programme Support (8%)</b>			<b>2304</b>

### 3.3 Approaches and methods

The pre-project will apply the following approaches and methods:

1. **Internet and literature survey** on documented good practices for improving the smallholder role in the initial processing stages of the value chain, and accessing microfinance by using trees as collateral. **There are a few published cases on the use of standing trees as bank collaterals within microfinance schemes involving small holder plantations<sup>1</sup>. In addition a first case, in the Asia-Pacific region, has emerged on this topic in TFT small holder teak plantations project in Lao PDR. Best practice recommendations will be drawn from these projects. Inferring from TFU Issues 14/1 2004 and 15/4 2005 the literature review will focus on the following subjects:**
  - ⇒ **Regional and national price trends of teak**
  - ⇒ **Analysis on teak investment companies claims of optimistic value predictions (focusing on Central and South America)**
  - ⇒ **Role of teak plantations under the clean development mechanism (CDM)**
  - ⇒ **Ability of small scale growers to manage teak woodlots sustainably**
  - ⇒ **Partnerships between small scale growers and industry level partners**
  - ⇒ **Relation of small holder teak to ‘new age’ teak products based on small size timber**
  - ⇒ **Assessing the application of improved clonal teak growing stock under the conditions of Thailand**
  - ⇒ **Intercropping options in early stages of teak plantation development as potential livelihood and poverty reduction strategy**
2. **Pilot field surveys** in 3 production regions of Thailand to investigate the perceptions of smallholders and industry of the teak plantation timber value chain.
3. **Interviews with respective micro finance and banking institutions** in Thailand to assess of the potential for using trees as collateral.
4. One **planning workshop** to secure stakeholder participation, and to prepare a final project planning document for a fully-fledged project.

### 3.4 Work plan

Outputs/Activities	Responsible party	Month					
		1	2	3	4	5	6
<b>Output 1</b> : Constraints are identified in smallholder teak production in relation to rotation time and share in value chains for plantation teak timber							
A1.1 Pilot Smallholder Survey	RECOFTC RFD						

<sup>1</sup> Willoughby. S et al 2004, *Cattle and Trees: Unlocking the Wealth of Central America’s Rural Poor*. INCAE Costa Rica

Cerdas. P 2005. *Mechanisms for Creating Liquidity in a Rural Setting: A Description of Existing Banking and Financial Regulations in Guatemala, Nicaragua, and El Salvador for Using Cattle and Trees as Loan Collateral*



A1.2 Pilot Survey of teak industry perception	RECOFTC RFD						
<b>Output 2</b> : Perception of micro finance institutions and commercial banks and legal framework on microfinance loans and tree collaterals is identified							
A2.1 Pilot survey with respective institutions to identify perception on trees as collaterals	RECOFTC RFD						
<b>A.2.2</b> Identify legal constraints	RFD						
<b>Output 3:</b> Best practices described in the region (Lao PDR, Indonesia) on value chain participation and increased access to capital							
<b>A.3.1</b> Document findings and best practices of TFT experiences	RECOFTC						
<b>A.3.2.</b> Literature review on experiences on best practices	RECOFTC						
<b>A.3.3</b> Assess potential links with the Carbon in agro-forestry landscape project INPANG Network	RECOFTC MSU						
<b>Output 4:</b> Proposal for a full ITTO project which will address findings from pre-project							
<b>A.4.1</b> Document findings	RECOFTC						
<b>A.4.2</b> Links to other government industry partners	RFD						
<b>A.4.3</b> Conduct a project planning workshop with all relevant stakeholders to develop a project proposal	RFD RECOFTC						
<b>A.4.4</b> Finalize proposal and submit to ITTO	RFD						

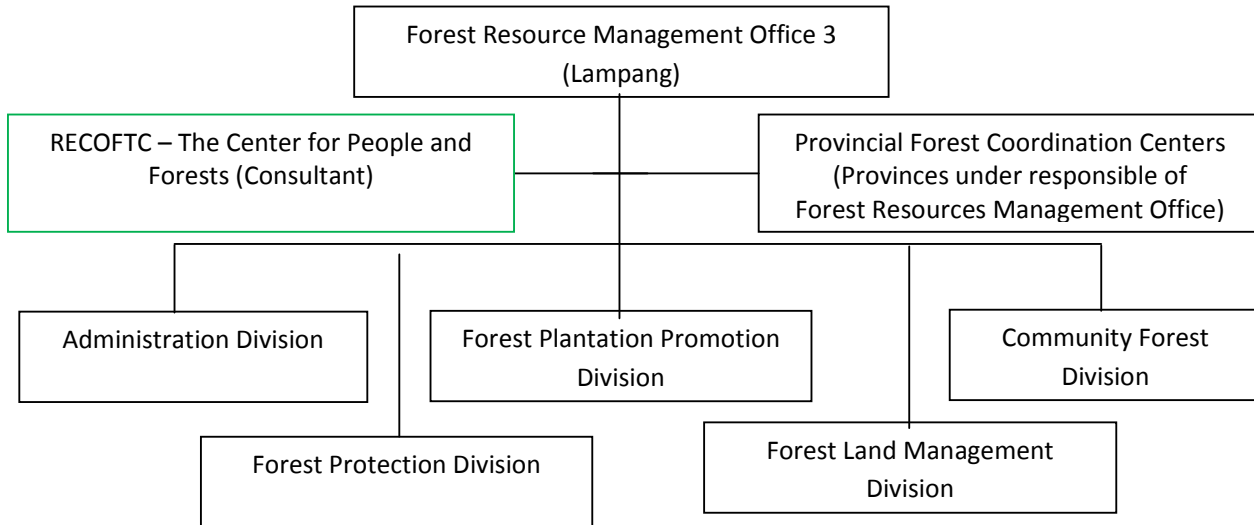
### 3.5 Budget

Item	Unit	Unit cost (USD)	Qty	Subtotals ITTO Contribution	Contribution By RECOFT/RFD
<b>1. Project Personnel</b>					
1.1 Coordinator	Person Month	6,000	3		18,000
1.2 Senior Economist	Person Month	6,000	3	18,000	
1.3 Junior staff survey team	Person Month	1,200	4	4,800	
1.4 Assist. Program Officer	Person Month	1,200	4		4,800
<b>2. Travel</b>				4,500	
<b>3. Planning workshop (15 participants)</b>				1,500	
ITTO Programme Support (8%)				2,304	
<b>Total</b>				<b>31,104</b>	<b>22,800</b>

## Part 4: Implementation Arrangements

### 4.1 Executing agency and organizational structure

RFD has nominated the Forest Resource Management Office 2 (Lampang) as the executing agency for this pre-project. RECOFTC will serve as a consultant to the project and provide technical expertise. RECOFTC will carry out the necessary literature review, field surveys and initial scientific analyses for the preparation of the project proposal. Details of the organizations are presented in Annex 1. The organizational structure of the executing agency is show below:



### 4.2 Pre-project management

Final responsibility for the pre project will rest with the RFD. It will entrust Forest Resource Management Office 3 with the management of the pre-project phase. All reporting to ITTO will be approved by RFD.

RFD/Forest Resource Management Office 3 will administer the budget and reimburse RECOFTC, the consulting agency, against submission of bills/receipts.

### 4.3 Monitoring and reporting

A final monitoring report in compliance of the requirements specified by ITTO for the pre-project will be prepared at the end of month 6 and submitted together with the project proposal for a future ITTO project. **The monitoring report and the project proposal will incorporate relevant insights from the Tropical Forest Update (TFU) article on study of teak plantations (refer to Section 3.3)**

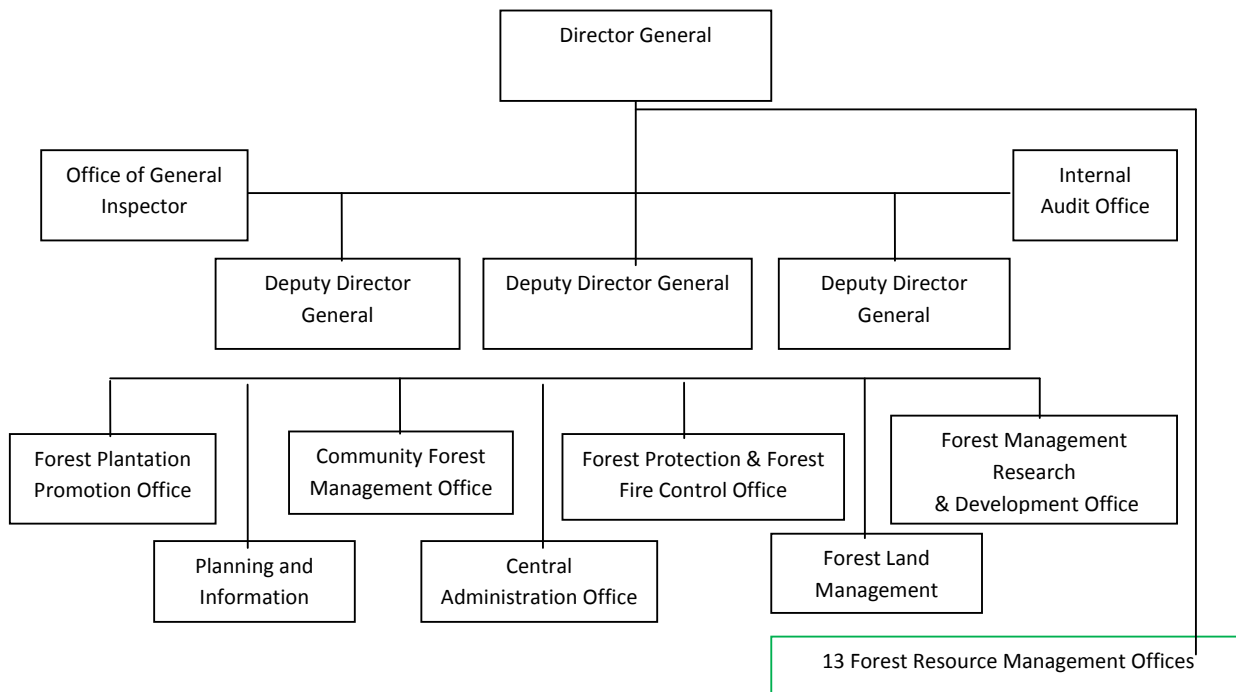
# Annex

## Annex 1: Profile of the executing agency and consultant

### A) Executing Agency: Forest Resource Management Office 3 (Lampang)

At regional level, Forest Resource Management Office 3 (Lampang) has been established and carried out assigned programs, including work together with local institutions to provide technical support. It also monitors and reviews programs under implementation. The manpower of the Forest Resource Management Office 3 (Lampang) consists in 9 forest Officers and 46 technical employees.

The Forest Resource Management Office 3 (Lampang) is one of 13 Forest Resources Management Offices under the RFD. Please see organizational chart of the RFD on the next page.



### B) Consultant: RECOFTC

#### 1. Background

Regional Community Forestry Training Center for Asia and the Pacific (RECOFTC – The Center for People and Forests) holds a unique and important place in the world of forestry as the only International Organization specializing in capacity building for community forestry and devolved forest management. RECOFTC engages in strategic networks and effective partnerships with governments, international and UN agencies, non-government organizations, research and educational institutes, civil society, the private sector and local people in the Asia-Pacific region and beyond. With over 20 years of international experience and a dynamic approach to capacity building for both policy and practice – involving research and analysis, demonstration sites, training products, and effective communication – RECOFTC delivers innovative solutions for people and forests.

*Our mission is to enhance the necessary capacities at all levels to enable local people to manage Asia-Pacific's forest resources for optimum social, economic and environmental benefits.*

The organization's geographical coverage encompasses all countries in the Asia-Pacific region, but prioritizes six focal countries: Cambodia, China, Indonesia, Lao PDR, Thailand, and Vietnam. RECOFTC has its headquarters in Bangkok (Thailand) and country program offices in Phnom Penh (Cambodia), Jakarta (Indonesia), and Hanoi (Vietnam).

RECOFTC was successfully established in March 1987, with support from FAO's Asia-Pacific Regional Office, combined with funding from the Government of Switzerland (through the Asian Development Bank) and Kasetsart University (Thailand), RECOFTC first operated as a Thai national institute providing training on community forestry. During 1990-1999, the Center served as a nodal institution for Asia for the global Forests, Trees and People Program supported by FAO and Sida. In 2000, RECOFTC gained international organization status and has since then expanded its work throughout the region.

### **Guiding principles**

RECOFTC's work is guided by the need for **clear and strong rights, good governance, and fair benefits** for the 450 million forest-dependent people in the Asia-Pacific region.

**Clear and strong rights** are essential if local people, especially the most poor and vulnerable, are to actively engage in and benefit from forest management. RECOFTC works on strengthening local people's rights to access, use and own forests through tenure, policy, and market reforms.

**Good governance** is essential for the development and implementation of 'community friendly' national forest policies, programs, and regulatory frameworks. RECOFTC promotes the rule of law, transparency, accountability, and the meaningful participation of local people in decision-making processes.

**A fair share of benefits** to local people is essential for forestry to help reduce poverty and motivate active participation in forest governance and management. RECOFTC aims to increase and diversify sustainable income generation opportunities from forest management, and to ensure benefits are shared equitably.

### **Fields of expertise**

RECOFTC's four thematic program areas help realize community forestry's potential:

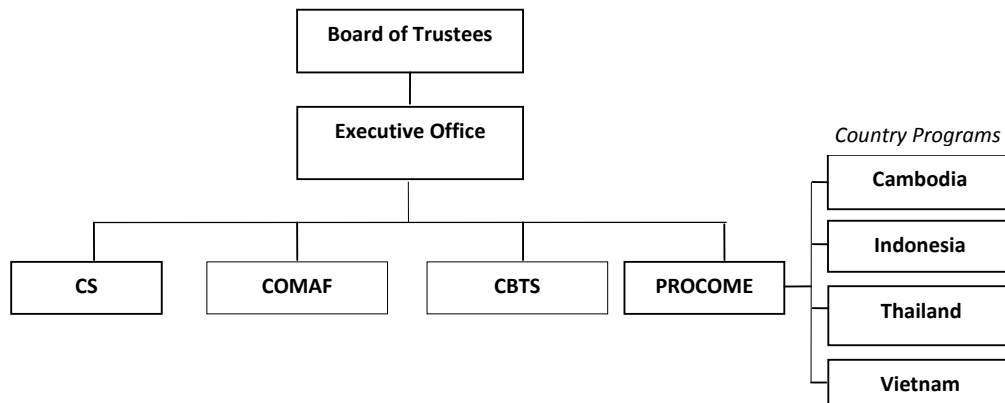
**Expanding community forestry:** This over-arching program focuses on making community forestry a reality on the ground. Through our frontline country programs, RECOFTC works directly with local communities, national and local NGOs, and all levels of government to set up community forestry initiatives. By demonstrating good practice from RECOFTC-supported sites, key lessons are shared nationally and internationally to accelerate the scaling up of community forestry on the ground.

**People, forests, and climate change:** Forests are a natural weapon against climate change, and in this region local people hold the key to forests fulfilling their climate mitigation potential. Community forestry is also a key means of strengthening local livelihoods, and increasing their resilience to the impacts of climate change. This cutting-edge program advocates for pro-poor climate change strategies and policies; working to ensure that all forestry stakeholders, especially those at the 'grassroots', understand and are prepared to meet the social, economic and financial challenges ahead.

**Transforming forest conflict:** *"Marginalized communities - powerful commercial plantation developers - corruption - unclear land tenure laws."* Stories of local people involved in conflicts over forest resources regularly fill the pages of the region's newspapers, vividly exposing the scale of damaging impacts. By better understanding conflict dynamics, this program promotes lasting solutions at both the policy and community levels, to help mitigate and prevent the destructive impacts of conflict.

**Securing local livelihoods:** For millions of local people in the Asia-Pacific region, forests provide access to vital resources that can help lift local people above the poverty line. RECOFTC's livelihoods program seeks to realize the full potential of forest-related resources by analyzing the opportunities and constraints of local people's access to market-based forest activities. Ensuring that all local people have the skills and knowledge to engage meaningfully in opportunities such as Payment for Environmental Services, carbon markets, certification schemes, and non-timber enterprises, is essential for the long-term sustainability of community forestry.

## Organizational structure



The responsibilities of the programs and support services:

- The **Board of Trustees (BOT)** is responsible for overall program direction and governance of RECOFTC.
- **Executive Office (EO)** is responsible for building strategic partnerships and relationships with key national government and non-government organizations, regional and international institutions, the private sector, and funding agencies; it is also charged with the overall management of RECOFTC.
- **Corporate and Support Services (CS)** is responsible for RECOFTC's finance, administration, human resources, and facilities.
- **Communications, Marketing, and Fundraising (COMAF)** is responsible for the management and communication of all information and outputs within RECOFTC and with the outside world. COMAF plays a crucial role in knowledge management and ensures that knowledge is widely disseminated via strategic communication tools and approaches for achieving greater impacts at national and regional levels. In addition, it is responsible for the documentation center, marketing, fundraising and the management information system.
- **Capacity Building and Technical Services (CBTS)** is responsible for capacity building, analytical and technical services related work, including assessing capacities at national and regional levels, designing, developing and delivering capacity-building products and services relevant to RECOFTC's clients which includes both internal demands (i.e. from RECOFTC's own program/projects) and external requests from clients, partners and collaborators, as well as analyzing and synthesizing key issues facing community forestry in RECOFTC's focal countries and the wider Asia-Pacific Region.
- **Program Coordination, Monitoring and Evaluation (PROCOME)** oversees the overall coordination and strengthening of synergies among the aforementioned three programs. It is responsible for monitoring and reporting on the planning and execution of different program activities and for assessing RECOFTC's overall impact and progress towards achieving its goal and objective. Furthermore, it is responsible for country program development and implementation.

## 2. Infrastructure

RECOFTC HQ in Bangkok is equipped with five training facility rooms and dormitories that can support trainings and planning workshops for the project participants. We also have a strong network and relationship with local communities who can provide field site offices during field surveys and research.

## 3. Budget

With increased investment in fundraising, RECOFTC aims to increase and diversify its funding sources. RECOFTC's capacity building products and services contribute considerably to internal income generation. The other significant sources of RECOFTC internally generated income are the contribution from projects through staff time and administrative overheads, and the income from the sale of dormitory rooms and training facilities. In order to reach its Program goal, RECOFTC will use its core funds strategically to leverage project grants from bilateral and multilateral funding agencies as well as from the private sector. Wherever possible, RECOFTC partners with other like-minded and complementary organizations.

<b>Core Program *</b>	<b>2008-2009</b>	<b>2007-2008</b>	<b>2006-2007</b>
<b>Revenue</b>	<b>2,545,064</b>	<b>2,246,305</b>	<b>1,920,463</b>
<b>Expenses</b>	<b>2,244,251</b>	<b>2,039,560</b>	<b>1,797,150</b>
<b>Surplus</b>	<b>300,813</b>	<b>206,745</b>	<b>123,313</b>
<b>Project Revenue</b>	<b>1,686,784</b>	<b>1,157,016</b>	<b>930,444</b>

\*Includes RECOFTC own income

## 4. Personnel

RECOFTC currently has an organization size of approximately 70 highly qualified and experienced staff from 14 countries.

<b>Type of Personnel</b>	<b>Number</b>
Personnel with postgraduate degrees	24
Personnel with graduate degrees	18
Administrative personnel	16

## **Annex 2: Curricula vitae of key personnel involved in the project**

The RFD has nominated Mr. Sumai Maiman, Director of Community Forestry Management Division, Forest Resource Management office 3 (Lampang) as officer in charge of regional pre-project coordinator. The 55 year old officer got his BSc in Forest Management from Faculty of Forestry, Kasetsart University of Thailand and received MSc in Watershed Management from the same institution in 1982. He has accumulated his experience in international programs such as FAO and ITTO for many years within northeastern region of the country since the year he graduated from Kasetsart University.

Two key RECOFTC staff have been proposed by the consulting organization to be responsible in providing consulting services to the Forest Resource Management Offices:

- 1) Mr. Bernhard Mohns, Senior Program Officer – Regional and Country Analysis and Support
- 2) Mr. Madankumar Janakiraman, Assistant Program Officer - Regional and Country Analysis and Support



**MOHNS Bernhard**

**Family Name** MOHNS  
**First Names** Bernhard  
**Date of Birth** 26/04/1954  
**Nationality** German  
**Civil Status** Married

**Education**

Date	Degrees or Diplomas	Institution
1980 – 1981	MSc Earth Resources (Watershed Management) Thesis: Agroforestry Systems for Soil Conservation in the Central Hills of Nepal	Colorado State University, Ft. Collins, USA
1975 - 1980	MSc Forestry (Diplom – Forstwirt) Thesis: Community Forestry in the Central Hills of Nepal	Albert-Ludwigs-University, Freiburg, Germany

Languages	Speaking	Reading	Writing
German	mother tongue	mother tongue	mother tongue
English	excellent	excellent	excellent
French	fair	good	fair
Nepali	fair	none	none
Sinhalese	fair	none	none
Lao Thai	fair	none	none

**Membership of Professional Bodies:**

- Deutscher Forstverein e.V. (German Forestry Association)
- Multipurpose Tree Species – Research Network, Faculty of Agriculture, University of Peradeniya, Sri Lanka

Other skills:  
*ex. software, etc.*

All MS word applications, Excel, SPSS,

**Present Position:**

Senior programme officer RECOFTC Centre for People and Forests  
 Bangkok

Years within the firm :

6 months

Since : Nov 2009

**Key Qualifications :**

Over 25 years experience in various aspects of community forestry, rural development and watershed management projects

**Specific Country Experience**

Country	Date : from (month/year) to (month/year)
Thailand (regional)	Since November 2009
Nepal	November 2008- November 2009
Laos	July 2004 – October 2008
Sri Lanka	May 2006
Sri Lanka / Rome	March 2004 and April 2005
Sri Lanka	August 1987 – December 2003
Thailand	October 1988- January 1999
Nepal	August 1982 – August 1985

## Professional Experience Record:

Date	<b>November 2009 - present</b>
Country	Thailand
Financier	German Ministry For Economic Cooperation / CIM
Company	RECOFTC Regional Community Forestry Training Centre, Bangkok
Position	Senior Program Officer Regional and Country Analysis
Main tasks	<ul style="list-style-type: none"> <li>• Development of community forest indicator bank according to SFM criteria catalogue for regional application</li> <li>• Development of Governance indices in the community forestry context</li> <li>• Analysis of forest certification and value chain approaches on community level (Case study on TFT/ ACIAR Smallholder teak project Luang Prabang</li> <li>• Analysis of effects of payments for environmental services (REDD) on community level</li> <li>• Microfinance linkages to community forestry ( Case study with Luang Prabang Credit and Savings Union, ADB Micro finance project : loans on standing Teak trees)</li> </ul>

Date	<b>March –June 2009</b>
Country	Laos
Financier	German Ministry For Economic Cooperation / GTZ
Company	GOPA Consult Bad Homburg
Position	Consultant on plantation teak value chain and wood processing cluster Vientiane

Date	<b>November 2008 – November</b>
Country	Nepal
Financier	German Ministry of Economic Cooperation / CIM
Company	Alternative Energy Promotion Centre (AEPCC) , Kathmandu
Position	CDM Advisor ( Forest related renewable energy)
Main tasks	<p>Development of forest based CDM projects:</p> <ul style="list-style-type: none"> <li>• Biogas</li> <li>• Fuel wood efficient stoves</li> <li>• Yatropha oil plantations</li> </ul> <p>CDM baseline analysis: forest cover, supply scenarios</p>

Date	<b>July 2004 – October 2008</b>
Country	Laos
Financier	German Ministry of Economic Cooperation / GTZ
Company	IP Institut für Projektplanung GmbH
Position	Team leader of the Integrated Rural Development Project of Mountainous Areas in Northern Laos – Bokeo Province
Main tasks	<p>Overall project planning and management:</p> <ul style="list-style-type: none"> <li>• food security and rural development with marginalised upland minority groups</li> <li>• off-farm employment generation under value chain concepts (NTFP, Bamboo, sericulture, paper mulberry</li> <li>• participatory land use and community forestry planning</li> <li>• titling and land use certification of private and community lands</li> <li>• catchment planning for 2 large scale hydropower schemes in Bokeo Province)</li> <li>• introduction of upland contract farming systems</li> <li>• extension of conservation farming systems (contour hedgerows)</li> </ul>

	<ul style="list-style-type: none"> <li>• forest fire control</li> <li>• extraction of bamboo for charcoal, energy and fibre product applications</li> <li>• introduction of rubber (Hevea) based agro-forestry systems</li> <li>• forest based value chains (paper mulberry , teak, eagle wood, )</li> </ul> <p>The project is part of the German-Lao technical cooperation programme "Integrated Rural Development of Mountainous Areas in Northern Laos".</p>
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Date	<b>May 2006</b>
Country	Sri Lanka
Financier	IFAD
Company	IP Institut für Projektplanung GmbH
Position	Team member of the "Appraisal Mission"
Main tasks	Preparation of the GEF proposal on Biodiversity conservation in natural forest remnants for IFAD project smallholder-out-grower estate development project

Date	<b>March 2004 and April 2005</b>
Country	Sri Lanka / Rome
Financier	IFAD
Company	IP Institut für Projektplanung GmbH
Position	Team leader Inception Mission
Main tasks	Inception and preparatory missions for IFAD project smallholder-out-grower estate development project

Date	<b>January 1998 – December 2003</b>
Country	Sri Lanka
Financier	German Ministry of Economic Cooperation
Company	GTZ
Position	Team leader of the German-Sri Lankan Estate Forest & Water Resources Development Project
Main tasks	<ul style="list-style-type: none"> <li>• overall Project planning and management:</li> <li>• support to improve the forest management plans for the plantation sector in cooperation with the inter-ministerial committee on harvesting of timber from privatised plantation companies</li> <li>• training of unemployed youth as part of a conflict prevention strategy in the estate sector</li> <li>• introduction of computerised land use and forest management plans and data processing systems for the plantation sector</li> <li>• introduction of improved tree harvesting systems (cable logging, tractor mounted winches, rubber uprooting systems)</li> <li>• advice on species selection and silviculture for estate conditions</li> <li>• advice on improved harvesting and utilisation of rubber wood as timber</li> <li>• technical support for the setting-up of timber-based industries in the plantation sector (mobile saw milling, stationary saw mills, plywood manufacture)</li> <li>• policy and technical advice to the Ministry of Plantation Industries in all matters related to land use planning, GIS applications and forestry operations</li> <li>• publication of newsletter "Estate Forest &amp; Timber News"</li> <li>• assessment of wood biomass flows in the plantation sector</li> <li>• counterpart training on all issues related to land use planning and forestry in the plantation sector</li> </ul>

Date	<b>August 1992 – December 1997</b>
Country	Sri Lanka
Financier	German Ministry of Economic Cooperation
Company	GTZ
Position	Team leader of the German-Sri Lankan Upper Mahaweli Watershed Management Project
Main tasks	<ul style="list-style-type: none"> <li>• overall project management</li> <li>• introduction of land use planning in tea plantations, NADSA and Mahaweli settlements</li> <li>• introduction and trials of new SALT (Sloping Agricultural Land Technology) tree species</li> <li>• dissemination of SALT strategies and Vetiver grass technologies</li> <li>• modified applications of mechanical gully conservation measures</li> <li>• hydrological and meteorological monitoring of paired catchment study sites with/without conservation measures</li> <li>• regional planning for Uma Oya Catchment ( KFW financed Randenigale and Rantembe Dams) succeeded by to the present ADB Upper Watershed Management Project)</li> <li>• preparation of training materials ( leaflets, video films, handbooks related to watershed management) and large-scale dissemination of information within cooperating agencies</li> <li>• Buffer-zone Management Knuckles Conservation Area (IUCN)</li> <li>• training of personnel on all aspects of land use planning, farming systems and soil conservation</li> <li>• training of village-based committees conservation farming, watershed management and prevention of forest fires</li> </ul>

Date	<b>August 1987 – July 1992</b>
Country	Sri Lanka
Financier	German Ministry of Economic Cooperation
Company	GTZ
Position	Technical advisor for land use planning and soil conservation of the German-Sri Lankan Upper Mahaweli Watershed Management Project
Main tasks	<ul style="list-style-type: none"> <li>• introduction of 1:10000 land use plans for Randenigala and Rantembe catchments</li> <li>• introduction of community-based watershed and on- farm land use planning</li> <li>• incorporation of conservation activities in rural financing schemes (crop subsidies, agricultural loan schemes, out-grower financing schemes)</li> <li>• adaptation of Sloping Agricultural Land Technology (SALT) for Sri Lankan conditions</li> <li>• hydrological monitoring of Kandapola forest catchments after different silvicultural treatment</li> <li>• development of model farming systems representing upcountry land use systems (sericulture, tobacco cultivation, tea cultivation)</li> <li>• setting up a network of nurseries for multipurpose tree species for SALT</li> <li>• training of personnel of government and non-governmental organisations</li> </ul>

Date	<b>September 1985 – April 1987</b>
Country	Germany
Financier	Baden-Württemberg Government
Company	State Forest Service of the Baden-Württemberg
Position	Government internship with the State Forest Service of the Baden-Württemberg forest district of Oberkirch
Main tasks	<ul style="list-style-type: none"> <li>• forest management planning for state forests districts</li> </ul>

	<ul style="list-style-type: none"> <li>• forest harvesting planning</li> <li>• forest inventory and ten-year planning for 800 ha of community forest of Aach, Southern Germany</li> <li>• research on biomass production of chestnut coppice forests</li> </ul>
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Date	<b>August 1982 – August 1985</b>
Country	Nepal
Financier	Australian Government
Company	Australian National University, Canberra Nepal-Australia Forestry Project, Kathmandu, Nepal
Position	Research fellowship with the Australian National University, Canberra and the Nepal-Australia Forestry Project, Kathmandu, Nepal
Main tasks	<ul style="list-style-type: none"> <li>• research on succession processes of broadleaved tree establishment under foster ecosystems of coniferous plantations</li> <li>• research on biomass production and early silvicultural treatments of Pinus roxburghii plantations and early successions of broadleaved species</li> <li>• research on wood biomass and nutrient flows in rural households</li> </ul>

Date	<b>August 1981 – July 1982</b>
Country	Germany
Financier	Baden-Württemberg Government
Company	State Forest Service of the Baden-Württemberg
Position	Government internship with the State Forest Service of the Baden-Württemberg forest district of Hechingen
Main tasks	<ul style="list-style-type: none"> <li>• forest harvesting planning for six community forests within the forest district</li> <li>• planning of forest road construction and harvesting design</li> <li>• research on stabilisation of European Oak after heavy thinning operations</li> </ul>

**Others** (e.g. publications) :

- 1988 Applegate, G.B., Gilmour, D.A., & **Mohns, B.** Biomass and Productivity Estimates for Community Forest Management: A Case Study from the Hills of Nepal – I. Biomass and Productivity of Chir Pine (Pinus roxburghii Sargent) Plantations; Biomass 17: 115 - 136
- 1988 **Mohns, B.**, Applegate, G.B., & Gilmour, D.A. Biomass and Productivity Estimations for Community Forest Management: A Case Study from the Hills of Nepal – II. Dry Matter Production in Mixed Young Stands of Chir Pine (Pinus roxburghii) and Broad-leaved Species; Biomass 17: 165 - 184
- 1988 Applegate, G.B., Gilmour, D.A., & **Mohns, B.** The Use of Biomass Estimations in the Management for Forests for Fuelwood and Fodder Production; Commonwealth . For. Review. 67 (2): 141 - 156
- 1988 **Mohns, B.**, & Brand K. Land use and Erosion Control Planning for Hydro-Project Catchments in the Upcountry of Sri Lanka. Paper presented at the 3rd Regional KFW-GTZ Symposium on Long-Term Power System Planning. Colombo 19 – 24 September 1988
- 1990 Gilmour, D.A.; King, G.C., Applegate, G.B. & **Mohns, B.** Silviculture of Plantation Forest in Central Nepal to Maximise Community Benefits; Forest Ecology and Management, 32: 173-186
- 1990 **Mohns, B.** Landuse mapping as a basis for sustainable soil management in the catchment areas of the Upper Mahaweli Ganga, Sri Lanka.; Flurbereinigung und Kulturtechnik 1990

- 1990 **Mohns, B., & Rajapakse, K. Two Years Experience with MPTS in the Upper Mahaweli Watershed Management Project**; Paper presented at the Regional Workshop on Multipurpose Tree Species, Kandy.
- 1993 **Fleddermann, A., & Mohns, B.** Labour Requirements of a Sericulture-MPTS-Livestock Model Farm; Paper presented at the Fourth Regional Workshop on Multipurpose Tree Species, Kandy
- 1995 **Mohns, B.** Potential for Timber-Based Industries in the Plantation Sector. Paper presented at the Workshop on Soil and Water Resources Management on Tea Estates, p.63 – 69 published by the BNF Project-IFS, Kandy, Sri Lanka.
- 1996 **Mohns, B. & Rajapakse, K.** Potential for increasing biodiversity by improved management of natural regeneration and establishment of mixed tree plantations in Sri Lanka; Paper presented at the Workshop “From reforestation to rehabilitation: increase in biological diversity in reforestation programmes” 3 – 7 February, Cairns, Australia)
- 2000 **Mohns, B.** “Forestry in the Plantation Sector” in Plantation Management in the New Millenium, p. 491-501 published by the National Institute of Plantation Management, Athurugiriya, Sri Lanka
- 2006 **Mohns, B.** Appropriate forest harvesting technologies for community forestry operation in Northern Lao PDR. Paper presented at the FAO conference “ Capturing opportunities in forest harvesting and wood processing for the benefit of the poor, Ho Chi Minh City, 2-6-10.6.2006
- 2007 **Mohns, B.** Biomass production in bamboo dominated secondary forest succession in Northern Lao PDR Paper presented at the National Biodiversity Day Hanoi, 22.-23-5-2007
- 2009 **Mohns, B.** Vientiane Wood Industry Cluster and Teak Plantation Timber Value Chain. Initial findings and recommendations based on consultancy assignments between 03-06/2009 for HRDMA GOPA/GTZ (LAO PDR) June 2009. 92 p.
- 2009 **Mohns, B.** Smallholder Forest Harvesting for Bamboo Charcoal and Teak Plantation Timber Production in Northern Lao PDR Paper submitted for Presentation at the COMMUNITY FORESTRY INTERNATIONAL WORKSHOP 15-18 September 2009, Pokhara, Nepal

## Madankumar Janakiraman

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### Contact Details:

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Phone number- 00 66 2940 5700

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### Personal Details:

Nationality- Indian

Date of Birth- 16 October 1982

Sex- Male

Marital Status- Married

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### Education:

⇒ **MSc Sustainable Resource Management (October 2006- March 2008)**

Munich University of Technology (Technische Universität München), Germany

Overall grade- 1.8 (reversed scale)

Passed with Merit

**Specializations-** Management and Protection of Forest Ecosystems, Resource and Environmental Economics

⇒ **MA Anthropology (July 2003- April 2005)**

University of Madras, Chennai, India

Overall percentage of marks- 63.8

First Class

⇒ **BA Sociology, Religion and Philosophy (June 2000- April 2003)**

The American College, Madurai, India

Overall percentage of marks- 75

First Class with Distinction

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### Work Experience:

#### **ASSISTANT PROGRAM OFFICER (from September 2009) RECOFTC- The Center for People and Forests, Bangkok, Thailand**

Currently working as an Assistant Program Officer in the Regional and Country Analysis and Support (RECAS) unit of Regional Community Forestry Center for Asia and the Pacific (RECOFTC),

#### **General Tasks**

- Support RECOFTC's analytical work in the thematic area of 'People, Forests and Climate Change' and 'Markets and Forest Products'
- Assist in the organization and facilitation of events and support national and regional seminars, workshops and other learning events;
- Support the development of 'Markets and Forest Products' thematic area within RECAS
- Support the development of a REDD Learning Network;
- Support the synthesis of information, the preparation of publications, and dissemination of key documents;
- Work in close collaboration with Capacity Building and Services (CABS) and Communication, Marketing and Fundraising (COMAF) units

### **Specific Tasks**

- Coordinator for preparation of Finland funded FORINFO project (including regional stakeholder analysis and country specific training need analysis, conducting stakeholder workshop, preparation of project document and budgeting)
- Carry out value chain analysis of small holder teak plantations in cooperation with TFT, Luang Prabang, Lao PDR
- Assessment of Teak production models in South East Asia

### **INTERN (January 2009 to mid- July 2009) - German Technical Cooperation/ Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ), Dili/ Baucau, Timor Leste**

GTZ is implementing an Integrated Rural Development Programme in Timor Leste in cooperation with the Ministry of Agriculture, Forestry and Fisheries, Government of Timor Leste. I work in the Eastern region of the country concentrating on the natural resource management component of the programme.

#### **Duties:**

- ⇒ Assist in the monitoring and evaluation of field activities
- ⇒ Facilitate forest resource rehabilitation activities
- ⇒ Conduct participatory village resource use planning pilots by training and leading a local team
- ⇒ Prepare concept notes on tropical forest conservation in Timor Leste and assist the GTZ Country Coordinator in preparing project proposals
- ⇒ Assist in the coordination with other international organizations working in the Eastern region
- ⇒ Assist in economic assessment of sandalwood plantations and its role in rural development
- ⇒ Assist in market analysis for candlenut oil production
- ⇒ Assist in developing materials on resource use planning and resource rehabilitation for community level service providers and village councils

### **INTERN (March 2007 to April 2007) - Gunjur Environmental Protection and Development Group (GEPADG), Gunjur, Gambia (the), West Africa**

GEPADG is a community based NGO implementing the Integrated Coastal and Marine Biodiversity Management project, funded by GEF and co-funded by WWF, in the coastal village of Gunjur. The project aims to conserve the coastal forests and biodiversity along the Atlantic coast of Gambia (the) using participatory and sustainable livelihoods approaches. I worked in the community forestry component of the project.

#### **Duties:**

- ⇒ Assist in the overall implementation of the community forestry scheme in the village
- ⇒ Conduct a stakeholder analysis
- ⇒ Report writing
- ⇒ Prepare sub-grant project proposals

### **RESEARCH EXECUTIVE (January 2006 to August 2006) - Public Systems Practice, Ma Foi Consulting Solutions Ltd, Chennai, India**

Public Systems Practice executes short term livelihoods and other rural development related research projects for government departments and public sector agencies.

#### **Duties:**

- ⇒ Writing concept notes, project proposals and expressions of interest
- ⇒ Client liaison
- ⇒ Research implementation by training and monitoring teams in the field
- ⇒ Data analysis and report writing



**RESEARCH ASSOCIATE (February 2005 to December 2005) - Social and environmental Research Centre, Synovate India Ltd, Chennai, India**

Social and Environmental Research Centre is the development research division of Synovate India Ltd. Synovate is a well reputed international market research firm.

**Duties:**

- ⇒ Assist in writing concept notes, project proposals and expressions of interest
  - ⇒ Conduct field research
  - ⇒ Assist in monitoring project and field activities
  - ⇒ Data analysis and report writing
  - ⇒ Client liaison
- 

**Theses:**

**MSc Sustainable Resource Management:** 'Functioning of Village Forest Councils as part of the Joint Forest Management programme in India- Case Studies in Nedungal and Thondanathal, TamilNadu, India'

**MA Anthropology:** 'Economic Organization among Kotas of Sholur Kokkal, Nilgris, India'

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**Computer Skills:**

MS Office, STELLA, SPSS (basic) and Internet Applications

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**Languages:**

- English (fluent)
  - Tamil (fluent)
  - German (slight)
  - Bahasa Indonesia (slight)
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**Annex 3:  
Tasks and responsibilities of  
key experts provided by the executing agency**

**Coordinator (3 Months)**

- Overall coordination of the preparatory phase
- Liase with stakeholders
- Prepare and conduct planning stakeholder workshop
- Responsibility for preparing final project document

**Assist. Programme officer (4 Months)**

- Analyse survey data
- Carry out joint interviews with microfinance institutions, banks, government and non government stakeholders

## **Annex 4:**

### **Terms of reference of personnel and consultants funded by ITTO**

The following personnel will be recruited in addition to the staff provided by RECOFTC.

#### **Senior Forest Economist (3 Months)**

- Carry out desk research
- Carry out economic feasibility analyses in the context of tree collaterals and microfinance schemes
- Conduct joint interviews with micro finance institutions and banks

#### **Junior staff survey team (4 Months)**

- Carry out field survey on plantation smallholder situation and perceptions
- Summarize and assist in analysis of survey data in cooperation with forest economist

## **Annex 5:**

### **Recommendations of ITTO's expert panel and resulting modifications**

ITTO Thailand focal point has approved the above pre-project proposal that was presented in a discussion on 10 May 2010 at the Royal Forest Department of Thailand headquarters.