

Forest Conservation Project

Makoto INOUE

Project Leader

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Research Fellow, Project Manager

1. Project name

Forest Conservation Project (FC)

2. Project period

April 1, 2001 to March 31, 2004

3. Expenditure in FY2001

78,915,000 JPY (external funds: 3,000,000 JPY)

4. Budget in FY2002

95,260,000 JPY (external funds: 1,000,000 JPY)

5. Objectives

The goal of the forest conservation project is to develop strategies for forest conservation and sustainable forest management. Although many approaches should be taken into consideration to achieve the goal, we aim to develop the following guidelines and recommendations to promote the participation of local people in forest management, an approach expected to achieve both poverty alleviation and sustainable forest management at the same time:

- (1) **Village Action Guidelines (VAG)** for villagers and other stakeholders at the village level,
- (2) **Local Policy Guidelines (LPG)** for local (provincial or district) governments and other stakeholders at the local level, and
- (3) **National Policy Recommendations (NPR)** to ensure the effective application of international treaties on local participation in forest management at the national level. Local government and stakeholders at local and national level can make full use of these recommendations in order to promote the process of decentralisation.

The research is carried out using two interrelated approaches. One is the “local approach,” used to elaborate Village Action Guidelines, in which the analysis starts at the village level and then the perspective expands to the local and national government levels. We apply a methodology we call **Participatory Action Research (PAR)**, that is, a process of inquiry through which people work together on issues they consider relevant, to bring about an improvement. The other approach is the “international approach,” used to elaborate National Policy Recommendations, in which the analysis starts at the international level and then considers the national and local government level. These two approaches are combined and synthesised in discussions on the local government level, especially in the process of elaborating Local Policy Guidelines.

These objectives are revisions of the initial plan, in which we aimed to develop Local Guidelines, National Guidelines, and Policy Recommendations. This modification will be explained in Section 10.

6. Members and collaborators

[Core Staff members]

- Inoue Makoto, Prof., Project Leader, leader for local approach
- Martinus Nanang, Mr., Research Fellow and project manager, coordinator of Indonesian studies
- Tachibana Satoshi, Dr., Research Fellow, responsible for economic research under the international approach (August 2001- September 2002)

- Hyakumura Kimihiko, Mr., Research Associate, coordinator for Laotian studies
- Komatsu Kiyoshi, Mr. Research Associate, responsible for legal studies under the international approach
- Moriguchi Saho, Ms., (until May 31, 2002)
- Fujimori Soko, Ms., Project Secretary (From May 15, 2002)
- Isozaki Hiroji, Prof., Visiting Researcher, leader for international approach
- Kakizawa Hiroaki, Prof. Visiting Researcher, coordinator of Russian studies
- Nagata Shin, Prof., Visiting Researcher, advisor for international approach
- Matsumoto Satoru, Mr., Visiting Researcher, advisor for Laotian studies
- Okamoto Sachie, Ms., Visiting Researcher, advisor for Indonesian studies
- Nemoto Akihiko, Dr., Visiting Researcher, member of team for international approach

[Collaborators]

Organisational collaborators

- The Indonesian Institute of Science (Lembaga Ilmu Pengetahuan Indonesia, LIPI) in Jakarta is assigned to do research on social and political aspects of participatory forest management in Indonesia. Researchers: Dr. John Haba, Dr. Yekti Maunati, and Mr. Herman Hidayat.
- The Center for Social Forestry (CSF) of Mulawarman University in Samarinda, Indonesia, is responsible for field research in East Kalimantan. CSF coordinates all research at the village level. CSF invited non-governmental organisations (NGOs) to participate in the field activities. Researchers: Mr. Ndan Imang, Ms. Setiawati, Mr. Rujehan, Dr. Fadjar Pambudhi, Mr. Muhamad Arifin, Ms. Veronika Sukapti, Dr. Apriadi D. Ghani. Research members from NGOs: Mr. Mansur (BIKAL), Mr. Amir Riyantone (Puti Jaji).
- The National University of Laos (NUOL) is the organisational collaborator for research at the local level in Lao PDR. Researchers: Mr. Soukkongseng Saignaleuth, Dr. Somsy Gnospansy, Mr. Khamvieng Xayabouth, Mr. Khaisone, Mr. Thananh and Mr. Bunthavy. The Provincial Agriculture and Forestry Office (PAFO) of Savannakhet is also an organisational collaborator for research at local level in Lao PDR.
- The Economic Research Institute (ERI) in Khabarovsk (Russian Far East) is the organisational collaborator for the Russian studies. They work under the coordination of Prof. Kakizawa. Researchers: Prof. Alexander S. Sheingauz, Dr. Natalia Antonova, Dr. Oksana Glovatskaya, Dr. Grigoriy Sukhomirov, Dr. Anna Bardal.

Individual collaborators

The FC Project also has individual collaborators who write papers on forest policy in their respective countries. These collaborators are:

- Wahjudi Wardojo, Mr., Ministry of Forestry, Indonesia
- Hemant R. Ojha, Mr., Forest Action, Kathmandu, Nepal
- Kitamura Noriyoshi, Mr, Department of Forestry, Vientianne, Lao PDR
- Sasaki Siro, Dr., National Museum of Ethnology, Osaka, Japan
- Millat-e Mustafa, Dr., Institute of Forestry and Environmental Sciences, University of Chittagong, Chittagong, Bangladesh
- Juan M. Pulhin, Dr., University of the Philippines, Los Baños, Philippines
- Baloon Kuhlbusan, Dr., Indian Institute of Management Kozhikode (IIMK), Kerala, India
- Mangala de Zoysa, Dr., University of Ruhuna, Sri Lanka
- Alexander Sheingauz, Dr., Economic Research Institute, Khabarovsk, Russia
- Alexander Shestakov, Dr., WWF Russia, Moscow, Russia
- Galina Volkova, Ms., Association of Indigenous Peoples in Northern Khabarovsk

7. Major activities and achievements

7.1. Local approach

For Indonesia we chose five typical villages in the West Kutai district and one village within a national park in the East Kutai district. For Laos we selected four villages in a protected area of Savannakhet province and four villages in a degraded area of Oudomxai province. People who were aware of the

situation and wanted to improve it were recruited from each village, and formed a “core team” with researchers. After that, the core team facilitated efforts to share an understanding of the following items between the villagers and researchers: history of the village, changes in production systems, social structure and social groups, village resources, customary forest management systems, local marketing systems, development projects and activities coming from outside, problems being faced, causes of the problems, expected solutions problems, and the need for guidelines. The core teams tried to apply any necessary techniques to promote the real participation of local community members.

In the process of PAR activities in the local approach, each researcher extracted points requiring attention when elaborating the guidelines in cooperation with the local people. The framework and details of the VAG have been drafted and will be further discussed, revised, and enriched in the remainder of FY2002 and all of FY2003.

The Russian study looks at the socio-economic situation in the Lazo Raion and targeted communities, institutional barriers and bridges to participatory approaches, and hunting activities and forest management of the Udeghe people in Krasnyi Yar. In order to reveal the behaviour of the forest industry and relationship between local people and the forest industry, we conducted a questionnaire survey of forest businesses. The results will be used to draft the local guidelines.

7.2. International approach

Policy recommendations for Indonesia, Laos, and the Russian Far East were drafted as an outcome of the international approach. The draft will be discussed, revised, and enhanced.

For **Indonesia**, the merits and demerits of the country’s decentralisation policy on forest management were analysed in terms of legal aspects. The importance of forest and timber certification systems was indicated in terms of tracing systems in timber distribution with reference to economic aspects.

Russian research revealed that administrative and forest management bodies were not actually ready to implement public participation, even though it was required by laws and regulations, that the *raion* (district) level still had authority, and communities had very limited administrative power. It was also learned that forest industry policy has many defects, such as a lack of incentives for small community-based forestry businesses.

8. Plan until the end of FY2003 (March 31, 2004)

The tasks remaining for this second phase of the FC Project (April 2001 to March 2004) include research and development of guidelines and recommendations.

- (1) Research for Indonesia, Laos and the Russian Far East will continue until the end of FY2002, for both the local and international approach. Supplementary research may be carried out in FY2003 if necessary.
- (2) The process of developing VAG and NPR started at the beginning of FY2002. At this point drafts have been written and discussed in working groups, internal workshops and the Steering/Coordinating Committee meetings. The drafts are to be revised and finalised near the end of the second phase.
- (3) To develop, improve, and revise the guidelines and policy recommendations, several working group discussions of both local and international approaches will be held in Japan and overseas. In 2003 the Steering Committee will meet once more in each country, and community meetings will be held at each research site (village) to discuss the actual content of VAG and LPG. Each country will hold a local workshop some time between July and September 2003. A joint workshop in which researchers of the three countries meet is planned to be held in Khabarovsk, the Russian Far East in October 2003. Final results will be presented at an international workshop scheduled for the end of FY2003.
- (4) The FC Project will issue some publications, including Policy Trend Report (PTR) 2002 and country reports of the three countries. PTR will contain commissioned papers submitted by collaborators, while the country reports will contain research reports on the local and international approaches. The project will also publish books in English and Japanese.
- (5) The final version of NPR, LPG and VAG will be translated into the national language of each country. This task will be finalised near the end of FY2003.

9. Assessments of major outputs (April 2001 – December 2002)

9.1 Influence on policy-making process

We are confident that the process of Participatory Action Research has a great influence on policy-making process at both village and local government levels. We took the initiative to organise local people, in cooperation with our counterpart organisations and the local governments, by applying the methodology of PAR at the village level. We also held local workshops in the capital cities of the local governments.

We took part in the meeting of the Convention on Biological Diversity (CBD), made an intervention to input our research result into the international arena at the beginning of FY2002 and distributed a paper at the United Nations Forum on Forests (UNFF) and the World Summit on Sustainable Development (WSSD).

9.2 Timeliness for stakeholders' needs

Research activities of the local approach, or Participatory Action Research, are timely for the main target stakeholders of our project, including the local people and local governments. They need direct facilitation, support, and collaboration from outsiders, including development specialists, academics, NGOs, and international organisations, in the face of decentralisation processes. Poverty eradication of the local people is a very important issue to be tackled in cooperation with other stakeholders. Our research focus on local participation is very timely in this regard.

Research activities of the international approach are also useful for the local people and local governments, by helping them understand international obligations that their national governments should undertake. The interpretation of international and national policies to local governments and the local people is important, because they have only limited access to information in the international arena, and often lack the capacity to properly analyse the implications of international conventions.

9.3 Uniqueness, originality and effectiveness

Application of the methodology of Participatory Action Research is unique to our project. PAR combines academic field research with practice for rural development. PAR is also effective to change and improve conditions, because local people can be empowered and local governments can better understand the local reality and needs of the people, thanks to the processes of PAR.

Another unique aspect of our work is the integration of both the Local Approach, based on field studies, and the International Approach, based on legal and economic studies.

9.4 Other

- (1) The FC Project publishes a series of "Policy Trend Reports" (PTR), which contain reports written by individual collaborators from several Asian countries, including Bangladesh, China, India, Indonesia, Japan, Laos, Nepal, the Philippines, the Russian Far East, Sri Lanka, and Vietnam. It also contains analysis of UNFF discussions and International Organization for Standardization (ISO) standards in the field of forestry management and related industries.
- (2) The project also publishes "Country Reports," which contain the main research reports of this project from the three targeted countries (Indonesia, Laos and the Russian Far East).
- (3) Project staff participated in the first and the second substantive meeting of the UNFF in New York in June 2001 and March 2002, and in meetings at UNFCCC/COP6 of the Convention on Biodiversity at the Hague in April 2002. Mr. Kiyoshi Komatsu was dispatched to the First Conference on Public Participation of the Asia-Europe Meeting (ASEM) in June 2002 to make a presentation based on the results of our second phase of research.

10. Suggestions for improving the overall project performance in FY2003 - Modification of outputs -

10.1 Details of modifications

In the first half of FY2002, we decided to modify the planned final outputs as described below.

(1) Village level

In the initial plan, we were going to develop “Local Guidelines.” We changed the name to “Village Action Guidelines” (VAG) in order to make the scale of the target clearer.

(2) National Level.

In the initial plan, we were going to develop “Policy Recommendations.”

We changed the name to “National Policy Recommendations” (NPR) in order to make the scale of the target clearer. But it is very important that local governments as well as stakeholders at the local and national levels can make full use of these recommendations in order to promote the process of decentralisation.

(3) Local government level

In the initial plan, we were going to develop “National Guidelines” as an integration of the Local Guidelines and Policy Recommendations. We noticed, however, that it was reasonable for us to develop the guidelines at the local government level rather than the national level, in order to be more relevant in the context of dynamic changes in the state of participatory forest management that are occurring with decentralisation policies explained below. Thus, we shifted our focus from the national to the local governments to develop “Local Policy Guidelines” (LPG). Our target levels are, therefore, the kabupaten (district) level in Indonesia, the raion (district) level in Russia; and the kween (province) level in Laos.

10.2 Reason to shift from National Guidelines (central government level) to Local Policy Guidelines (local government level)

An explanation of reasons for shifting is not necessary for Russia, because the target was local government in our Russian studies, right from the beginning. Below, we explain the reasons for Indonesia and Laos.

(1) Reasons to shift the focus in Indonesia

- (a) After the national laws related to local decentralisation were promulgated in 1999, illegal logging became rampant, self-serving interpretations of local government were expanded, and Indonesian forests disappeared more rapidly than before. The second phase of the IGES Forest Conservation project was planned based on such conditions, and based on the judgment that the role of the state (or central government) would continue to be important to minimise local confusion and form effective forest policies.
- (b) Conditions changed completely in the past two years, however. Dramatically different policies were introduced in the West Kutai district of East Kalimantan province. A working committee for forest policy was established on the initiative of the governor-elect, consisting of various stakeholders, such as representative of the local people, local NGOs, scholars and forest concessionaires. The committee was able to ascertain the present condition of forests, and forest policy goals were established. Furthermore, in November, 2001, the committee published a first draft of a forest management plan for West Kutai district which consisted of 68 pages. In the draft, 52 actions that should be carried out within ten years were proposed, and a trial to extend the actions to villages in the district was started in April 2002. This trial in West Kutai has many attractive features. The forest policy framework under decentralisation will be established by spreading this method to other districts.
- (c) Neither the central nor provincial governments are leading actors any more, but rather the district governments. This situation is specified in the laws related to decentralisation. The provincial governments, which shoulder the function of coordinating issues among districts, however, do not appear prepared to hand over authority to district governments. In addition, opponents of the reduction of the central government’s authority have asserted that, “if a district is entrusted with control of the forests, the forests will disappear.” It seems that provincial governments are attempting to recover authority somehow. Therefore, if the trial in West Kutai is crushed, Indonesia may return to the original top-down forest policy. In this context, support for the forest policies of the West Kutai district would seem to be in line with more positive international trends relating to forest policy.

- (d) It is a good opportunity for IGES to earn a reputation by supporting the forest policy of West Kutai district. According to information which FC Project staff obtained in East Kalimantan in August, important forest organisations such as CIFOR, IFAD, and GTZ recognise the strategic importance of West Kutai district, and have already begun preparations for a memorandum of understanding (MOU) with West Kutai District. If the FC Project was slow to cooperate with the West Kutai district, an important opportunity to make a positive contribution could be lost. Because it was important to act quickly, project leader Makoto Inoue discussed the idea of mutual cooperation with the FC Project with a head of district forest service, and he agreed with the proposal. After returning to Japan, Prof. Inoue asked Martinus Nanang, a full-time staff member of the project and a coordinator of Indonesian studies, to discuss the details with the head of district forest service and draft an MOU in which one person from IGES would become a member of the working committee of the district.
- (e) It turned out to be difficult to conclude an MOU with Indonesia's Ministry of Forestry for mutual cooperation, because of strict conditions (e.g., copy right issue) they required over the outcome, so the FC Project decided to abandon these efforts at this time.
- (f) The strategic research of IGES must not merely end in a scientific report, but should aim at the improvement of policy. The development of Local Policy Guidelines for West Kutai district would definitely satisfy the mission of IGES. Furthermore, IGES can be involved in the actual local policy process through the participation of IGES staff in the working committee of West Kutai district.
- (g) It is important to note the strategic significance of the West Kutai forests in all of southeast Asia. These forests are located in East Kalimantan, which has some of the largest forested areas in southeast Asia. West Kutai District is located in the upstream region of the Mahakam river, and the provincial capital city, Samarinda, is located downstream. It is important to conserve forests in the upper Mahakam in order to maintain a good environment and water for the city. In this context, as many other cities share similar concerns about forests and water supplies, West Kutai should not be regarded merely for its significance as an Indonesian district, but also as a valuable area to learn more about sustainable forest policies in Asia.

(2) Reasons to shift the focus in Laos

- (a) In the past two years, the role of provincial governments become more important, because they have been given more authority to manage budgets, in the course of decentralisation policy.
- (b) It will be more effective for FC Project outputs to provide input into provincial governmental policy than national policy, because the gap between the perceptions of officials in the central government and the local reality is too wide, and this is less of a problem with the provincial governments, which are closer to the actual forests.
- (c) Based on this, in terms of policy effectiveness, the shift of focus of the guidelines from national to local government would appear to be reasonable.

10.3 Process to develop three sets of outputs or guidelines and recommendations

Figure 1, 2, 3 and 4 illustrate the process to develop Village Action Guidelines (VAG), Local Policy Guidelines (LPG), and National Policy Recommendations (NPR). As a result of the shifts of focus on the guidelines, as described above, one can clearly see the flow of process. The procedures shown in the figures are applicable to other places and countries, not just to the target countries. We will finish the draft Village Action Guidelines and National Policy Recommendations early in FY2003, and will develop the Local Policy Recommendations by the middle of FY2003, following the processes shown in the figures below.

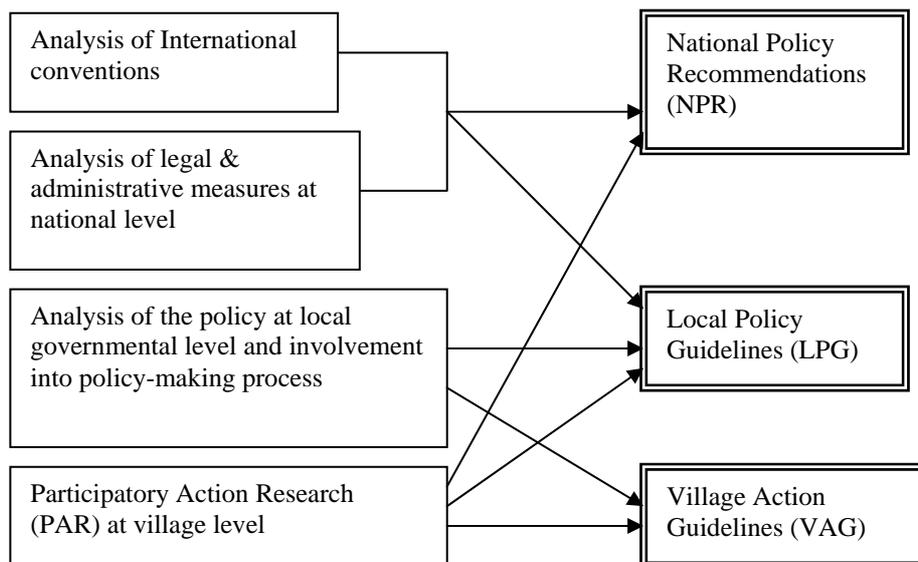


Figure 1: Overall process to develop three outputs of FC Project

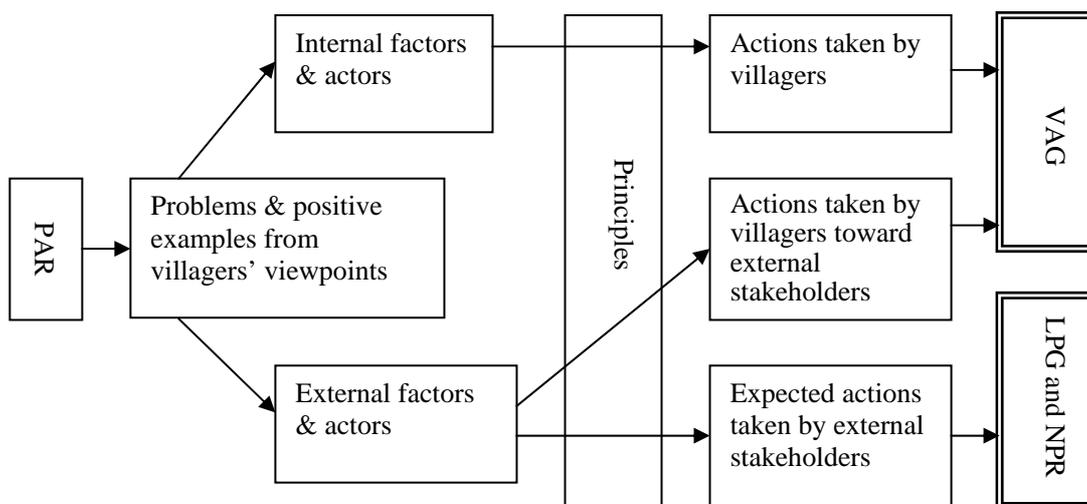


Figure 2: Concrete process to develop VAG, LPG, and NPR through the Local Approach

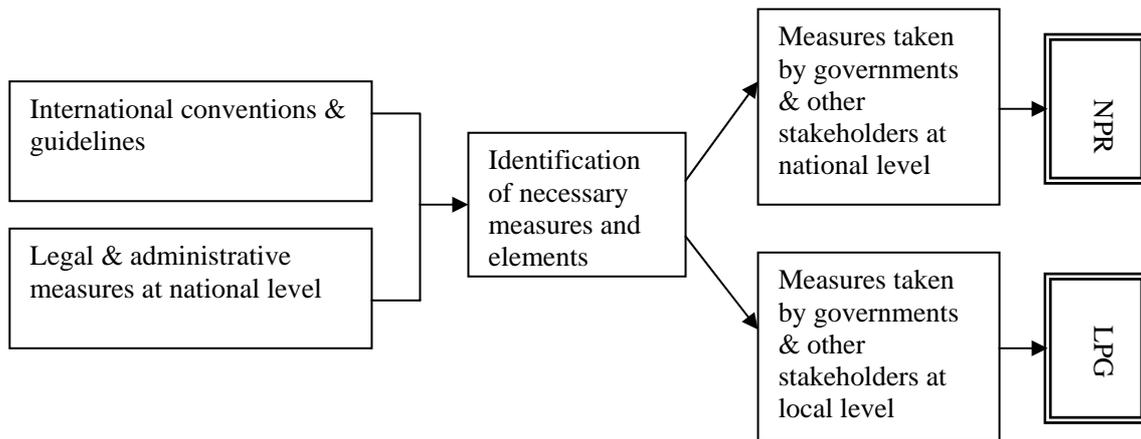


Figure 3: Concrete process to develop NPR and LPG through the International Approach

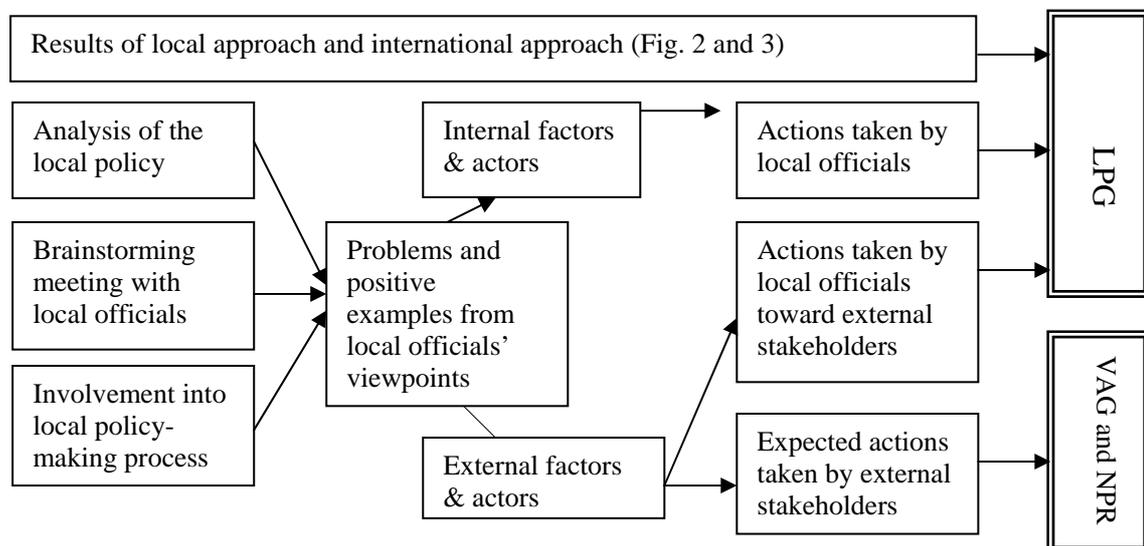


Figure 4: Integrated process to develop LPG

11. Self-evaluation of the overall performance of the project (April 2001 – December 2002)

Details omitted.

12. Proposal of the 3rd Phase (FY2004 – FY2006) research project

Developing.