

3.3. Forest Conservation Project

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Forest Conservation Project

1. Introduction

In the first phase, the IGES Forest Conservation project aimed to identify principles or elements of sustainable forest management, based on experiences in the Asia-Pacific region, which would account for an important portion of the strategy for forest conservation. The research was carried out by four interrelated sub-teams: (1) the sub-team on structural analysis of forest destruction (ST sub-team), to provide basic information to other sub-teams, (2) the sub-team on participatory forest management policy (PM sub-team), to make recommendations covering local and national levels, (3) the sub-team on timber trade policy (TT sub-team), to make recommendations covering national and international levels, and (4) the sub-team on legal/administrative measures for forest conservation (LA sub-team), to elaborate principles/elements for sustainable forest management as a final outcome of the project. Target countries were Indonesia, Thailand, the Philippines, Lao PDR, Vietnam, China, and Russia.

The ST sub-team reconfirmed such leading root causes as "the insufficient base of local participation and community rights" and "impacts of market forces," as well as the "forest development paradigm with an industrial emphasis" and "economic/political challenges." The PM sub-team analyzed and compared existing participatory forest management systems in Southeast Asian countries, aiming to clarify their characteristics, and categorized them into several types based on their main actors, legal status of forest land, and activities. Then the sub-team made policy recommendations through the examination of internal and external constraints on participation. The TT sub-team mainly conducted time-series economic analysis (TEA) of the timber trade on both export and import countries in the Asian region as well as data collection for space equivalent analysis (SEA) of the timber trade. The LA sub-team focused on international legal measures relating to forest conservation, international processes of policy dialogue on forest issues, and domestic legal/administrative measures relating to participatory forest management. The sub-team elaborated the principle/elements for sustainable forest management in cooperation with other sub-teams.

The project has successfully constructed a valuable network with researchers, NGOs, local people, and government officials in the Asia-Pacific region. These inter-personal relations with project members may be utilized and evolve into inter-organizational relations with IGES in the second phase.

As a logical consequence of the fact that the major outcome of the project was a set of principles or elements of sustainable forest management, the main target groups in the first phase were the governmental authorities. However, although we invited governmental officials to a series of regional workshops held in Jakarta, Vientiane, and Khabarovsk to discuss and examine our draft strategies including policy recommendations, it did not seem to be enough for the project to have an influence on the national forest policies in each country.

2. Goal and Objectives with Rationale

2.1 Goal and objectives

The goal of the forest conservation project is to develop strategy for desirable forest conservation and sustainable forest management. Although many approaches should be taken into consideration to achieve the goal, the project sets three objectives for the second phase, as follows:

- (1) The main objective is to develop local guidelines (**IGES local guidelines**) for participation in forest management at the local level. The local guidelines will give answers to or indicate procedures to address the following questions:
 - Who are the local people?
 - Who should be regarded as stakeholders and involved in local forest management?
 - What are the concepts of sustainability and participation as perceived by the local people, timber companies, NGOs, researchers, and government officials?
 - How can sustainability of the local forest management be evaluated in a simple way?
 - Under what conditions will local people prefer individual forest management?
 - Under what conditions will local people prefer collective forest management?
 - How should democratic policy-making processes be established at the local level?

It is expected that the local guidelines will be utilized in local activities, to compose an important part of national guidelines together with other field projects concerned, and to be presented at international conferences. These attempts are called the "**local approach**," in which the viewpoint shifts from the local level to national and international levels.

- (2) The second objective is to develop recommendations (**IGES policy recommendations**) to ensure the effective application of international treaties on local participation in forest management at the national level. This activity is called the "**international approach**," where the viewpoint shifts from the international level to the national and local levels.
- (3) The third objective is to develop national guidelines (**IGES national guidelines**) for participation in forest management. Not only the IGES local guidelines but also various experiences of other projects will be taken into consideration to elaborate the national guidelines. Two approaches—local and international—will be combined and synthesized at national level discussions, especially in the process to elaborate the IGES national guidelines.

2.2 Rationale

In marketing it is useful to take the three steps of segmentation, targeting, and positioning, to determine if there are any needs which are not currently being satisfied. The same approach is useful to show the rationale for setting the objectives mentioned above.

Usually, the domain of forest policy has been segmented: forest inventory and planning, including forest classification; management of production forest, consisting of natural forest management and reforestation; management of protection forest and degraded land, including afforestation, to prevent soil erosion and natural disasters; management of biodiversity on conservation areas; and control of the trade in timber and non-timber forest products.

There is general consensus that people's participation is essential in every domain of forest policy to achieve sustainable forest management, because of lower transaction costs as well as to avoid social conflicts over forest utilization, which themselves increase management costs. Thus, participatory forest management has emerged" out of segmented domains of forest policy, as specific objectives under the goal, is justifiable for two reasons. (1) People's participation consists of "public participation" that refers to the participation of the larger society, including city dwellers and citizens, and "local participation" refers to the participation a smaller subset of society or the local community. In the tropics, the concept of "local participation" is more useful today than the concept of "public participation." (2) We identified principles or elements for participatory forest management in the first phase. It is now time for us to form them into guidelines.

The positioning of these guidelines is distinctive, compared with the guidelines developed by the International Tropical Timber Organization (ITTO). The ITTO guidelines are a kind of international benchmark developed by scientists, covering various aspects such as natural forest management, conservation of biological diversity, planted forest management, and fire management. In contrast, the characteristic features of the IGES guidelines are: (1) the aim is mainly the promotion of local participation, (2) IGES local guidelines will be elaborated by researchers in a bottom-up approach, based on the local guidelines.

3. Target Countries

In the second phase the study targets three countries: Indonesia, Lao PDR, and Russia (Far East). The significance of the strategic policy studies for the three countries lies in the political characteristics of each country and the actual state of forest and forest management in the countries. There appears to be a relatively high possibility for our research outputs to be applied in these three countries.

Indonesia is a country in transition to democracy. Specific features concerning the forestry sector are (1) reforms of forest policy in accordance with the concepts of participation and decentralization, (2) chaos as a result of drastic decentralization, and (3) rapid deforestation and degradation of the

forest due to various factors, such as forest fires, large scale plantations, logging, and slash and burn agriculture.

Lao PDR is a country in transition to market economy. Specific features concerning the forestry sector are (1) insufficient measures/mechanisms to implement new forest law, (2) recent reaction to and trend of the efforts to transfer the responsibility of forest management to the local people.

Russia has undergone some reforms in national policy, but this country is also in transition to a market economy. Moreover, the Russian boreal forest offers a unique approach compared with tropical forests of Indonesia and Lao PDR in the mode of participation compared with that in tropical countries. Specific features concerning the forestry sector are (1) dynamic reform of forest policy, (2) strong impact of the Asian countries on the management of local forests, and (3) changes in local forest management along with changes in the national economic system.

4. Target Groups

We categorize various target stakeholders into two groups: main target groups and supporting target groups. "**Main target groups**" are the groups targeted by the guidelines and the expected main users of the guidelines. These are local and national policy-makers as well as local communities. Their roles are indispensable for the success of forest management.

"**Supporting target groups**" may use or support the use of the guidelines, but are less likely to be involved in the direct implementation of the guidelines. These are local NGOs, people's organizations, small business corporations, and universities at the local level; large NGOs and large business corporations at the national level; and UNFF, ECO ASIA, etc. at the international level.

5. Expected Policy Impact

5.1 Impact of the guidelines and recommendations

The results of the project in the second phase, consisting of "IGES local guidelines," "IGES national guidelines," and "IGES policy recommendations," are expected to have impacts at both the local and national level, as described below.

a. Influence at the local level

The activities of local forest management and local policy making processes will be improved by applying the IGES local guidelines. There is every possibility for the local people and local government to apply the guidelines because the local people, local NGOs, and local government as well as local researchers would be considerably involved in the research process from the beginning, and we will hold a series of local workshops.

The IGES local guidelines will be presented at international conferences. This effort will provide the opportunities for the local activities to be supported by the international community.

b. Influence at the national level

The project will affect national forest policy in two ways. First, the IGES national guidelines, based on the IGES local guidelines and other experiences, will be applied for the stage of policy enforcement. Such bottom-up influences should be ensured through close collaboration with national government, NGOs, researchers, and international organizations in carrying out the research activities from the beginning. A national workshop will also be held.

Second, the IGES policy recommendations, derived from international treaties, will be applied in the process of policy reformation. Such top-down influences should be ensured through the involvement of high government officials to the process of developing the recommendations.

5.2 Relevant collaborative organizations

In order to have certain policy impacts mentioned above, we will make close collaboration with relevant organizations, as listed below, by means of concluding a Memorandum of Understanding (MOU) to strengthen inter-organizational relations, etc.

a. Indonesia

- Center for Social Forestry of Mulawarman University (CSF) in Samarinda, East Kalimantan. CSF is a member of the forum on national forestry reform and thus has access to influence policy formation at the local and national levels. We can collaborate with local NGOs, local governments, and local people through the good offices of CSF.
- Indonesian Institute of Sciences (LIPI) in Jakarta. LIPI is a national government-run science institute and has been very influential in the country. Collaborating with LIPI may bring about influence to the decision-makers and the public.
- Local government and local forestry service at district level.
- Ministry of forestry and large NGOs.

b. Lao PDR

- Faculty of Forestry of the National University of Lao PDR (NUOL) in Vientiane. NUOL is run by the government of Lao PDR, and considerable influence can be expected. We can collaborate with other research institutes, local governments, NGOs, and local people through the good offices of NUOL.
- Department of Forestry and donors including JICA.

c. Russia

- Economic Research Institute (ERI) in Khabarovsk. ERI is capable of influencing Russian decision-makers because of its outstanding position. We can collaborate with other organizations and local people through the good offices of ERI.
- Local government, Territorial Forest Service and NGOs

d. Others

- ITTO have developed a series of guidelines, even though the nature of the guidelines was different from that of the expected IGES guidelines.
- Ministry of Environment and Forestry Agency of Japan

6. Research activities

6.1 Two approaches and their integration

The project is intended to achieve the objectives by way of two approaches: the "**local approach**," in which the viewpoint moves from the local level to that national and international level, and the "**international approach**," in which the viewpoint moves from the international level to the national and local level.

The IGES local guidelines, based on the field studies, will be elaborated as a result of the local approach; the IGES policy recommendations, based on the legal and economic studies, will be developed as a result of the international approach; the IGES national guidelines will be elaborated as a combination of these two approaches, as stated above (see Figure 1).

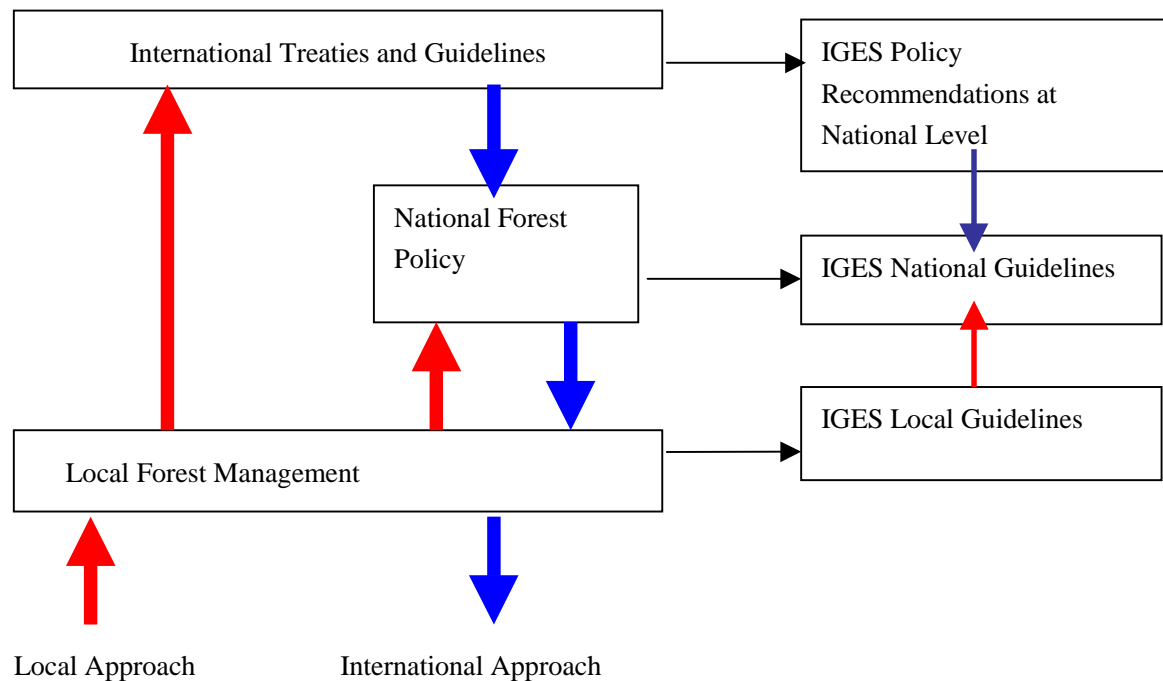


Figure 1. Integration of Two Approaches

6.2 Specific objectives in two approaches

a. Local approach

The local approach should be carried out in an interdisciplinary way to include anthropology, sociology, and political science. All the research in Indonesia, Lao PDR, and Russia should be conducted to achieve the following specific objectives:

- to describe existing local forest management (LFM),
- to analyze the merit and demerits of the existing LFM,
- to analyze the interests and actions of various actors (stakeholders),
- to analyze policy making processes at the local level,
- to analyze the obstacles for the promotion of LFM,
- to analyze the need for a new approach in forest management,
- to identify the necessity of external support for LFM,
- to develop the IGES local guidelines to improve LFM as well as recommendations for national and international support for LFM, and
- to develop the IGES national guidelines in coordination with the international approach.

b. International approach

The international approach comprises legal, political, and economic aspects. The research should be conducted to achieve the following specific objectives:

- to analyze legal and non-legal measures for local participation in existing international treaties such as the Ramsar Convention on wetlands, World Heritage Convention, Convention on Biodiversity, and existing guidelines developed by the ITTO, etc.,
- to analyze national forest regimes and administration from an international perspective,
- to analyze the compliance of effective implementation at national and local levels with international obligations and non-binding suggested measures,
- to analyze obstacles for better implementation of forest regimes at national and local levels,
- to analyze policy making process at the national level,
- to identify necessary local and national measures for better implementation,
- to analyze the measures to ensure sustainability in forest management, including forest certification systems,
- to develop the IGES policy recommendations, and
- to develop the IGES national guidelines in coordination with the local approach.

6.3 Schedule

a. Year 1 (April 2001- March 2002): Inception phase and research implementation phase

- Hold internal workshop to develop the draft of specific research framework in the 1st quarter of the year.
- Hold small meeting (or steering committee) to discuss the research framework with collaborative organizations in respective countries in the 2nd quarter of the year.
- Hold a local workshop in the 2nd quarter of the year, inviting collaborative organizations, NGOs, and representatives of local people. This workshop is intended to define (1) approach and technique, (2) research staff and budgets, and (3) the role of each researcher, as well as local people.
- Carry out research activities of both local and international approaches.

b. Year 2 (April 2002- March 2003): Research implementation phase and guideline drafting phase

- Develop 1st draft of “IGES local guidelines” and “IGES policy recommendations” through an internal (or domestic) workshop in the in the 1st quarter of the year
- Hold small meeting (or steering committee) in each country in the 2nd quarter of the year.
- Carry out research activities of both local and international approaches.

- Hold central workshops in respective countries to discuss the 2nd draft of “IGES policy recommendations” in the 4th quarter of the year.
- Hold local workshop at each research site to discuss the 2nd draft of “IGES local guidelines” in the 4th quarter of the year.

c. Year 3 (April 2003- March 2004): Guideline drafting phase and dissemination phase

- Hold internal workshop to develop the 1st draft of “IGES national guidelines” in the 1st quarter of the year.
- Hold small meeting (or steering committee) and joint workshop for the studies on Indonesia, Lao PDR and Russia, in the 2nd quarter of the year, to present and compare the results and discuss the draft guidelines and policy recommendations, and to get feedback for their improvement and revision.
- Carry out supplementary research.
- Consider the measures for feedback of the guidelines and policy recommendations and translate them into local language in the 3rd quarter of the year.
- Hold an international workshop to finalize and disseminate the final output such as IGES local guidelines, IGES national guidelines and IGES policy recommendations to the larger public, experts, and governments at the 4th quarter of the year.

d. Others

- Collect up-to-date information on forest policy in Asian countries (China, the Philippines, Thailand, Vietnam, India, etc.) continuously every year.

7. Structure of the Project

7.1 Organizational management structure

The organizational structure of the project is shown in Figure 2. Since the project leader is not working full-time on this project, we need to assign a full-time staff member as the project manager. Core research staff comprises full-time researchers and visiting researchers. Research collaborators, who conduct research in close cooperation with the core research staff, consist of collaborative organizations and individual collaborators.

In order to disseminate the project outputs, the project will also collaborate with international research institutes, international agencies including UN agencies, and IGES Charter signatories, as well as NGOs.

7.2 Members and their roles in accordance with the project management structure

All staffs of the first phase, except Dr. Masanobu Yamane who has returned to his previous institution in Kanagawa Prefecture, are involved in the project. The role of each staff member is adjusted to the new research approach and project structure. To support international approaches, particularly economic studies, Dr. Satoshi Tachibana will join FC Project in August as a full time researcher. Full-time staff and principal visiting researchers are to attend every project meeting; secondary visiting researchers may attend as necessary.

a. Core staff

Project Leader

- Makoto Inoue (The University of Tokyo): project leader, and leader for local approach (part-time)

Full-time Researchers

- Martinus Nanang: project manager, staff for local approach in Indonesia, and coordinator for Indonesian studies
- Kimihiko Hyakumura: staff for local approach in Lao PDR, and coordinator for Laotian studies
- Kiyoshi Komatsu: staff for international approach in terms of legal aspects
- Satoshi Tachibana (from August 2001): staff for international approach in terms of economic aspects

Part-time Members

- Hiroji Isozaki (Iwate University): leader for international approach.
- Hiroaki Kakizawa (Hokkaido University.): coordinator for Russian study
- Satoshi Tachibana (The University of Tokyo) (April-July 2001): staff for international approach in terms of economic aspects

Project Secretary

- Saho Moriguchi: project secretary

b. Supportive Visiting Researchers

- Shin Nagata (The University of Tokyo): advisor for economic study (international approach)
- Satoru Matsumoto (Mekong Watch): advisor for Laotian study
- Sachie Okamoto (Japan Indonesia NGO Network): advisor for Indonesian study

c. Research Collaborators:

1) Collaborative Organizations:

Memorandum of Understanding (MoU) is to be exchanged for cooperation with the following organizations.

- Indonesia: CSF, LIPI and Ministry of Forestry
- Lao PDR: NUOL and Department of Forestry

- Russia: ERI

2) Individual Collaborators

They will conduct commission researches.

d. Research Supporters

1) Supportive Organizations:

It is hoped that the following organizations will send their representatives to our workshops/conferences, give presentations and/or undertake to produce commission reports.

- International organizations: CIFOR, ICRAF, FAO and ITTO
- IGES charter signatory government/institutes
- Ministry of the Environment, Forestry Agency of Japan and JICA
- International and local NGOs

2) Individual Supporters

Researchers who will support the project by attending and sharing expertise at workshops.

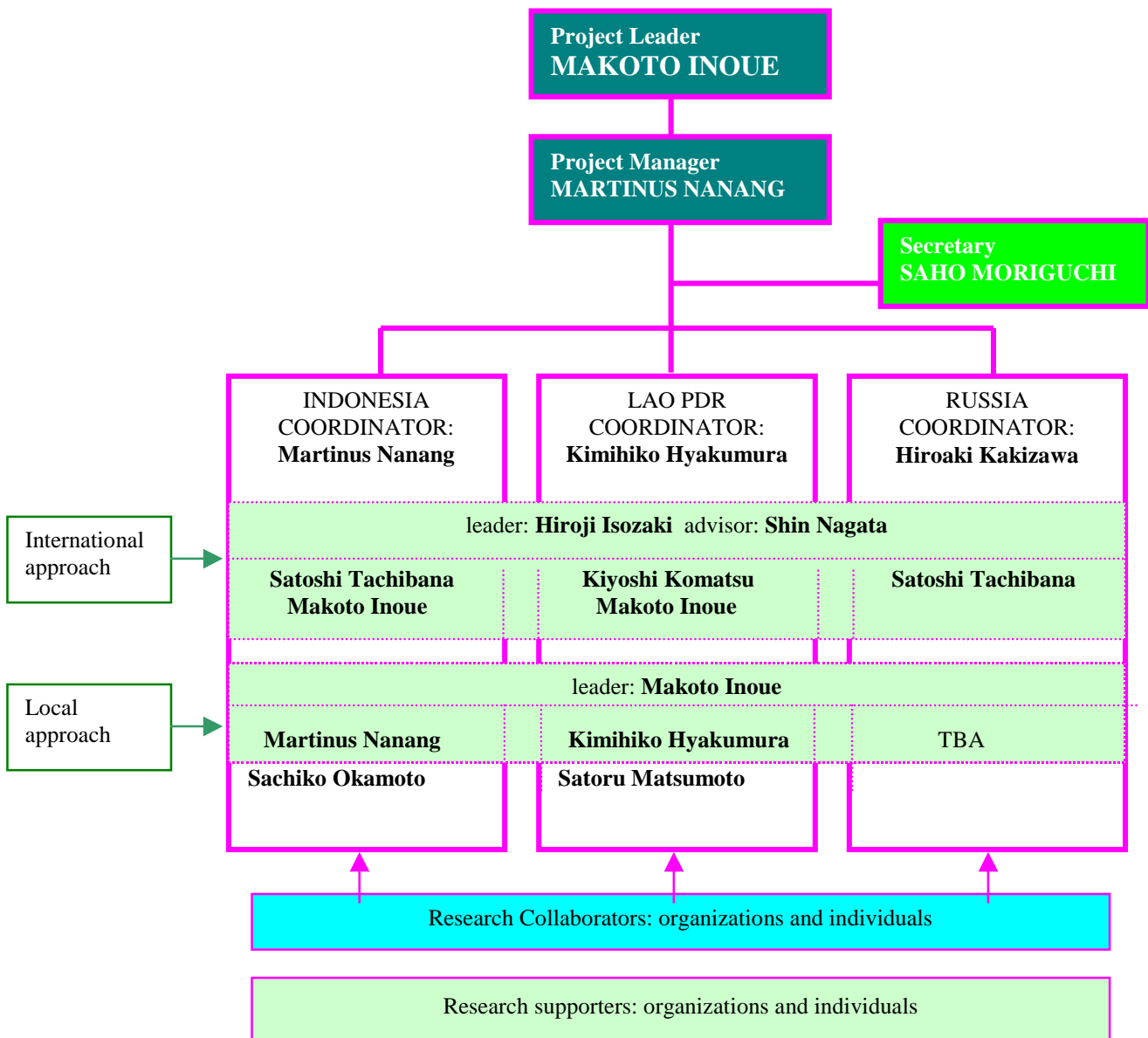


Figure 2.
Structure of the organizational management of Forest Conservation Project

Legend:

1. A Country Coordinator coordinates whole research in the country, including local and international approach.
2. Approach lines cut across the country lines. This means the approaches are to be applied in all target countries.
3. International and local approach lines cut across the country lines. This means Hiroji Isozaki is approach leader of international approach for three countries, and Makoto Inoue is local approach leader for three countries.
4. Research collaborators are not defined in details in this figure. Their roles can be seen from two angles, country (Indonesia, Lao PDR, and Russia) and by approach (Local and international).