



IGES Policy Dialogues toward Sustainable Forest Management in Asia-Pacific Region

Forest Conservation Project, IGES

**Institute for Global Environmental Strategies
March 2001**

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EXECUTIVE SUMMARY

The first phase of the IGES Project on Forest Conservation (IGES FCP) attempted to identify principles and measures for sustainable forest management (SFM) based on experiences in the Asia-Pacific Region. Extensive studies were carried out within a framework of four interrelated sub-themes by in-house research staff, visiting researchers and many outside collaborators. Based on the diversified research activities which were conducted, including four IGES FCP-organized International Workshops and three local policy dialogues, the project reached many useful conclusions related to each sub-theme. The structural analysis of forest destruction confirmed that the root causes of forest destruction include "the insufficient base of local participation and community rights" and "impact of market forces under an incomplete market system" as well as the "forest development paradigm with industrial emphasis" and "economic/political instabilities." The participatory forest management (PFM) policy sub-theme categorized existing PFM into several types based on their main actors, legal status of forest land and activities, and made policy recommendations based on their examination of internal and external constraints on participation. The Legal /Administrative sub-theme focused on international legal measures related to SFM, international processes for policy dialogue on forest issues, and domestic legal/administrative measures relating to PFM. The sub-theme elaborated the principles and measures for sustainable forest management with special reference to local participation in SFM, in cooperation with other sub-themes.

Keywords:

Sustainable Forest Management (SFM), Conservation Strategy, Policy Recommendation, Deforestation and Forest Degradation, Underlying Causes, Local People, Participatory Forest Management, Legal and Administrative Measures, Asia-Pacific Region, Field Study, Country Study, Policy Study and Policy Dialogue Workshop

日本語要旨

I G E S 森林保全プロジェクトは、アジア太平洋地域における経験に基づいた持続可能な森林管理に関する原則及び措置の明確化をねらいとして、とくに現地レベルでの参加型森林管理の促進にむけた研究活動を、3つの相互に関連するサブテーマの枠組みのもとで、常勤職員、客員研究員及び外部の研究協力者の相互協力により実施した。これらの研究結果は、第一期研究の最終年度に行った3回の海外での政策対話を通じて政策提言としてまとめられた。多様な研究活動から有意義な多くの成果が得られた。森林破壊の構造分析に関するサブテーマは、“地元住民・共同体の権利基盤の不足”、“不完全な市場メカニズムのもとでの市場圧力”、“産業化に力点を置いた開発パラダイム”と“経済的/政治的不安定性”を主な根本原因として再確認した。参加型森林管理に関するサブテーマでは、既存の参加型森林管理を主なアクター、森林地帯の法的位置付け、ならびに関連する活動などによりいくつかに類型区分し、外的・内的制約要因の分析を通して政策提言を提示した。森林保全のための法的/行政的手法に関するサブテーマにおいて持続可能な森林管理に関連する国際的な法的取決め、森林問題に関する国際的な政策対話、並びに参加型森林管理に関する国内法制度の分析を行った。また、この観点から、特に持続可能な森林管理における地方住民の参加に焦点をあてながら他のサブテーマの研究成果を参照しながら持続可能な森林管理にむけた原則/措置を示した。

キーワード

持続可能な森林管理、森林保全戦略、政策提言、森林の劣化及び森林破壊、背景要因、地域住民。参加型森林管理、法的・行政的措置、アジア太平洋地域、フィールド調査、国別調査、政策分析、政策対話ワークショップ

Foreword

In recent years, the world's forests have been affected by over-harvesting, overgrazing, pests and diseases, high global temperatures, floods, droughts, storms, air pollution and forest fires, as well as the economic crises in Asia and other regions, leading to a decrease in the world's forest cover. The forests of Asia, in particular, have been strongly affected by these phenomena. A number of initiatives have suggested forest policy reforms, and the need for the sustainable management of forests has been widely recognized and encouraged. However, because implementation of reforms at the local level has been insufficient, local people must effectively participate in forest planning and management, as well as in protected area management, in each area.

The IGES Forest Conservation Project, launched in April 1998, has carried out research activities on forest strategies, including policy analysis and on-site surveys. This comprehensive report of the Project gives an overview of the research activities of the Project in its first phase of three years. Since viable forest strategies work best when based on the involvement of local people, this report is addressed to stakeholders in the communities of the relevant countries, including local people and authorities, community-based organizations, experts, national agencies and international institutions.

In Part 1, this report provides summary of research outputs on major causes of forest loss and degradation, examines necessary countermeasures, especially legal and administrative measures and economic and political measures. Based on these case analyses, the Project reaffirmed the importance and usefulness of participatory measures for sustainable forest management. Such participatory measures can improve the processes for the development of management plans and economic policies, and the implementation of laws and regulations. This report provides a set of specific policy recommendations for local participation, based on field research activities for several individual countries in the Asian region, as well. Finally, this report suggests a series of supportive measures for the effective application and implementation of forest management.

In Part 2, this report shows outline of policy dialogue workshops in three targeted areas of 1st Phase researches. From June to September 2000, the Forest Conservation Project held Policy Dialogue Workshops for the purpose of devising policy proposals in forest conservation. These workshops invited government officials, researchers, and representatives from NGOs from targeted countries. In

each of those workshops, we discussed intensively on the elements for forest conservation that IGES presented, and policy recommendation for sustainable forest management.

It would have been impossible to complete such 'bottom up' process without the informative presentation and significant discussion from the research collaborators and the distinguished participants in these workshops, as well as donations from the former Ministry of Postal and Telecommunications.

Finally we express our deep appreciation to all participants for joining these workshops and contributing to the discussions.

Hiroji Isozaki
Project Leader

Acknowledgement

IGES Forest Conservation Project wishes to thank most warmly those who kindly assisted the policy dialogue workshops on Forest Conservation Strategies for the Asia – Pacific Region.

These workshops could not have achieved their successful results without generous cooperation from Indonesian Institute of Sciences (Jakarta, Republic of Indonesia), National University of Laos (Vientiane, The Lao People's Democratic Republic) and Economic Research Institute (Khabarovsk, Russia).

A large part of the necessary work for these workshops depended much the efforts of dedicated research collaborators, Mr. HIDAYAT Herman, Dr. HABA John, Dr. HOFFMANN Jordan, Dr. TIRTOSUD Riwanto, Dr. JULAN Thung, Dr. YASMIN Shihab, Dr. HIDAYAT Deny, Dr. PERMANA Wahyudi, Dr. TJARSUM, Dr. GNOPHANXAY Somsy, Mr. XAYABOUTH Khamvieng, Mr. PHONESAVANH Boumy, Dr. SHEINGAUZ Alexander and Dr. ANTONOVA Nataria.

We wish to thank Ministry of Postal and Telecommunications (Former) fore their generous financial assistance.

Finally, again would like to express our sincere gratitude for all the organization and people who kindly supported this workshop.

**Part 1. Outline of IGES Forest
Conservation Strategies for Participatory
Forest Management in Asia-Pacific Region**

1. Forest Loss in the Asia–Pacific Region

The forest area in the Asia - Pacific Region (APR) accounts for a quarter of the world's forest. In the region there are various types of forests ranging from tropical and temperate to boreal forests, which include rich forest resources and bio-diversity.

The forests in the region are facing a serious crisis with accelerated forest loss (deforestation and the degradation of forest) after the war, and consequently the region has lost almost 95 percents of its frontier forests. The amount of deforestation in the region during 1980s was smaller than that in Africa and Latin America, however, the region lost almost million hectares in the period and had the highest rate of annual changes of forest and other wooded land (-0.6 percent per year from 1990 to 1995). This rate is similar to that of Latin America (-0.5 percent per year). As for boreal forest in the region, the degradation of forest has rapidly become worse.

1.1. Underlying Causes

Forest loss is caused by natural factors. However, the forest loss originated in various kinds of human activities has been outstanding during the last 30 years.

As for the proximate causes of recent forest loss in the region, IGES Forest Conservation Project (IGES FCP) reconfirmed that such various means as logging, conversion, planting, direct destruction and no management have modified / replaced forests into degraded forests and other land use. And these means of forest development often conducted on the purpose of commercial logging, conversion to cash cropping / plantation, industrial plantation, land clearance for rice self-sufficiency, shifting cultivation, land opening for migration, hydropower development, etc. In those activities related leading forest loss there are various kind of domestic agents / actors such as central / local government, domestic logging companies / industry, military authority, powerful people and local people. At the same time such foreign agents/actors as import countries, foreign capitals from importing countries, foreign aid institutions played very crucial role.

IGES FCP addressed five key underlying causes of forest loss (UCFL), which are closely related to recent major proximate causes of forest loss in the region. First UCFL is "**the lack of recognition of the real value of forests**". There are many observations that actors related to forest development ignored the real value of forests including environmental functions and the livelihood base of the

local community, as they aimed to maximize economic profits from the development not paying sufficient conservation cost of real value of forests exploited. In the background, the lack of appropriate knowledge / measures of forest biodiversity, ecosystem management and traditional forest use among the parties concerned seems to have encouraged narrow-minded resource use policies. Second UCLF is **"the impacts of market forces under incomplete market system."** It was very often observed in IGES FC studies that the forest developments in target areas were driven in unsustainable ways that centered on monetary benefits, in particular foreign exchange, and on market forces, which originated in strong consumer demand for products, especially in importing countries. The studies also indicated that **"economic / forest development policies with industrial emphasis"** has been leading forest loss in the region. So far forest relevant policies were strongly intended to exploit the benefits from timber extraction and forest conversion as a means of obtaining foreign exchange or financial source of powerful peoples. Moreover **"an insufficient political will and shortages of compliance"** to stop destructive forest development was recognized as a key UCLF of ongoing forest loss. Many institutional causes, such as an insufficient legal and administrative base for sustainable forest management, incomplete public forestland policy and insufficient attention to local people's right can be extracted from this UCLF. Although IGES FC studies did not examine it in detail, it is certain that many direct or indirect causes of forest loss were strongly affected by **"political disorder and economic difficulties"**. This UCLF has brought about many causes of forest loss such as inability of forest governance, the expansion of rule violation and corruption, the increase of poverty and the consequent rise of non-traditional shifting cultivators. Moreover, various impacts of forest loss themselves have often brought on more political, social and economic instability. In this sense, the progress of forest loss itself is an UCLF.

1.2. Directions to Overcome Forest Loss

Many forest developments in the region have brought not only economic impacts but also impacts on environment and livelihood, land conflicts and land alienation. In many cases the negative impacts of forest loss exceeded the economic profits from the development. Many forest developments in APR have conducted aiming to maximize monetary benefit for specific actors ignoring real value of forests and rarely paying a cost to recover the impact. In order to stop such shortsighted way of forest resource use, all kind of forest development should be planned, implemented and evaluated taking accounts into the real value of forests. For this direction , developing / examining methodologies to evaluate multi-function and the mechanism of internalization of real forest values, introducing an environment / social impact assessment (EIA / SIA) and local people oriented land allocation should be promoted urgently.

It is widely observed in the region that unsustainable forest development has accelerated on a background of strong demand of natural resources both from forests and forest-converted land. Illegal or uncontrolled forest extractions are also originated in this causes coupled with an inability of forest governance in supplier countries. Thus, the consuming forest-goods produced in sustainable way shall be facilitated as a precondition of forest conservation. Developing / introducing economic mechanism, rising public awareness, exerting proper trade monitoring are key actions for this directions.

Forest loss in the target areas have prompted directly or indirectly through top-down forest development ignoring the local people's rights / customary use of forests with insufficient governance. Thus economic / forest policy reforming shall be considered policy options with special emphasis on participatory approach under strong political will to forest conservation. This direction shall be realized coupled with effective legal and administrative base with concrete measures of local people's participation to the all-kind activities of forest management / development. Moreover, recognizing the significant impacts of large-scale forest fires on forest loss both in tropical and boreal forest, legal and administrative base for effective fire control, including proper resource allocation and regional cooperation, shall be strengthen urgently.

Finally, considering the facts that many forest developments leading forest loss has been caused by various intervention from outside of a countries and the absence of appropriate coordination on the turns-boundary issues, regional coordination among the APR countries can be a key direction in order to realize forest conservation. This direction requests international communities to support increased emphasis on participatory (or bottom-up) approach to forest conservation as well as information / experience sharing on forest issues and active collaboration on the urgent issues such as large-scale fire prevention, mitigation of trade liberalization on forest products, etc.

2. Emphasis on Local Forest Management

In the late 1970s, professional foresters in the tropics noticed that they could not manage the forest sustainably under the principles of conventional and industrial forestry, whereby the local people have been considered to be obstacles or constraints on forest management. “ Social forestry ” was recognized as an important norm or principle to produce successful sustainable forest management, even though industrial forestry has been dominant in practice. Originally, social forestry and community forestry were defined similarly as any situation that intimately involves local people in forestry activity for the purpose of rural development. These days, however, it seems that the term “ social forestry ” involves a wider range of comprehensive participatory activities, and the term “ community forestry ” implies collective activities rather than individual activities such as farm forestry.

In general, social forestry consists of two major components. One of them is participatory forest management (**PFM**) in the forestry sector. The other includes 1) development of infrastructure such as roads, meeting places, schools, and clinics; 2) agricultural extension; and 3) generation of income sources for rural development, etc. If the latter activities prevail without the component of PFM, however, the activities are not necessarily called “ social forestry ” but the more general term “ rural development. ”

Thus IGES FCP has examined the current state of forest policy, the gaps / contradictions between the national land/forest policy and the actual state of forest utilization by the local people and internal constraints for PFM that present in the local communities in terms of economic, social, and cultural aspects.

2.1. Current Status of Local Forest Management

In order to compare the policies in the target countries¹, IGES FCP applied two concepts as an analytical framework or valuation basis: “ legal status of land ” and “ main actors of forest management. ” In terms of “ legal status of land ”, provisionally, we recognize land with differing legal status to be “ individual land, ” “ organizational land, ” “ village land ” (owned by both of formal village or indigenous people's community), “ outsiders' land, ” and “ national land ” (owned by the

¹ The Philippines, Indonesia, Vietnam and Lao PDR.

local and national government). In terms of “main actors of forest management”, the main actors are classified as follows: 1) individuals or peasants living in the village and their households (their forest management can be called “peasant forestry” or “farm forestry”); 2) functional groups such as forest users' groups, cooperatives, schools, temples, women's unions and elder's groups (“functional group forestry²”); 3) fundamental groups such as groups of relatives, natural villages, and indigenous cultural communities (“fundamental group forestry”); 4) an executive body of the formal village (“village forestry” that includes centralized community forestry); 5) outsiders and corporations (“private forestry”); and 6) local and national governments (“public forestry”).

Identified characteristics of the PFM systems are: 1) in most of the PFM systems, the land still belongs to the state and the right to use the land is granted to the local people. 2) Protected areas are mainly controlled by the government. 3) Harvesting and conservation activities are mainly managed collectively. 4) It is ascertained that most of the collective management by the local people is not implemented by fundamental groups but by functional groups, except for the management by indigenous cultural communities and indigenous peoples in the Philippines. Also, fundamental groups may manage village forestry activities in Laos. 5) It is interesting that several programs assume that collective management can be suitable for planting activities consisting of reforestation and afforestation, even though individual management seems to be suitable for planting activities rather than collective management in terms of economic incentives. Diversification of the actors seems to be advantageous for forest management in order to achieve ecological sustainability and social justice. The government of each country should devise and improve tenure arrangements, where various types of actors can be involved in all the processes of forest management such as planning, decision-making, implementation, and profiting.

However, there are external constraints for PFM by means of clarifying the gaps and contradictions between the national land/forest policy and the actual state of forest utilization by the local people. Besides, it can be found out internal constraints for PFM that present in the local communities in terms of economic, social, and cultural aspects. These constraints can be described as the followings:

² Functional group forestry, fundamental group forestry, and village forestry are included in the concept of “community forestry,” since they are based on collective management. Public forestry in cooperation with the local people is called “joint forest management”

2.2. Constraints of Participatory Forest Management

In many cases, the local people are confronted with the obstacles originated in the national policy and development project. First, one of the important external constraints is "inappropriate land tenure system". The land ownership of the local people is usually not approved by the government even though the people manage the forest sustainably in accordance with their customary law. Instead, the governments began to grant the people the rights of using land that is free from other rights of development such as commercial logging and industrial plantation. Second, "centralized and paternalistic forest management" is also an important external constraint, where professional foresters infected with "forester's syndrome" (loving trees but hasting people) play a quite important role. Top-down decision making process ignores the actual state of land utilization, does an ineffective demarcation of forest land use, and makes an useless forest management plan because of neglecting the local needs.

On the other hand, there are some "internal constraints", which are immanent in the local communities. An alarming example of "internal technical constraints" is that TFRK (traditional forest-related knowledge) is going to fade out even in the communities of indigenous people. A typical "internal economic constraint" is that the forest related activities are lack of incentives compared to other activities, because conservation activities generate no monetary benefit and even plantation forestry takes long time to get benefit. "Internal social constraints" are disagreement among the members of local community and weakening of the bonds of human relation, which hamper the collective activities to manage forest. Moreover, some of the people hesitate to change their life style, which is considered to be "internal cultural constraints". As results of research activities of the FCP, four countries' "External Constraints" and "Internal Constraints" are found out. The results are the following as;

2.3. Indonesia

<External constraints on local participation>

- 1) The rights of the local people to utilize and manage the forests have been neglected by the government.
- 2) Logging or timber companies, including the national Forestry Corporation (Perum Perhutani), usually apply top-down decision-making, and local needs are often neglected.
- 3) The government classifies forestland into five functional categories, but the actual state of land utilization and socio-economic aspects are totally neglected in this classification, because the main

criteria for the classification used are the degree of slope, fragility to soil erosion, and strength of rainfall.

- 4) In Central Java the recent economic crisis triggered many young migrant workers to return to their home village because they had lost their jobs in Jakarta. Since then, some may started illegal logging and illegal cultivation.
- 5) Especially in Java, organized illegal logging can be a great obstacle to sustainable forest management by local people as well as by the national forest corporation.

<Internal constraints on local participation>

- 1) In a village where a customary forest management system does not exist in East Kalimantan, loose norms cannot function as a sound basis for enforcing observance, and as a protective wall against external pressures.
- 2) In such a village, weak collaboration makes it difficult to develop any form of village-wide forestry program, and high competition for forest products, particularly timber, has caused the people to be more careless about sustainability of the forests.
- 3) In two villages of East Kalimantan, village leadership based on the law of village government does not generate local participation and tends to disintegrate the communities by serving the governmental interests.
- 4) In Southeast Maluku, the younger generation tends to cut trees in the customary forests to get money for commodities and frivolities.
- 5) In Central Java, illegal logging can be seen in the national forests (managed by national Forestry Corporation, Perum Perhutani) probably conducted by local people who own little or no farmland and cannot work outside the village. They may log to obtain firewood to be used to produce brown sugar from the coconut palm.

2.4. The Philippines

<External constraints on local participation>

- 1) A major external constraint on PFM appears to be an attitude that imposes government-designed forest projects on upland communities, where local people are requested to follow them, to act as tools of the government.
- 2) In most cases, these projects do not consider local conditions such as land use, people's dependence on forest resources for their livelihood and the local value systems.

- 3) Requiring local people to participate in the government-designed reforestation projects brings about adverse effects, including resistance and conflicts between the government and local people, as well as among the local people themselves.
- 4) NGOs may be expected to play substantial roles, not as instruments of the government, but as catalysts to empower the local people in formulating solutions on their own to existing problems.
- 5) Most small-scale loggers think the forests are still controlled by the government, because logging in all CBFM sites was suspended in 1988.

<Internal constraints on local participation>

- 1) In Banaue, few internal constraints of social and cultural aspects towards forest management can be identified.
- 2) In Banaue, even though the people have a desire to improve the stand quality in private forests by planting trees, particularly trees for woodcarving, they do not intend to do so if they have to pay for seedlings.
- 3) In Banaue, planting seedlings for woodcarving materials in the community forests is hardly expected, because it may be difficult to find witnesses of the plantation activities in the community forest since they are necessary in order to claim one's ownership on planted trees.
- 4) In Sierra Madre, there are some conflicts between the cooperative or an executive body of CBFM program and illegal loggers, and between the cooperatives and new migrants. Even the members of the cooperative expect benefits from the cooperative rather than self-sacrifice, because the cooperative is a kind of a functional group.
- 5) In Sierra Madre, the policies of the cooperative sometimes fluctuate, because the requests of the government and the villagers contradict each other.

2.5. Lao P.D.R.

<External constraints on local participation>

- 1) Decrees or implementation ordinances to enforce the Forestry Law have not yet been issued. According to the government officer who participated in the workshop, the government has issued the Decree No. 198 in 1998. But we have not examined the decree.
- 2) When converting from an existing land classification allowing use by the local people to official land under the Land Law and Forestry Law, important points are whether the present land/forest utilization and ownership are officially approved or not.
- 3) Application of the official land use classification to the land, such as swidden land, customary conservation forestland and dense forestland, is said to be difficult.

- 4) The swidden land at present includes the land under cultivation, fallow, and grassland. Officially, however, the land regarded as degraded at present is classified into degraded forest land, the land regarded as young bush fallow into regeneration forest, and the land regarded as old forest fallow into village-managed protection forest, conservation forest or production forest.
- 5) The problem concerning the land to be classified into degraded forestland is high possibility of afforestation on degraded forestland, although the local people are harvesting NWFP even from grassland.
- 6) The problem concerning the land to be classified into regeneration forest (village-managed) is every probability to neglect the fact that the local people have customary tenure rights for all swidden areas, including the fallow land.
- 7) Classification of swidden land into degraded and regenerated forest land, has been planned on the presupposition that swidden agriculture should be abandoned, even though most of the local people make their livelihood by swidden agriculture.
- 8) The problem arisen from classification of felling-prohibited forestland and dense forestland into protection, conservation, and production forest is every probability that customary forest utilization is not permitted, even though the local people harvest forest products from the forestland covered with every vegetation.
- 9) Criteria for demarcating the core zone and buffer zone in NBCAs are not clearly defined. The local people do not understand the restrictions of forest utilization in core and buffer zones. 10) In reality, production forests, agricultural land, and even house lots are included in the buffer zone of NBCAs. This fact is inconsistent with the purpose of NBCAs to conserve biodiversity.

<Internal constraints on local participation>

- 1) A lack of flat land suitable for sedentary agriculture and it ' s the land ' s low productivity force the local people to practice swidden agriculture on the degraded uplands.
- 2)The non-agricultural economic sectors are not developed enough to provide adequate income sources, and the market system is also not well developed. As a result, local people are forced to depend on the forest products.
- 3)The local people do not understand their rights and duties in managing forest in the village territory. As a result they sometimes do not enrich or regenerate the forest areas after land or forest allocation has occurred.
- 4)Actual forest utilization by the local people does not change even after establishing NBCAs. 5) Customary forest utilization cannot automatically be regarded as sustainable.

2.6. Vietnam

<External constraints on local participation>

- 1) Bureaucracy and centralized top-down decision making at the local level can be obstacles to participation of the local people.
- 2) Although forest should be classified into three categories, there are no authentic criteria and indicators for forest classification.
- 3) The budget and human resources to implement the program of land/forest allocation are limited. As a result, the local authorities can not conduct this work effectively.
- 4) Local authorities have not paid attention to the fact that for local people swidden agriculture has been essential during transitional periods.
- 5) Arrangements and agreements on jurisdiction between the local authorities and national government seem to be insufficient.
- 6) There is no effective system or program to promote PFM by fundamental groups and villages, even though villages can undertake contracts to protect natural forest in national parks.
- 7) The national park system conflicts fundamentally with the livelihoods of local people.

<Internal constraints on local participation>

- 1) People believe that the collection of forest products is legal even though it is illegal in ecological rehabilitation zones of special-use forests and critical protection forests.
- 2) The custom of exchanging ideas and experiences is not mature, which makes it difficult for people to acquire new ways of thinking and doing, such as legitimate PFM.
- 3) The linkages among households have been very loose and group of households have not worked together to accomplish common goals.

3. Measures for Sustainable Forest Management and Participation of Local People

The sustainable forest management is a common goal of international society for ensuring to be a sustainable society. However, the current situation of local forest management is far from this context due to a lot of obstacles as mentioned above. One of the major obstacles is a gap between the legal and administrative system related forest management and the actual situation of forest and land use. In order to fill the gap, an appropriate legal and administrative mechanism, with flexibility and decentralized approach, which adapts to the actual situation of forest and land use is essential. In addition, it also requires participation of local people in order to adapt existing laws and systems to the actual local situation of forest and land use and ensure effectiveness of the system.

Towards this direction IGES FCP proposed that the following legal and administrative measures for the effective participation of local people should be examined positively and a base of policies for realizing sustainable forest management.

First of all, a law should assure the participation of local people in a process of the sustainable forest management. Then, appropriate administrative measures should be taken by the governments to ensure effective participation of local people in the process of forest management such as, decision making process, the management process of the protected area, the planning and implementation process of the international aid program, the granting process of the forest concession. One of important measures is development administrative program. The program should be revised periodically and coordinated with relevant programs. Beside it should give opportunities of expressing views of local people in the processes and their views should be highly taken account of in it. In the process of program, sufficient advice from experts should be provided. Moreover, national governments are required to support, instruct encourage local government to take every necessary measure to ensure participation of local people. With respect to developing countries, international assistance is necessary for developing the program and implementation of it under participatory approach.

In order to enhance implementation of the legal and administrative system on forest management, training programs for such key actors as government officers, members of NGOs, journalists and local people should be organized with special emphasis on .the values of forest and necessity of participation of local people.

Ensuring the benefit of local people is also a key requisite for sustainable forest management under the participatory approach. For the directions, first, a legally authorized collective forest management by local people should be encouraged and supported with a priority over the large-scale forest management by corporations in the process of forest development. The necessary technical supports should be provided. Where appropriate, the collective forest management bodies should be authorized by the relevant government to carry out necessary regulations. In developing the forest plans, coordination among relevant ministries and authorities to the collective management is necessary. Second, individual-based forest management should be supported through the legal assurance. Local people have rights over the forest in concern and a plan for supporting the tree plantation and benefit sharing should be established in order to ensure the rights of local people.

In order to secure the rights of local people, “dispute settlement system” including an informal mechanism should be established or modified. For this direction, the reliable and independent informal dispute settlement mechanism or the ombudsman system is necessary. The mechanism should include the procedures for objection or appeal aiming to ensure a public objection to the government decision. From the viewpoint of good operation, an option to chose/agree with a dispute settlement mechanism, through legal forum or out of the court should be ensured. The recourse to the traditional conflict resolution mechanism should be considered deciding which mechanism should be appropriate for the resolution. In addition, information disclosure and such support as necessary expert’s advice and appropriate financial assistance can be essential for proper operation.

4. Next Steps

A goal of the IGES FCP is to develop strategy for desirable forest conservation and sustainable forest management. Although many approaches should be taken into consideration to achieve the goal, for the second phase the project fixes more focusing objectives based on the outreach of first phase activities, which were partly referred above. That is to develop local guidelines (**IGES local guidelines**) and national guidelines (**IGES national guidelines**) for meaningful participation in forest management at the local and national level. The local guidelines are expected to be utilized at local activities, to compose an important part of national guidelines together with other field projects concerned, and to be presented at international conferences. The project called the attempts "**local approach**" where a viewpoint shifts from local level to national and international level.

In addition to the objective, the project is going to develop recommendations (**IGES policy recommendations**) to ensure the effective application of international treaties on local participation in forest management at national level for participation in forest management. This activity is called "**international approach**" where the viewpoint shifts from international level to national and local level.

IGES FCP project expects that two approaches, such as local approach and international approach, will be intersected, blended, and synthesized at national level discussion, especially in the process to elaborate the IGES national guidelines.

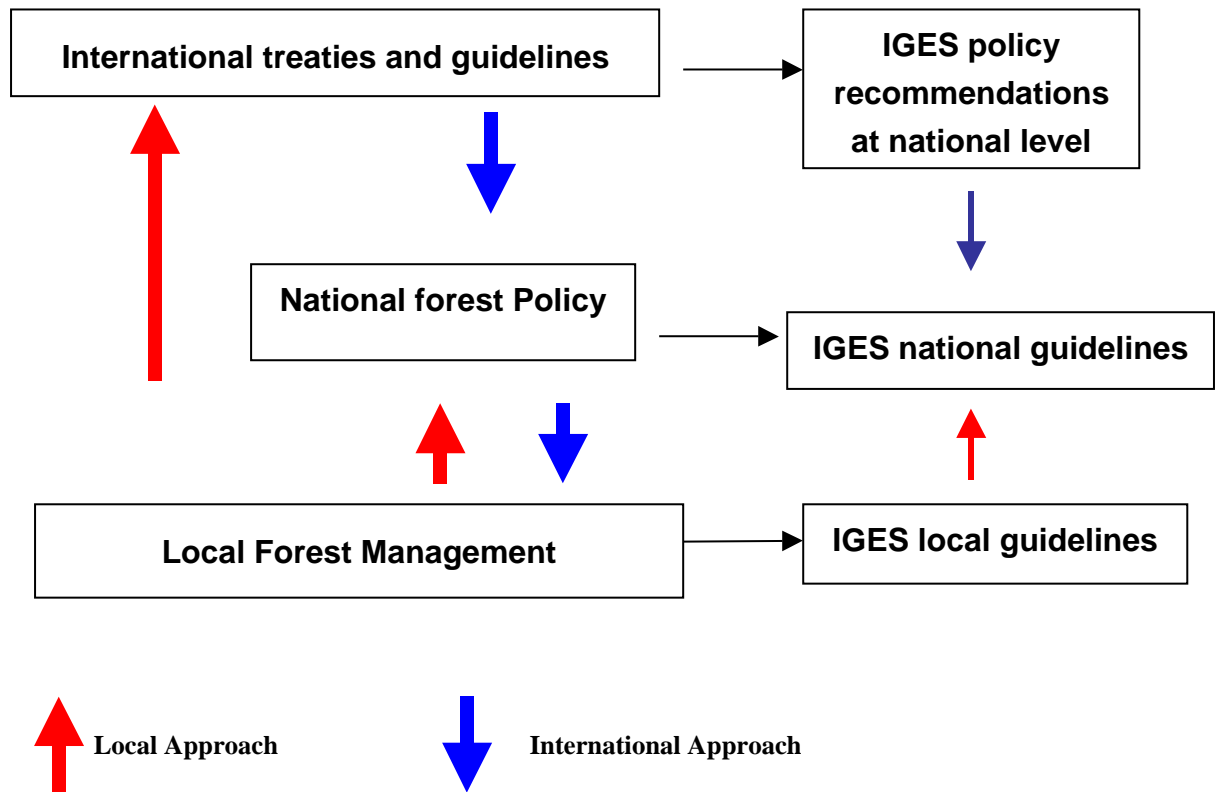


Figure 1. Two approaches in 2nd Phase Research of IGES FCP

Part 2. Record of Policy Dialogue Workshops

1. Overview of the Workshops

From June to September in 2000, the Forest Conservation Project held Policy Dialogue Workshops about investigations targeted at three countries for the purpose of devising policy proposals in forest conservation. These workshops invited government officials, researchers, and representative from NGOs from the targeted counties. Through "bottom up" processes, discussions were aimed at drafting the elements for forest conservation that IGES had presented, and policy recommendations for sustainable forest management. In each workshop, discussions based on the real situation of each region were held, and meaningful results about the practical schemes for policy proposals were obtained. In addition, the co-organizers of the series of workshops agreed to continue the collaboration in the Second Phase.

1.1. Workshop in Jakarta

Date: June 27 - 28, 2000

Location: Indonesian Institute of Science (LIPI, Jakarta, Republic of Indonesia)

Organizers: IGES and LIPI

Participants: participants connected with forestry department in Indonesia and the Philippines, representatives from local NGOs, and others related to JICA

Summary of discussions: Comments based on the real situation of Indonesia and the Philippines was gathered. In particular, the primary causes for the destruction of forests in the region concerned, and suggestions and opinions for the revision of the Policy Recommendations for Participatory Forest Management were raised, so that it was possible to reexamine the draft for forest conservation strategies.

1.2. Workshop in Vientiane

Date: August 2 - 3, 2000

Location: National University of Laos (NOUL, Vientiane, The Lao People's Democratic Republic)

Organizers: IGES and NOUL

Participants: participants connected with department of agriculture and forestry in the governments, universities and NGOs in Lao PDR and Vietnam, and the forestry sector in Cambodia

Summary of discussions: Comments based on the real situation of Laos and Vietnam, regarding the draft of elements for forest conservation strategies that was presented by IGES, was gathered. In particular, opinions and suggestions for revision of each country's strategies for participatory forest management in the relevant regions were raised, and the draft of forest conservation strategies was reexamined.

1.3. Workshop in Khabarovsk

Date: September 19-21, 2000

Location: Economic Research Institute, Russian Academy of Sciences, Far Eastern Division (ERI, Khabarovsk, Russian Republic)

Sponsors: Khabarovsk krai Administration, ERI, the Far Eastern Representative of World Wildlife Fund, IGES, the Forest Trend (USA), the Far Eastern Forestry Research Institute, Friend of Earth Japan, Ecodal (local environmental NGO)

Participants: participants connected with the forestry sector in the state of Khabarovsk, and participants from groups (Japan, China, US) who are developing forest conservation research and activities in the Russian Far East.

Summary of discussion: Comments based on the real situation of the Russian Far East, regarding the draft of elements for forest conservation strategies that was submitted by IGES, were obtained. In particular, instructive suggestions regarding the main structural causes of the destruction of forests were collected, and it was decided that they would continue to reexamine the draft for forest conservation strategies in the relevant regions.

2. Policy Dialogues in Jakarta, Indonesia

2.1.Outline

Title: IGES-LIPI Workshop on Forest Conservation: Developing Strategies for Indonesia and the Philippines

Date: 29-30 June 2000

Venue: LIPI, Jakarta, Indonesia

Organizer: IGES and LIPI



2.2. Summary of the Workshop

SESSION 1: A REVIEW OF FOREST MANAGEMENT IN INDONESIA AND THE PHILIPPINES

Chair : Dr. John Habba (LIPI)

Reporters: Dr. Thung Ju Lan (LIPI) and Mr. Kiyoshi Komatsu (IGES)

Dr. Masanobu Yamane, sub team leader / research fellow of IGES, presented research output on a structural analysis of forest loss in the Asia-Pacific Region. His team targeted seven areas in Asia, all experiencing a rapid rate of forest loss, identifying four main causes: environmental, economic, livelihood and local conflicts. He described the main actors in forest loss as the local and national governments, foreign markets and local people (although mainly victims of other actors' actions). He concluded that the market force was profit-orientated, there was a forest utilization paradigm of timber exploitation for foreign exchange and a corrupted government along with lack of political will for forest conservation. Forest loss is caused by political disorder & economic difficulties while this political disorder and economic difficulties might be influenced by international factors. He recommended that local people be allowed to manage forest conservation based on the community forestry concept, participatory forest management be applied, a market-based measures on sustainable timber trade be introduced and a system of control and legal structures be put in place for forest management.

Dr. Ernesto S. Guiang, World Bank consultant from the Philippines, reviewed current forest management efforts in the Philippines. He mentioned the objectives of forest management through DENR as being to maintain and expand forest cover, provide social equity and the sustainable management of forest conservation. These are conducted through allocation of forest lands, issuance of resource use rights, classification of forest areas as alienable and disposable and issuance of environmental compliance certificates. The history of forests since the 1950s and 60s to the present is that of considerable deforestation. Presently, there are 0,8 million hectares of old growth forests and 11,1 of secondary forests. Forest areas are inhabited by 24 million poor people and about 5 millions hectares of forest is classified as open access. He classified forest areas as: protected areas and forest reserves (managed by the government), timberland and civil/military reservations. He mentioned key forestry policies: Presidential Decree No. 705 of 1975, the 1987 Philippine Constitution, Executive Orders, Local Government Codes and Laws and the Indigenous People's Right Act, indicating an emergence of community-based forest management through

recognition of individual occupant forest area tenure and the organization of communal tenure in open grasslands and marginal lands. He gives the challenges for the future to close open access forests and increase the urgency for local governments to develop plantations, thereby reducing dependency on natural forests for timber.

Mr. Bambang Riyanto, from the Ministry of Forest and Estate Crops, Indonesia, explained the policies and strategies for conservation of natural production forests in Indonesia. He outlined the present condition of forest land use with conservation forests at 21.5 million ha, protected forests at 33.0 million ha, production forest at 58,5 million ha and convertible forest at 8,1 million ha. He then went on to say that production in natural forests was managed under the Indonesian Selective Cutting System (TPI) and then the Selective Cutting & Planting System (TPTI) through concession rights. He outlined the various regulations already in place in Indonesia for forest conservation and the problems faced in implementing them. Among some of the problems faced are low enforcement levels and capacity due to vastness of area covered, the absence of community participation and short-term, profit-orientated industrial activities. He added that the economic crisis and local autonomy policy have and will force major restructuring of the forest management system. He suggested the following strategies for future improvements on the forest management system: (1) creating a new technical guideline for forest product utilization; (2) restructuring the forest concessions system; (3) changing the approach from timber-based management to resource-based management; (4) diversifying forest products for forest industries; (5) allowing local stakeholders to get involved in forest management (6) conducting research to improve the forest management system and (7) promoting SFM certificates.

SESSION 2: POLICY RECOMMENDATIONS FOR PARTICIPATORY FOREST MANAGEMENT IN INDONESIA AND THE PHILIPPINES

Chair : Dr. Thung Ju Lan (LIPI)

Reporter : Dr. Yasmin S. (LIPI) and Mr. Kimihiko Hyakumura (IGES)

Dr. Deny Hidayati, researcher from LIPI, presented a current picture of participatory forest conservation, indicating that most conservation areas have not been surveyed or mapped and more than half of the priority areas have not been clearly designed. She gave examples of national parks destroyed by logging and endangered species of flora and fauna. She explained that conservation was unsuccessful because of poor program designs, management, institutional capacities, dissemination of information and a lack of community support. She added that the top-down or bottom-up approaches to policy-making cause frustrations at the local level because of distortions or disappearances of proposals within the process. She recommended that the policy-making process be two-way, involving all stakeholders at every stage and level, paying particular attention to providing information to and opportunities for local communities to have a say in policy formation.

Prof. Makoto Inoue, sub-team leader of Participatory Forest Management, IGES / Associate Professor of the University of Tokyo, Japan, presented policy recommendations for both Indonesia and the Philippines. He looked at the legal status of areas and the main actors in forest management for participatory management. He emphasized the need for local participation rather than public participation in forest management, aiming policy recommendations at local people, the governments, NGOs and international organizations. His team members conducted policy analysis and fields studies in East Kalimantan, Southeast Maluku and Central Java in Indonesia. He concluded that there are four forest management systems in Indonesia: community, individual, community-based and customary. He recommended that more efforts should be made to secure participation of local people, facilitate collective forest management by revising the community forest (*hutan kemasyarakatan*) program and facilitate individual or household-based forest management. In the Philippines, he conducted field research in Banawe and the northern Sierra Madre mountain region. His team members concluded that there are three types forest management systems: community-based forest management by indigenous communities and indigenous peoples or people's organizations, socialized industrial forest management and protected forest management by indigenous peoples or tenured migrants. His policy recommendations for the Philippines were to secure the participation of local people, facilitate collective forest management and facilitate individual-based forest management.

Prof. Hiroji Isozaki, leader, IGES Forest Conservation Project and a professor of Iwate University, Japan, discussed the differing international attitudes towards a new convention on forest management. There are those who emphasize implementation of existing treaties and those who point out the need for a new, all-encompassing treaty. He questioned the possibility of drafting a comprehensive world treaty, considering the biological, social and cultural diversity between areas. Therefore, he suggested the use of the precautionary principle, which considers environmental, economic and social aspects for nature conservation, through an environmental impact assessment system. He emphasized the importance of public participation in forest management, categorizing 'public' into: general public, public affected or concerned the local community and indigenous people. For indigenous and local communities, forest management becomes a human rights issue, due to their dependence on their surrounding environment for livelihood. The participation mentioned should be active, free and meaningful. He mentioned guidelines for people's participation based on the wetland convention that could be useful for forest issues.

Prof. Shin Nagata, sub-team leader of Timber Trade, IGES and a professor of the University of Tokyo, Japan, presented their research on timber trade policies, looking at forest resource accounts, certification schemes, econometric analysis and the history of timber trade policies and finally, building a spatial equilibrium model. He stated that the importance of forest resource accounts was as a consistent framework from which to consider the relationships between the social economy and the natural environment. The difficulties in constructing the system in developing countries was caused by lack of environmental information. However he remained hopeful that forest accounts would help solve the problems of forest conservation. He outlined the reasoning for free trade in the US Trade Representative Report, including the small impact on the scale of total timber production, an increase in processed timber trade, a more efficient production, greater production from plantations and more income for developing countries. He questioned who would receive this money and how it would be used. He then commented on the assumptions and innocuous statements made within the report, indicating the defects and limitations of the equilibrium model. There is a need for different timber trade strategies for countries with little forest resources (Thailand and the Philippines) compared to those with abundant resources (Indonesia and PNG). He suggested that there should be promotion of domestic markets and domestic forest industries in order to provide economic incentives for planting and tending trees in the private sector. Thus trade restrictions are required for countries such as the Philippines. He concluded with his reasoning for trade restrictions instead of free trade: that monopolistic profit is the norm; it is an infant industry in most developing countries and therefore not yet competitive and there are environmental positive externalities derived from forests that are not taken into account by the market.

SESSION 3: LOCAL EXPERIENCES IN INDONESIA

Chair : Dr. Raldi Koestoer (LIPI)

Reporters: Dr. Deni Hidayati (LIPI)

Mr. Matheus Pilin, from Program Pemberdayaan Sistem Hutan Kerakyatan Pancur Kasih, Indonesia, presented a paper based on experiences in West Kalimantan. He focuses on three points: the concept of *adat* (customary law controlled) areas, factors affecting the degradation of natural resources and the need for policy change and local community involvement in forest management. Mr. Pilin began by explaining traditional management of natural resources based on the concept of the *benua* area. The Dayaks have eight categories of land, including the *kampung lebang* (human settlements), *pekuburan* (burial areas), and mystical areas for praying, cultivation areas, old cultivated areas, *tembawang* areas, and gardens and primary forests. They utilize forest and land according to these categories in a sustainable manner. The Dayak have already established conservation area based on their traditional concepts, known as *Tanah kolak pusaka*. They have also developed concepts of sustainability, collectivity, bio-diversity, and subsistence and *adat* law. Mr. Pilin then discussed three major factors affecting the degradation of forest resources: (1) forest development, for example the government have allocated about 2.2 million hectares of forests for oil palm plantations in this province, (2) government policies that not only ignore but also negatively impact on local communities, and (3) the unbalanced institutional arrangements between the government and local institutions. Mr. Pilin closed his presentation by explaining the crucial need for policy change, particularly in the development of forest resources. For this, he presented 5 recommendations: (1) strengthening local institution capacities, (2) implementation of community based forest management, (3) recognition of traditional and customary rules, (4) increased local institution authority on natural resource management and (5) supporting local institutions instead of creating new ones.

Mr. Ade Cahyat, from Pusat Hutan Kemasyarakatan, East Kalimantan, gave a presentation based on the experience in East Kalimantan. He stated that local communities have developed traditional resource and forest management techniques based on: (1) their norms, values and control of resources, (2) their knowledge, (3) their heritage and (4) their access to the forest, which is greater than that of the government. Mr. Cahyat emphasized that local forest management is already specifically adapted to the natural resources available. However, the government has not supported local communities in managing their surrounding resources so far. For example, “*rattan*” is a potential resource, but has not been fully utilized, mainly due limits in the community’s access to market information. The government does not support the communities with such things as information on how to obtain a license for marketing “*rattan*”. It is therefore difficult for the

community to gain optimum economic value from forest resources. He also explained that the communities do not have the power to control their own resources. Mr. Cahyat stressed that the government does not recognize local institutions, citing Act No.7, 1979 as an example of uniformity of all institutions throughout Indonesia. He emphasized that the government has power, in contrast to the communities - who are powerless. Many conflicts occur in the field, mainly due to inappropriate decisions by the government concerning forest resource management. He then raised the challenge of how to create a link between the government and local institutions and how to differentiate government and community roles in forest management.

SESSION 4 : DISCUSSANTS' COMMENTS

Chai : Dr. Raldi Koestoer (LIPI)

Reporters : Dr. Thung Ju Lan (LIPI) and Mr. Kimihiko Hyakumura (IGES)

INDONESIA:

Dr. RTM. Sutamihardja, from Bogor Agricultural Institute, Indonesia, made two points. Firstly, that deforestation rate predictions by various institutions tend to differ, so it is difficult to create any definite policy based on such data. He gave an example of fire as a cause of deforestation, where the data ranged between 263.991 ha to almost 1 million ha. Which is to be believed? Secondary, that the design for Indonesia's green house gas emissions is made based on 1994 inventories of CO₂ uptake and emission from various energy resources whose data are invalid as they are too small. He added that the reforestation program is mainly unsuccessful.

Miss Mia Siscawati, from the Indonesian Institute for Forest and the Environment, Indonesia, stated that agents of deforestation & forest degradation as defined by Contreras (1998) are: logging companies, plantation companies, mining companies, large-scale agricultural and infrastructure projects, such as Memberamo Dam in West Papua, corrupt government and military authorities, export credit agencies who provide funding for industries, and foreign aid institutions. The direct causes of forest loss in Indonesia are: poor management, over-capacity of wood-based industries, conversion of natural forests, and forest fires. Underlying causes are: political/economic/development paradigms (equality and equity), the administrative system, land and resource tenure and policy interventions of various powerful groups, including Cendana (Suharto's family). She suggested political, social and cultural approaches, through seven actions aimed at opening up decision-making to the public and supporting traditional and local communities to participate in forest management. She proposed policy recommendations for participatory forest management that shift centralized forest management policies into community-based management systems and change the government's role from land manager into facilitator.

THE PHILIPPINES:

Dr. Roberto P. Alonzo, from the University of the Philippines, commented that the various papers presented had mostly talked about local specifics. There are policies for various other fields and other factors that impinge on forestry policies, for example, population, transmigration and economic policies, not to mention the vast area (7000 island), cultural diversity, discontinuity of policies and quality of local governments (the percentage of highly educated government officials). He also suggested that there must be room to examine the community itself rather than community vs. outsiders scenarios, as community members are sometimes co-opted by outsiders (such as

developers), the community's characteristics change over time and there are differences between communities. Another matter he thought should be considered was the rivalry between NGOs (there are thousands of NGOs in Philippines). He suggested that the SFM model observe various interests within different communities and at different levels of administration and that indigenous laws should have more public pressure to be pushed through parliament. He concluded by saying that to change the policy-making system, we must prepare a draft that identifies all stakeholders and includes expected damages for the losers.

SESSION5 : GROUP DISCUSSIONS

GROUP A: INDONESIA

Moderator : Mr. Rinekso Soekmadi (Bogor Agricultural Institute)

Topic : Identifying causes of forest loss in Indonesia and determining policy recommendations as well as legal and administrative measures for participatory forest management and the timber trade.

1. Causes of Forest Loss

Key causes of Indonesian forest loss:

Direct causes: Promotion of forest conversion: HTI, agricultural development, mining, etc.

Forest fires, expansion of slash and burn agriculture

Underlying causes: Market forces (timber) – modern technology, political/economic instabilities – the changes on local people orientation, economic/forest development policy (ex. inappropriate land allocation policy), insufficient legal/administration base

2. Policy Recommendations in terms of Participatory Forest Management

Local community participation in forest management, particularly conservation, faces several difficulties:

A lack of direct benefits for local communities

A lack of awareness concerning conservation and disorientation of the local government (case: West Kalimantan).

Contradictions between conservation activities and the people's needs. Therefore, in defining 'conservation', we must consider the local perspective/meaning.

There are four main objectives for participatory forest management:

- Secure the participation of local people by
- Securing long-term land ownership rights
- Conservation education and awareness enhancing
- Production/management sharing rather than benefit sharing

Creating mechanisms of control over resource use as common property

Operationalize the management of adat* forest. Adat forest should be treated differently to other forests, based on recognition of traditional rights and clearly implemented in policies.

Facilitate collective forest management by revising community forest program (HKM)

Facilitate individual or household based forest management

Local people being those with the following two main characteristics:

Dependency on natural resources from the forest

Responsibility to the forest

3. Policy Recommendations for the Timber Trade

A brief introduction was provided concerning the experience of illegal logging in West Kalimantan. Recognition of indigenous laws and rights, because traditionally local people cut down trees for shifting cultivation and other purposes (housing). However, local people also carry out this activity on a commercial basis, because of competition with outsiders, so a balance must be found. Increased protection of national parks to prevent illegal logging is also necessary.

4. Legal and Administrative Measures

Adopt the criteria and indicators from ITTO as a guideline for sustainable forest management
Considering the aspirations, suggestions and recommendations at the local level in government policy-making. Currently, Act No. 22/1999 gives management authority to the district level
Improve implementation of participatory forest management, enforcing compliance with ratified international conventions
Implement people's participation not only at the grass-roots level, but also at the decision-making level.

GROUP B: THE PHILIPPINES

Moderator : Dr. Juan M. Pulhin (University of the Philippines)

Topic : Identifying causes of forest loss in the Philippines and determining policy recommendations as well as legal and administrative measures for participatory forest management and the timber trade.

1. Causes of Forest Loss

Leading proximate causes of forest loss, export-oriented and unsustainable commercial logging, mining operations, forest conversion, agricultural expansion, commercial ranching

Upland farming: Forest Fires, Government Programs/Projects (eg. Dams, land for the landless, etc.)
underlying causes, open access areas – tenure, failures of industrial plantations, demographic factors
delay in implementation of agrarian reforms, misguided prioritization of DENR, deviant behavior of government officials/organizations concerned, Poverty

2. Policy Recommendations in terms of Participatory Forest Management

* Adat is traditional, customary laws

Increase and sustain support for the implementation of existing participatory forest management policies

Support: a) Sustainable budget: Human resources, Organizational structure/capacity

Target: the Philippine government/DENR, LGUs, NGOs/Pos, Donor Agencies

Continuous advocacy for the elevation of EO 263 to legislative policy

Support implementations of IPR within CBFMAs, ancestral lands, through: IEC, training, surveys, budget

3. Policy Recommendations for the Timber Trade

Liberalize and promote domestic, inter-regional timber trade from sustainable sources

Set up a timber certification scheme from CBFMAs, CADCs and legitimate TLA holders.

4. Legal and Administrative Measures (forest conservation by means of local participation)

Compliance with existing International Instruments, ensure local people's participation

Dispute settlement mechanisms – for future national and international agreements

PLENARY DISCUSSION

Plenary Discussion on INDONESIA

Presenter : Mr. Rinekso Soekmadi (IPB)

Chair : Dr. John Haba (LIPI)

Reporters: Dr. Yasmin S. (LIPI)

Mr Rinekso Soekmadi, lecturer at IPB, in Indonesia, outlined the draft report from the Indonesian group discussion.

Mr. Ade Cahyat, from Pusat Hutan Kerakyatan, East Kalimantan, wished to add 'the absence of power/authority' as a cause of forest loss. As local people have no authority/power in forest management, it is not clear who should be responsible. For example, in East Kalimantan the local government granted rights to local communities for wood collection and logging, but it is not clear who, within the community, benefits from these rights granted. The local government does not consider institutional problems within the communities. Mr. Herman Hidayat, researcher from LIPI, added that there are difficulties in rights granted to local people such as: sharing among local people, common property and boundary definitions. Mr. Takai Hideaki, assitant team leader of JICA, also mentioned that one more significant factor in forest degradation is migrant people who open up areas for their livelihood, such as for slash and burn cultivation.

Dr. Deny Hidayati, researcher from LIPI, commented that another underlying cause of forest loss mentioned should be weak law enforcement. Indonesia has many laws and regulations, but weak law enforcement, particularly in the timber trade. Dr. Yamane Masanobu, research fellow from IGES, added that one of the underlying causes, demographic casuese such as population growth is a significant factor. Not only in forest areas, but also population growth in Java.

Dr. Riwanto Tirtosudarmo, head of the Centre for Social and Cultural Studies-LIPI, pointed out that the political/economic instabilities factor is not quite correct because even in the stable economic situation we still face problems. It is more a problem of political structure. The political structure undermines local participation.

Dr. Ernesto S. Guiang, consultant for the World Bank, the Philippines, asked whether the Indonesian government gives tenure to indigenous people. In his opinion, tenure provides long term vested interest to indigenous people to manage their resources. Dr. Rinekso Soekmadi provided an explanation through a case in Lampung, where 300.000 hectares of degraded land is occupied by local people and the government only wants the function of the land (forest), not the ownership. Now the orientation shifts from ownership to function. There is no certainty of tenure and activities are mostly based on contracts.

Mr. Takai Hideaki commented that the diversity of local communities creates difficulties on the issue of participation. With the inclusion of migrant communities it becomes even more diverse, making it difficult to define participation of local communities. For example, there are three kinds of migrants in Jambi and no traditional democratic procedure to cope with this. Thus, supervision from a professional bureau should be provided. Policy recommendations should be aimed at the district level, not only the provincial/national level. Dr. Thung Ju Lan, researcher from LIPI, added that because the district level covers vast areas (35 villages), which leads to the big questions and of which groups are involved. Thus, we should first identify the community groups, then create a network. Prof. Inoue Makato, IGES visiting researcher, suggested that both local and public spheres be involved. The first step focusing on local participation with local communities as the main concern. In the second step, public participation will be necessary where many more stakeholders are included. Dr. Salve B. Borlagdan, lecturer at Ateneo de Manila University, the Philippines, commented that in the Philippines, the term stakeholder participation is used, with different levels of dependency on the forest: primary, secondary, tertiary. Ms. Mia Siscawati, from the Indonesian Institute for Forests and the Environment, Indonesia, concluded by emphasizing that the term 'indigenous' is specific because indigenous people require special attention and affirmative action in order to attain equal positions with the rest of society.

Plenary Discussion on THE PHILIPPINES

Presenter : Dr. Juan M. Pulhin (University of the Philippines)
Moderator : Dr. Salve B. Borlagdan (Ateneo de Manila University)
Reporters : Dr. Deny Hidayati (LIPI) and Mr. Kimihiko Hyakumura (IGES)

Dr. Juan M. Pulhin summarized the outputs of the Philippine group discussion that consisted of 4 topics: causes of forest loss in the Philippines, policy recommendations in terms of participatory forest management, the legal timber trade and legal and administrative measures.

Major causes of forest loss: (a) export-oriented unsustainable commercial logging, referring to legal and illegal logging, (b) The contributions of deforestation on mining operations, (c) forest conversion relies on export orientation, particularly agricultural expansion in the southern area of the Philippines, such as pineapple and banana plantations and commercial ranching (close to 2 million hectares), (d) upland farming, especially related to subsistence farming and (e) large government programs such as programs for the landless.

Dr. Pulhin also explained that there are seven underlying causes of forest loss: (1) open access areas that cover 30 percent of total Philippine land area (around 10 million hectares), particularly upland

farming, (2) various industrial plantations, one percent of the country timber demand is being supplied by plantations, (3) demographic factors, particularly related to increases in upland populations and large migrations to upland areas during the 1980s (as a result, upland population growth has increased to 2.8 - 3.4 percent compared with the national growth rate of about 2.3 - 2.5 percent), (4) a delay in the implementation of agrarian reform both in upland and lowland areas, (5) misguided DENR priorities and scope in terms of the budget and mining, (6) the deviant behavior of some government officials, especially related to the agencies concerned and (7) poverty (not really discussed, but it is important in the case of the Philippine).

There are three main policy recommendations related to participatory forest management. The first is to promote participatory management in order to increase and sustain support for the implementation of existing participatory forest management, particularly support mechanisms such as a sustainable budget, human resources, organizational structure capacity, not only bureaucratic but capacity building as well, definition of the target groups. The second is continuous advocacy for the evaluation of EO263 to legislative policy. The third is support for the implementation of IPR within CBFMAs, ancestral lands, through a number of strategies such as training, surveys and budget allocation.

There are two policy recommendations on timber trade: (1) to liberalize and promote domestic, inter-regional timber trade from sustainable sources, particularly dealing with barriers to log transportation in terms of permits and (2) setting up timber certification schemes for CBFMAs, CADCs and legitimate TLA holders, particularly to ensure sustainability of resources. With the huge demand in the furniture industry, there is a strong need for certification.

Dr Pulhin also explained about three legal and administration measures: (1) compliance with existing international instrumentality, including forest conventions, bio-diversity conventions and the Philippine Agenda 21 (2) ensuring local people's participation and (3) dispute settlement mechanisms - both national and international agreements (considering multi-stakeholders at various levels).

Then Dr. Pulhin summarized the outputs of informal discussions, including (1) enhancing the capability of communities for sustainability of their livelihood, as government programs do not encourage sustainable livelihood and (2) considering the policy process, the recommendations and critiques by key actors/stakeholders must be involved at various levels in order to ensure that the concept of participatory forest management is implemented.

Comments from members of the group

Francis J. Victoria made several comments, that: (1) it is true that participatory management does exist, but it is not perfect; (2) mining operations interfere with effective forest management as there are overlapping claims over several areas such as mining and CBFMAs claims; (3) the political

rhetoric concerning CBFAs started with the Aquino administration and continued by President Ramos, but there is still the question of tenure issues and legal rights left hanging; (4) the Philippines needs greater legal and administrative measures for violation of forest regulations. There are some moves to increase penalties, at least one major tool to reduce violations, and (5) to ensure local people's participation, there should be institutionalized free and prior knowledge policies for local communities. For example, if a mining corporation is about to enter ancestral lands, there should be more local people's participation in the redrafting of the policy.

Dr. Ernesto S. Guiang commented that environmental compliance certificates are not the issue with the IEC. The problem is the implementation of granting compliance certificates. There are no proactive efforts on the part of the government to monitor company compliance to what is stated in the environmental management certification.

Ms. Salve B. Borlagdan suggested that the Philippines make sure that implementation of CBFMs takes place and is conducted properly and effectively with the entire country involved in learning to implement CBFMs.

Dr. Ernesto S. Guiang closed the discussion with the comment that the Philippines has the written policies, but there is a large difference between the written policy and its implementation. So, closing the gap is the challenge.

CONCLUSIVE DISCUSSION:

Chair : Dr. John Haba (LIPI)

Reporter : Dr. Deni Hidayati (LIPI)

Mr. Herman Hidayat (Center for Social and Cultural Studies) questioned the criteria for liberalization and promotion of the timber trade in developing countries, particularly concerning local and national government policies. He gave an example of Sanggau, West Kalimantan, where illegal cutting and smuggling from this area to Serawak, Malaysia occurs on a large scale, but the police are unable to prevent this. In this case, how do you liberalize the timber trade? Mr. Yuichi Sato (JICA) explained that it is a case of strengthening sustainable resources rather than unsustainable resources such as illegal logging. We can never completely stop the transport of illegal logs to other areas. But, if it is sustainable, it will be transported freely throughout the country. Both liberalization and regulations are important.

Dr. Raldi Koestoer mentioned that the tollgates for the timber trade in the Philippines attracts corruption and so maybe the certification scheme would also attract corruption. Mr. Raldi suggested looking at monitoring or evaluating systems. Dr. Ernesto S. Guiang explained that it is really part of the international certification procedure. The Philippines has a large furniture industry, exporting 95% of its products to Europe and the US and the biggest problem now is using internationally certified wood from sustainably managed forests. In the Philippines, the only source of wood from natural forests are the CBFMs and six timber license agreements. So, if the CBFMs are certified as sources of sustainably managed forests, they could then supply furniture-makers with the raw materials, selling the produce to Europe and the US. Dr. Salve B. Borlagdan added that the forest certification scheme is basically aimed at export-oriented wood industries.

Mr. Harry Susanto asked how the Philippines could differentiate between community-based forest management and indigenous people. Dr. Ernesto S. Guiang answered that there is no difference, only with tenure. The tenure for community-based management is mostly given to organized upland communities. In terms of harvesting, indigenous people can access all resources, but the community can only access forest resources.

Dr. Sutamiharja mentioned the ITTO Bali meeting and the tasks to begin in the year 2000. There are two types: one related to the environment, regarding certification of sustainable forest management and the other, eco-labeling. Dr. Ernesto S. Guiang admitted that the Philippines is under less pressure than Indonesia. The Philippines only has 6 timber license agreements, producing 0.5 million m³ of wood from natural forests. Indonesia has industries that are so large they feed the export market. Ms Mia Siscawati made several points on the ITTO, including that: (1) the ITTO produced a non-legally binding agreement for sustainable forest management, including Indonesia, the Philippines and other ASEAN countries. In order to implement the agreement, the Indonesian government has

produced the Ministerial Decree for Sustainable Forest Management, compulsory throughout the country; (2) the issue of forest certification came up as a tool to convince people to trade in wood from sustainable resources. There was a debate as to whether the certification should be compulsory or voluntary. There is no government role in the certification process as the forest council is the accreditation body; (3) forest certification is still in the preliminary stage. Although forest certification has been used in Indonesia for seven years, there is still debate about what kinds of certification should be implemented. Indonesia faces a very difficult situation because it does not wish to repeat the experience of AMDAL and (4) certification is not only for timber export but also a tool to bring about public participation, because of international and domestic demand. Dr. Ernesto S. Guiang added that certification is not a self-serving process; it is voluntary and market driven. Ms Mia Siscawati, from the Indonesian Institute for Forests and the Environment, asked for clarification of free and prior consent systems in the Philippines with regards to ancestral traditions of forest communities. Mr. Francis I Victoria explained that free and prior consent systems are used in the context of ancestral lands of indigenous cultural communities or indigenous people as these communities are usually in forest areas. This type of system can be implemented in forest areas and genuinely adapted and practiced through informing the communities and requiring their consent before anything is carried out in their area.

2.3. Program

Day 1: Thursday, June 29, 2000

8:30-18:30 Workshop

8:30-9:00 Opening Remarks: **Mr. Herman Hidayat** (LIPI)*

Prof. Hiroji Isozaki (IGES)

Dr. Taufik Abdullah (LIPI)

9:00-9:15 Introduction to the Workshop: **Mr. Martinus Nanang** (IGES)

9:15-11:00 **Session 1: “A Review of Forest Management in Indonesia and the Philippines”**

Chair: **Dr. John Habba** (Center for Social and Cultural Studies, LIPI)

Presentations:

Dr. Masanobu Yamane (IGES)

“Forest Loss in the Asia-Pacific Region”

Dr. Ernesto S. Guiang (World Bank)

“Assessment of Forest Management in the Philippines”

Mr. Bambang Riyanto (Ministry of Forestry and Estate Crops)

“Conservation Strategies for Productive Forests”

11:00-11:10 Coffee Break

11:10-12:50 **Session 2: “Policy Recommendations for Participatory Forest Management in Indonesia and the Philippines”**

Presentations:

Dr. Deni Hidayati (Center for Population and Manpower Studies, LIPI)

“Towards Participatory Forest Conservation in Indonesia”

Prof. Makoto Inoue (IGES)

“Policy Recommendations for Participatory Forest Management in Indonesia and the Philippines”

Prof. Hiroji Isozaki (IGES)

“Legal and Administrative Measures: Principles of Forest Conservation by Means of Local People’s Participation”

Prof. Shin Nagata (IGES)

“Policy Recommendations in terms of the Timber Trade”

12:50-13:30 Lunch Break

* Indonesian Institute of Sciences

13:30-14:15 **Session 3: “Local experiences in Indonesia”**

Presentations:

Mr. Matheus Pilin (Program Pemberdayaan Sistem Hutan Kerakyatan Pancur Kasih), West Kalimantan

“The Environment and the Role of Traditional Knowledge: A Case of Fair and Sustainable Environmental Management by Traditional Dayak Communities”

Mr. Ade Cahyat (Pusat Hutan Kerakyatan), East Kalimantan

“Reducing the Government’s Scope of Authority in Forest Management in Indonesia”

14:15-15:00 Discussants’ Comments:

Indonesia:

Dr. RTM. Sutamihardja /Ms. (Agricultural Institute of Bogor)

“Deforestation, Rehabilitation and Protection of Forests”

Ms. Mia Sisawati (Indonesian Institute for Forest and the Environment)

Dr. Ruperto P. Alonzo (University of the Philippines, Diliman).

15:00-16:15 Group Discussions: “Causes of Forest Loss, Policy Recommendations and Legal and Administrative Measures for Participatory Forest Management and the Timber Trade

Chair: **Mr. Herman Hidayat** (Center for Social and Cultural Studies, LIPI)

Moderators:

Group A: Indonesia **Mr. Rinekso Soekmadi** (Faculty of Forestry, IPB)

Group B: the Philippines **Dr. Juan M. Pulhin** (University of the Philippines)

16:15-16:30 Group Discussions (continued)

18:00-20:30 Reception

Day 2: Friday June 30, 2000

8:30-14:30 Workshop

8:30-10:00 Plenary Discussion 1: Indonesia

10:00-10:15 Coffee Break

10:15-12:00 Plenary Discussion 2: the Philippines

12:00-13:00 Lunch Break

13:00-13:30 Conclusive Discussion, Chair: **Dr. John Habba**

13:30-14:00 Closing Remarks: **Dr. Riwanto Tirtosudarmo** and **Prof. Hiroji Isozaki**

14:30 - Excursion to the Bogor Botanical Garde

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3. Policy Dialogues in Vientiane, Lao PDR

3.1. Outline

Title: IGES-NUOL Workshop on Forest Conservation, Lesson from Lao P.D.R. and Vietnam.

Date: 2-3 August 2000

Venue: Conference room, Faculty of Forestry, National University of Laos (NUOL), Lao P.D.R

Organizer: IGES and NUOL



3.2. Summary of the Workshop

SESSION 1: PRESENTATION OF THE RESEARCH FINDINGS FROM IGES AND EACH COUNTRY EXPERIENCE

Chair and reporter : Mr. Bounmy Phonesavanh

Presentation of IGES's Research Findings

1. Dr. Masanobu YAMANE, sub team leader/ research fellow of IGES, presented causes of forest loss in the Asia-Pacific Region. He stated that the “ Structural Analysis of forest loss”, which was conducted by his research team, focussed mainly on the underlying causes of recent deforestation and forest degradation in the Asia-Pacific Region. Through this procedure clear pictures of structural context of recent forest loss in the Asia and Pacific region were grasped.

Forest loss in his three different target groups were presented. First group includes the Philippines, Thailand and Vietnam. Forests in the Philippines and Thailand were first exploited for commercial logging and after that deforestation was caused by forest conversion projects for agriculture and commercial ranching and forest degradation due to industrial tree plantations. In Vietnam, at least 2 million hectares were deforested quickly due to the direct and indirect impacts of the Second Indochina War. After 1975, deforestation has continued at a high peak from land clearing in accordance with their policy of rice self-sufficiency, in-country migration, coffee plantations, shifting cultivation and logging as a financial source of the military. The second group includes Indonesia, Lao P.D.R. and Cambodia. The proximate causes of forest loss vary from country to country. In Indonesia, mainly commercial logging and forest conversion projects have caused deforestation, and recently, frequent large-scale forest fires have accelerated forest loss. In Lao P.D.R., large forests were destroyed during the Second Indochina War and then cleared in compliance with a rice self-sufficiency policy, hydropower development and other forest exploitation with industrial emphasis. In Cambodia, a rapid deforestation caused by land clearing for crops and chaotic logging under the protection of powerful people and the military took place. The third group includes southern part of the Russian Far East, with boreal forest cover. In the area, forest degradation, not deforestation, has occurred mainly because of unsustainable forest exploitation for log-export and frequent large-scale forest fires.

He also indicated the impacts of forest loss within these target areas in terms of environment, economic, livelihood, land conflicts, and land alienation, and then summarized roads to forest loss. He also identified different agents/ actors effecting to forest loss. Root causes of forest loss were also classified as: market forces, economic or forest development policies, legal/ administrative base of forest management, and social and economic conditions.

Finally, to overcome forest loss in the Asia-Pacific Region, he suggested that effective measures to prevent or stop the major proximate causes of recent forest loss should be clarified. In addition, the members of the sub-team have proposed strategic solutions grouped into six headings: government responsibilities, forest development, forest fire control, community forestry and participatory forest management, sustainable trade, and international responsibilities.

2. Prof. Philip Hirsch presented the underlying causes of deforestation in the Mekong River Basin. He briefly presented the proportion of forest cover in the Mekong River Basin area, as well as the remaining total forest cover in Lower Mekong Basin countries (Thailand, Vietnam, Lao P.D.R, and Cambodia). The regional issues were that Thailand's logging ban led to an immediate shift of

interest among Thai timber traders to neighboring countries, and the post-1989 pattern of exports from Burma, Laos and Cambodia reflects this clearly. Hence, illegal cross-border timber sales are known to inflate these figures considerably. The accessibility afforded by the expanded regional road network can be expected to increase the rate of log extraction and, more generally, encourage settlement and clearance of land for cash cropping in hitherto isolated parts of Laos and Cambodia in particular. Hydropower projects promoted under the same program also involve forest clearance and increased access to hitherto remote forest areas. The market development promoted by the program also puts pressure on non-timber forest products.

Prof. Hirsch then summarized major proximate causes of deforestation in the Mekong River Basin as follows; Thailand- logging, forest clearance for cash crops, shifting cultivation, rubber plantation, shrimp farming, and zoning of land and expansion of protected area; Laos- direct and indirect impacts of the Second Indochina War, land clearing for rice self-sufficiency, spontaneous and government-promoted migration, shifting cultivation, hydropower development, and industrial emphasis; Vietnam- direct and indirect impacts of the Second Indochina War, land clearing for rice self-sufficiency, planned in-country migration, coffee plantation, shifting cultivation, and financial source of the military from logging; and Cambodia- land clearing for crops and logging under the protection of powerful people and the military. He said that underlying causes of deforestation are: military-controlled logging, political instability, foreign exchange, logging concession process, in-country migration policy, regional timber trade, industrial emphasis, and discursive contestation.

Finally, he proposed seven recommendations for desirable directions, land tenure system to ensure community based forest management, participatory and transparent logging concession process, careful intervention of international donor communities into non-forest development projects, learning from the experiences in Thailand, regional coordination on the impacts of deforestation, education on forest-related issues for building awareness among journalists and consumers in Thailand and Vietnam.

3. Prof. INOUE Makoto presented policy recommendation for participatory forest management. He explained the framework used to elaborate policy recommendation. First, he identified the “external constraints” on local participation and “customary land rights and forest/land management by local people”. Second, he identified “internal constraints” immanent in the local communities in terms of economic, social, and cultural aspects. Third, he clarified “possible main actors” by means of evaluating the local realities and national forest policies. He also identified the lessons learned from public participation in developed countries and elaborated policy recommendations to overcome the internal and external constraints.

Then he briefly presented his research results, which illustrated that Southeast Asia countries could not manage their forest in a sustainable way under the principles of conventional and industrial forestry, whereby the local people have been considered to be obstacles or constraints on forest management. “Social forestry” was recognized as an important norm or principles to produce successful sustainable forest management, even though industrial forestry has been dominant in practice. He placed activities of forest management into four categories: tree planting, harvesting, conservation, and protection. Legal status of land and main actors of forest management was used as analytical framework. Also seven points of lessons learned from policies in the United States of America, New Zealand, and Japan were raised. Finally, he proposed 11 principles to elaborate policy recommendation in order to facilitate the participatory forest management in each country.

4. Prof. Hiroji ISOZAKI, Project Leader of IGES Forest Conservation Project, presented legal and administrative supporting measures: draft principles on local people's participation. From his research he found that many international instruments relevant to forest conservation already exist, but consensus has not yet been reached on adopting a "Convention on Forests". Several countries thought that existing international instruments dealing with forest management are already enough, while others need to establish new international legal instruments.

Through characteristics of measures dealing with nature conservation issues, he pointed that there are many instruments relate to forest and most of them require contracting parties to take account of the environmental values in the decision-making, implementation and evaluation process relating to governmental policies. He proposed that due do complex and diverse Eco-systems, the processes of nature conservation should make use of the "Precautionary Principle" in order to avoid irreversible changes to Eco-systems. In using the "Precautionary Principle" the environmental, economic and social aspects should also be considered. Public participation, especially the participation from local people, is also an important principle.

Through the measurement of public participation in international treaties he assumed that two major elements should be considered. First, the composition of participants can be an important element. The term "public" includes general public, the public affected or concerned, the local community or local people, and indigenous people, and second element is the level of participation which include access to information, participation in decision-making, involvement in implementation and access to means of redress. Other elements include the accountability of local and indigenous communities, the demarcation of rights and responsibilities of local and indigenous communities and people, the costs and benefits of public participation, and stable funding for public participation.

Three points of experiences gained from target countries were: a meaningful consultation process with local people and ensuring benefits for them, cooperation among the central government, local government and local people, and recognizing the rights of local people and a dispute settlement mechanism. Finally, he recommended that consideration of measures on forest conservation at the international level by enhancing existing compliance mechanisms and its coordination. Four points of important principles of public participation were revealed and proposed to be considered: 1) The participation of local and indigenous peoples should be respected and ensured. 2) Forest management systems should adopt the "Subsidiary Principle". 3) Guidelines from Ramsar Convention on wetlands are useful. and 4) Based on learned experience, several actions are necessary to ensure local people's participation.

Finally, concerning the dispute settlement, he proposed that it is important to clarify and guarantee basic rights of indigenous people by law. In addition, the introduction of a system of environmental impact assessments will be a useful method to improve the participation of local people, as well as a neutral and independent mediator with no vested interest in the case or the parties should be involved in the conflict solution mechanism. The rights of people should be clearly defined and reliable in court.

Presentation of Each Country Experience

1. Mr. Bun Hom Oun Many summarized the deforestation in Cambodia focussing on Ratanakiri province, Northeast Cambodia. He explained briefly the location of Cambodia especially the Ratanakiri province. Then, he presented the root causes of deforestation, deforestation in Ratanakiri, and recommendations for Royal Government responsibilities. The root causes of deforestation were poverty, population growth, the demand of arable land and fuelwood and increased supply of charcoal to the urban population. And other causes were civil war, political rivalries, corruption, military control, investment, regional dynamics, over allocation of land, limited institutional capacity, and inadequate development and funds for administration. Besides, the specific causes of deforestation in Ratanakiri province were exploitation forest for finance reconstruction and basic infrastructure between 1980-1993, political revelries and economic liberalization policies. Logging operations controlled by local police and military and illegal export during 1997-98, exploitation without management plans by HERO Taiwan company, agricultural land concessions for oil palm and coffee plantations and small scale speculators, promotion of individual land titles and cash crop, and swidden cultivators were additional causes.

Finally, he recommended that the Royal Government of Cambodia (RGC) should continue regulating and monitoring forest situation in order to balance state, business, and local community interests with an appropriate master plan, sustainable and equitable development. Transparency and participation in different levels from stakeholders especially local community are also important. .

2. Mr. Bounthene Phasiboriboun presented a speech on the participation of farmers in agro-forestry systems for improving land use and sustainable development in the Training and Model Forest (TMF). He stated that this presentation was based on analysis of existing agro-forestry systems in Sangthong district (1999) and micro project plan of the year 2000. He spoke in detail about an area of about 20,000 hectare in Sangthong district, which is allocated to the Department of Forestry, Faculty of Agriculture and Forestry, NUOL, to be used as Training and Model Forest (TMF). In this area, 4,800 hectares of land covering four villages, was selected as an intervention area. A management plan was elaborated to raise the living standards of people and their awareness of biodiversity, as well as to prevent the degradation of existing natural resources. TMF will also serve as experiment, demonstration and teaching field for internal and external students and researchers.

His research on farmers' participation in agro-forestry systems was one of many researches done in the TMF. The main objectives are to increase farmers' profit and income, improve agro-forestry system and conserve natural resources, improve local marketing, develop agro-forestry education and mechanisms for sustainability and spread of Promotion of Forestry Education Project benefits after phase out. The research was conducted in four villages, Ban Nongboua, Ban Kouay, Ban Napo and Ban Houaytom. Agro-forestry analysis was based on the comparison between four villages and a famous model farmer in Vientiane. From this research he found that there were very few farmers practicing agro-forestry by mix-planting of indigenous species such as mango with pineapple, banana or plant coconut/tamarind/pineapple/orange with banana while others practiced in taunya systems, plant teak with rice, in four villages. He also found that main problems in this practice were teak plantation was not good enough due to late planting and destroy by ants and lack of plantation technical knowledge, lack of extension workers in agro-forestry, and lack of water during the dry season, especially for banana plantation, and marketing are still not

developed. Sihachak Agro-forestry Farm seemed to be successful in terms of egg chickens raised above fishpond.

Finally, he proposed that providing loan to 4 representatives in 4 villages for research experiment, lesson learned from Sihachack Agro-forestry Farm, marketing information support, and products processing development, should be considered.

3. Mr. Le Quang Trung presented forest management systems and participatory forest management in Vietnam. He said that an abundant and diverse forest resources have long been an important role through their daily life and national construction and defense. 19.3 million hectares of land is used for forest development and this land is divided into 3 categories: special use forest land, protection forest land, and production forest land. At the end of 1999, Vietnam had 10.885 million hectares of forest, of which 9.495 million hectares were natural forest. Forest cover in the whole country is 33.3%.

He stated that in facing demands of country's industrialization and modernization as well as economic development on the basis of sustainable development, forestry sector has the heavier task to better manage and protect the existing forests, strive to limit and finally stop forest loss, ensure a safe ecological environment for the country and for agricultural production development while meeting increasing needs of timber and forest products. Therefore, 5 million hectares of tree planting project during 1998-2010 was set up in order to increase an existing forest cover into 43%, supply wood for paper production, wood-based panels, satisfy the demand of timber, firewood and other wood,

Through the forest management system, he stated that in implementing the multi-sectoral economic mechanism, the forestry sector has allocated land contracted out forests to households, individuals and collectives to be used in forestry production and business. Types of forest ownership now are: state forest enterprise, protection forest/special use forest managing board, special use forest management board system, system of protection forest management board, households and individuals, agriculture and forest cooperatives, community, company, and group of other forest masters school, army units, mass organizations and etc. In addition to these great experiences drawn from the success of forest production and development programs are: households are as motive force of the project, self-mastering economic units, treat well the relationship between the benefits of state and the rights and obligation of the people are needed, and participation of local people in all activities in the production process especially in forest planting, tending, managing, and protection are also important. He also explained benefits earned from their participation in different activities.

Finally, six points of difficulties and remaining problems affecting the participation of the people were raised. These are that policy systems encouraging people participation are still limited, lack of suitable forest management, the implementation of policies on land and forest allocation have not been strictly carried out by the localities or the state, the majority of people living in forested areas is at low economic conditions with limited knowledge and educational standard, and the traditional uses of forest products are very wasteful.

Discussion and Comments

1. Causes of Forest Loss in the Asia-Pacific Region

Mr. Martinus Nanang, research fellow of IGES, commented that commercial logging is only one cause of forest loss, so, we should clearly identify logging activities effecting forest loss by different logging groups. While a participant from Vietnam said that causes of forest loss in each country is different, without inter discussion this will never come to a conclusion. Mr. Kitamura, senior expert of JICA, asked the areas of commercial logging in Lao P.D.R. as a base of research finding but Dr. Yamane pointed the difficulties in indicating actual figures because of the lack of survey and the complicated process of deforestation.

2. Underlying Causes of Deforestation in the Mekong River Basin

A participant from Vietnam proposed that this presentation should cover the expectations of the project. He said that military activities in Vietnam were not the main cause of forest loss, not economic unit. Now Vietnam does not export but only imports timber and logs.

3. Policy Recommendations for Participatory Forest Management in Lao P.D.R. and Vietnam

A participant from Vietnam questioned that who is the representative of group in “function of group is main actor and forest manager” and the answer was local community. Mr. Sangthong from Laos commented that policy recommendations, Action 1-3, have already been made but one complete and action 2-1 may not be suitable for Laos, because forest conservation is the responsibility of the whole community. Finally he insisted that to save forests we have to support forests.

4. A Summary of Deforestation in Cambodia, a Focus on Ratanakiri Province, Northeast Cambodia

A participant from Vietnam asked “ what is the future policy on timber export in Cambodia?” The answer was that currently Vietnam doesn’t have export timber or logs, but a few concessionary forest agencies deal with timber exploitation.

A participant from Vietnam asked, where evidence of illegal logging between Laos and Vietnam border was been found? The answer was that we have not studied this matter yet but we will study it in future study.

Mr. Sangthong from Laos asked, what kinds of forest laws Vietnam has? He replied that they have only a forest policy signed by Prime Minister to conserve forests and for the old forest law now is in the procedure of development.

5. Forest Management System and Participatory Forest Management in Vietnam

Prof. Philip asked about the reasons of significant increase of forest cover. The answer was that forest cover increased due to activities of rehabilitation, natural forest regeneration and other activities. An additional answer given by Dr. Do Dinh Sam from Vietnam was that the increased forest cover might be due to different methods and procedures of forest classification.

Prof. INOUE asked whether the forest cover increased in the national land area or natural forest area. He also asked what type of area bareland is included in. He replied that forest cover has increased in the natural forest area and that bareland is not included in it.

SESSION 2: GROUP DISCUSSION ON COUNTRY EXPERIENCE AND DIRECTION OF FOREST CONSERVATION.

Group A : Lao P.D.R.

Moderator : Bounmy Phonesavanh

Topic : Determining policy recommendation for participatory forest management and principles on local people's participation, as well as identifying causes of forest loss in Lao P.D.R.

1. Policy Recommendation for Participatory Forest Management

1.1 Policy

- To develop a forestry law with special reference to article 28.
- To clearly define the responsibilities and beneficiaries between communities and government.
- Awareness building of environment and forest management to local peoples.
- To determine forest a management plan for each forest type.
- To continue and finish land and forest allocation.
- To improve existing village forest committees.
- To stop shifting cultivation by dealing with stabilization one.
- Extension of forest plantation especially in the degraded/ shifting cultivation areas.
- To define policy on utilization wood in plantation and natural forest areas.
- To allow sustainable logging for the direct profit of local people.
- To develop land use planning for communities.

1.2 Research

- To improve forestry research institutes.
- To organize appropriate technology training for improving land use and income generation.

1.3 Participatory activities

- To involve representation of all levels of households or villagers on forest management activities, planning, making decision and etc.
- To encourage and motivate government staffs to provide more support and strategies on how to get more production and sustainable from swidden agriculture rather than to blame local communities.
- Medicinal producers should play more roles in natural forest management since most of their raw materials come from natural forest.

1.4 Income generation

- To improve natural tourism for state and community income generation.
- Extension and support to social/local community to find sources of income generation.
- Local community should benefit from their participation in forest management activities.

2. Principles on Local People's Participation

2.1 Decentralization

- To organize village forestry groups.
- To support reasonable marketing system to farmers.
- Planning for further participation of local people in forest management.
- Close cooperation with local people in drafting forest management regulation.
- Monitoring, evaluation and report activities, as well as planned adjustments are needed.

2.2 Resource ownership

- Mutual benefit
- Transparency
- Frequent collaboration and discussion on forest situation
- Social welfare
- Award and punish
- Promote credit system for villages

2.3 Information and extension

- To provide enough information and education on forest management to local people.
- To establish a model group or family for extension.
- To provide study tours / visits to related stakeholders.

3. Causes of Forest Loss

Key causes of Lao P.D.R. forest loss:

3.1 Livelihood:

- Shifting cultivation
- Slash and burn
- Over non-timber forest products collection
- Population increasing
- Demand for fuel wood
- Overgrazing and
- Traditional hunting

3.2 Development

- Dam construction
- Land expansion for agriculture
- Road construction and mining
- Infrastructure establishment

3.3 Law and regulation

- Inadequate legal framework
- Monitoring and penalty in forest control not stick
- Some gaps in forestry law

3.4 Trade and logging

- Timber export
- Promotion of wood processing for export
- Unsustainable and illegal logging
- Over quota logging

3.5 Management

- Inappropriate land use planning
- Improper wood utilization
- Forest encroachment
- Unsound management of production forest

3.6 Institutional constraint

- Education, qualifications as well as techniques are limited
- Lack of funds

3.7 Others

- Indochina war and forest fires

Group B : Vietnam

Moderator : Dr. Do Dinh Sam

Topic : Determining policy recommendation for participatory forest management and principles on local people's participation, as well as identifying causes of forest loss in Vietnam.

Vietnam's group discussion mainly based on a paper presented by Prof. INOUE Makoto, "policy recommendation for participatory forest management", particular, policy recommendation and principles on local people's participation. The results were provided.

1. Policy Recommendation for Participatory Forest Management

- In objective 1: agreed action 1-1, 1-2, 1-3. Deleted action 1-4 and 1-5. Added action 1-6 with "Strengthening extension and training activities, especially at the local level."
- In objective 2: Deleted content in action 2-3 and replaced by " Customary rights of recognized.
- In objective 3: Deleted action 3-3 and 3-5. Deleted content 3-4 and replaced by "Encourage the use of genetically improved planting stock produced by research." Action 3-7 should be focused on protected areas.

2. Principles on Local People's Participation

- The group agreed on all principles proposed by Prof. INOUE Makoto, except that principle 2 should be treated more carefully, because local people are mostly small producers.

3. Causes of Forest Loss

- Government: poor planning, immigration policy, and infrastructural development.
- Forestry enterprises: poor management and uncontrolled logging.
- Agricultural encroachment due to population growth.
- All kinds of forest violators: serious rate of illegal cutting.
- Local people: illegal cutting and shifting cultivation and
- Indochina War.

Discussion and Comments

Group A : Lao P.D.R.

Chair and Presenter : Bounmy Phonesavanh

1. Mr. Bounmy presented results of group discussion.

2. A participant from Vietnam asked, how big forest and land areas allocated for one household by the Laos policies are? The answer was that it depend on the purpose of utilization, for example, land for settlement 800 square meters/ household, for horticulture 3 hectares/household, for rice production 1 hectare/household and etc. The participant from Vietnam continued to ask how can you stop shifting cultivation and what the result is? Mr. Bounmy explained that building awareness to forest and environment, setting up policy on land and forest allocation, providing extension programs on stable agriculture (rotation cropping/agriculture for example 3 years rotation), and other input from government and NGOs, are tools to stop shifting cultivation. But up to now we can not say that we can stop shifting cultivation, but at least we can reduce it step by step. A participant from Vietnam questioned about what have been done with regard to credit investment. Mr. Bounmy answered that local people will be provided credit from bank or related projects. However, we found that credit system implementation is still limited.

Mr. Vongxay, from Laos, gave additional comments that in land and forest allocation, any person 18 years or above will get not more than 3 hectares. However, he informed the participants that now Laos is in the process of discussing human rights, summarizing target areas for extension and pilot projects. Finally, he reported that now Laos have a draft of ideas on extension service in order to provide credit to agro-forestry and farming activities, credit provision will be lower than bank's credits.

Prof. Philip questioned whether or not the 3year rotation of agriculture by the policy can ensure for long-term sustainable development. Mr. Bounmy answered that it is only traditional understanding, not from study/research, therefore, through this question we have to have study/research it. Mr. Soukkongseng commented that policy on land and forest allocation is the key for forest protection and we have the organizations at all levels to respond.

3. A participant from Vietnam questioned the benefit of sharing mechanisms used in Laos. Mr. Sukkongseng replied that 3 main benefit sharing mechanisms are used in Laos such as state, community, and individual benefit, and that Laos has a forestry law promulgated in 1996 to ensure this mechanism implementation. An additional experience from Mr. Khampha's project, FORCAP, on benefit sharing mechanisms was that the project allows people to plant trees in barren areas and they will get money depending on government and project input. After that the production will be shared between the government, the project and the people depending on signed agreement. Mr. Sangthong, a participant from Laos, gave an additional comment that the mechanisms to get income or benefit sharing may also be from tourism development, especially in Phou Xang Hae National Park, but we have to clearly consider the mechanisms before implementation.

4. A participant from Vietnam asked about the main causes of forest loss in Laos. Mr. Bounmy said that shifting cultivation was the main causes while Dr. Somsy, a participant from Laos, commented that the increase of population and demand for wood may be the main causes of forest loss.

Mr. Sang, Cambodia, said that shifting cultivation takes time but the people has no choice to do it. Therefore, we should not blame them and should try to help them to stop shifting cultivation. With this point, Mr. Sangthong, Laos, agreed with his comment. But in the field of implementation Laos do not blame people whilst we are trying to help them.

Mr. Bounthene, from Laos, reported that conditions of forest loss are similar between Laos and Cambodia based on his experience from Hom district, a special region of Laos.

Group B : Vietnam

Chair : Bounmy Phonesavanh

Presenter : Dr. Pham Hoai Duc

1. Dr. Pham Hoai Duc presented the results of group discussion.
2. After the presentation, Dr. Do Dinh Sam gave an additional reason as to why we have to present administration system. That is to let participants know the activities of Vietnam in forest conservation, community forestry, public and local participation. He also informed participants, Vietnam is now facing many problems due to the encroachment of many ethnic groups who destroyed the forests, especially in the highland areas, despite having a policy to move them down.

Prof. INOUE, from IGES, questioned why the group did not agree on action 2-3.

2. He replied that it was because the people of Laos need their own rights to harvest and replanting forest. For production forest people will get benefit from thinning while in protecting forest they will get protection fee. He also added that Vietnam also has indirect policy, policy on land allocation to people for rubber plantation. Mr. Sangthong, from Laos, observed that offering customary rights to people in high land areas might initiate conflict with the policy on moving them down to lowland. Then he replied that we have no choice because we can not control people's migration.

3. Mr. Bounthene, from Laos, asked him to explain the activities and results from terracing practice in Vietnam. He answered that by doing these activities we are supported with input from the government and some organizations such as SIDA, JICA, GTZ, etc., and people will get benefit from their participation in different levels depending on the signed contract.

4. Mr. Soukkonseng asked who is responsible for forest control in Vietnam. A participant from Vietnam replied that protection department has the rights for this, but we have to improve staffs' knowledge and experience on forest protection, as well as their income. Finally, he informed that now forest police unit is proposed to be established in order to control the existing forest.

SESSION 3: CONCLUSIVE DISCUSSION

1. Prof. Philip asked IGES about the audience of this workshop or IGES' s research results. Prof. ISOZAKI, IGES Forest Conservation Project Leader, explained that the audience of IGES varies depending on related organizations, for example, audience can be government, local people or others who need to use this results as references for forest conservation or management. He also mentioned that some found/ proposed principles might need to be applied in different places. He added more that IGES acting at international level in order to report publish results for all needed levels (government, NGOs, as well as local people and etc.). Finally, he informed the participants that this activity is only the First Phase and in the Second Phase IGES will have pilot or experimental projects, policy dialog, and feedback in order to modify the First Phase of implementation.

2. Mr. Sang, from Cambodia, commented on policy feedback mentioned by Prof. ISOZAKI, saying that it is a very important and useful idea/activity, especially concerning the details of degrees and sub-degrees. He commented that in drafting law/policy should involve people participation. He also observed that this workshop is very useful for Cambodia and it would be better if in the Second Phase IGES could have some activities in his country, because it would provide chance to share experiences and common causes. It would also be better if the discussion include Lao P.D.R, Vietnam, Cambodia, and Thailand. Finally, he experienced his satisfaction with the decentralization policy from Lao P.D.R. and he asked for forest policy and forestry law drafts from Lao P.D.R. to be used as references in developing his country's forest policy and law.

3. A Participant from Vietnam commented that the workshop was good in order to share experiences. However, workshops/meetings for future cooperation as well as establishing common programs are needed. Prof. Do Dinh Sam from Vietnam added that he, on behalf of participants, expressed his sincere thanks for all favors from IGES Forest Conservation Project as well as IGES staff, and finally, he asked for all the report of IGES's activities for Lao P.D.R, Vietnam and Cambodia.

3.3. Programs

Day 1: Wednesday, August 2, 2000

9:10-17:00 Workshop

9:10- 9:30 Opening Session

Chair: **Mr. Khamvieng Xayabouth** (NUOL)

Opening Remarks: **Dr. Saymang Vongsak** (Vice Rector of NUOL)

Remarks from IGES: **Prof. Hiroji Isozaki** (Iwate University /IGES)

Introduction on workshop process: **Mr. HYAKUMURA Kimihiko** (IGES)

Session 1: Presentation of IGES's Research Findings

Moderator and Reporter: **Mr. Boumy Phonesavanh** (NUOL)

9:30- 11:00 Presentations of findings on IGES Research

Dr. Masanobu Yamane (IGES)

“Cause of Forest loss in Asian and Pacific Region”

Prof. Philip Hirsch (Sydney University) and **Satoru Matsumoto** (Mekong Watch, Japan/ IGES)

“Underlying causes deforestation in Mekong River Basin”

Prof. Makoto Inoue (The University of Tokyo/ IGES)

“Policy Recommendation for Participatory Forest Management in Lao P.D.R. and Vietnam”

Prof. Hiroji Isozaki (Iwate University/ IGES)

“Legal and administrative Measures: Principles on Local People’s Participation”

11:00-11:15 Coffee Break

11:15-12:15 Presentation from each country experience

Mr. Song Pholrit (UNDP/CARERE)

“Presentation of Cambodian Experience”

Mr. Bounthene Phasiboriboun (NOUL)

“Presentation of Lao Experience: Participatory of Farmers in Agroforestry systems”

Prof. Do Dinh Sam, Mr. Le Quang Trung (FSIV)

“Presentation of Vietnam Experience: Forest Management System and Participatory Forest management in Vietnam”

12:15-13:15 Lunch (at Campus of NUOL)

Session 2: Discussion on Country Experience and Direction of Forest Conservation (Parallel session)

13:15-15:00 Group Discussion

15:00-15:15 Coffee Break

15:15-17:00 Group Discussion (continued)

Group Discussion for Lao PDR (Room A)

Moderator and Reporter: **Mr. Boumy Phonesavanh** (NUOL)

Group Discussion for Vietnam (Room B)

Moderator: **Prof. Do Dinh Sam** (FSIV)

Reception: Dinner (at Mekong Restaurant)

Day 2: Thursday, August 3, 2000

9:00-12:30 Workshop

Session 3: Plenary Discussion

Moderator and Reporter: **Mr. Boumy Phonesavanh** (NUOL)

9:00-11:00 Presentation of Group Discussion

Mr. Boumy Phonesavanh (NUOL)

“Presentation and Discussion on Group A (Lao P.D.R.)”

Prof. Do Dinh Sam (FSIV)

“Presentation and Discussion on Group B (Vietnam)”

11:00-11:15 Coffee Break

11:15-12:00 Conclusive Discussion on Forest Conservation in Asia and Pacific Region

12:00-12:30 Closing Session

Chair: **Mr. Khamvieng Xayabouth** (NUOL)

Closing Remarks: **Prof. Hiroji Isozaki** (Iwate University/ IGES)

Lunch

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4. Policy Dialogues in Khabarovsk, Russia

4.1. Outline

Title: The International Workshop “Transition to the Sustainable Forest Management Strategy in the Russian Far East Eco-region in the 21 Century”

Date: September 19-21, 2000

Venue: Economic Research Institute, Khabarovsk, Russia

Organizer: Khabarovskiy Krai Administration (Russia),
Far Eastern Representative of World Wildlife Fund (RFE-WWF),
Institute for Global Environmental Strategies (IGES) (Japan),
Forest Trends(USA),
Far Eastern Forestry Research Institute (Russia),
Friends of Earth (Japan),
And Ecodal (Russia).

4.2. Summary of the Workshop

Objectives and Goals

On 19-21 September 2000, an International Workshop “Transition to the Sustainable Forest Management Strategy in the Russian Far East Ecoregion in the 21 Century” took place in Khabarovsk. The Workshop was organized by the Khabarovskiy Krai Administration (Russia), the Economic Researches Institute (Russia), the Far Eastern Representative of World Wildlife Fund (RFE-WWF), the Institute for Global Environmental Strategies (Japan), the “Forest Trends” (USA), the Far Eastern Forestry Research Institute (Russia), the “Friends of Earth” (Japan), “Ecodal” (Russia).

Panel, section and poster sessions took place in the building of the Economic Research Institute.

Officially 61 scientists, experts and businessmen from Khabarovskiy, Primorskiy, and Krasnoyarskiy Krai, Yevreiskaya (Jewish) Autonomous Oblast, Japan, USA, Canada participated in the Workshop (the list is attached). In addition to that, about 20 registered observers were permanently present at the Workshop (Workshop sessions were open for everybody interested).

The goal of the workshop was to consider problems of transition from exhausted to sustainable forest use in the Far Eastern Ecoregion, one of two hundred most important ecoregions of the World. The Workshop can be regarded as one more step towards understanding how to what extent it is possible to combine rational multiple forests use with their biodiversity preserving.

Objects of consideration at the Workshop were:

To analyze forests and forest use of the Far Eastern Ecoregion including in itself Primorskiy and Khabarovskiy Krai, Yevreiskaya (Jewish) Autonomous and Amurskaya Oblasts;

To consider the influences of use and conservation of forest resources in the Far Eastern Ecoregion on ecology and economy of neighboring countries of Northeast Asia (NEA) and Asian-Pacific region (APR).

Day 1:

Opening Session

The Workshop was opened by welcome speeches of the Khabarovsk Krai Administration (Dr. *Vladimir P. Negodyaev*, the Head of the Science Department) and the Economic Research Institute (Prof. *Nadezhda N. Mikheeva*, Acting Director).

First Panel Session

The panel session was opened with a speech by the Khabarovskiy Krai Administration representatives Drs. *Alexander B. Levintal* and *Valeriy V. Guriev* on the status of the forest sector of the Khabarovskiy Krai, its resource base, and main indices of forest industry firms. She also gave predictive evaluations of forest sector development and main trends of the Krai forest policy were determined to withdraw the regional forest use system out of crisis. It was emphasized that the Khabarovskiy Krai forests should be regarded not only as an important factor of the territory economical development but also as a significant portion of boreal Siberian forests shaping planetary climate. In this regard, the problem of rational sustainable forest use acquires international features.

Planetary significance of the Russia Far Eastern forests and necessity of international collaboration in transition to their sustainable management was stressed in the report presented by Dr. *Masanobu Yamane* from the Institute for Global Environmental Strategies (Japan). IGES implements development of strategies of forest conservation in the whole APR and the RFE is the important part of it. The report presented the main results of the researches conducted by IGES in the Primorskiy and Khabarovskiy Krai. They are analysis results of the current legislation system related to forest use; evaluation of forest resources structural changes as a result of timber trade and forest fires; situation at examination in traditional forest use by aboriginal peoples as well as clarification of the problems in organizing and support of specifically protected areas. Recommendations were suggested for the development of the forest conservation strategy in the South of RFE. It includes development of collaboration in forest use management with involvement of all the interested persons; improvement of legislative and administrative base in the sphere of nature use with considering demands for forest conservation (staff training, development of financial mechanism) and so on.

The Head of the Krai Forest Service Directorate Mr. *Vladimir M. Kolomytsev* (Khabarovsk, Russia) spoke on the steps taken to transit to sustainable management of Khabarovskiy Krai forests. He has cited the forest land base inventory data for 2000 year and evaluated the kraie forests status. He also

spoke about problems that the Krai managing bodies faced with in connection with going on reforms of the governing system of nature use in Russia as a whole. This was consonant with the previous report which stated anxiety about the forest future in the Far Eastern Ecoregion, sounded in the speech of the Chief Forester of the Yevreiskaya Autonomous Oblast Mr. *Nicolai I. Dmitriev* (Birobidzhan, Russia). The speaker dwelled on features specific of forest use the Yevreiskaya Autonomous Oblast which have to be taken into account in transit to sustainable forests use.

Conceptual approaches to sustainable development of forest use in the Far Eastern Ecoregion as well as their concrete definition via development of criteria and indicators of sustainable forest management in the Khabarovskiy Krai were presented by the Director of the Far Eastern Forestry Research Institute Dr. *Dmitri F. Efremov* (Khabarovsk, Russia). They were compiled by a numerous group of scientists, practicing experts, specialists in forest use management, and kraï public figures with the support of WWF. The document which was drafted appeared to be the first practical step in the process of development of voluntary forest certification on the Kraï territory.

Significant consideration was given at the Workshop to international interaction in transition to voluntary certification of forests and forest products. Dr. *Hiroaki Kakizawa*, the Associate Professor of the Hokkaido University (Sapporo, Japan) gave his view on the system of voluntary certification suitable for the Russian Far East. He believes that implementation of forest certification is growing more and more urgent for Russia because of demand in Japan for certified produce. Currently Japanese importers are more oriented at Scandinavian partners, which is directly related with fast widening process of certification in Scandinavian countries. In view of this Russian forest, logging companies can loose their share at the Japanese market. Taking into consideration the economic situation in Russia and flexible (for the time being) demands of Japanese customers to certification of forest products, Dr. Kakizawa believes that Finnish certification model is the most acceptable one for the RFE as the first step on the way to higher international standards of forest certification. It secures observation of necessary minimum of demands of the forests sustainable management with the least expenses.

A representative of a non-governmental organization "Forest Trends" Mr. *James Ford* (Washington, DC, USA) has shown that certification of forest products by the model FSC (Forest Stewardship Council) is becoming more and more common in the World. For example in the USA, about 50% of the total sawn timber market are controlled by the certification system FSC. It allows the user to find common points for many potential partners: investors, foresters, industry businessmen, importers, exporters, nature protective non-governmental organizations.

Integration with International system of forest use in the Northeast Asia and Asian-Pacific Region on all the components – economical, ecological, and social – has been accomplished via some international organizations including WWF. The activities program of the Far Eastern WWF Representation on strategy implementation of the forests sustainable management in the Far Eastern Ecoregion was presented to the Workshop participants by the Representation's forest officer Dr. *Tamara V. Rusina* (Vladivostok, Russia).

Natural resource potential including forest resources to a great extent has made a basis for Siberian and the Far Eastern territories and their economic development and for the population. Has evaluation of the role and place of forest resources in the regional economic development changed currently? The speech by Dr. *Yuriy G Benderskiy* from the Institute of the Economy and Organization of the Industrial Production (Krasnoyarsk, Russia) was dedicated to that question. He believes that distribution of natural resource potential does not always correlate with the level of regional economic development. He suggested applying special models to solve problems that are caused by this.

The Associate Professor of the Khabarovsk State Technical University Dr. *Vladimir K. Rezanov* (Khabarovsk, Russia) presented his vision of the regional forest policy model in which economic, ecological and social interests of all the participants of forests relations are combined.

Poster Session

A poster session was conducted separately in the Institute reading-hall. Materials of various organizations were represented at the session. The most numerous materials were presented by IGES. The posters showed a project description on forest conservation of the Institute for Global Environmental Strategies and its results (Dr. *Masanobu Yamane*, Hayama, Japan); forest decrease in the APR (*the same author*); current state of timber trade from the RFE to Asian-Pacific Region (Dr. *Masanobu Yamane*, Institute for Global Environmental Strategies, Hayama, Japan; Dr. *W. Lu*, Chinese Academy of Forestry, Beijing, China; Prof. *Alexander S. Sheingauz*, Economic Research Institute, Khabarovsk, Russia).

Materials of Dr. Peyton W. Owston from the Sustainable Ecosystems Institute (Portland, Oregon, USA) described projects of sustainable forestry executed jointly by the Forest Services of the USA and Russia.

Drs. *Vladimir N. Dyukarev*, *Victor V. Ermoshin* and Mr. *Andrei S. Mursin* (Vladivostok, Russia) have presented results on the use of geo-information system for sustainable forests management in Sykhote-Alyn.

The chairman of the Khabarovsk Ecological Public Foundation "ERF", Mr. *Alexander E. Tsaberyabiy* (Khabarovsk, Russia) showed a video film on ecological tourism.

Day 2

Session on the Forestry Problems of Sustainable Forest Use

Over 20 reports were presented at two sections: forest policy and certification; forestry problems of sustainable forest use.

In this report, Dr. *Alexey A. Sharov* (Blacksburg, VA, USA) analyzed the structure of the new Russian-American project FOREST financed by USAID. It will be implemented in Siberia and in the RFE including the Khabarovskiy Krai and will be targeted at sustainable forest management including forest policy development and implementation of legislation reform in Russia related to forest use. The project will be realized by Winrock International, Chemonic and Heron Group.

Dr. *Vladimir P. Negodyaev*, in his joint report with Ms. *Olga V. Kozlova* (Khabarovsk, Russia), narrated to the participants of the Workshop their vision of the international role of the Khabarovskiy Krai forests being not only a supplier of timber for many countries of the APR but also a regulator of carbon dioxide.

Integration with international system of forest use, striving to preserve former niches and to occupy new ones at the international markets are making Russian forest users gradually shift to standards of forest voluntary certification. Real steps for introduction of forest certification in the Khabarovskiy Krai have already been made. This was the information of Mr. *Nicolai M. Shevtsov* (Khabarovsk, Russia), the representative of the Forest Certification Center. Dr. *Natalia E. Antonova* (Khabarovsk, Russia) spoke in her report on the gap between theory and practice of forest use. Forest use theory, the State forest policy and forest practice are closely related and influence each other. Issues of sustainable forest management are regarded at the theoretical level. However, practical activities in the Far Eastern Ecoregion are still based at exhaustive use.

The concerned sustainable forest use includes not only conservation of forests for the World community but also meeting the interests of all the communities residing in those forests. Dr. *Shiro Sasaki* (Tokyo, Japan) considering conditions of the First Nations vital activity in the South of the Russian Far East used the example of the Bikin Udege people in. He elucidated the history of that nation in pre-Soviet and Soviet periods and at the present time, as well as the development problems on the territories of their traditional forest use.

The report of a representative of WWF in China, Dr. *Chunquan Zhu* (Beijing, China), gave the general description of China forest resources, their state, and dynamics. He also presented main activities trends including characteristics of specific programs implemented by WWF in the sphere of sustainable forest use in China. WWF also carries out some projects in the Far Eastern Ecoregion via its Far Eastern Representation. One of them is Econet formatting in forest areas of the Ecoregion. Dr. *Yuriy A. Darman* (Vladivostok, Russia) reported it.

The participants of the workshop paid attention to the discussion of silvicultural issues in the Far Eastern Ecoregion. According to the view of Dr. *Anatoliy P. Sapozhnikov* (Khabarovsk, Russia) sustainable forests management is determined by a set of political, economic, ecological and silvicultural factors. Silvicultural factors were reviewed in the report of Prof. *Yuriy I. Manko* (Vladivostok, Russia) who believes that the main goals of sustainable use of dark coniferous forests in RFE is introduction of non-clear cuttings, rejuvenation of the stands, establishment of mixed forest stands and effective forest fires control.

There was a great debate at the workshop on the issue of evaluation of forest potential at the Far Eastern Ecoregion. Drs. *Vladimir N. Dyukarev* and *Victor V. Ermoshin* from Vladivostok (Russia) believe that landscape-ecological planning on the basis of cartographic method use is one of the effective ways of forest resources evaluation. They shared their experiences of drawing maps of virgin forests in Sykhote-Alyn that is currently a training ground for using scientific know-how in the sphere of sustainable forestry in the RFE. This is supported by a report of Mr. *Herrick Fox* (Yale University, USA) who presented for discussion a computerized system of decision making support for effective planning of sustainable forestry on the example of coniferous-broadleaved forests of Sykhote-Alyn, which he had developed.

Sustainable forest management supposes use of all the forest resources including biological non-timber resources. Lack of reliable data on quantity and distribution of these resources is very problematic. An effort of biological non-timber resources division into districts in the Far Eastern Ecoregion with marking out hunting zones was made by Dr. *Grigoriy I. Sukhomirov* and Ms. *Anna B. Bardal* (Khabarovsk, Russia).

Dr. *Alexander P. Kovalev* and Mr. *Alexander Yu. Alekseenko* (Khabarovsk, Russia) gave presentations on selection of the cutting methods adapted to the zonal-geographic specific features of the forest lots. Up-to-date evaluation of the vast forest fires which are the important factor of the ecosystems evolution and the main cause of forests loss in the Far Eastern Ecoregion was given in

the reports of Drs. *Galina V. Sokolova*, *Anatoliy G. Izmodenov* and Mrs. *Ekaterina P. Teteryatnikova* (Khabarovsk, Russia).

Round Table Discussion

The work of the Workshop was concluded by the round table discussion "How Far the Ecological and Economic Approaches to Forest Use Are Compatible" It was opened by the joint report by its two moderators: Prof. *Alexander S. Sheingauz* (Khabarovsk, Russia) and Dr. *Vladimir P. Karakin* (Vladivostok, Russia) after which live discussion took place. The transcript is attached.

Field Excursion (Day 3)

This discussion took place on the third day of the Workshop in the course of the field trip that was accompanied by excellent fall weather. The participants of the discussion left to the Khekhtsir Experimental Forest of the Far Eastern Forestry Research Institute in two buses. The Director of the Institute Dr. *Dmitriy F. Efremov*, his Deputy Dr. *Vasilii N. Koryakin*, and the Chief Forester of the Experimental Forest Mr. Boris S. Ladygin led the excursion.

Firstly the Workshop participants visited the headquarter of the Experimental Forest where they were shown a nursery for growing forest seedlings, and how the wood of tending and sanitary logging operations is used. After that, they visited a number of sample plots where they could see the dynamics of forest stands as a result of natural growth and variants of experimental logging operations targeted at shaping of preferable types of forest stands.

At the end of the Workshop participants discussed and approved recommendations of the International Workshop (see attached one) and also decided to publish the Workshop proceedings in Russian and English.

The workshop was covered in news telecasts on two local TV channels, in a news broadcast on the local radio and in the main local newspaper "Tikhookeanskaya Zvezda (Pacific Star)" (see attached photocopy).

Recommendations of the Workshop

On September 19-21, 2000 an international workshop "Transition to the sustainable Forest Management Strategy in the Russian Far Eastern Ecoregion in the 21st Century" was held in Khabarovsk. The workshop was organized by the Khabarovsk Krai administration, the Economic Research Institute (Russia), the Far Eastern Representation of the World Wildlife Foundation (RFE-WWF), the Institute for Global Environment Strategies (Japan), Forest Trends (USA), the Far Eastern Forestry Research Institute (Russia), Friends of the Earth (Japan), and Ecodal (Russia). Over 60 scholars, experts and businessmen from the Khabarovskiy, Primorskiy and Krasnoyarskiy Krai, the Yevreiskaya (Jewish) Autonomous Oblast, Japan and the USA took part in the workshop.

The workshop was conducted as a preliminary stage of the forthcoming scientific-practical conference on the same issue.

The workshop considered the following problems:

- The conceptual approaches to sustainable development of forest use in the Far Eastern Ecoregion.
- The strategy of further development of all the Ecoregion's forest resource utilities (amenities) under conditions of biodiversity preservation.
- The methods of sustainable forest use management in the Ecoregion.
- Implementation of ecological certification of forests and forest products.
- The ways and methods of recovery of the regional forest use system from the economic crisis.
- International interaction during transition to sustainable forest use, reduction of threat to biodiversity, transition to voluntary certification and carbonic balance regulation.
- Economic and institutional methods of biodiversity and ecosystems' preservation in the Far Eastern Ecoregion.
- Transition to landscape-ecological planning of activities in the forest.

It was noted in the reports and discussions that forest resources and forest use had formed, to a significant degree, the basis for the development of the Far Eastern Ecoregion's territory, the development of its economy and the life of the inhabiting communities. However, the same factors led to a large transformation of the forest cover, numerous ecological disturbances, biodiversity reduction. By the end of the 20th century, dramatic changes have become unavoidable inside the regional system of forest use. They coincide with the appearance of new aspects:

- transformation of forest use and the Ecoregion's forest complex in connection with the transition to a market economy and its inclusion in the system of nature use in the Northeast Asia and the APR;
- growth of social and environmental importance of the forests in the Ecoregion and the enhancement of ecological demands of population on the local and international scale;
- criminalization of the forest use system which creates a particularly big danger to the state of biodiversity in the forests of the Ecoregion;
- worsening of information on the state and dynamics of forest resources.

The workshop paid attention to the search of conceptual elaboration, which would determine the strategy of further development of the forest potential in the Far Eastern Ecoregion. It helps to understand what the state of the Ecoregion as it enters the 21st Century and whatever it, will it be able through its forest and other resources that are still rich to obtain an adequate place in the world community. Attention was paid to the tactical measures as well, in particular, concern was expressed regarding the ongoing changes in the sphere of management of ecological processes and the forestry.

It was noted that the workshop played an important role in answering the previous question concerning to representatives of real business, scholars, activists of public organizations, and all residents of the Ecoregion. Over the recent years new steps have been taken both in the development of the forest use theory and in the improvement of forest use practice, especially its management. International links have expanded in this sphere, including those between NGOs. But there is still a large gap in the approaches and practical activities between forest users, administrations and public organizations, particularly ecological ones.

The workshop recommended the following:

- To approve the following basic principles of a long-term development of the forest use system in the Far Eastern Ecoregion:
 - transition to sustainable development providing for comprehensive sustainable use, preservation and reproduction of the resource base;
 - application of the methods of use which are adapted to the zonal-geographical specifics of forest sites and based on landscape-environmental approaches;
 - integration with the international system of forest use in NEA and the APR in all constituents – social, ecological and economic –, occupation of new niches on international markets, including those that are connected with fulfillment by the Ecoregion's forests such functions as the carbonic depository and the base of ecological tourism;

- preventive establishment of the system of natural preserved areas as the base of maintenance of functional and spatial entity of forest ecosystems;
 - active attraction of investments, new technologies and know-how, which have high economic efficiency and meet the contemporary ecological requirements;
 - introduction in the region of special conditions promoting export production provided with ecological certification of products.
- To consider the restoration and development of the regional forest use system, its effective inclusion in international division of labor in the APR, realization of advantages of the geopolitical position of the Far Eastern Ecoregion as an important target of the strategy.
 - To consider the necessity for the Federal Assembly and local legislative bodies to adopt in the near future the laws determining the legislation for the formation of sustainable forest resources use (laws on the fundamentals of nature use, concessions, payments for forest resources use, on biodiversity preservation, on public hearings, and so on). It is necessary also to coordinate previous legal acts with ecological demands.
 - To consider the necessity of coordinating efforts of the relevant ministries, administrations of the Far Eastern federal district and provinces, institutes of the RAS, industrial institutes and universities in working out and introducing a continuous monitoring of the condition and dynamics of the Ecoregion's forest resources, as well as their use.

The administrations of the Far Eastern provinces have to support and finance elaboration of the long-term forecasts of development of the regional forest use system, which would be coordinated with the general economic forecasts and the necessity to preserve biodiversity and the landscapes. It must be done by local research institutes and universities.

- To consider the necessity of enhancing the work on the creation of comprehensive social-ecological-economic expertise of all new projects connected with any kind of forest use and the system of ecological certification of the final products and services of the regional forest sector.
- To enhance scientific research and applied developments in the sphere of conservation, use and reproduction of forest resources. To practice allocation of state budgetary and extra-budgetary funds on a competitive basis.
- To recommend to the Representative of the RF President for the Far Eastern Federal District to establish a regional coordinating board for working out activities for the transition to sustainable forest use, which would include representatives of the administration, industry, scientific and social organizations.

The regional educational institutions with support of research institutes should expand teaching of the fundamentals of sustainable forest use to the population. In the process of training and retraining

of specialists they should thoroughly teach them the theory and practice of comprehensive sustainable forest use including forest certification.

Special bodies and power institutions have to pay attention to critical necessity to provide practice, science and population with the reliable information on forest state especially on spatial distribution of valuable forest formations, virgin forests, areas with a high threat to biodiversity.

All the agents participating in forest use should provide information accessibility for the public organizations and population. The mass media must pay attention to extensive and correct coverage of the processes that takes place in the Ecoregion's forest use. The administrative bodies should make decisions with a compulsory regard to public opinion, conducting public hearings in particularly important cases, encouraging the development of the social ecological expertise.

- To attract the aboriginal population to participate in forest management.
- To provide special means for this purpose in designed projects.

In the pace of reforestation to analyze costs carefully, to attract means not only from logging but from other uses also. To estimate logging not only by its economic effectiveness but by ecological consequences also.

The workshop considers that publishing the reported materials will be useful.

4.3. Program

September 19, Tuesday

9.00-10.00 Registration of participants.

The First panel session

Chairmen S. Sheveiko and Sheingauz

- 10.00-10.05 Negodyaev V., *Division of Science, Khabarovskiy Krai Administration, Khabarovsk, Russia*. Welcome of the Khabarovskiy Krai Administration.
- 10.05-10.10 Mikheeva N., *Economic Research Institute, Khabarovsk, Russia*. Welcome of the Economic Research Institute
- 10.10-10.30 Levintal A., Guriev V. *Economic Committee of the Khabarovskiy Krai Administration, Khabarovsk, Russia*. Status and prognosis of the forest sector development in the Khabarovskiy Krai.
- 10.30-11.10 Yamane M. *Institute for Global Environmental Strategies (IGES), Hayama, Kanagawa, Japan*. Towards sustainable forest management in the Russian Far East: strategic recommendations based on IGES studies.
- 11.10-11.30 Rusina T. *Far Eastern Representative of WWF, Vladivostok, Russia*. Basic principles on the forest conservation of the World Wildlife Fund.
- 11.30-11.50 Coffee brake.
- 11.50-12.10 Kolomytsev V. *Forest Service Directorate of the Khabarovskiy Krai, Khabarovsk, Russia* Forest Management of the Khabarovskiy Krai: problems and prospects.
- 12.10-12.30 Dmitriev N. *Forest Service Directorate of the Yevreyskaya Autonomous Oblast, Birobidzhan, Russia*. Status of forests and forest use in the Yevreyskaya Autonomous Oblast.
- 12.30-12.50 Efremov D. *Far Eastern Forestry Research Institute, Khabarovsk, Russia*. Criteria and indicators of the sustainable forest management of the Russian Far East.
- 12.50-14.20 Lunch.

The Second panel session

Chairmen M. Yamane and D. Efremov

- 14.20-15.00 Ford J. *Forest Trends, Washington DC, USA*. The status of certification globally and the status of the market for certified wood.
- 15.00-15.40 Kakizawa H. *Hokkaido University, Sapporo, Japan*. What kind of forest certification system is sustainable for the Russian Far East?
- 15.40-16.00 Benderskiy Yu. *Institute of Economy and Organization of Industrial Production, Krasnoyarsk, Russia*. Natural-resource potential and development of region: problems of mutual influence.
- 16.00-16.20 Coffee brake.
- 16.20-16.40 Rezanov V. *Khabarovsk State Technological University, Khabarovsk, Russia*. Elements of the conceptual model of the regional forest policy.

17.00-18.00 Poster session

Head G. Sukhomirov

- Dyukarev V., *Biological-Soil Institute*; Murzin A., Yermoshin V. *Pacific Institute of Geography, Vladivostok, Russia*. GIS as the base of sustainable forest management in Sikhote-Alin.
- Owston P. *Sustainable Ecosystems Institute, Portland, Oregon, USA*. Sustainable forestry projects conducted cooperatively by the United States Forest Service and the federal Forest Service of Russia.
- Tsaberyabiy A. *Khabarovsk social fund "ERF", Khabarovsk, Russia*. Videos on ecological tourism (in English).
- Yamane M. *Institute for Global Environmental Strategies (IGES), Hayama, Kanagawa, Japan*. Towards forest conservation strategies in the Asia and Pacific Region - outline and outputs of IGES Forest Conservation Project.
- Yamane M. *Institute for Global Environmental Strategies, Hayama, Kanagawa, Japan*. Forest loss in the Asia-Pacific Region.
- Yamane M., *Institute for Global Environmental Strategies, Hayama, Kanagawa, Japan*; Lu W., *Chinese Academy of Forestry, Beijing, China*; Sheingauz A. *Economic Research Institute, Khabarovsk, Russia*. Current state of timber trade from the RFE to Asia-Pacific Region.
- 18.00-20.00 Welcome party.

September 20, Wednesday

Section of the forest policy and certification

Chair persons T. Rusina and V. Negodyaev

9.30-10.10 Sharov A., *The Heron Group, Blacksburg, VA, USA*. Project “FOREST” on forest resources and sustainable technologies.

10.10-10.30 Shevtsov N. *Center of Forest Certification, Khabarovsk, Russia*. The voluntary forest certification as a tool of organizational-economic mechanism of natural resource use in the Khabarovskiy Krai.

10.30-10.50 Kozlova O., Negodyaev V. *Economic Committee of the Khabarovskiy Krai Administration, Khabarovsk, Russia*. International role of the Khabarovskiy Krai forests.

10.50-11.10 Rezanov K. *Khabarovsk State Technological University, Khabarovsk, Russia*. Assessment of investment attractiveness of the forest sector in the Khabarovskiy Krai.

11.10-11.50 Sasaki S. *National Museum of Ethnology, Osaka, Japan*. Forest usage of the indigenous people in the Russian Far East and its problems – the case of the Udehe people on the River Bikin in the Primorskiy Krai.

11.50-12.10 Coffee break.

12.10-12.30 Tsaberyabiy A. *Khabarovsk social fund “ERF”, Khabarovsk, Russia*. Development of ecological tourism in the Khor river basin as an element of sustainable forest use.

12.30-12.50 Antonova N. *Economic Research Institute, Khabarovsk, Russia*. Concepts of forest use and state forest policy: their development and mutual influence.

12.50-13.20 Noguchi E. *Friend of the Earth, Tokyo, Japan*. Some case studies on the forest resource use in the Russian Far East.

13.20-14.00 Zhu Ch., *WWF, Beijing, China*. Forest programs of the WWF in China.

Section of the forestry problems of sustainable forest use

Chairmen Yu. Manko and A. Kovalev

9.30-9.50 Darman Yu. *Far Eastern Representative of WWF, Vladivostok, Russia*. Problems of Econet forming on the forest area of the Far Eastern Ecoregion.

9.50-10.10 Dyukarev V. *Biological-Soil Institute, Vladivostok, Russia*. The biodiversity of resource components in the mountain forests of Sikhote-Alin and problems of their use planning on the landscape base.

- 10.10-10.30 Dyukarev V., *Biological-Soil Institute*; Murzin A., Yermoshin V. *Pacific Institute of Geography, Vladivostok, Russia*. Approaches to mapping of virgin forests in the southern Russian Far East – an experience of mapping of virgin forests on Sikhote-Alin.
- 10.30-10.50 Manko Yu. *Biological-Soil Institute, Vladivostok, Russia*. Dark-coniferous forests of Far East under consideration of the sustainable nature resource use.
- 10.50-11.10 Kovalev A. *Far Eastern Forestry Research Institute, Khabarovsk, Russia*. Methods of harvesting and rational use of forest resources.
- 11.10-11.30. Coffee brake.
- 11.30-11.50. Alekseenko A. *Far Eastern Forestry Research Institute, Khabarovsk, Russia*. Forestry principles of organization and carrying out of harvest in coniferous-broadleaved forests of the Russian Far East.
- 11.50-12.10 Kovalev A., Alekseenko A. *Far Eastern Forestry Research Institute, Khabarovsk, Russia*. Optimization of forest use methods on the steep slopes.
- 12.10-12.30 Sukhomirov G., Bardal A. *Economic Research Institute, Khabarovsk, Russia*. Experience of zoning of biological non-timber resources and their sustainable development.
- 12.30-13.00 Fox H. *Yale University, New Haven, Connecticut, USA*. Modeling sustainable forestry in the Sikhote-Alin': a computerized decision support system to promote effective management of coniferous-broadleaf forests.
- 13.00-13.20 Sapozhnikov A. *Far Eastern Forestry Research Institute, Khabarovsk, Russia*. Actual problems of the organization of sustainable forest management.
- 13.20-13.40 Izmodenov A., *Institute of Water and Ecological Problems*; Sokolova G., *Far Eastern Forestry Research Institute*; Teteryatnikova E. *Far Eastern Hydrological and Meteorological Center, Khabarovsk, Russia*. Far Eastern cedar-broadleaved forests as resource that restrains fires.
- 13.40-14.00 Sokolova G., *Far Eastern Forestry Research Institute*; Teteryatnikova E., *Far Eastern Hydrological and Meteorological Center Khabarovsk, Russia*. New assessment of evolution of vast forest fires in Eastern Siberia and Far East on the base of consideration of atmospheric processes.
- 14.00-15.30 Lunch.

Round Table

«How far the ecological and economical approaches to forest use are compatible?»

Moderators V. Karakin and A. Sheingauz

15.30-15.50 Initial presentation: Karakin V., *Far Eastern Representative of WWF, Vladivostok*;
Sheingauz A, *Economic Research Institute, Russia*. Strategy of the transition to
sustainable forest use in the Far Eastern Ecoregion.

15.50-16.40 Common discussion.

16.40-17.00 Coffee brakes.

17.00-18.00 Completion of common discussion. Adoption of resolution.

September 21, Thursday

Field excursion

Guides D. Efremov, V. Karyakin, B. Ladygin

9.00-17.00 Tour to the Khekhtsir Experimental Forest of the Far Eastern Forestry Research Institute.
Discussion “near stump”. Field lunch.

4.4. List of Participants

(alphabetic order; honorific omitted)

Name	Position	Organization	Address
1. ALEKSEENKO Alexander Yu.	Senior Researcher	Far Eastern Forestry Research institute	71, Volochaevskaya Str. Khabarovsk 680020 Russia, tel/fax: 7-4212-216- 798; e-mail: forest@fefri.khv.ru
2. ANTONOVA Natalie E.	Researcher	Economic research Institute	153, Tikhookeanskaya Str., Khabarovsk 680042 Russia, tel/fax: 7- 4212-358-137; e-mail: antonova@ecrin.khstu.ru
3. BARDAL Anna B.	Post- Graduate Student	Economic Research Institute	153, Tikhookeanskaya Str., Khabarovsk 680042 Russia, tel/fax: 7- 4212-358-137; e-mail: postmaster@ecrin.khstu.ru
4. BENDERSKIY Yuri G.	Head of Sector	Krasnoyarsk Branch, Institute of the Economy and Organization of the Industrial Production	PO BOX 17348, Krasnoyarsk, 660097, Russia; tel: 7-3912-271-553; e-mail: ben@krsk.infotel.ru
5. DARMAN Yuri A.	Director on Biodiversity Conservation	WWF, RFE	Pologaya Str., 68, room 411, Vladivostok, 690090 Russia; tel. 7- 4232-406-651; -406-652; fax: 7-4232- 406-653; e-mail: ydarman@rfe.wwfrus.ru
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IGES Policy Dialogues toward Sustainable Forest Management in Asia-Pacific Region

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この報告書は、平成 12 年度寄付金付お年玉付郵便葉書等寄付金で作成しました。