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Interim Report

Code of Practice for Forestry Harvesting in Indonesia

Prepared By
Grahame Applegate

September 1998

For
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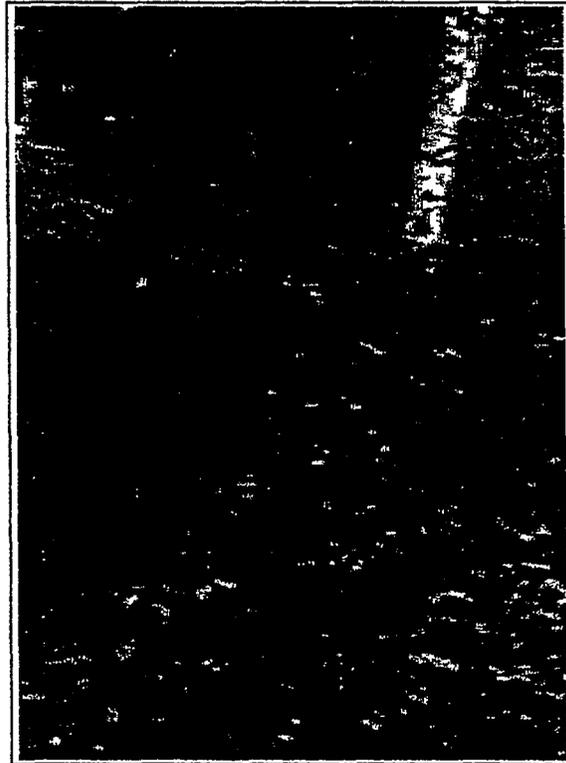
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EPIQ

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**EPIQ The Natural Resources Management (NRM) Program
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Glossary

APFC	Asia-Pacific Forestry Commission
DGPH	Directorate General of Forest Utilisation
EPIQ	Environmental Policy and Institutional Strengthening Indefinite Quantity Contract
LEI	<i>Lembaga Ekolabel Indonesia</i>
LITBANG	Agency for Research and Development
MoF&E	Ministry of Forestry and Estate Crops
NRM	Natural Resource Management
PH	Forest Utilisation
RIL	Reduced Impact Logging
SAM	Special Advisor to Ministry of Forests and Estate Crops
SFM	Sustainable Forest Management
USAID	United States Agency for International Development



Summary

This Interim Report outlines the processes involved in developing the Draft Code of Practice for Forest Harvesting in Indonesia (Code). The Code concentrates on Production Forests and is intended to be adopted universally in Indonesia by all stakeholders.

The report also provides details of the implementation mechanisms involved in having the Code put into practice. These steps include the development of reduced impact logging guidelines for the Production Forests in Indonesia.

The other necessary component required for implementation is training and education of both trainers and operators. Training of operators involves three levels, policy makers, and senior level managers, middle level managers and operators at the field level, including machine operators and supervisors.



1

Introduction

The progress in moving towards sustainable forest management (SFM) in the forests of Asia-Pacific varies among the countries for a range of reasons including

- no universal agreement on the definition of SFM and how SFM is to be assessed,
- the wide range of forest types, from high forests to swamp forests,
- limited capacity of institutional organisations and available resources in some countries,
- inadequate guidelines and implementation procedures for forest management, e.g. lack of Code of Forest Practices and Reduced Impact Logging Guidelines (RIL)

A Code of Practice for Forest Harvesting in Asia-Pacific was prepared in 1998 to address some of these issues and support other regional initiatives in promoting sustainable forest management. The Code was developed to

- contribute to sustainable forest management in the Asia-Pacific region,
- assist the development of national codes by providing a model for the region, given that countries are currently at different stages in developing national codes,
- focus on timber harvesting in natural forests because of the importance of this activity to country economies and to sustainable forest management in the region,
- enable the provisions of the Code to be enforced as appropriate in each country in the Commission, or at least promoted by all stakeholders in the region.

Timber harvesting under voluntary codes of conduct cannot, in isolation, ensure sustainable forest management. Areas to be harvested must be identified as part of a comprehensive forest and land use policy framework aimed at meeting the social, economic, ecological, cultural and spiritual needs of future generations. Codes, however, provide guidelines for improvements to the way the natural production forests are harvested for timber to minimise adverse environmental and social impacts and to ensure a viable residual stand.

Indonesia as one of the member countries of the Asia-Pacific Forestry Commission (APFC) provided staff and financial inputs to ensure that this

Code was developed Contributions from the Ministry of Forestry & Estate Crops (MOF&E) in Indonesia which served as Task Manager of the APFC *ad hoc* Working Group on Sustainable Forest Management hosted two workshops in Indonesia to develop the Code and facilitated the inputs from the entire forestry sector in Indonesia Hence the development of the Code of Practice for Forest Harvesting in Indonesia should draw heavily on this Code as the principles and practices in the document apply readily to the forests of Indonesia

2 Development of the Draft Code of Practice for Forest Harvesting in Indonesia

2.1 Context of Code Development

For the past year, the Sustainable Forestry sub-component RP 1.1 of the EPIQ/NRM 2 Program has been involved in promoting forestry policy reform which facilitates an outcome-based approach to sustainable forest management in Indonesia Part of this process is to direct effort to forest based improvements in forest harvesting practices as a means of demonstrating the economic, financial and environmental benefits of improved forest management in the Production Forests

The output from this work will contribute to achieving the USAID/Jakarta Intermediate Results relating to

- institutional strengthening (3.1.1 Workplan 1998),
- establishment of policies and enabling conditions for improved forest management in Indonesia (3.1.2 Workplan 1998)

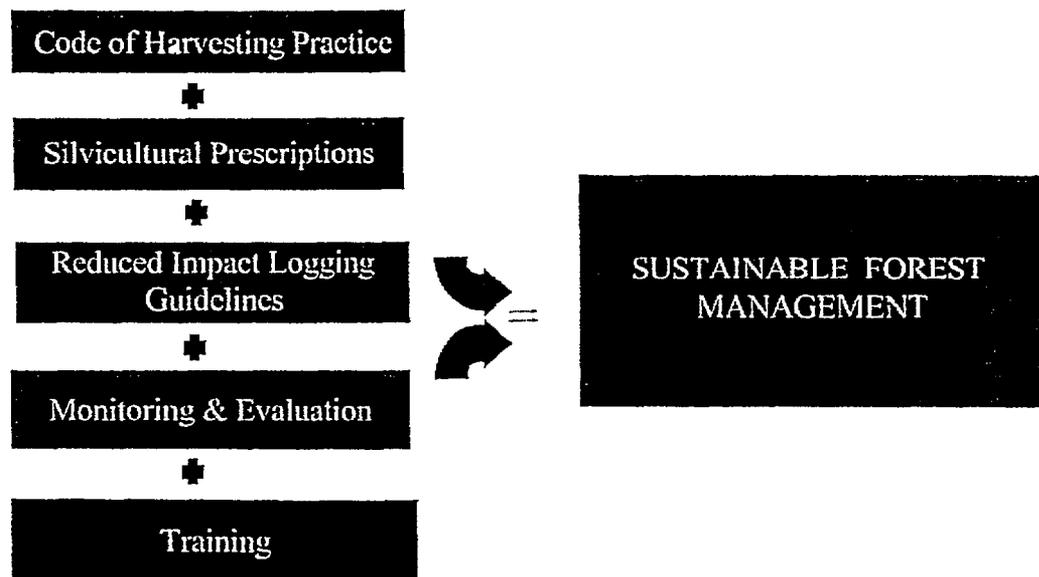
The process has involved work with *Lembaga Ekolabel Indonesia* (LEI) which is developing eco-labelling procedures and criteria to provide a basis for certifying forests and forest products from Indonesian forests To enable the LEI and other similar organisations to undertake their tasks, they require a set of standards or guidelines for improved forest harvesting practices which can be measured and evaluated for compliance Without such standards, and their implementation at the forest *petak* level, certification and associated labelling systems are of little value and will certainly do nothing to ensure the viability of

the residual stand, which after all is a major aim of improved harvesting practices in Indonesia

The Code is being developed in an atmosphere of reform, where new forest policies and an improved management framework for concession management and allocation is being considered by a number of reform committees both within and external to the Department of Forestry and Estate Crops. The reforms are only the beginning, and once the new policies are consolidated, forest managers will require an outcome-based management system for Production Forests to enable them to deal with different forest types with a range of biological diversity and capacity. The Code and subsequent RIL and improved Silvicultural Prescriptions and the necessary training and education programs will assist in to promote sustainable forest management. These instruments will provide the mechanism for discussion and consensus building on the future of Indonesia's forest policies, by providing a practical link between the ideals and principles being enunciated by the independent Committees of Reform and the challenges involved in the implementation of their findings.

Figure 2-1 provides a framework for sustainable forest management in Production Forests in Indonesia

Figure 2-1 Frame work for Sustainable Forest Management in Production Forests in Indonesia



22 Code Development

In developing the Code, the philosophy has been as follows

- Document material used as a reference source
- Outlines minimum operating standards for the Production Forests of Indonesia
- Outline an outcome based approach indicating WHAT IS TO BE ACHIEVED IN RELATION TO FOREST HARVESTING

For the Code of Practice for Forest Harvesting in Indonesia to be adopted and implemented successfully, will require a number of prerequisites relating to

- Effective Government policies based on
 - fundamental principle of sustainable resource use,
 - overall land use policy involving forestry,
 - definition and demarcation of the “permanent forest estate”
- Involvement of all Stakeholders
 - community groups,
 - Government institutions,
 - forest concessionaires,
 - industry
- Legislation
 - effective legislation,
 - technically feasible,
 - economically feasible,
 - institutional capability and capacity,
 - flexibility to reflect dynamic nature of the Code,
(Not enshrined in forest decrees or legislation)

23 Code Implementation

The implementation of the Code can be most successful under the following conditions

- Mechanisms to implement,
 - silvicultural prescriptions,
 - reduced impact logging guidelines,
- Monitoring or evaluation of compliance,
- Community/industry support or involvement,
- Sufficient/ adequate resources for implementation

24 Workshop in Bogor

The Asia-Pacific Forestry Commission established an *ad hoc* Working Group on Sustainable Forestry Management in January 1996. Indonesia accepted the role of Task Manager for the *ad hoc* Working Group with Dr Tantra from Ministry of Forestry being appointed as Chairman. The first priority task was the preparation of the Code of Practice for Forest Harvesting in Asia-Pacific. This was prepared and subsequently ratified by the APFC in Yogyakarta in February 1998.

The Working Group was reconvened in Bogor between 15 and 17 September to look at effective implementation strategy for the Code of Practice for Forest Harvesting in Asia-Pacific. To effectively implement this code in the forests of the region, it is recognised that one of the first activities vital to this process is the development of national codes. The second activity is the training of workers and managers and policy makers to be made aware of its existence and its importance. Training programs should be developed and implemented for training of trainers and for training of operators.

The Task Manager at the Workshop from Indonesia supported the development of a national code of practice as well as training involving two programs, ie, training of trainers and training of operators/managers.

To effectively implement the Code of Practice for Forest Harvesting in Indonesia in the Production Forests, resources will need to be allocated for awareness raising, training of trainers. Experience in the South Pacific indicates the need for extensive workshops and field training activities to ensure understanding and implementation of forest codes and reduced impact logging guidelines.

The outcome from the workshop has provided a clear course of action that would be acceptable to Indonesia for development and implementation of the Code of Practice for Forest Harvesting in Indonesia.

2.5 Draft Code

Following inputs to the preparation of the Code of Practice for Forest Harvesting in Indonesia prepared in Australia and the results from the Bogor Workshop, the document was further developed to DRAFT stage and presented for discussion to a Workshop at the Directorate General Forest Utilisation (DGPH) on the 24 September 1998.

2.6 Workshop in Directorate General Forest Utilisation

On the 24 September, Dr Silver Hutabarat convened a workshop comprising the team who is preparing the reduced impact guidelines/code of practice and growth and yield (annual allowable cut) standards of calculation in Indonesia. The team is well advanced in the preparation of the growth and yield standards for determining the annual allowable cut. The team is comprised of staff from the Directorate of Forest Utilisation (PH) and from Forest Products and Socio Economic of Forestry R&D Centre (LITBANG) in Bogor.

The DRAFT Code of Practice for Forest Harvesting in Indonesia prepared by NRM 2 was presented to the meeting. The DRAFT was accepted to be incorporated into discussions at the meeting by the members present. The team have requested copies of other documents from NRM 2 (some already provided) including copies of Codes and RIL Guidelines developed for dipterocarp forests elsewhere on the island of Borneo. The team also requested authority to use diagrams from the Code of Practice for Forest Harvesting in Asia-Pacific for use in the Indonesian code. NRM 2 was requested to pay the cost of translation for preparing the diagrams which are currently in English into Bahasa Indonesia.

In order to coordinate all activities regarding the Code of Practice and to ensure that there is only one Code of Practice developed in Indonesia, discussions were



also held with Dr Tantra SAM III to outline the issues and the activities of the team under the Chairmanship of Dr Silver. Dr Tantra is the Task Manager of the Asia Pacific Forestry Commission in charge of the Indonesian delegation which provided input into the development of the Code of Practice for Forest Harvesting in Asia-Pacific. The DRAFT Code for Indonesia follows very closely the format and content of the Asia-Pacific Code as its contents are readily applicable to Indonesia.

The Forestry Advisor Mr Juan Seve should maintain contact with Dr Silver and ensure that NRM 2 is represented on the team chaired by Dr Silver and to facilitate the preparation of the Code and its subsequent implementation.

3 Implementation of the Code

The Code of Practice for Forest Harvesting in Indonesia is not a document that can be readily implemented. The implementation of the Code involves two main aspects:

- reduced impact logging guidelines and their implementation,
- training of stakeholders

The implementation of the Code will also require three levels of compliance checking for different reasons and therefore different levels of detail. There is considerable training required by all those involved in compliance checking before the system can be implemented in a meaningful and credible manner.

The three levels are as follows:

- Auditing
 - undertaken at a high level of checking,
 - irregular in timing,
 - carried out by an independent person/ organisation,
 - formal assessment,
 - transparent, with results open for evaluation
- Evaluation
 - lower level of checking,
 - carried out at regular intervals,
 - carried out internally by company or Government,



- undertaken as a management activity after logging is completed
- Monitoring
 - low level of checking (observation),
 - carried out at regular intervals,
 - tool to identify issues and used to rectify undesirable practices,
 - promotes improved harvesting practices

3.1

Reduced Impact Logging Guidelines

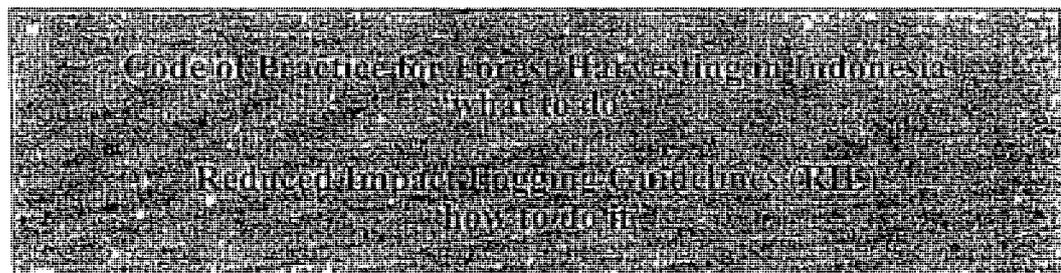
The Reduced Impact Logging Guidelines for Indonesia (to be developed following the Code) is a practical mechanism (management tool) for implementing the Code. These Guidelines provide details on

- How forest harvesting is to be carried out

Reduced Impact Logging Guidelines for Indonesia should be developed to

- reduce harvesting impact on forest ecosystem, soil and water,
- provide practical guidance for harvesting activities,
- shows HOW TO DO the harvesting and associated activities,
- identify and protect residual stand
- minimise harvesting costs,
- optimise available log volumes

In summary the difference between the Code and Guidelines is as follows





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Training and Education

The main purpose of training and education is to

- improve the institutional capacity and capability of all stakeholders to improve forest management through implementation of Codes of Practice for Forest Harvesting in Indonesia, reduced impact guidelines, silvicultural prescriptions and monitoring & evaluation

The strategy for improving the capacity to undertake improved forest management is as follows

- Training of Trainers,
- Training of Operators involving three levels,
 - policy makers, senior level managers,
 - middle level managers/ supervisors,
 - forest operators, contractors, landowners and field staff

Ideally the training and education should be competency based

Outlined below is a short explanation on the usefulness of competency based training for the forestry sector in Indonesia

The Final Report will outline the curriculum in detail for the both the Training of Trainers as well as the Trainers of Operators



Competency Based Training

Competency based training is essential to develop the necessary skills of stakeholders in sustainable forest management in Indonesia. In the past, many training programmes have been developed to address some of the issues involved in forest management. However, in many cases following the completion of the training, there is no way of determining the validity of the training by examination and assessment. Often, without follow-up, the information is not retained.

Competency based training can achieve greater quality and credibility in the eyes of the training participants and the national training system by being competency based and accredited by relevant authorities. Increased quality and efficiency of training is a major step towards improving forest management, income, competitiveness and the career prospects of the workers and staff of the Departments of Forest and Estate Crops (Pribumi) Forest Office and related agencies.

Traditional training involves fixed learning times and variable outcomes, while competency based training involves variable training times and fixed outcomes, with different training times. This new approach recognises that people learn in different ways, at different rates and have different backgrounds and experiences. It is designed to ensure achievement and demonstration of the necessary skills and knowledge in relation to a specified competency standard. The main purpose of this competency based training is to ensure that the certificate issued is based on reaching and demonstrating competence rather than just completing a specified period of training. It generally involves a strong emphasis on the process involved in training (rather than focus on the outcome).

The major task is not only to develop the training programme but also the competency standards for all aspects of harvesting and processing operations. This work involves:

- Developing the various units or parts of the competency based training program
- Determining the elements that make up each unit of a competency training program
- Determining the performance criteria, i.e. what tasks the person needs to be able to do to win standard of competency and under what conditions

Embracing this approach to training will assist in improving the sustainability of forest management in Indonesia.



4 Conclusion

The Draft Code of Practice for Forest Harvesting in Indonesia has now been submitted to a number of organisations for comment, including APHI, Bappenas and the Ministry of Forests. It has the support of the majority of stakeholders in the forestry sector in Indonesia as it is based on the Code of Practice for Forest Harvesting in Asia-Pacific. The Code was supported by the forestry sector in Indonesia including NGOs and national and international research organisations.

The Draft, once ratified will need to be translated into Bahasa Indonesia along with redrawing and translation of diagrams into Bahasa.

5 Recommendations

The following recommendations are made with respect to the further development and implementation of the Draft Code of Practice for Forest Harvesting in Indonesia.

- NRM 2 Forestry Advisor to monitor the development of the code in association with PH and Dr Tantra as well as Dr Untung Iskander,
- NRM 2 Forestry Advisor to contact the new head of APHI and discuss the draft code and its implementation with this organisation,
- A workshop is convened in association with PH/APHI in late November to discuss the code and to outline its implementation,
- The Draft Code was not required to be translated in Bahasa Indonesia. The final Code will be translated into Bahasa Indonesia including the diagrams,
- A detailed plan for the dissemination of the Code and for training will be prepared for stakeholders in November 1998. This program will outline training to be undertaken, and a strategy for its implementation including costs and possible mechanisms for expanding this throughout Indonesia,
- Consideration should now be given to the development of reduced impact logging guidelines which provide the mechanism for implementing the Code,



- NRM 2 in association with USAID should now consider discussion with Ministry of Environment and Ministry of Forestry on the development of a Code of Practice for Plantations and Estate Crops. This is especially important in the era of reformation of policies and practical implementation of those policies. A review of the sector may be required initially to outline what are the policies and regulations and what overlaps and contradictions exist between Ministries with regard to plantation and estate crops.



Appendix 1 List of Persons Interviewed



List of Persons Interviewed

Arifah Prihartini	Balitbang Dept of Forestry and Estate Crops
Djoko Wahyono	Balitbang Dept of Forestry and Estate Crops
Dr Alf Leslie	Consultant to ITTO Forestry Project
Dr Alistair Fraser	DFID Team Leader
Dr Benni Sormin	Bureau of Foreign Cooperation and Investment
Dr H Machfudh	Litbang, Bogor
Dr I G M Tantra	Senior Advisor III to the Minister of Forestry, Indonesia
Dr John Turnbull	Chief Scientist, CIFOR
Dr Mulyadi A T	Senior Advisor to DFID
Dr Plinio Sist	Scientist, CIFOR
Dr Putra Parthama	Balitbang Dept of Forestry and Estate Crops
Dr Silver Hutabarat	Head of Technical Co-operation, Bina Program, Dept of Forestry and Estate Crops
Dr Untung Iskandar	Head of Bureau of Foreign Cooperation and Investment
Gotot Adi Cahyono	Balitbang Dept of Forestry and Estate Crops
Ir Andi Andriadi	Technical Co-operation, Bina Program, Dept of Forestry and Estate Crops
Ir Purwoko Hadi	Asst to Head of Technical Co-operation, Bina Program, Dept of Forestry and Estate Crops
Mr Anang Noegroho	Bureau of Marine, Aerospace, Environment, Science and Technology in BAPPENAS
Mr Tim Nolan	GTZ-SFMP West Kalimantan
Ms Lasmini	Head of Multilateral in Bina Program Dept of Forestry and Estate Crops
Sutrisno Suwoko	Balitbang Dept of Forestry and Estate Crops



Appendix 2 Trip Report

Trip Report Australia and Indonesia

(1 - 27 September 1998)

The following points have arisen for the development of the DRAFT Code of Practice for Forest Harvesting in Indonesia

- 4 days spent in Australia gathering material and preparing the material for the DRAFT Code
- 21 days in Indonesia spent in discussions with Department of Forestry and estate Crops staff and others on the input for the Code
- Attended a Workshop held in Bogor for 3 days from 15-17 September on Codes of Practice for Forest Harvesting and Implementation involving development of reduced impact logging guidelines, training and education. A presentation was made on the use of Codes of Practice for supporting sustainable forest development in Asia-Pacific, concentrating on experiences in the Pacific
- Attended a Workshop convened by Dr Silver on 24 September to discuss the DRAFT Code of Practice for Forest Harvesting in Indonesia and Growth and Yield (Annual Allowable Cut) standards for calculation
- A copy of the DRAFT Code of Practice for Forest Harvesting in Indonesia to be presented to the new Director of APhi by the Forestry Advisor. I was unable to meet with him after the Draft was prepared
- Follow up work by the Forestry Advisor over the next 2 months to follow up on the progress of the finalising of the Code with Dr Silver and Dr Untung and Dr Tantra to ensure a single Code is prepared and ratified for the Production Forests in Indonesia based on the Code of Practice for Forest Harvesting in Asia-Pacific
- The Forestry Advisor to discuss with PH a Workshop by NRM 2 to present the Draft Code for comment and discussion in last week of November
- The Draft Code was not required to be translated in Bahasa Indonesia. The final Code will be translated into Bahasa Indonesia including the diagrams
- A detailed plan for the dissemination of the Code and for training will be prepared stakeholders for their use and field testing following development of the RIL Guidelines