



**COMMUNITY FOREST MANAGEMENT SUPPORT
PROJECT FOR SOUTHEAST ASIA
(CFMSP-I)**

**FINAL PROJECT REPORT
Dec 2004**

Submitted to the
United States Agency for International Development
(USAID)

East Asia and the Pacific Environmental Initiative
(EAPEI)

by
Community Forestry International
(CFI)

1. REPORT INFORMATION

- 1.1 Project Title:** *Community Forest Management Support Project (CFMSP-I)*
- 1.2 Contract Ref. No:** EEE-A-00-02-00038-00
- 1.3 Location:** Southeast Asia Region: Cambodia, Indonesia, Philippines, Thailand, and Vietnam
- 1.4 Project Duration:** 01 July 2002 – 31 December 2004
- 1.5 Period Covered:** 01 July 2002 – 31 December 2004
- 1.6 Author's Names and Address:** Mark Poffenberger
Community Forestry International
P.O. Box 6869
Santa Barbara, CA. 93160
Tel/Fax: (805) 696-9087/ (805) 696-9097
Email: mpoffen@aol.com

1.7 Project Description

The first phase of the *Community Forest Management Support Project (CFMSP-I)* was an ambitious effort to catalyze and facilitate national and regional dialogues regarding community forestry policies and programs, while supporting, documenting, and analyzing field level initiatives to implement emerging CF policies. The program's overarching goal was to enable the involvement of communities in the management of public forest lands by supporting the development of more effective national community forest management policies and implementation programs. The project sought to build strategic partnerships between professionals and government and non-government institutions informing national community forestry strategies in Cambodia, Indonesia, the Philippines, Thailand, and Vietnam. The project was implemented by Community Forestry International in conjunction with the Asia Forest Network (AFN) with financing from EAPEI and the European Commission's tropical forestry program.

The project supported innovative field projects where CFI/AFN country partner institutions were designing and facilitating dialogue processes between local government and communities to formally transfer management rights and responsibilities to resident peoples. The project worked on two levels: 1) national and 2) regional and was organized in three

thematic areas: 1) Working Group Management & Policy Analysis, 2) Field Level Activities: CF Dialogue Process and Planning & Mapping Methods and, 3) Communication.

The project was initiated by AFN in January 2001, with CFI joining in July 2002 under EAPEI support for two years through June 2004. The project, which was originally scheduled to be completed on June 30th, 2004, was extended under a revised cooperative agreement with USAID that allowed a transition into Phase II activities. All Phase I activities were completed by December 31st, 2004.

2. PROJECT OBJECTIVES 2002-2004: SUMMARY OF PROGRESS

The program's goal was to involve communities in the management of public forest lands in Southeast Asia by supporting the development of more effective national community forest management policies and implementation programs. The project built strategic partnerships between professionals, government, and non-government institutions informing national community forestry strategies in Cambodia, Indonesia, the Philippines, Thailand, and Vietnam. The project catalyzed national and regional discussions regarding historic forest sector transitions in Asia and supported the development of new national laws and policies that are enabling the greater engagement of communities in forest protection and management. The project also encouraged greater support from development agencies to forest departments and NGOs that are working on social development and environmental concerns. Finally, the project built greater capacity and clarity among field workers engaged in implementing CF projects in Southeast Asia, including identifying some of the best emerging practices for diagnosing CF issues, mapping CF areas, planning, and formulating CF agreements.

2.1 Evolution of Project Objectives

From an operational standpoint, CFMSP-I was designed to facilitate Asian regional exchanges and foster innovations to support community forestry transitions in Cambodia, Indonesia, the Philippines, Thailand, and Vietnam. The CFMSP-I mechanism provided small grants and technical support to field level practitioners and planners engaged with national CF strategies or their field level implementation. This allowed the CFMSP-I team to have a substantive engagement at the field level with its member country partner organizations. Modeled along the line of NRM support initiatives employed by the Ford Foundation and John D. and Catherine T. MacArthur Foundation in the past, the CMFSP-I program strategy facilitated the development of policy formulation and discussions groups with links to field learning exercises. The model for small grant making procedures that evolved during the

project, proved to be a flexible mechanism to support innovative projects of governments and NGOs, creating field laboratories for evaluating new policies and existing practices.

The strategy gained the attention of related projects, including the UNDP's Asia regional Small Grant Program, an initiative funded under the European Commission's Tropical Forestry Program. The SGP subsequently adopted many of CFMSP-I's strategies in its \$7 million dollar, five year project, and collaborated closely with CMFSP project staff. The UNDP program is also taking a regional approach and has integrated learning from the CFMSP-I techniques for facilitating cross-national exchange into its operations.

CFMSP-I played an important role in stimulating the institutional development of the Asia Forest Network by supporting it to develop its regional strategy and establish a strong base in the Philippines. Based on CFMSP-I activities, AFN now has the staffing capacity to continue to facilitate an Asia-wide exchange on community forest management and provide technical extension support in community-based resource planning and management processes and methods.

CFMSP-I also contributed to the evolution of Community Forestry International by financing its participation in the Asia regional program. CFI has expanded its community forestry support to Cambodia, based on the partnerships established during CFMSP-I. Drawing on support from USAID's Mission Incentive Fund (MIF) and the John D. and Catherine T. MacArthur Foundation, CFI currently provides small grant support to 15 NGOs working on CF field programs and extension materials in Cambodia. CFI is also assisting a multi-stakeholder group to inform the new CF implementation guidelines and preparing a CF National Program to expand Cambodia's CF strategy. In terms of regional exchange, based on CF support activities initiated under CFMSP-I, CFI was awarded a cooperative agreement under the Global Development Alliance (GDA) to continue the work begun under CFMSP-I to facilitate an exchange between Cambodia and Northeast India. This cooperative agreement extended the work of Phase I into Phase II (CMFSP-II). The exchange focuses on programs in areas with high populations of indigenous people where swidden farming is practiced in both countries and addresses problems stemming from deforestation, land grabbing, and the breakdown of indigenous culture and resource management systems.

3. PROJECT RESULTS

3.1 National Program

During the project period (2001-2004), CFMSP-I supported national working groups and community networks, CF policies development initiatives, as well as the efforts of partner organizations to field test CF implementation activities. The national program activities were divided into three thematic areas: 1) Working Group Management & Policy Analysis, 2) Field Level Activities: CF Dialogue Process and Planning & Mapping Methods, and 3) Communication. (See Table 1, *Summary of Final Progress 2001-2004*).

3.1.1 Working Group Management & Policy Analysis

CFMSP-I achieved its goal of supporting national CF working groups in Southeast Asia and facilitating CF policy dialogues. The project's policy development goals were met by providing technical assistance and small grant support to a variety of national working groups, NGO networks, and community federations who are informing national and local CFM policy dialogue processes in five nations in the region. CFMSP-I and its partners reviewed new CFM policies and decentralization legislation in Southeast Asia and assessed their impact at the field level on community involvement in public forest lands management. As part of this policy synthesis activity, three regional workshops were held during Phase I.

An important goal of CFMSP-I was to support and facilitate the emergence of new policies and laws at the national-level that enable community involvement in public forest lands management. In Cambodia, CFI support contributed to the approval of the national Community Forestry Sub-Decree I in October 2003 that has created a new policy environment to legally endorse community forest management systems around the country. In Thailand, CMFSP support has allowed the Watershed Management Unit to develop of a new approach to CFM in northern watersheds, based on new decentralization legislation that allows communities and sub-district government (tambon) to create and implement natural resource management plans for their area. While not yet impacting national policy, work in Thailand is creating "operational policy" for implementing new decentralization legislation.

In the Philippines and Indonesia, CFMSP-I maintained an active dialogue with senior government policy makers regarding strengthening Community-Based Natural Resource Management (CBNRM). In the Philippines, CFMSP-I staff held discussions and facilitated meetings with senior planners from the Department of Environment and Natural Resources (DENR) to review the allocation of Certificates of Ancestral Domain Claim to ensure greater transparency in the process and enhanced social equity. In Indonesia, CFMSP-I, through its

work with Indonesian NGOs engaged with local district government and community forestry initiatives in Wonosobo, Java have brought national attention to a successful example of decentralizing natural resource management. While the case between upland farmers and the State Forest Corporation (Perum Perhutani) remains contested, a process is underway to negotiate a compromise that could lead to progressive reforms and set precedents for the reform state forest land management on the island of Java.

In Vietnam, the CFMSP-I program worked closely with district and provincial government to support decentralized NRM and help communicate the efficacy of such strategies to national planners in the Ministry of Agriculture and Rural Development (MARD). CFMSP-I support to the national Working Group on Community Forestry in Vietnam has been effective in informing the discussions of that national policy development process.

CFMSP-I contributed directly to the formulation of new CF policies in Cambodia, Indonesia, the Philippines, Thailand and Vietnam while exploring their implementation under emerging decentralization laws and policies. The regional synthesis report brings together much of the learning generated by CFMSP-I-I and will be forthcoming in 2006.

3.1.2 Field Level Activities: CF Dialogue Process and Planning & Meeting

In Phase I, the goal of the field project activities was to build the capacity of partner institutions to assist communities in developing forest management plans and negotiating management agreements with local governments. Planning activities supported by CFMSP-I took place in several project sites in Cambodia; included Wonosobo District in central Java, Indonesia; Caro-Od Municipality on the island of Bohol in the Philippines; the Khun Wang Watershed in Northern Thailand, and Cao Bang Province in northern Vietnam. In all CFMSP-I project sites the program staff sought to build multi-stakeholder partnerships to guide pilot activities with community-based natural resource management. In each site the field project groups took different forms, but typically involved local government, researchers, forestry agency staff, and community leaders.

In all five project areas, the participants were engaged in three activities including : 1) participatory diagnostic assessments of CF issues and opportunities, 2) the development, discussion, or review of forest management plans, and 3) the formulation or discussions of forest management agreements between communities and local government. CFMSP-I staff visited all field site partners at least annually to provide technical support in developing forest

management plans and agreements and worked with project partners to document their experiences.

3.1.3 Communication

CFMSP-I facilitated communication through its meetings and workshops, research and documentation activities, and its policy assessments. At the community level, dozens of meetings were held with community representatives in each of the five participating countries over the three year program. National meetings and workshops occurred regularly as policy working groups met and training activities were held. Finally, six regional exchanges were held dealing with operational methods and policy matters.

CFMSP-I designed the documentation process as an activity to build capacity of its partners. The CFMSP-I team and partners worked collaboratively to collect, analyse, and communicate preliminary findings from field implementation experiences. A series of writing workshops were held with each partner organisation to allow materials generated during the diagnostic phase and the planning/ negotiation phase to be developed into a case study. The case studies include a description of the societal and forest management contexts in each field site based on secondary data and participatory rapid appraisals, as well as materials from community mapping exercises, community planning workshops, and negotiation meetings with local government.

The CFMSP-I core team also organized writing teams drawn from the policy analysis group to insure that reviews were undertaken of each national context in terms of policy formulation and implementation experiences. Draft case studies for each of the five participating countries were produced by August 2003. Two of the case studies have been published (Cambodia and Vietnam) with the remaining three in production. The regional synthesis report has been finalized and is pending publication with Kumarian Press in the U.S. and Ateneo Press in the Philippines. The regional synthesis report and five case studies will be disseminated to national planners, donor agencies, regional programs, NGOs, and other interested parties working on CFM strategies in Southeast Asia. The CFI website will continue to be updated regularly to report on CFMSP-I meetings and field activities.

3.2 Regional Program

CFMSP-I's regional strategy was to facilitate dialogue between national partner organizations through field workshops and meetings. Through a series of meeting and workshops CFMSP-I accelerated learning in Southeast Asia, especially in countries like Cambodia and Vietnam

that had little prior exposure to policies and field strategies that are designed to enable community involvement in forest management. The CFMSP-I regional strategy focused on the creation of two thematic groups among our partner organizations and to build strong professional working relationships among them, one concentrating on policies and the other on best field practices for establishing CF systems.

The first CFMSP-I regional group meeting launched the program and focused on the development of field strategies for implementing CFM dialogues between communities and local governments, designing and field-testing collaborative resource management planning procedures, and negotiating management agreements among stakeholders. By facilitating regular regional exchanges between the five national field programs and participating organizations, CFMSP-I encouraged the transfer of innovative practices between countries as well as the identification of problems encountered as CF policies are implemented. In February 2002, CFMSP-I held its first regional field workshop in Cebu to provide an opportunity for its field project partners to compare diagnostic strategies for their community resource management assessments.

The second CFMSP-I regional group formed the nucleus for the formation of a CFM Policy Working Group for Southeast Asia and initiated a process for developing a regional policy review that would culminate in the publication of a Southeast Asia CFM synthesis report in late 2004. In 2002, CF planners and practitioners from forestry agencies in five Asian countries were identified as participants. In March, an exchange workshop was on “CF Tools for Forest Departments” with the Andhra Pradesh Forest Department to allow the Southeast Asians to examine how participatory forestry was being implemented in India. Special attention was given to JFM and CFM policy frameworks in India, approaches to facilitating forestry agency transitions from custodial, commercial timber oriented models to participatory-multiple use models, and experiences with community-based assisted natural regeneration of degraded forests.

A third major regional program goal for 2002-2003, was to organize a meeting on Southeast Asian experiences with CFM policy development and implementation. This activity was carried-out in Siem Reap, Cambodia from October 1-4, 2002. With approximately 30 participants from Cambodia, the Philippines, Vietnam, Thailand, Indonesia, Nepal and India this meeting contributed to the long-term project goal of the regional CFM policy synthesis. Participants included representatives from national forestry agencies, NGO partners, EC/UNDP SGP-PTF and FAO. The learning from the two regional field workshops

conducted earlier in the year provided valuable input into the meetings, as did a series of policy studies commissioned by CFMSP-I.

The third and final CFM policy meeting was held in Chiang Mai in October 2003 to review the findings from the three-year program in terms of CF policy trends at the national and regional level. Evaluations and participant comments on the regional exchanges indicate they were effective in providing CFMSP-I partners with new information regarding best practices with policies and field methods. While different country conditions limit direct application of neighbouring nation strategies, many elements are transferable and it is apparent that strong commonality exists in approaches to CF policy and program development.

Finally, the CFMSP-I-I regional strategy influenced the development of the EC-financed Small Grants Program to Promote Tropical Forests (SGP-PTF) under UNDP. Through regular exchanges between CFMSP-I and SGP staff, and participation of SGP designers in CFMSP regional meetings, SGP has been able to incorporate many of the strategies developed under the CFMSP and will also function as a regional Asia network for community forestry support.

4. PRODUCTS

During the course of CFMSP-I-Phase I, CFI produced the following products:

DESCRIPTION	PUBLISHED
CFMSP-I Program Launched on Asia Forest Network and Community Forestry International websites(www.communityforestryinternational.org)	July 2001
Methods Manual on Participatory Methods for Community Forestry	January 2002
Vu Hoai Minh and Dr. Hans. Warfvinge "Issues in Management of Natural Forests by Households and Local Communities of Three Provinces: Hoa Binh, Nghe An, and Thua Thien-Hue," August 2002.	August 2002
Map Posters on CFMSP-I Field Sites in Southeast Asia (5 Field maps)	November 2003
Case Study # 1 The Return of the Limestone Forests: Northeastern Vietnam	December 2004
Case Study # 2 Flood Forests, Fish, and Fishing Villages, Tonle Sap, Cambodia	December 2004
Case Study # 3 Watershed Networks, Mae Khan, Thailand	March 2005
Case Study # 4 Communities Transforming Landscapes, Wonosobo, Indonesia	March 2005
Case Study # 5 From Mountain to Coast, Caro-Od, Philippines	March 2005
The 1 st regional CFMSP-I Meeting on "CF Policies and Programs in Southeast Asia" Tagbilaran, Philippines	March 2001

The 1 st regional workshop on “Diagnostic field methods for CF,” Cebu, Philippines	February 2002
The 2 nd regional field workshop on “CF tools for Forest Departments,” Andra Pradesh, India	April 2002
The 2 nd regional CFMSP-I Meeting on “Community Forest Policy Development Southeast Asia” Siem Reap, Cambodia	October 2002
The 3 rd regional field workshop “Sustaining and Enhancing Collaborative Agreements” Cao Bang, Vietnam	September 2003
The 3 rd regional CFMSP-I Meeting “Community Forestry Policies & Practice: Future Directions for Southeast Asia” Chiang Mai, Thailand	November 2003
Regional Synthesis Report “People, Policies, and Forest Transitions in Southeast Asia”	December 2004 (manuscript) December 2005 (book)

5. CONCLUSION

CFMSP-I succeeded in establishing national CF support projects in five Southeast Asian countries, as well as stimulating CF policy dialogues that informed new legislation in Cambodia, as well as operational policy in the other four participating nations. CFMSP-I staff provided direct technical support to five sub-district level projects and facilitated the documentation and analysis of emerging experiences with CF implementation. National discussions with planners and policy makers allowed field learning to be fed-back into formulation of CF strategies. Regional exchanges on CF field methods and policy design facilitated exchange between Cambodia, Indonesia, Philippines, Thailand and Vietnam and laid the foundation for ongoing trans-boundary cooperation.

CFMSP-I was instrumental in illuminating and documenting broad forest transition processes that are ongoing throughout Southeast Asia. The decline of industrial logging and the emergence of multi-stakeholder adaptive management was shown to be a growing trend across the region. Community management is gaining increasing acceptance among planners and policy makers, and is being adopted by the region’s forestry agencies. While CFMSP-I has captured the direction of change in the forestry sector in Southeast Asia, it has also found resistance to CF transitions is common among some stakeholders. Forestry agencies, while beginning to accept CF in principle, are reluctant to move quickly in transferring significant management rights. Willingness to engage communities is often limited to forest protection and collection rights to low value forest products, primarily in degraded forests with little commercial value. Under pressure from development agencies, forestry departments are gradually introducing CF into better stocked forests, protected areas, ex-logging concessions, but continue to impose limitations on a community’s ability to make and implement

management decisions, especially those involving silvicultural operations and wood product marketing. While forestry agencies are gradually developing policies and programs to support CF, the rate of change has been slow due to limited political will to devolve authority, lack of capacity within forestry agencies, and resistance from other stakeholders including some political and private sector actors.

Over the course of the project, CMFSP-I found that decentralization policies and local government programs may be more effective in empowering community forestry initiatives than policies and programs instituted by technical agencies. This was the case in Vietnam and Indonesia. At the same time, while decentralization is gradually giving local governments greater authority over forest resources in many countries, infrastructural development needs often take priority. Schools, health facilities, roads, and communication are the primary topics of concern in most village and sub-district governments, though growing attention was being given to natural resource management in some areas. Considerable need was found to build the capacity of local government to assess NRM needs and design effective approaches to planning and management.

The process of establishing sustainable systems of forest management is still in an early phase in Southeast Asian countries. Southeast Asia is just ending an era of wide-spread industrial forest exploitation and conversion initiated after World War II era and is still experiencing loss or degradation of millions of hectares of forests each year. While many countries are now passing legislation to ban or regulate logging and are gradually transferring some control to communities and local government, forest management capacities remain limited in terms of effective protection and sustainable use. It will take decades to build capacity, implement new laws and policies, and develop forest production systems that are both socially equitable and ecologically sustainable. This process will require long-term external support from development agencies and will proceed most efficiently if it is constantly informed by field based experiences. Since many of the needs and problems are common throughout the region, it will be important to accelerate and facilitate regional exchange and learning regarding these new management paradigms among planners, donors, and practitioners. In concluding, the CFMSP-I project recommends that USAID continue to support national CF programs and regional exchange on forest sector transitions in Asia allowing both mission and non-mission countries to communicate their experiences.

TABLE 1: SUMMARY OF FINAL PROGRESS 2002-2004

THEMATIC AREA	OBJECTIVE	ACTIVITY	IMPACT
WORKING GROUP MGMT & POLICY ANALYSIS	Support Civil Society Dialogue on CFM to generate new paradigms and models for community and local government involvement in forest and watershed management	Throughout 2002-2004, AFN and CFI staff have provided ongoing support to country level working groups and policy planning processes including: -CF Sub-Decree Dialogue Support (Cambodia) -Wonosobo District Working Group (Indonesia) -Philippines Working Group -Quyen District CF Network (Vietnam) -Khun Wang Watershed CF Network (Thailand)	- Cambodia approved a CF Sub-Decree in October 2003 – drawing on inputs from CFMSP and now has a legal basis for a national CF program - CFMSP assisted the Wonosobo Working Group to document and disseminate their District Level CF policy experience to national government as precedent setting example. - Philippines Working Group, with CFMSP input, is reviewing the national CBNRM Program to improve the allocation of Certificates of Ancestral Domain Claim (CADC) -CFMSP support to Khun Wang Watershed Network leads to “operational policy” as early pilot for local government resource management -Quyen District forms the first district level CF Network in Vietnam with CFMSP support
	Support regional CFM exchange	Organize three regional meetings on CFM Policy Development Meetings held in: 1) Tagbilaran, Philippines 2) Siem Reap, Cambodia 3) Chiang Mai, Thailand.	- This series of exchanges between CF policy specialists informed national CF development in Cambodia, and provincial and district policies in the other four countries. It also created an Asian network of forestry planners that maintain regular contact.
	Support regional CFM policy synthesis	Organize and Write Regional CFM Policy Review based on input from CFMSP partners Complete CFM Policy Review and disseminate report (accepted for publications by Kumarian and Ateneo University Press and manuscript under preparation for web-posting	- Process of policy review and report drafting revealed strong commonalities in forest sector transition patterns - Analysis reinforces commitment to Asia regional exchange and will better inform strategies - Impact of CF regional assessment on broader development audience will need to be evaluated after the report is published and disseminated.
FIELD LEVEL ACTIVITIES: CF DIALOGUE PROCESS AND PLANNING & MAPPING METHODS	Develop methods for participatory CFM planning and negotiations agreements	Provide technical assistance and financial support to five field projects	Ongoing support is being provided.- field visits and consultations were held with all five groups: -Cambodia (Nov, Jan, May) -Indonesia (Jul, February) Philippines- (Oct & Dec, Feb-June) Thailand (November) Vietnam (Aug & Sep, Jan.)

	Design and Test CFM negotiation techniques with local government	Five field projects conduct Community-Local Government Negotiations 1) Kompong Phluk, Cambodia 2) Caro-od, Philippines 3) Wonosobo, Indonesia 4) Khun Wang, Thailand 5) Phuc Sen, Vietnam	Informative CF field projects completed in all five countries. Negotiations completed and presented in case studies. Vietnam model being adopted through Cao Bang Province. Wonosobo becomes national “test case” for forest decentralization. K. Phluk becomes “model” for Asia Development Bank project around Tonle Sap Lake.
	Facilitate Regional Exchange on CFM Planning and Negotiations	Organize 3 Regional Field Methods Workshop 1) Cebu, Philippines – Diagnostic Tools 2) Andhra Pradesh, India – CF Planning 3) Cao Bang, Vietnam – CF Agreements	The regional meetings created a network of CF field practitioners, built the capacity of participants to use CF methods, and identified similarities in procedures for CF implementation.
COMMUNICATION	Disseminate program learning through the internet	Update CFI/ AFN website with ongoing project activities	Websites describing CFMSP project activities and learning developed and maintained by CFI and AFN
	Communicate learning regarding CFM Policy Developments in Southeast Asia	Finalize, Publish and Disseminate Regional CFM Policy Review	Final Regional Synthesis Report drafted December 2004. Under development for publication by Ateneo de Manila University and Kumarian Press and international journals.
	Communicate learning regarding CFM Policy Implementation Strategies in Five Southeast Asian nations	Finalize, Publish and Disseminate five case studies of CFM with implementation process details, including five base maps	Three case studies published and distributed, with two scheduled for March 2005. Five Field Site Map Posters were published by Sept. 2003. 1000 copies of each case are distributed primarily in Southeast Asia and presented at regional workshops and national conferences to focus on forest sector transitions.

6. BUDGET

See attached