



# SPARK newsletter

Promoting community-based approaches in natural resource management in South East Asia



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## Regional Meet on NRM Held in Thailand

BY MARIEL DE JESUS, ESSC, PHILIPPINES

SPARK activities for the year 2002 culminated in a regional workshop held in Ubon Rachathani, Thailand from October 29 to November 1. Participants from Indonesia, the Philippines and Thailand, representing NGOs, government agencies, and communities came together to discuss “Concepts and tools in strengthening communities for resources utilization and management”.

As part of the workshop, presentations were given on the status of policy in forest, coastal and water resources management. This issue of the SPARK newsletter will include the overview on the development of community forest management policy in Indonesia, the Philippines and Thailand. The presentation was actually a sharing of the initial results of the regional meeting facilitated by the Asia Forest Network in Siem Reap, Cambodia, which took place in October. The presentation will serve as an introduction into some of the issues that were tackled during the workshop for those who were unable to attend. A volume of the complete proceedings of the regional workshop will also be produced.

The workshop was designed to address the needs of the three countries where majority of the rural poor are dependent on common pool resources, such as forests, water and coastal resources, where property rights are mostly collective and state rather than private. Because of the nature of these resources, managing them in a sustainable manner is a real concern, especially for communities. In some countries, government policy is supportive of community management of resources, while in others partnership between local people and the government still needs to be strengthened in order to achieve effective natural resource management (NRM). *For more info contact: [esscsprk@mozcom.com](mailto:esscsprk@mozcom.com)*

The SPARK newsletter is a quarterly publication produced in Thai, Bahasa Indonesia and English aimed at practitioners of community-based natural resource management in Thailand, Indonesia, and the Philippines. It is received by about 900 organizations in these countries. The newsletter is intended to serve as a networking tool to encourage the sharing of knowledge, experiences, ideas and cooperation amongst different groups implementing CBNRM activities in the three programme countries.

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## COMMUNITY FOREST MANAGEMENT POLICY DEVELOPMENT: TRANSITIONAL EXPERIENCES

*Editor's Note: This presentation is based on initial results gathered from the AFN workshop, and they are still subject to refinement and further development. This is in no way a definitive statement on community forestry policy development in the region. Rowena Soriaga was the sole representative from AFN at the SPARK workshop.*

This presentation shares the initial results of the recent regional meeting<sup>1</sup> facilitated by the Asia Forest Network in Siem Reap, Cambodia from October 1-4, 2002. CBFM practitioners and policy-makers from six countries – Thailand, Indonesia, Philippines, Cambodia, Vietnam, and India – contributed to exchange on transitional experiences in CFM policy development. The objective of the meeting was to identify patterns and trends within the region. A more comprehensive synthesis report will be produced based on this meeting to share the information to a broader audience and provide support to long-term transitions in CFM.

### CONTEXT OF CFM POLICY DEVELOPMENT

#### Transition From State To Community Management

Most of Southeast Asia's forestland was placed under state control during the 19<sup>th</sup> and 20<sup>th</sup> centuries, largely dictated by the European colonial administration of the era. In Thailand, Indonesia and the Philippines, more than half of the countries' land area is under state control. The *de jure* rights of the state and the influence of Western concepts of nature preservation, silviculture and industrial forestry shaped much of the policies, management goals and mechanisms for state forest areas over the past century.

However, centuries of state forest management and policies that give central government full control of forestlands are not proving to be viable systems for maintaining forest cover. Forest areas managed by the state do not necessarily have forest cover. Annual deforestation rate ranges from 1% to 3.5%.

#### Land and Forests

	Indonesia	Philippines	Thailand
<b>Land Area (in '000 hectares)</b>	181,157	29,817	51,089
<b>State Forest Area (% of total land)</b>	75%	56%	59%
<b>Forest Cover 2000 (% of total land)</b>	57%	19%	28%
<b>Annual Deforestation Rate (1990-2000)</b>	1.2%	1.4%	0.7%

\* *State of the World's Forests, FAO 2001*

\* *Communities and Forest Management in Southeast Asia: A Regional Profile, WG-CIFM 1998 (for State Forest Area)*

Centralized forest policies are also not proving to be upholding the well-being of forest dependent communities who are often marginalized in society. There is growing recognition that corruption in the forestry sector begins at the top, where centralized control is frequently concentrated in the hands of a relatively small group of political and economic elite.



## People and Forests

	Indonesia	Philippines	Thailand
<b>Population (in millions)</b>	200	70	60
<b>Forest Dependent Peoples (% of total)</b>	30%	30%	17%

\* estimated based on *Communities and Forest Management in Southeast Asia: A Regional Profile of the WG-CIFM, 1998*

The World Bank, IMF and other development agencies continue to view these problems as being rooted in the poor implementation of forest policies, rather than to question the basic viability of state forest management. But the massive failure of forest policies for half a century or more throughout the region requires that we look beyond managerial and technical problems facing forestry agencies to explore alternative management paradigms, community forest management being a logical candidate.

### COMPARISONS BETWEEN STATE AND COMMUNITY MANAGEMENT

STATE	COMMUNITY
Centralized management	Decentralized management
Revenue orientation	Resource orientation
Large working plans	Localized use strategies
Target orientation	Process orientation
Punitive Rules	Group Pressure
Hierarchical forest departments	Non-hierarchical forest institutions
Area Management	Site specific management
Timber production	Multiple products combined with environmental functions
Single technical package	Diverse technologies
Fixed Procedures	Experimentation and flexibility
Single species	Multiple species and multi-tier forestry

\* *Communities and Forest Management in Southeast Asia: A Regional Profile of the WG-CIFM, 1998*

## STRATEGIES TO SUPPORT THE TRANSITION

While autonomous and de facto communal systems of management have existed in Southeast Asia for centuries, state sponsored social and community forestry projects are a recent intervention. Different countries define CBFM in different ways, with the question of control as the most important and controversial issue surrounding the debate regarding the role of communities in forest management. Increasingly, along with political and economic transitions, community forest management is being recast as a political issue, driven by an emerging peoples' movement.

In Thailand, the strategy is to push for the enactment of the Community Forestry Bill that has been pending for almost 10 years. National and regional community forestry networks and non-government organizations supportive of community involvement in forest management are lobbying with government to provide resource rights to people in conservation areas, and not only to those in production forests.

In Indonesia, the decentralization act is being used as a supportive policy to capitalize on windows of opportunities that can be tapped within the new forest law of 1999. Several district governments are taking advantage of the opportunities for management opened up by the *reformasi*.

The Philippines is not lacking in policies and programs that can be used to support community management. However, it is also abundant with overlapping policies, hindering regulations, inhibiting programs, and problematic implementation that inhibit supportive policies from having the desired impact on communities and resources. Even when certain rights have already been legitimized in terms of forest protection, questions of capacity building and financing of activities still need to be tackled.



## POLICIES, PEOPLE AND FORESTS

	INDONESIA	PHILIPPINES	THAILAND
<b>Old Forest Policies</b>	<p><b>Basic Forestry Law 1967:</b></p> <ul style="list-style-type: none"> <li>- granted policing powers to forestry personnel;</li> <li>- provided basis for leasing 55% of forestland to logging companies.</li> </ul>	<p><b>Forestry Code 1975 (PD 705):</b></p> <ul style="list-style-type: none"> <li>- critical watersheds (forest lands above 18% slope) should be protected from human intervention</li> </ul>	<p><b>National Forest Policy 1985:</b></p> <ul style="list-style-type: none"> <li>- no provisions to transfer management rights and responsibilities to communities;</li> <li>- geared more towards conservation i.e. no people in protected areas.</li> </ul>
<b>Other Legislation Affecting Community Management</b>	<p><b>Reformasi:</b></p> <ul style="list-style-type: none"> <li>- promoting community-based economy</li> </ul> <p><b>Decentralization Act 1997 (Law 22)</b></p> <p><b>MoF Decree 34/35 2002:</b> Social Forestry</p>	<p><b>Constitution 1987:</b></p> <ul style="list-style-type: none"> <li>- right of people to a balanced and healthful ecology; recognizes, respects and protect the rights of IPs in relation to national plans &amp; policies</li> </ul> <p><b>Local Government Code 1991:</b></p> <ul style="list-style-type: none"> <li>- designating local executives as area managers who can address issues that directly affect constituents' lives</li> </ul> <p><b>DENR DAO 30:</b></p> <ul style="list-style-type: none"> <li>- guidelines for transfer of DENR functions devolved to LGUs</li> </ul> <p><b>National Integrated Protected Areas System 1992:</b> providing areas for multiple use zones</p> <p><b>Indigenous Peoples Rights Act 1997:</b></p> <ul style="list-style-type: none"> <li>- process for acknowledging ancestral domain claim</li> </ul>	<p><b>Constitution 1997 (Art. 45):</b></p> <ul style="list-style-type: none"> <li>- traditional communities are vested with the right and duty to manage resources where they live.</li> </ul> <p><b>Tambon Administration Organization Act 1992:</b></p> <ul style="list-style-type: none"> <li>- strengthens the role of village governments in forest use planning and decision-making.</li> </ul> <p><b>Decentralization Law 1999</b></p> <p><b>Community Forestry Bill (pending)</b></p>
<b>New / Pending Forest Policies</b>	<p><b>Forest Law 1999 (No. 41)</b></p> <p><b>Forest Ministerial Decree 31 2001:</b></p> <ul style="list-style-type: none"> <li>- Community-Based Forestry</li> </ul>	<p><b>Community-Based Forest Management 1995 (EO 263):</b></p> <ul style="list-style-type: none"> <li>- process for granting CBFMAs to upland migrant and IPs; integration of all people-oriented DENR projects under one program.</li> </ul> <p><b>Sustainable Forest Management Bill (pending)</b></p>	
<b>Present Government Programs</b>	<p><b>Social Forestry:</b></p> <ul style="list-style-type: none"> <li>- Community forestry (HKM-OECF, DR)</li> <li>- Forest village communities (PMDH)</li> <li>- Perhutani agroforestry</li> <li>- Small scale forest enterprises (AULK)</li> </ul>	<p><b>CBFM as DENR's national strategy</b> for forest management and subsequent creation of CBFM Division under the Forest Management Bureau</p>	<p><b>Pilot Projects on:</b></p> <ul style="list-style-type: none"> <li>- community forests within buffer zones</li> <li>- small-scale forest plantations for Tambon councils</li> <li>- forest protection</li> <li>- service support for forest management activities</li> </ul>



## POLICY CONTENT AND STRUCTURE

What windows of opportunities are being provided by present national policies for community rights in forest management? What responsibilities do these rights entail?

	INDONESIA	PHILIPPINES	THAILAND
<b>Rights for Association</b> (community legal status)	Community does not have legal status, but recognized under Forest Law ( FL #41 Decree 31)	Community can only have legal status if registered as Peoples' Organization (EO 263)	Community does not have legal status, but recognized under the tambon administrative organization (component villages)
<b>Tenurial Rights</b>	Yes, under: - MoF Decree 31: CFMA can be issued by district government for areas within state land	Yes, under: - EO 263: CBFM Agreement for upland migrant communities and indigenous peoples - DAO 1993-02: Certificate of Ancestral Domain Claim for indigenous peoples (rights can be sold within the community) - DAO 2000-44: CBFM Agreement for communities in protected areas multiple use and buffer zones	Yes, under: - 1997 Constitution - TAO ACT - CFMA State Land
<b>Rights to Access</b> NTFP Timber Plant Agriculture/shifting cultivation Sale	Yes Yes w/ management plan (MP) Yes (in production forest only) Yes (in production forest only) Yes w/ MP	Yes Yes, w/ MP Yes Yes Yes w/ MP; MP not needed if IP but taxed	Yes No Yes No Yes (local)
<b>Rights to Manage</b> Who Community Role Forest Dept Role  Dissolution	Community High Tech Assistance; Approval of Management Plan District FD can dissolve	Peoples Organization Highest Facilitator  Region FD can suspend Annual Plan	TAO High Joint and approved by Provincial CF committee Yes, with due process
<b>Monitoring</b>	Yes	Yes	Yes
<b>Enforcement</b> (defined by extent to which community can fine/penalize)	No, no incentive for reporting illegal activity	Yes but to dispose confiscated forest products, community must work with state	Yes, based on local rules; but in larger cases, no.
<b>Conflict Resolution</b> Process Remedy	Yes Next, and procedure written	Yes Next Administrative CBFM: Written Procedure	Yes Community Rules, right to appeal to court
<b>Instruments used in CFM policy</b> Law Exec Natl Exec Local Court Constitution	Yes Yes No No Yes	Yes Yes No Limited Yes	Yes, pending. Yes No Maybe Yes



## IMPLEMENTATION

This era of revised constitutions, decentralization policies, and CFM programs is calling for transition in the roles of key stakeholders in managing forest resources – communities, local governments, and forest departments. Awareness, attitude, and capacity of these three stakeholders affect how policies are being implemented.

Participants at the AFN regional policy meeting looked at the present gaps in implementation and identified the following needs so that assistance to long-term transition to CFM can be organized and sustained to support community efforts

	INDONESIA	PHILIPPINES	THAILAND
<b>AWARENESS</b>	<ul style="list-style-type: none"> <li>- Need to improve awareness within community for potential sources of support.</li> <li>- Awareness of diversities of interest.</li> </ul>	<ul style="list-style-type: none"> <li>- Awareness of lessons learned for more effective implementation</li> </ul>	<ul style="list-style-type: none"> <li>- Raising awareness of TAOs responsibility to community</li> </ul>
<b>VALUES</b>	<ul style="list-style-type: none"> <li>- Respect for diversity of CFM initiatives</li> <li>- Rebuild pride, respect and trust in local knowledge</li> <li>- Trust between government &amp; communities</li> </ul>	<ul style="list-style-type: none"> <li>- Build trust at all levels between government and community</li> <li>- Decentralization and devolution</li> </ul>	<ul style="list-style-type: none"> <li>- Recognition of value of Indigenous knowledge</li> <li>- Mutual trust between communities and government officers</li> </ul>
<b>ATTITUDES</b>	<ul style="list-style-type: none"> <li>- Government willingness to learn</li> </ul>	<ul style="list-style-type: none"> <li>- Ethic of "Partnership" by all stakeholders</li> <li>- Forging integrated relationships and trustworthiness</li> <li>- Restructuring and retooling of DENR</li> </ul>	<ul style="list-style-type: none"> <li>- Change attitude of forester from protect &amp; control to facilitator</li> <li>- Building trust between community and govt.</li> <li>- GOs and NGOs actively seeking partnership</li> </ul>
<b>CAPACITIES</b>	<ul style="list-style-type: none"> <li>- Curriculum training</li> <li>- Reorientation of government and field staff</li> <li>- Capacity of community to assume responsibility</li> <li>- Capacity to restructure forestry sector</li> </ul>	<ul style="list-style-type: none"> <li>- Improving community management and decision making skills</li> </ul>	<ul style="list-style-type: none"> <li>- Reorient foresters = training in social science</li> <li>- Technical training for communities and concerned agencies and TAOs</li> </ul>
<b>BUDGET/SUPPORT</b>	<ul style="list-style-type: none"> <li>- Establishment of help desk</li> </ul>	<ul style="list-style-type: none"> <li>- Formal budget for CBFM</li> <li>- Creating finance initiatives for community based activities</li> <li>- CBFM as a strategy not a policy</li> </ul>	<ul style="list-style-type: none"> <li>- Formal recognition of CF in Ministry budget</li> <li>- Drive to self-sufficiency through market (secondary processing, environmental services etc.)</li> </ul>

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## Sharing skills to protect livelihoods by Oy Srisisook, Sustainable Development Foundation (SDF)

The livelihood of the people of Nong Tan Nam subdistrict greatly depends on Pou Kao Karm, a 245 hectare (1,535 rai) forested mountain area where wild mushrooms, traditional herbs, and wild vegetables are collected both for domestic consumption and as a source of income, particularly, for women. The area is also culturally significant, as it is a site of yearly ceremonies where people worship the Buddha statue and sacred stones and pray for rain that feeds their rice fields.

“If this ceremony fails to take place within the year, there would be drought and there would be no rice for us” says Por Suban Pratumyam, a Community Forest Project group leader. Por Suban lives in Tambon Nong Tan Nam, a small subdistrict with 13 villages situated in Ampur Kud Kao Pun, which is a part of Dong Kum Kam Forest (a protected area) in Ubon Ratchatani Province, Thailand.

The natural deciduous forest of Pou Kao Karm is threatened by illegal logging activities that have been going on since 1989. The Community Forest Project that Por Suban heads was organised in 2000 to respond



More community mapping activities by the community



ESSC Staff Jojo Parreno with community

Community mapping discussions



Community members drawing their resources



to this. In 2002, Pou Kao Karm joined a community mapping activity organised by the Sustainable Development Foundation (SDF), with the technical support of the Environmental Science for Social Change (ESSC) a research NGO in the Philippines that works with communities and local government in natural resource management. SDF wanted to learn how to put the perspective of local communities at the heart of the community mapping exercise.

A Filipino ESSC community resource mapping staff member, Jojo Parreno, facilitated two three-week demonstrations on the process of community mapping in four villages. SDF staff and community members joined these activities. The demonstrations introduced techniques used to facilitate mapping activities and to help local people draw an overview picture of the resource distribution and conflicts in

their areas. Participants discovered that community mapping is a long process, involving community and field verification to produce accurate maps. Nevertheless, the activities helped the participants analyze and understand forest management situations, and resource conflicts.

Community maps serve many purposes. For the community of Nong Tan Nam, the community map, which SDF “technically adjusted” (adjusted to scale and geo-referenced with the help of Jojo), is a tool to communicate their story as well as to help people better understand how wildlife, natural vegetation and community livelihood are linked. The map is also a tool for environmental education for local school-children.

The SDF staff that joined the activities found value in the community dialogues undertaken during the community mapping process. These dialogues facilitated more open discussions among the different stakeholders. This was important in resolving long-standing conflict at different levels within the community. The dialogues also provided a broader perspective on the community’s story.

The participants were even able to suggest some improvements on the maps. Some recommendations were to have bigger fonts for the keys, and to agree on symbols to be used, as well as maintain some of the community-drawn symbols. Such suggestions indicate that they have learned the very essence of the community mapping exercise: they have been empowered to understand their environment and improve their situation using their own symbols.

*Note: The work of Jojo was undertaken after the installation of natural resource database (NRDB) program at the SDF central office developed by Richard Alexander, a VSO volunteer. The program provides an overview on CBNRM situations and conflicts at the regional and national levels. Alternatively, community resource mapping provides an overview of the village to sub-district level, which is excellent for community resource planning. Both systems run parallel with each other to serve advocacy and education purposes for both NGOs and communities.*

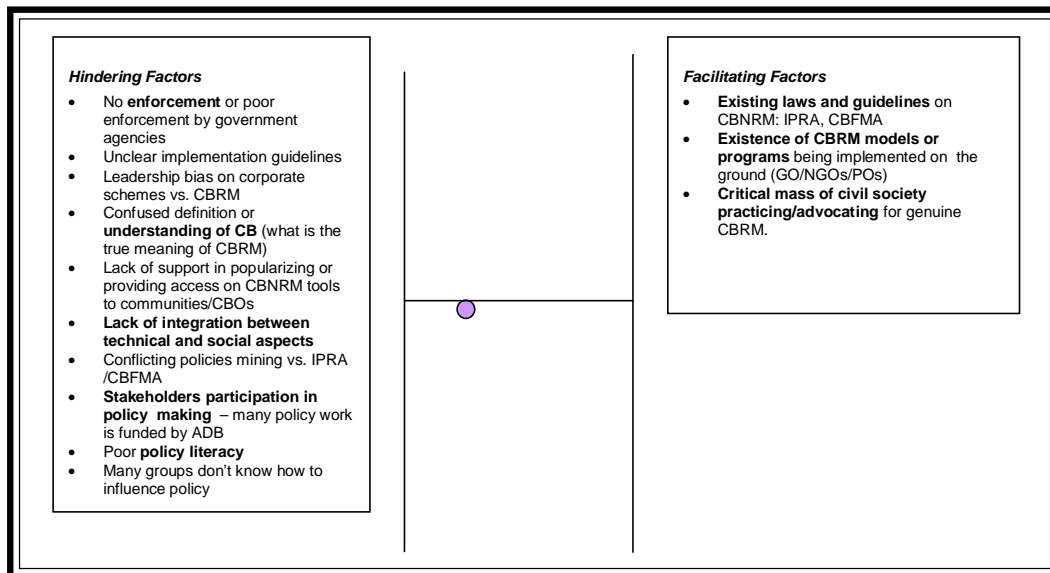
*For more information, please contact: preecha@mozart.inet.co.th*



# H Diagrams

## Description

H Diagrams have been used to demonstrate progress towards some goal, and to identify the factors, which help or hinder such progression. H Diagrams provide both quantitative and qualitative indicators to measure progress. Thus they can produce a numerical value, for comparative and evaluative purposes, as well as a wide variety of technical, social, environmental and managerial indicators. They collect ideas and opinions from a group of people, but also ask them to negotiate a consensus. Once collected, the indicators can be analysed using other tools, such as ranking.



## Steps

1. Think of a suitable issue, typically some sort of development goal.
2. Copy the H shape onto flip-chart paper, leaving space on each side for writing.
3. On the horizontal line of the diagram, each person makes a mark to indicate, in their opinion, where they lie between worst- and best- case scenarios. They must also write on the left, a reason why the mark is to the left, and on the right, a reason why the mark is to the right.
4. When everyone has done this individually, as a group they should try to agree on a point. This should involve negotiation based on the range of points and reasons given by individuals.
5. When done, discuss all the reasons on the right side. These should indicate the progress that has been made to date. The reasons on the left side should indicate the obstacles to further development. Prioritising and tackling the obstacles can aid progress towards the goal.
6. The same exercise could be repeated over time, to monitor on-going improvements.

## Example:

**Issue:** Improved CBNRM policy informed by practice-on-the ground

## Discussion:

The diagram shown above shows an H Diagram measuring improvement of CBNRM policy informed by practice on the ground, which is one of the SPARK objectives. The left side of the H diagram shows the factors that do not support or hinder the achievement of the objective. The right side of the diagram shows the factors that support or facilitate the achievement of the objective. The words and phrases in bold are the possible indicators: existing laws and guidelines, existence of models, critical mass, enforcement, understanding of CB, integration between technical and social experts, stakeholder participation, policy literacy.

During the initial stage of the discussion, each member of the group was requested to put a mark on the H diagram to show, in their opinion, where the Philippines is in terms of achieving the objective. However, the diagram above only shows the group's consensus. They have agreed that the current situation in terms of policy for CBNRM in the Philippines is somewhere before the midpoint in the centerline of the H diagram, as shown above.



**Institutional Issues and Perspectives in the Management of Fisheries and Coastal Resources in Southeast Asia. ICLARM Technical Report 60, 212pp.**

by Torell, M. and A. Salamanca (eds). 2002.

This book highlights the important challenges, demands and dilemmas in fisheries and coastal resources management in Cambodia, Indonesia, Philippines and Thailand. The focus is on the fisheries sector, being a major resource sector in the coastal regions. It presents country case studies on the institutional, legal and policy perspectives of managing fisheries and coastal resources in the four countries mentioned above.

**Delineating and managing the ancestral domain: tools and insights from indigenous communities in Palawan, Philippines. 79 pp. English.**

by Nellibeth Mercado and Maria Victoria M. Sabban-Victoria.

Published by: Community Empowerment and Partnerships for Sustainable Development (CEPSD)

This book outlines in simple steps the processes that the Batak, Tagbanua and Pala'wan communities went through in delineating, planning and managing their ancestral domains with the help of NGOs. While the experience is specific to the Philippines, this book can serve as a guide to other indigenous communities and those who support them in other countries in formulating ancestral domain management plans.

To obtain this publication, please contact:

Non-Timber Forest Products - Exchange Programme for South and South East Asia  
Email: [crissyg33@yahoo.com](mailto:crissyg33@yahoo.com)  
Tel: 00632 4360706

**Managing Tensions and Conflicts over Natural Resources: Proceedings of the SPARK Regional Workshop 2001, 160 pp. English.**

This sourcebook contains case studies and tools for analysis that can be helpful for CBNRM practitioners and stakeholders, as well as all those interested in conflict management, particularly conflict over natural resources.

Price: Php 350.00 (including postage),  
US\$ 7.00

Contact person: Jocel Pangilinan  
Email: [jocel.pangilinan@vsoint.org](mailto:jocel.pangilinan@vsoint.org)

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