

Kanoppi Policy Factsheet 1



Fostering resilient institutional arrangements by facilitating integrated and sustainable landscape-based forest management

1. Introduction

Aligning policies on landscape management has become one of the most important prerequisites for removing barriers to developing the value chains for timber and non-timber forest products. It is also a way to reconcile agricultural and forestry land uses to deliver a range of provisioning, regulating and cultural ecosystem services.

Based on recommendations from policy research, during the first phase of the Kanoppi project^{1,2}, Developing and Promoting Market-based Agroforestry Options and Integrated Landscape Management for Smallholder Forestry in Indonesia), one of the main barriers to be addressed is the dynamic changes in the national government and its governance systems. Fostering resilient institutional arrangements at various levels is needed under these conditions.

Problems to be addressed

Policy changes to the national government and its governance systems have been made nine times between 1948 and 2014, with Act No. 23/2014 being the latest iteration. The changes have had a counterproductive impact with significant transaction costs, particularly for local communities, during the transition period from one act to another (Putro and Nawir 2016).

Research aims

Encourage the establishment of resilient institutional arrangements, supported by relevant policy frameworks that foster landscape-scale forest management for the benefit of smallholders.



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Resilient institutional arrangements are defined as: **'Institutional arrangements that can adapt and cope in response to dynamic external changes, particularly, policy changes, for continued institutionally planned activities.'**

Research approach: participatory action research

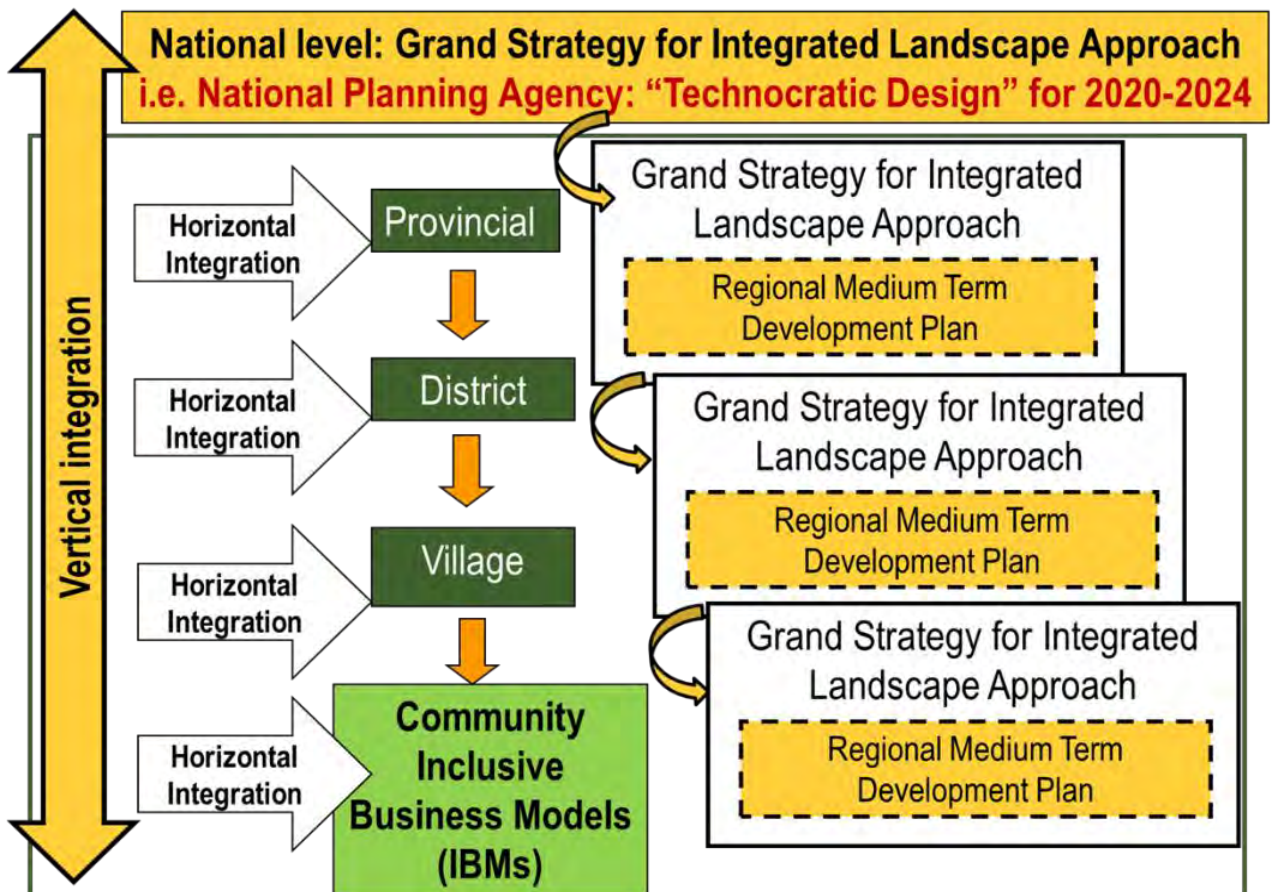
Activities, outputs and outcomes are aimed at enhancing understanding of the requirements for, and development of, resilient institutions to reconcile the agricultural and forestland uses through integrated landscape planning.

2. Conceptual framework: necessary conditions to support resilient institutional arrangements

Necessary conditions that support resilient institutional arrangements have been identified. Particularly to enhance vertical integration from community groups in villages up to the national level. At each level, horizontal integration should be enhanced to support vertical integration. The main aim of this integration is to improve the synergies and interconnectivity in collaboratively managing forest and non-forest resources by responsible government agencies and others. Having a grand strategy for an integrated landscape approach, at each level, could stimulate this.



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3. Complementary agroforestry alternatives at the landscape level to support resilient institutional arrangements

To support institutional resilience, a grand strategy should be developed based on principles of complementary agroforestry alternatives at the landscape level. Using the watershed as the workable unit of analysis,

complementary agroforestry alternatives are specified based on three components (Table 1).

- 1 **Area management ('kelola wilayah')**: enforce the conservation function of the area as a buffer zone and/or rehabilitate degraded areas while enhancing local livelihoods.
- 2 **Business management ('kelola usaha')**: promote the establishment of small-to-medium scale enterprises (*Usaha Mikro Kecil dan Menengah/UMKM*) for value-added processing for both forestry-based products and services.
- 3 **Institutional arrangements and management ('kelola kelembagaan')**: improve the coordination, synergy and interconnectivity of various government agencies at the district level as well as between these agencies and private industries.

Table 1. Management aspects, forest functions and watershed-based zonation

Management aspect	Forest functions and watershed-based zonation		
	Upstream	Midstream	Downstream
Conservation: buffer zone development & forest & land rehabilitation	Agroforestry: combining shade trees (of high conservation value) & NTFPs for conservation	Intercropping: timber & medicinal herbs Plants: nectar to support honeybees and honey production	Intercropping timber & cash/food crops
Enhancing local livelihoods	Investing in bee-host trees & nectar plants for wild forest honey production	Timber of high economic value Farming for honey production	Fodder production Agrosilvopastural
Integrating environmental services for economic development	Community-based ecotourism: based on local potential and the surrounding context of the protected and production forest. Managed by village government & funds. Partnership: Community group at the village level supporting tourism (<i>Pokdarwis</i>) & Forest Management Unit.		

Source: Adopted from Final Report of Objective 3 Kanoppi Project Phase 1 (Nawir et al. 2017)

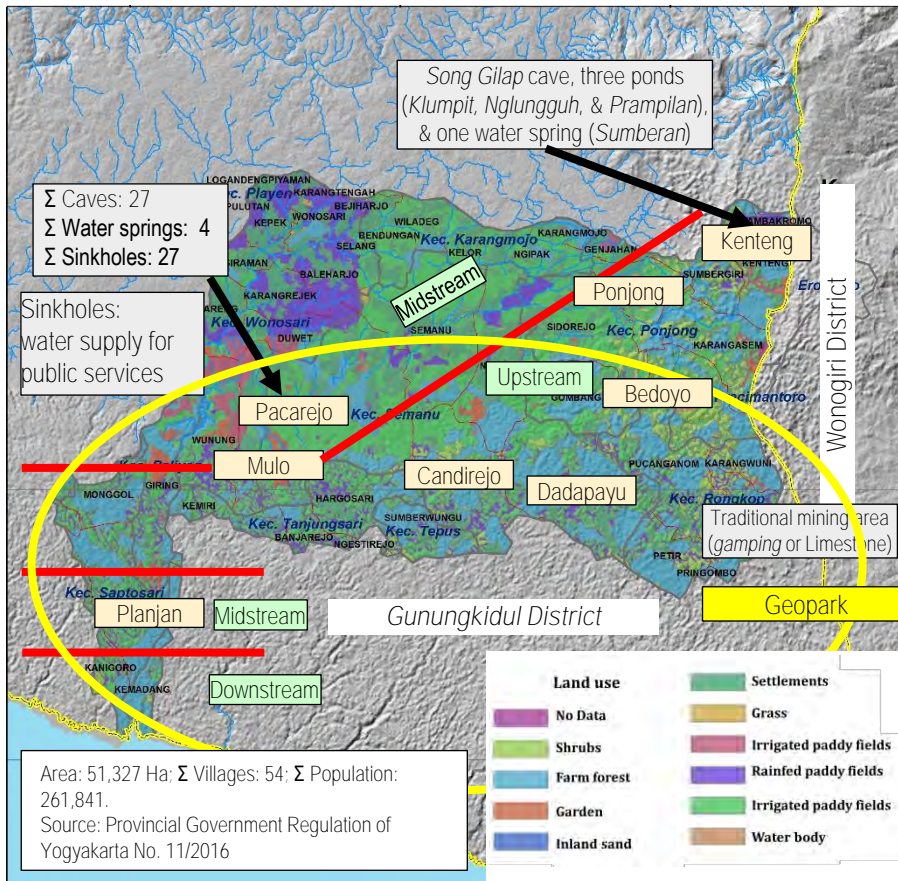


4. Challenges and opportunities: fostering resilient institutional arrangements at three project sites

Gunungkidul District, Yogyakarta

A mosaic forest landscape with a dominant karst river system, an intensive interface between forests and farm-based teak plantations managed by individual households, and agricultural areas.

Landscape-based unit of analysis: Bribin Watershed



Source: Adopted from Annual Report of Objective 4 Kanoppi Project Phase 2 (Nawir *et al.* 2020)

Importance of Bribin Watershed in landscape-based forest–farm management, the district government and local livelihoods

Within the watershed, there have been intensive competing uses of the karst, such as ecotourism, timber and NTFP extraction, traditional limestone mining, water supply for the local company providing public water services, and agriculture. Based on a landscape approach, these could be managed in a complementary fashion.

Challenges

- Booming investment in tourism industries.
- Management issues:
 - 1 Economic losses: 70% of fertilizers for agroforestry practices filter into the underground karst rivers; and
 - 2 Polluted underground water supplies public water services downstream.
- Integrated policy frameworks at the district and provincial levels are still lacking.
- There is no comprehensive baseline and understanding about management problems.

Fostering resilient institutional arrangements:
Enhancing landscape-based planning for improved management of forestry and related sectors by
developing integrated baseline data through participatory processes

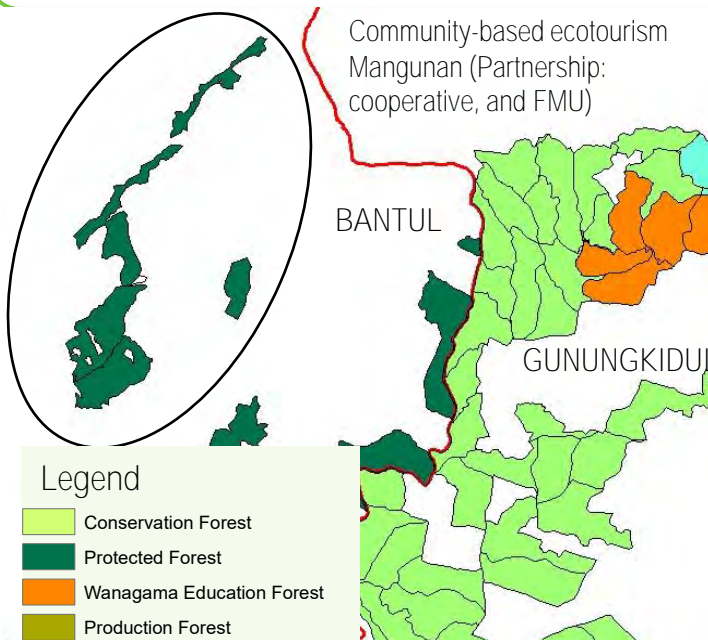
Determining and necessary conditions

- Responsive and supportive district government.
- The Regional Planning Agency could play a significant role in internalizing integrated watershed **management into the district's medium-term** planning document.
- Supported by multiple aspects and baselines that is accessible to all stakeholders.
- Opportunities as provided by Act No. 13/2009 on the privileges of the Yogyakarta provincial government as granted by the national government.
- Developing policy advocacy for the provincial government should be part of provincial government planning strategies.

Lessons for further adoption

- Stakeholders share a similar vision and goals for developing integrated sustainable integrated watershed management.
- Developing an integrated baseline based on a participatory approach.
- Raising awareness of the underlying problems of the karst river system that could improve the effectiveness of government budget allocations.
- Integrated regional economic development at the landscape level through ecotourism that includes timber, NTFPs, and environmental services.

Community-based ecotourism: partnership between Forest Management Unit (FMU) Yogyakarta and a cooperative.
Mosaic forest landscape with an intensive interface between forests and agricultural areas inside state forestland.
Landscape-based unit of analysis: protected forests inside the management area of the FMU.



FMU Area: ~15,581 Ha; Resort FMU Mangunan: ~560Ha; Ecotourism area in Resort FMU Mangunan: ~30 Ha; Since: 2014); Σ Operators: 7 and Σ sub-operators: 2 destinations.

Source: Decree of Ministry of Forestry No. 721/Menhut-II/2011

Contribution of community-based ecotourism developed in protected forests for local economies

- The national government considers the FMU a suitable model as a forefront instrument to achieve

sustainable forest management in Indonesia (conservation and commercial objectives).

- Addressing tenure and management conflict:
- 1 Partnership institutional arrangement: Cooperative and FMU.
 - 2 Benefit-sharing mechanism of (gross) revenues: 75% for the cooperative and 25% for the FMU.
 - 3 Before the partnership: local communities harvested resin from pine trees and timber harvesting was not allowed in the protected forest.
- The lessons have not been systematically documented and critically studied for impact.

Institutional arrangement challenges

- The business model for ensuring sustainability needs to be developed taking into consideration social and environmental costs and benefits.
- No study has been conducted as yet on environmental aspects of the impacts of community-based **ecotourism compared to an ecosystem's carrying capacity** inside protected forests.

Fostering resilient institutional arrangements: Case study of a partnership between FMU Yogyakarta and Notowono Cooperative for community-based management of ecotourism

Determining and necessary conditions

- Effective collaboration between the FMU (representing the provincial government) and the cooperative.
- The right policy frameworks were initiated at the provincial level to support the partnership and revenue-sharing implementation on the ground.
- Good leadership, both in the FMU and the cooperative.
- A significant contribution to provincial government revenues of AUD 203,000 (IDR 1.9 billion) in 2017 and AUD 203,000 (IDR 2.3 billion) in 2018.

Lessons for further adoption

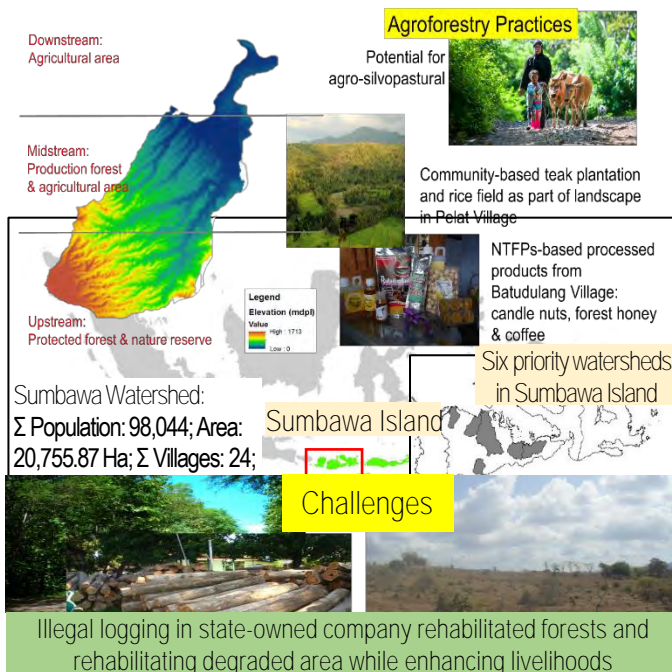
- Policy platforms have been crucial in accelerating the operationalization of community-based ecotourism.
- A business model for ensuring sustainability needs to be developed, covering short, medium and long terms.
- A grand design is needed for integrated ecotourism planning and management at provincial and district levels.
- Better coordination needed between the district and village governments.
- Better integration needed with ecotourism developed through schemes under the National Social Forestry Program.

Sumbawa District, West Nusa Tenggara

Forest landscape with production and protected forests.

Landscape-based unit of analysis: Sumbawa Watershed, part of FMU Puncak Ngengas Batulanteh.

Parallel activities in two villages: Batudulang and Pelat.



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Importance of integrated forest management in Sumbawa Watershed

- Provides water to the City of Sumbawa.
- The protected forest upstream is a source of forest-honey production that is important for local livelihoods.

- Potential for community-based ecotourism in protected forests to assist local economies.

Problems and threats to implementation:

- 1 How to manage protected forest while enhancing livelihoods.
- 2 On-going forest encroachment.
- 3 Illegal logging in the state-owned company rehabilitated forests.
- 4 Implementing forest rehabilitation in degraded areas while enhancing livelihoods.

Institutional arrangement challenges

- After Act No. 23/2014: forest management by the four FMUs in the area now falls under the provincial government authority with minimum coordination with, and minimum support from, the district government.
- Ensuring vertical integration (provincial, district and village governments) is the key focus along with revitalizing horizontal integration implemented in Kanoppi Phase 1 through the initiation of a grand strategy document on integrated timber and NTFPs at the landscape level.

Fostering resilient institutional arrangements:
Ensuring vertical and horizontal integration in parallel to enhance interconnectivity among government agencies across sectors at provincial, district and village levels

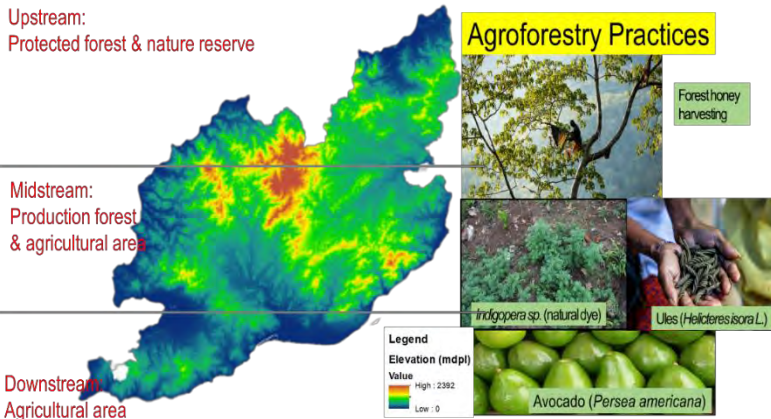
Determining and necessary conditions

- Responsive provincial, district and village governments.
- Baseline studies provide a comprehensive overview, including reviews of regional medium-term planning, long-term forest management of the four FMUs, and strategic documents of government agencies across sectors in Sumbawa District.
- Based on shared regional economic goals, intensive facilitation has been conducted at district and village levels.
- These processes aim to improve interconnectivity, within, and between, government agencies across sectors with the FMU as representative of the provincial government.

Lessons for further adoption

- The provincial forestry agency adopted the recommendation to include regulations on forest management at the provincial level (Post the enactment of Act No. 23/2014), particularly to improve the role of FMUs.
- The FMUs and district government adopted the approach to empower inter-district coordination through a policy network in Sumbawa District.
- Working closely with village governments is a strategic entry point to connect the provincial (through FMU) to the district government.
- Under Act No 6/2014: village governments have the authority to manage their own budgets.

Timor Tengah Selatan, West Timor, East Nusa Tenggara
Forest landscape of Mutis Timau: three upstream areas of main watersheds in the three districts of Timor Tengah Selatan, Timor Tengah Utara and Kupang.
Village level analysis: Fatumnasi, Kuannoel, Iusmollo, Bonleu, Pubasu, Saubalan and Tutem villages.

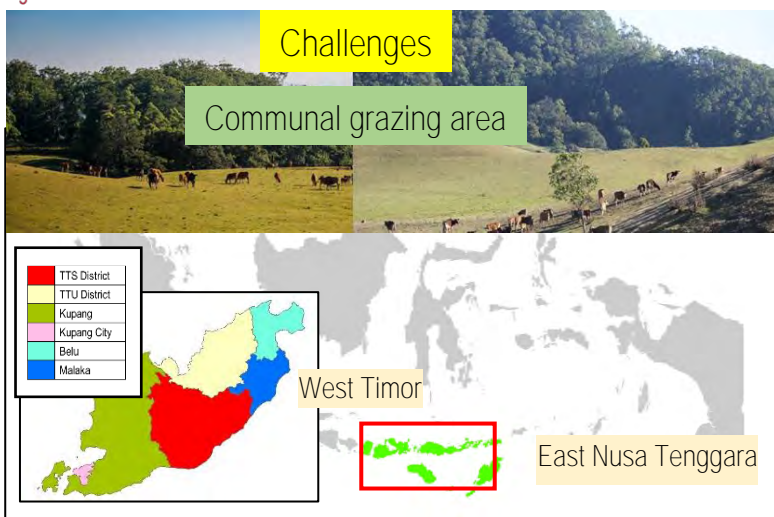


Importance of integrated forest management in the Mutis Timau landscape

- Natural habitats for bees for forest-honey production, particularly in the upstream of watershed hubs in West Timor.
- Upstream areas play an important role in preserving nature and maintaining environmental carrying capacity.

Challenges

- To maintain the ecosystems of Mutis Timau and sustainable forest honey for local livelihoods it is crucial to establish and analyze baselines for spatial, socioeconomic, cultural and institutional aspects.
- Ensuring vertical integration: synergy between the policy framework and institutional arrangement developed at the provincial level that supports regional development zonation based on a landscape approach to watersheds.
- Policy platforms at the provincial and district levels are needed for accelerating mainstreaming of integrated NTFP **management in the provincial government's strategic priorities.**



Fostering resilient institutional arrangements:
Facilitating a policy platform for a conducive umbrella regulation on
NTFPs in East Nusa Tenggara

Determining and necessary conditions

- The Kanoppi Phase 2 Team successfully facilitated the issuance of Provincial Government Regulation No. 6/2017, on NTFP management, grand strategy document and a decree on 14 prioritized NTFP commodities that are strategically managed with support from the local government budget across sectors.
- A showcase for how these regulations could be translated into implementation at the district and village levels: the establishment of the NTFP Centre (*Sentra HHBK-Hasil Hutan Bukan Kayu*) for forest honey at the Kanoppi Project site in Timor Tengah Selatan District.
- The Centre aims to facilitate business-oriented processes for products that are highly competitive because of their quality and competitive prices.

Lessons for further adoption

- Adopted by the provincial government: community-based regional economic development through landscape-based integrated management of NTFPs (grand strategy document).
- The strategy is key to internalizing NTFP development and management into government budgeting and planning mechanisms through facilitating policy platforms.
- Facilitating the issuance of provincial government regulations on NTFP management because the policy platforms are strategic to garner support from the local government budget across sectors.
- The Multi-stakeholders Working Group on NTFP Strategic Development for East Nusa Tenggara Province with government representatives from various agencies.
- Coordinating and developing synergy between the program and activities of the grand strategy for NTFP management in Timor Tengah Selatan District with the Forestry Agency East Nusa Tenggara Province and other local governments which authorize supervising functions at ground level.



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3. Vertical and horizontal integration: facilitating policy platforms at the provincial, district and village levels that are in line with national program priorities

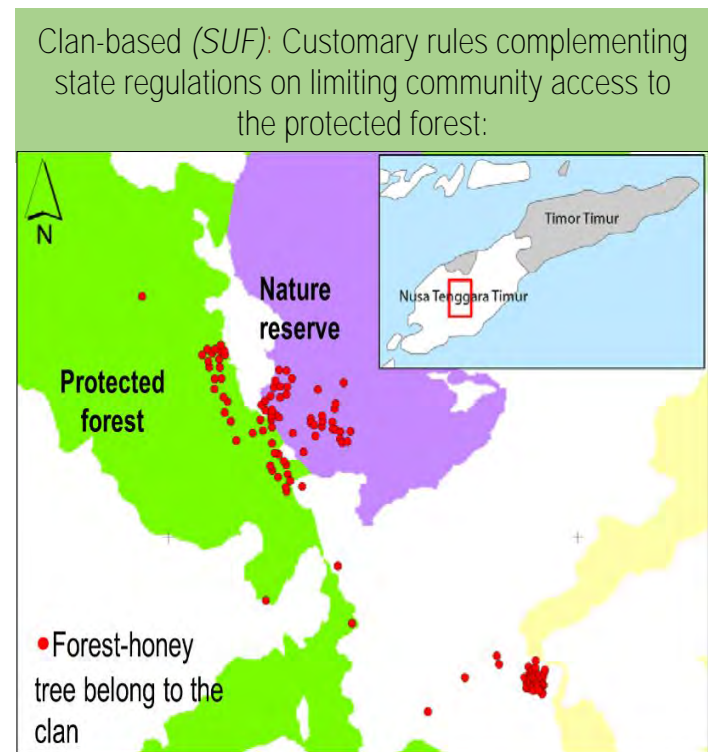
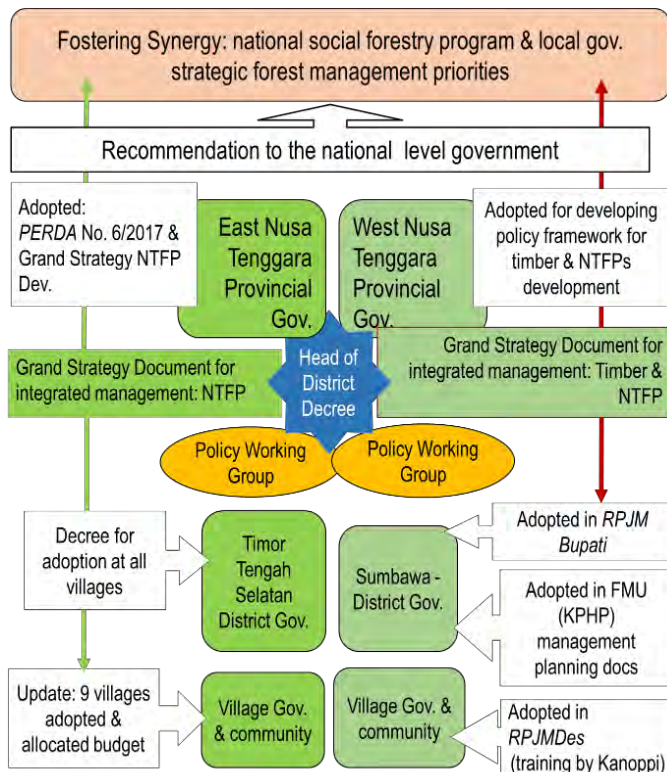
Evidence-based policy recommendation

Using the participatory action research approach, supported by baseline data and results from stakeholder analysis, the recommendations should include an adequate understanding of the local community's management practices.

Management directions are specified based on three components:

- 1 Area management: Enforce the conservation function of the area as a buffer zone and/or rehabilitate degraded areas while enhancing local livelihoods.
- 2 Business management: Promote the establishment of small and medium enterprises (SMEs) for value-added processing both for timber and NTFPs.
- 3 Institutional arrangements and management: Improve the coordination, synergy and interconnectivity of various government agencies at the district level as well as between these agencies and private industries.

Create synergy with the priorities of the local government's regional economic development plans and mainstream the landscape approach into the local government's strategic documents.



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- (8) Stamp event launch using Kanoppi-CIFOR photos.
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End notes:

¹ Kanoppi Research Phase 1: Development of timber and non-**timber forest products' production and market strategies for improvement of smallholders' livelihoods in Indonesia (ACIAR FST/2012/039)**.

² Kanoppi Research Phase 2: Developing and promoting market-based agroforestry options and integrated landscape management for smallholder forestry in Indonesia (ACIAR FST FST/2016/141).

Kanoppi Policy Research Team: Ani Adiwinata, Sri Muslimah, Fatwa N. Susanti (CIFOR), Syafrudin Syafii, Yeni F. Nomeni, & M. Ridha Hakim (WWF Nusa Tenggara), A. Maryudi, Dwiko B. Permadi, Andita A. Pratama, Ferrieren C., Dwi L., Sari Rahayu, Haviz Kurniawan (Faculty of Forestry, Gadjah Mada University), Aji Sukmono B. Nurjaman (Forest Management Unit/*Kesatuan Pengelolaan Hutan-KPH* Yogyakarta), Purnomo Sumardamto (Kanoppi Focalpoint in Gunungkidul District Government), Nunung P. Nugroho, Susi Abdiyani, S Agung Sri Raharjo, Nining Wahyuningrum, Nana Haryati, Purwanto, Pranatasari D. Susanti, Pamungkas B. Putra, Agung W. Nugroho, Eko Priyanto (Watershed Management Technology Centre Solo/*Balai Penelitian dan Pengembangan Teknologi Daerah Aliran Sungai Solo – BPPTPDAS Solo*), Sri Suhartanta, Bambang Riyanto (Regional Development Planning Agency/*Badan Perencanaan dan Pembangunan Daerah-BAPPEDA* Gunungkidul District), Julmansyah (Environment and Forestry Agency of West Nusa Tenggara), Widodo D. Putro, Muktasam (Mataram University), Dadan Koeswardhana (KPH Puncak Ngengas Batulanteh), Iskandar, Dedi (BAPPEDA Sumbawa District), Putu Danayasa, Chris Koenuu, Frans Fobia (UPT KPH TTS), & Norman Riwu Kaho (Nusa Cendana University).



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