

Forest tenure reform implementation in Lampung province

From scenarios to action

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Key messages

- The future of forest tenure security for local forest dependent communities in Lampung province is linked to the effective implementation of social forestry (SF) programs, which granted communities management rights to state forests. If SF schemes are implemented effectively, the tenure rights of forest dependent communities will be assured.
- Participatory prospective analysis (PPA) by an expert group consisting of governmental and nongovernmental organization representatives, identified six key driving forces that will influence SF implementation in the next 10 years. These include:
 - the dynamics of SF regulations including regulation of forest product businesses
 - economic options created by communities to improve livelihoods
 - community tenure rights to forest resources
 - budgetary support from regional government
 - human resources capacities of implementing agents such as the Province Forestry Office, Forest Management Unit (FMU) and NGOs
 - the clarity of stakeholder roles including community awareness.
- The different scenarios, which describe plausible conditions of forest tenure reform implementation in Lampung, range from persistence of the status quo, where communities continue to have partial rights to state forests, to variations that include full ownership rights, complete withdrawal of community rights to forests, and the privileging of economic interests over environmental sustainability.
- The desired scenarios are associated with adequate budget allocations including dedicated budgets for implementation. Lack of coordination is a disadvantage and is characteristic of undesired scenarios. The capacity of implementing agents is also a key factor, especially their capacity to work with communities and to support them. Functional forest-based enterprises to support community livelihoods, which in turn provide strong incentives for sustainable forest management, are important. Taken together, the scenarios suggest that devolving SF implementation to the lowest unit, the FMU, is the best option. However, this should be accompanied by community empowerment, the allocation of adequate budgets and support and cooperation among all involved actors.
- The expert group developed an action plan for enhancing SF scheme implementation over the next 10 years. Strategies include enhancing budgetary support to the regional government, strengthening the role of the FMU, strengthening community tenure rights and enhancing local livelihoods. Key actions include supporting cross-sectoral coordination, developing PES systems to boost regional government revenues, increasing legal literacy at community level and community/participatory mapping of resources.
- The action plan will be integrated into Lampung Provincial Government's forestry development program and will guide Lampung's Social Forestry Working Group.
- Overall, the PPA method reveals that the implementation of SF programs is multi-faceted, capturing the diverse concerns and roles of different stakeholders. It also enhances the capacity of stakeholders to jointly analyse problems, to anticipate the future and to design current actions to mitigate future problems or enhance the likelihood of meeting desired objectives.

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Introduction

What are the prospects for social forestry¹ (SF) in Lampung province for the next 10 years? What are the main factors threatening or enabling the implementation of SF programs? How can threats be mitigated? This infobrief presents the outcome of a multi-stakeholder consultation that used participatory prospective analysis (PPA) to answer these questions. The questions are pertinent to the future of SF more generally and community tenure in particular. Community rights to forests in Lampung are usually viewed in the context of SF schemes, which were authorized by the Forest Act of 1999. These schemes are also important to consider in light of recent tenure-related initiatives such as the Constitutional Court Ruling (Mahkamah Konstitusi No. 35/2012), which requires that customary communities are granted full ownership of customary forests, and the president's initiative to allocate 12.7 million ha of land to communities. The use of PPA, a technique that allows for joint forecasting and problem solving among multiple stakeholders often with multiple, conflicting interests and priorities is particularly relevant for enhancing/strengthening collaborative governance and for generating ownership and buy-in of policy initiatives.

Lampung province is a pioneer in the implementation of SF schemes. The SF programs were designed to provide forest adjacent communities with management rights to forests in order to support livelihood opportunities while also providing a basis for sustainable forest management. In 1989, forests in Lampung province covered roughly 37.48% of the province (Walhi Lampung, 2014) and in 2000, the forest area covered 1,004,735 ha or 30.43% of the province (Lampung Province Forestry Office, 2014; Sanudin et al. 2016) (Figure 1). Forest decline is primarily due to population pressure, which increased by 6.3% between 2010 and 2015 (BPS Lampung, 2016)

Social forestry in Lampung

In Indonesia, a SF program was implemented nationally with the aim of reducing conflicts between communities and the State in State forest area (Siscawati et al. In press). This scheme was introduced in Lampung in 2000 to give the community more rights over forest resources (Sanudin et al. 2016). These SF schemes grant management rights to communities to various categories of State forest. By Regulation of KDTI (Kawasan dengan Tujuan Istimewa/ Forest for Special purposes) issuance in 1998, Lampung has the first state forest area that was allocated for community right recognition (Fay and de Foresta 2001; Herawati et al. In press). SF program implementation in Lampung faces numerous challenges. Tenure conflict is a major problem

as many of the villages (about 380) are located inside State forests (Lampung Province Forestry Office 2014). Furthermore, communities that have legal management rights as part of formal SF schemes face the twin challenges of improving their livelihoods and sustainably managing the forests allocated to them.

Participatory prospective analysis (PPA): A foresight tool

PPA is a scenario-based approach (Bourgeois and Jesus 2004) that was used to facilitate multiple stakeholder engagements. PPA enables stakeholders to identify the driving forces influencing forest tenure security, to build scenarios of future tenure security and to generate action plans that would increase the likelihood of desired or acceptable scenarios, while minimizing the likelihood of unwanted tenure security scenarios. It has been used to strengthen the capacity of stakeholders to develop a common understanding of the origin and evolution of problems, to more actively participate in decision making and to begin crafting collective agreements on resource management and planning (Bourgeois and Jésus 2004; Laumonier et al. 2008).

In the context of the GCS (Global Comparative Study) Tenure project², this approach has been used as a first step in engaging key stakeholders, including government representatives, NGO practitioners, academics and local communities and enabling them to participate in project implementation (Bourgeois and Jésus 2004; Shantiko 2012; Bourgeois et al. In press).

A total of 16–20 experts from province and district level were involved in a series of PPA workshops that were conducted in 2015 (February) and 2016 (February and August). The participants comprised representatives from institutions implementing SF program in Lampung. The experts team consists of 75% government officials; 10% of NGOs, 5% respectively of community representative, academician (University of Lampung) and forest-based private company (PT Inhutani V-state own forestry company). Government representatives were from a range of sectors including the Provincial Forestry Office, District Forestry Office, Watershed Management Office (Regional Office of Ministry of Environment and Forestry) and other agencies that do not directly implement SF but have a significant role such as the Planning Agency from both Province and District level and the National Land Agency of Regional office of Lampung Province. The diversity of the expert team ensured that multiple interests and perspectives were captured often in an intense debate that took a longer time to reach consensus, while the PPA facilitation ensure that no one interest dominates the process of consensus-building. In term of gender proportion the expert team was dominated by men, who comprised 80%.

1 The SF program is part of forest tenure reform implementation, with different schemes, such as *hutan kemasyarakatan* (community forestry), *hutan desa* (village forest), *hutan tanaman rakyat* (community-based plantation forest), as well as customary forest and private forest.

2 The GCS-Tenure project is undertaking research in Indonesia, Peru and Uganda in order to understand how forest tenure reforms emerge; how they are implemented; and what the outcomes are. The work presented in this infobrief is part of the GCS-Tenure project. See: www.cifor.org/gcstenure.

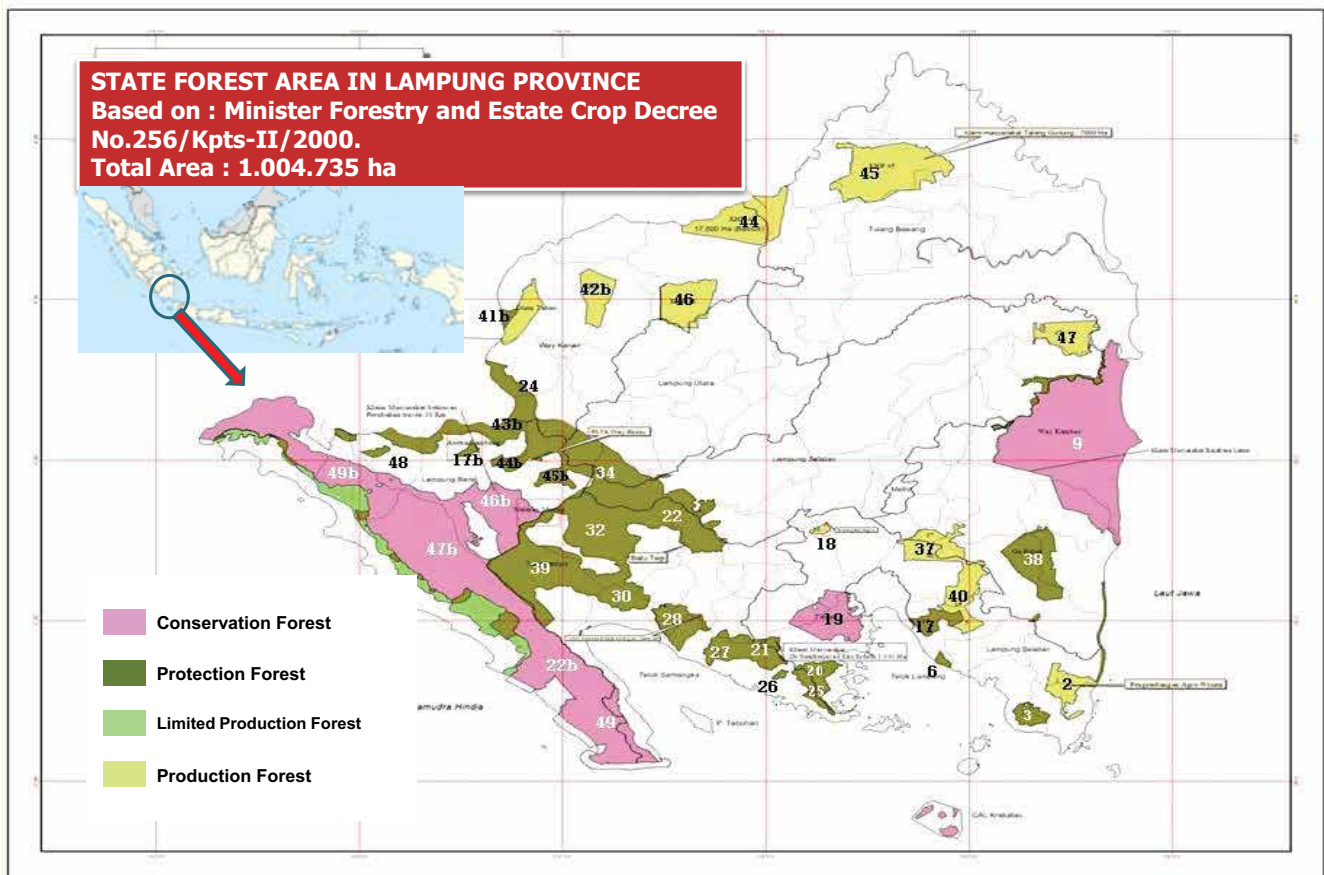


Figure 1. State forest area in Lampung province.

Source: Lampung Province Forestry Agency (2014)

These three workshops covered the five main steps of PPA. These steps comprised the following (see Bourgeois et al., 2014 for a detailed description):

- The first step was about defining the system of SF in Lampung province. The question to be addressed through foresight was examined. It had four dimensions: what, where, how long and who? These four dimensions define what is called a “system”. The question that was discussed in the first step was: “What is the future of forest tenure reform in Lampung up to 2025?”
- The second step was to identify and define the forces of change. A force of change is one that has the capacity to significantly transform the system in the future, whether positively or negatively.
- The third step was to select the driving forces, i.e. the forces that are the most influential and powerful in the system, from the set of forces identified in the second step.
- The fourth step involved developing scenarios of the SF program over the next 10 years.
- The fifth step involved the elaboration of an action plan, which moved the scenarios to action.

Participants chose 10 years as the forecasting time frame because they felt that they could reasonably predict (and to an extent control) the factors likely to affect the program in the next 10 years because of their expertise and local knowledge. They thought that 10 years provided a sufficiently long time period to achieve the targets that they had set in the action planning – a major outcome of the PPA process.

Driving force

The stakeholders identified 49 internal variables³ and 6 external variables⁴ that could potentially influence the future of SF program in Lampung province. They then identified the relationships and interactions among the variables to determine which had influence over and which were dependent on other variables.

Figure 2 illustrates the nature of interaction among the variables.

³ Internal variable can be controlled by the actors of the system.

⁴ External variable cannot be controlled by the actors within Lampung province who are directly involved in the system.

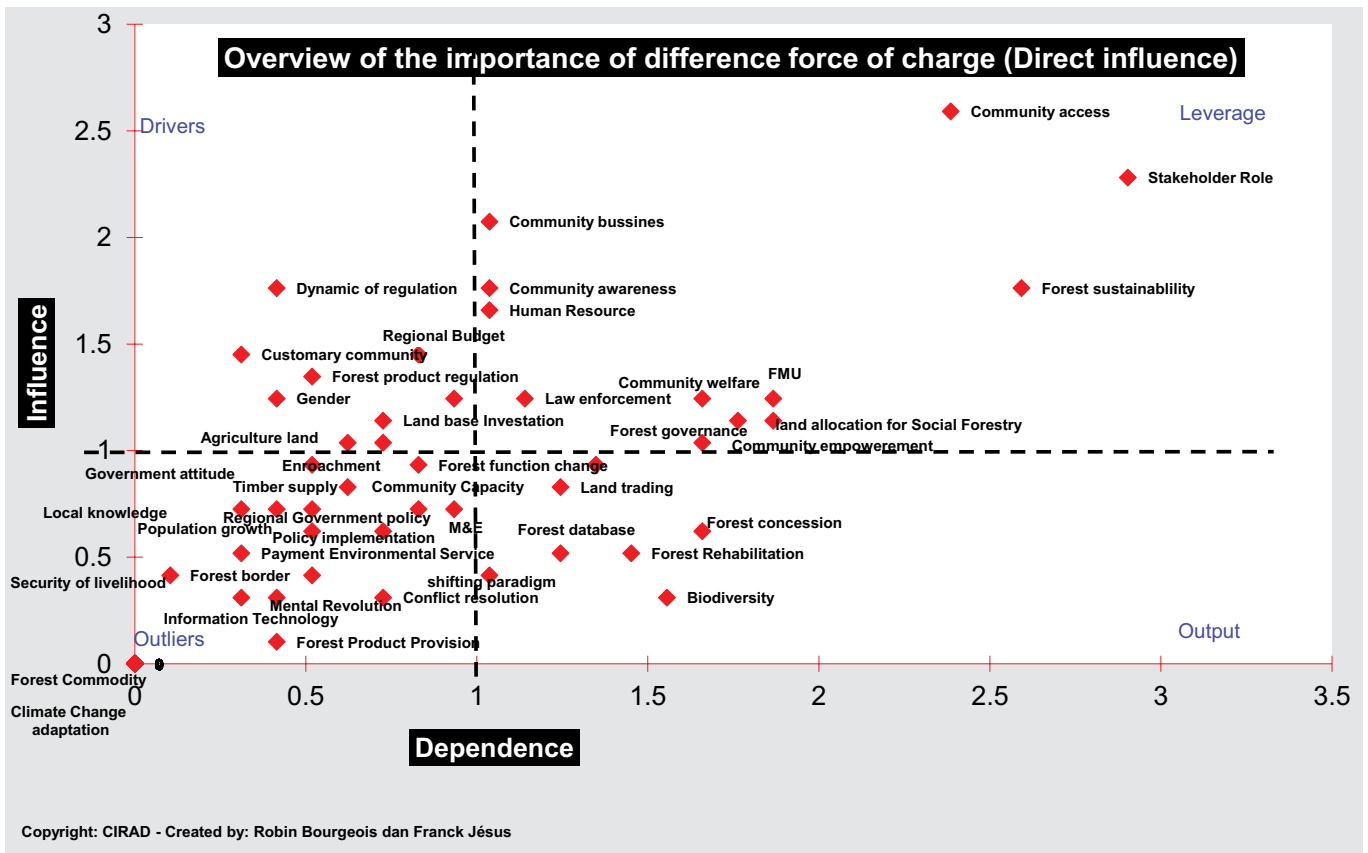


Figure 2. Matrix dependence and influence (D-I).

Source: Lampung Province Forestry Agency (2014)

The PPA team chose six driving forces, which had low dependence on other factors but which influenced other factors. The main driving forces for the implementation of SF that they identified included: the dynamics of SF regulations including regulation of forest product business; economic options created by the community; community tenure rights to forest resources; regional budgetary support; the capacity of human resources; and clear stakeholder roles including community awareness. According to the expert group, all these variables were important for SF implementation in the future.

The five scenarios

The combinations of these six variables led to the development of five contrasting scenarios. The scenarios developed from the different combinations of variables are presented in Table 1.

These scenarios capture different future states in the implementation of SF schemes. Scenario one envisions the persistence of the status quo where communities continue to have partial rights (i.e. access, use and management with full ownership retained by the State)

under current forest law. Scenarios two and four envision the strengthening of the FMU, but in different ways. Scenario two envisions a FMU that is well resourced with adequate budgets and which is focused on empowering and supporting communities. In contrast, scenario four envisions a FMU that follows a less collaborative, command and control approach that penalizes poor-performing communities by outright withdrawing their rights to forest use and management. Scenario three involves a complete withdrawal of community rights to forest resources, the privileging of economic interest over environmental sustainability and an escalation of conflict between forestry agencies and local communities. Scenario 5 envisions that full rights and decision-making authority to local communities will be accompanied by inadequate budget allocation to implementation, uncontrolled expansion of SF schemes to all forests regardless of classification/zonation/land suitability and decline in forest resources and local economies. This scenario suggests that full community rights and ownership, in the context of multiple resource pressures, requires the coordinated support of other actors to ensure that short-term needs are balanced with longer term priorities.

The second scenario, known as FMU facing globalization, was selected as the most desirable future condition and was the basis for action plan development. Stakeholders argued that the FMU, the smallest organizational unit in the central forest agency would be the best unit of the Forestry Office to implement the SF program on the ground. Under Law No. 23/2013, the FMU is placed under the Provincial Forestry Office thus increasing the opportunity for coordination between the FMU and devolved authorities.

This is anticipated to accelerate the implementation of the SF program. Under this scenario, the first three years will be dedicated to capacity building of FMU, integrating stakeholders support for SF program implementation and budget allocation from regional government as well as from other actors. The seven years up to 2025 will allow the newly strengthened FMU to accelerate SF program implementation in collaboration with other actors in central and regional government, as well as NGOs.

Table 1. Combination of possible scenarios.

Scenario 1: Striving for tenure security

This scenario is focused on implementing the SF program by involving all relevant stakeholders with the Province Forestry Office taking a role as the leading sector. The key themes in this scenario include policy stability, continued rights to forest communities, multiple actors support implementation, adequate budget allocation, improved capacities of implementers and support for community-based enterprises.

The key features of this scenario are:

- complete licensing of the entire area allocated to communities under SF schemes in Lampung (currently licensing has been carried out in 71.6% of the allocated area)
- improved outcomes in terms of community livelihoods and forest conditions in community-managed areas under SF licenses
- central government regulations continue to grant access to communities
- Government of Lampung province continues to implement the SF program
- external actors such as NGOs, international research institutions, donors and academics provide support for program implementation
- internal awareness and enthusiasm among actors in Lampung province
- adequate regional budget allocations
- continued capacity building of government actors to increase competency and target achievement
- support of community and forest-based enterprises and granting of legal rights to forest resources
- common understanding, vision and goals among actors.

Scenario 2: FMU facing globalization

This scenario focuses on the FMU as the main locus for implementing SF programs. Key themes include: budgetary support, community empowerment and stakeholder commitment.

Some key features of this scenario are:

- the FMU (KPH = *kesatuan pemangkuan hutan*), a new site-level institution directly in contact with forests and forest adjacent communities, should have full authority to implement SF program especially for processing the licences that grant communities access to forests
- local government budgetary support to the SF program is considered obligatory
- KPH is supported to become a strong, independent organization (Regional Business Service Agency/*Badan Layanan Usaha Daerah*) which is flexible in conducting business partnerships with the community
- KPH staff are equipped with strong skills in conducting community empowerment and assistance for implementing the SF program
- all relevant stakeholders are committed and fully supportive of the development of SF.

Scenario 3: No access for the community

This focuses on restricted rights to communities, conflict escalation, economic interests being more important than environmental concerns, increasing conversion of forests to agriculture and low capacity in government for tenure reform implementation.

Some key features of this scenario are:

- the end of the collaborative forest management scheme and there are no public access rights over forest resources due to community exploitation of forest resources for economic interests while the environmental/forestry aspects are not considered
 - absence of budget allocation for the development of forestry; human resources capacity in government is very weak in both skills and quantity and cross-sectoral coordination is minimal
 - escalation of land and forest land conflict, given that 380 villages exist inside the State forest area and a total of 1.33 million people live in or around forests
 - deforestation and forest degradation accelerates confining the only remaining forests to the national park which is tightly controlled by the State. Outside of conservation areas, previously State forest became agricultural land plots and land settlement
 - a strong voice from many stakeholders asking for forest status to change from State to non-State ownership, resulting in an environmental disaster becoming a real threat to people's lives.
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Table 1. Continued

Scenario 4: FMU take over community rights

The scenario focuses on a strong, functional FMU. The key themes are the termination of community rights, adequate budgets allocated to KPH, full authority of the FUM over forest management and conflict.

Some key features are:

- community rights on managing forest resource in Lampung province has been granted to community adjacent forest in various forms
 - FMU at site level getting strong support from relevant stakeholders
 - adequate budgets allocated by local government make the KPH powerful in line with a delegation of authority to KPH dealing with community rights and forest management
 - KPH implements a strict monitoring and evaluation system that assesses the performance of SF license holders
 - the result of assessment indicate that the output of SF program falls below expectations and KPH, which has full mandate from central government, terminates the rights of poor performers and instead takes over forest management
 - this condition will trigger a sharp conflict between KPH and surrounding communities, similar to conflicts in the last two decades before government applied the SF program.
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Scenario 5: Uncontrolled forest tenure reform

The scenario is based on full ownership right to communities who have total authority and decision making over forests. The main themes include full community control over forest resources, increased pressure on forest resources, inadequate budgets and poor human resource capacities, lack of resource sustainability and sectoral silos. Key features include:

- stakeholder pressure on forest tenure reform to enforce rights of community access to the entire forest area, including core zone of conservation forest. This pressure is driven by rapid population growth and high dependence on land for livelihoods
 - various programs such as HKM, HTR, village forests and the partnership will be applied in all forest areas, including protected areas
 - lack of adequate budget, as well as lack of quality and quantity of human resources for implementing forest tenure reform program
 - sectoral thinking is still dominant, so there is no proper coordination to support communities economic situation
 - even if the right of public access to forest resources has expanded, the local economy is not improved because of lack of stakeholders' support in developing a creative economy
 - lack of community knowledge of the importance of forest conservation leading to more exploitation for short-term benefit and a decline in the condition of critical forest resources.
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Budget allocation is a critical factor and the desired scenarios are associated with adequate budget allocations including dedicated budgets for implementation. Across all scenarios, support from multiple stakeholders is important but coordination among government actors is essential. The capacity of implementing agents is also a key factor, especially the capacity to work with communities and to support them.

The desirable scenarios demonstrate some unique features, for example fully functional forest-based enterprises to support community livelihoods (which in turn provide strong incentives for sustainable forest management) or the provision of authority to a localized institution (e.g. the FMU) thus reducing the distance between the grass roots (where people and forests are) and the mandated authority. The unique feature of the undesirable scenarios is conflict escalation.

Action plan

Feedback and consultation among the wider stakeholder group resulted in the development of an

action plan (Table 2) that would guide stakeholder implementation of the SF program for the next 10 years. In order to identify the needed actions, participants engaged in backcasting i.e. working backwards from the definition of a possible future, in order to determine what needs to happen to make this future unfold and connect to the present.

The action plan identified five strategies and associated actions for enhancing SF scheme implementation over the next 10 years. These include supporting policy and regulations, enhancing budgetary support to the regional government, strengthening the role of the FMU, strengthening community tenure rights and enhancing local livelihoods. Some of the key actions include supporting cross-sectoral coordination, developing PES systems to boost regional government revenues, increasing legal literacy at community level and community/participatory mapping of resources. Responsibilities for these actions are partitioned between the Ministry of Environment and Forestry, the Provincial Forestry Office and the FMU and to the District Regional Office and NGOs.

Table 2. Action plan for implementing a desired future for SF

No	Key program	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	Responsible organization
1.	Supporting Policy and Regulation related to SF											PFO, WGSF, MoEF
	• Coordination meeting within Lampung stakeholders for collecting inputs (6 months)	v										PFO, WGSF
	• Audience and communicating with central government in Minister of Environment and Forestry	v										PFO, WGSF, MoEF
	• Integration of agriculture, livestock, fisheries, plantation, tourism and renewable energy sectors.		v	v	v							MoEF, PFO, WGSF, PRO, DRO
2.	Enhancing regional budget support.											PRO, DRO
	• Supporting the issuance of a Governor Regulation related to payments for environment services (PES) to support conservation.		v	v	v							PRO, DRO, WGSF
	• Meeting with legislators to propose adequate budget allocation for forest management activities		v	v	v	v	v					WGSF, PFO, PRO, DRO, legislation
3.	Enhancing the role of FMU											FMU, PFO, MoEF
	• Organizational preparation for establishment of FMU with the new status of an independent financial organization (including staff recruitment)		v	v	v							PFO, PFO, MOEF
	• FMU staf capacity building		v	v	v	v	v					PFO, FMU, WGSF, PRO, MoEF
4.	Enhancing community tenure rights on forest land											FMU, PFO, WGSF, PRO, DRO, MoEF
	• Dissemination of law		v	v								FMU, PFO, WGSF, PRO, DRO, MoEF
	• Creating a champion of forest extension personnel at village level		v	v	v							FMU, PFO, WGSF, PRO, DRO, MoEF
	• Technical assistance for development of management plan document and working plan document		v	v	v							FMU, PFO, WGSF, PRO, DRO, MoEF
5.	Enhancing economy created by community											FMU, PFO, WGSF, PRO, DRO, MoEF
	• Sinergicity of activities for community empowerment		v	v	v	v	v	v	v	v	v	FMU, PFO, WGSF, PRO, DRO, MoEF
	• Creating internal rule of community group		v	v	v							FMU, PFO, WGSF, PRO, DRO, MoEF
	• Provide assistance for community group to process the formalization of becoming a cooperative group			v	v	v	v	v	v	v	v	FMU, PFO, WGSF, PRO, DRO, MoEF

Notes: MoEF = Ministry of Environment and Forestry; PFO = Province Forestry Office (*Dinas Kehutanan Provinsi Lampung*); WGSF=Working Group of Social Forestry (*Pokja Perhutanan Sosial Lampung*); DRO = District Regional Office (other government agency related to SF program at district level); PRO = Province Regional Office (other government agency related to SF program at provincial level).

Conclusion

The scenarios resulting from PPA resulted in the development of an action plan for implementing SF programs in Lampung province in the next 10 years in order to assure community rights. The PPA process reveals that experts view the implementation of SF programs as multi-faceted with the main facets comprising stable regulations and policy, adequate human resources and capacities of both government agents and communities, budgetary support and community enterprise development to sustain local livelihoods.

The PPA experts developed a strategy to address tenure security, which included improved coordination, capacity building, budget allocation and joint management planning. They also highlighted the importance of continued provision of evidence to support their decisions and actions.

In terms of moving the action plan forward, participants agreed to integrate it into the Lampung forestry development program. The outcomes of the PPA would also guide Lampung's Social Forestry Working Group, a cross-sectoral, multi-organizational group, consisting all of relevant stakeholders for SF implementation in Lampung province. These stakeholders will ensure that these actions are implemented, but this will need to be further negotiated with central government as well as legislature and political parties at provincial level. The PPA participants also emphasized the importance of meritocracy in the selection of implementing officials to ensure the right skills and expertise are deployed in the implementation of SF at the provincial level.

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