



Darwin Initiative Main Project Annual Report

Important note: To be completed with reference to the Reporting Guidance Notes for Project Leaders:

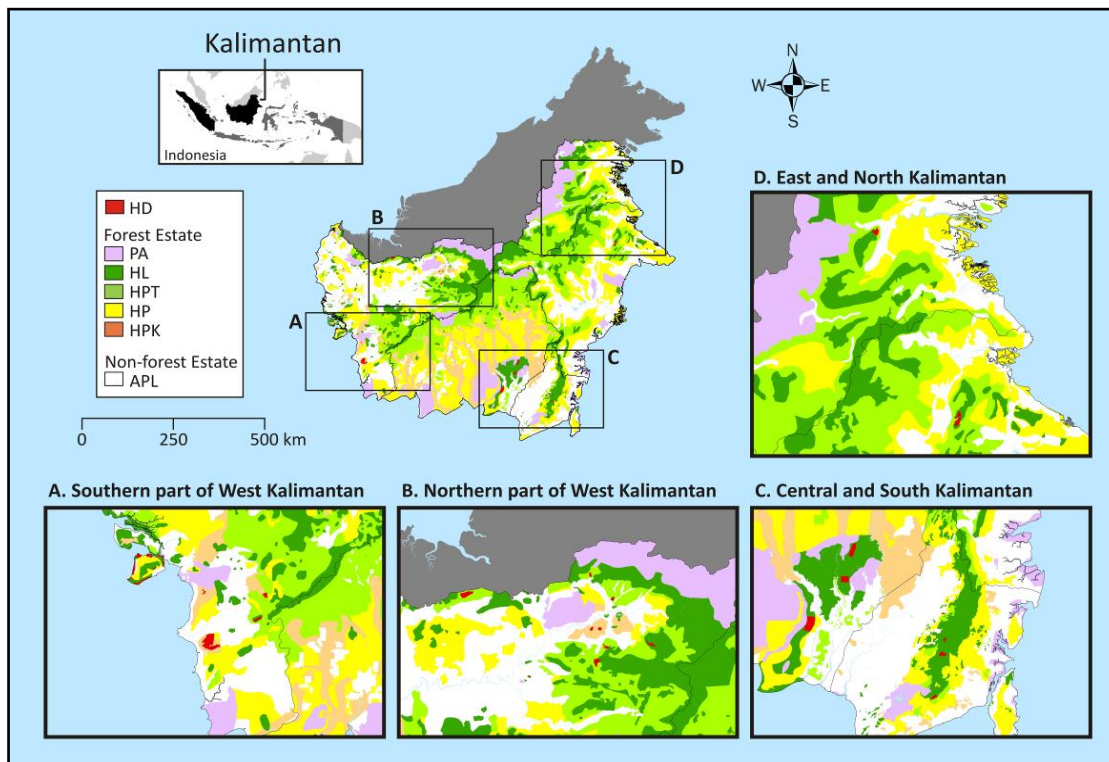
it is expected that this report will be no more than 10 pages in length, excluding annexes

Submission Deadline: 30th April 2017

Darwin Project Information

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|------------------------------|-------------------------------------------------------------------------------------------------------------------------|
| Project reference | 23-033 |
| Project title | Marrying community land rights with stakeholder aspirations in Indonesian Borneo |
| Host country/ies | Indonesia |
| Contract holder institution | DICE, University of Kent |
| Partner institution(s) | Fauna & Flora International (FFI), University of Queensland, Borneo Futures, Indonesian Institute of Sciences (LIPI) |
| Darwin grant value | £291,185 |
| Start/end dates of project | 1 Jun 2016 – 31 May 2019 |
| Reporting period and number | Jun 2016 – Mar 2017, Annual Report 1 |
| Project Leader name | MATTHEW STRUEBIG |
| Project website/blog/Twitter | http://www.borneofutures.org/community-forestry.html |
| Report author(s) and date | Matthew Struebig & Erik Meijaard, 28 th April 2017 |

1. Project rationale



Map. 1. Area currently allocated to community forestry (*Hutan Desa*, HD), in Kalimantan. Other land uses are strict protected areas (PA), watershed protection forest (HL), limited production forest (HPT), permanent production forest (HP), convertible production forest (HPK), and non-forest estate (APL). The main HD areas include our study region in (A) Ketapang regency, southern West Kalimantan, and (B) Kapuas Hulu regency, northern part of West Kalimantan, as well as (C) Central and South Kalimantan, and (D) East and North Kalimantan. Black lines indicate provincial boundaries.

Although global treaties such as the CBD and UNFCCC emphasise the importance of ecosystem services for human well-being, ongoing deforestation and forest fires demonstrate that these values remain disconnected from land-use decisions in Indonesia. Sixty six percent of Indonesia's poor live in or around forest, so deforestation impacts local livelihoods as well as globally important biodiversity. Policy changes that better capture the costs and benefits of land-use decisions are needed but have been slow to develop until recently.

Community forest management is championed as a way to benefit local livelihoods and forest conservation, and Indonesia now recognizes this as part of its efforts to reduce poverty. A constitutional court decision in 2012 stated that Indonesia's appropriation of the country's forest lands to the State was in conflict with basic human rights, and should thus be revised. Subsequently, the government has put policies into place that grant 12.7 million hectares of land and forest use rights back to indigenous communities.

Various forms of community land and forest rights have now been developed, including customary land (in non-State forest areas), village forest, and village use forest. The overall assumptions are that more secure and private land rights will automatically benefit income levels of rural people, while increased tenure security is expected to have significant environmental benefits through reduced deforestation and forest degradation, and better management of common resources, such as clean water. The transfer of land rights from the State to rural communities is generally considered as a potential triple-win for social, economic and environmental objectives.

Nevertheless, the above assumptions remain largely untested. A few pilot sites run and financed by governmental or non-governmental groups are upheld as evidence that community forest management results in reduced poverty, deforestation, and improved biodiversity conservation. However, the scalability of these projects remains unclear, and it is uncertain whether the successes achieved in selected sites and following several years of intensive engagement, funding, planning, capacity building and monitoring can be replicated rapidly across the archipelago.

Under the Darwin Initiative-funded MEPS (*Monitoring dan Evaluasi Perhutanan Sosial* – monitoring and evaluation of community forestry) programme we seek to inform the political debate on community forest rights and use in Indonesia. For the first time in Indonesia we are bringing together statistically relevant samples of projects to answer key questions about the impact of community forestry on poverty, deforestation, fire, and biodiversity. We also assess the organizational conditions under which projects are likely to succeed or fail. The aim is to use these data in our government collaboration to develop tools that will help the government to prioritize spending and spatial allocation of funds to new sites, as well as monitor the effectiveness of land reforms into the future.

2. Project partnerships

The project is led by DICE (University of Kent) who provide scientific support alongside the Center of Excellence for Environmental Decisions (University of Queensland). The involvement of Borneo Futures and the Indonesian Institute of Sciences (LIPI), both research organizations with a mandate to bridge the interface between science and policy, ensures that the science produced in year one is effectively translated into language and tools useful to end-users. Flora and Fauna International (FFI) (who joined the project in June 2016) then provide the vital practical angle to our project. FFI have for years experimented with community forestry in Indonesia, and understand the reality of implementing these policies on the ground. Importantly, FFI have a very strong relationship with local government ensuring that lessons learned from the research component of the project are transferred to local government before being presented to national government with a view towards policy change. Representatives from all partners have formed a Project Steering Group (PSG) as a conduit for internal reporting and approval of decisions during the running of the project. The PSG communicate via Skype approximately every month (see Annex 1; e.g. of PSG Skype meeting minutes), and we aim to meet as a full team at least once a year in Indonesia.

Our partnership has worked well in the first year. In our initial discussion with government (Activity 1B, Annex. 2) it became clear that simple guidance about resource allocation to community forestry projects was most needed. To meet this demand, our new

partners FFI, suggested a traffic light system that would indicate to government the relative levels of implementation risk versus likely benefits if implemented well. Our two team meetings in Indonesia (August and March, Annex1), and various side meetings in the UK and Indonesia have been productive, sharpening our views on how we can support community forestry implementation best and make the project a success. After the first year of planning and data gathering, we are now in a position to really scale up our programme and engage with relevant stakeholders more deeply. Over the first year we established a baseline of stakeholder viewpoints on community forestry benefits and risks (Ann. 2). In year 2 we will start discussing our findings with local and national-level government partners, and we will keep monitoring if/how viewpoints and mindsets in these institutions change. These changes (or the lack of them) will provide adaptive feedback on how to develop the remainder of the project in subsequent years.

3. Project progress

3.1 Progress in carrying out project Activities

Given the sequential structure of our project and logframe most of year 1 efforts have addressed Output 1, which we have now almost completed as planned:

OUTPUT 1: Evidence base for community forestry planning

1A Project team meetings. (Ann.1)

Following the delays (Change Request March 2016) and restructuring of our team early in our project (Change Request July 2016) we held our inception meeting in Bogor with new partners FFI in Q2 (29-31 August 2016), followed by a consultation meeting with national government agencies & other stakeholders. This revealed several new opportunities to collaborate with government partners, but also differences in opinion among the new team on how best to achieve this. We since held monthly meetings and an end of year review in Indonesia in Q4 (Feb/March 2017) to re-align the project to meet the new opportunities and interests in the team. The main implications are that we will make better use of pre-existing village data from partner FFI for our case-studies and policy briefs, and focus on translating our datasets to government planners via a traffic light system, which can help both allocation and subsequent monitoring of community forest (CF) areas. We do not envisage deviation from our original logframe, but we will review this in Q1 of year 2, especially for indicators.

1B Consultation meeting with national government & other stakeholders. (Ann. 2)

Held in Q1 on 30-31st August in Bogor, Java with 18 participants from 9 organisations, each presenting their progress/experience working in community forestry (Ann.2a,b). 10 participants (3 female) completed a questionnaire to document their perceptions of the 3 government community forestry schemes, *hutan desa*, *hutan adat* and *hutan masyarakat* (Ann.2c). Majority agreed that *hutan desa* (village forest) had most potential benefits to communities and needs for implementation, so the project is now focusing on this policy (Ann.2d).

1C Collate Kalimantan-wide baseline spatial data on environment & poverty (Ann. 3)

For the environmental baseline we compiled spatial data on biodiversity (Ann.3a - mammal species distributions), forest cover (Ann.3b), and ecosystem services (Ann.3c flood risk and fire susceptibility) for 2010 and 2015 during Q1-Q3.

For poverty we acquired 2000, 2003, 2005, 2008, 2011, and 2014 PODES databases from the Indonesian government (Badan Pusat Statistik), which are based on official population census (Ann. 3d). We will base our spatial analyses on these data until the next version is released in 2017/18. Alignment of village boundaries in the different datasets presents challenges because administrative boundaries change frequently in Indonesia, with villages tending to be being split over time. Therefore, Q3-Q4 were spent realigning the data to allow for temporal analyses of how poverty rates have changed over time and in relation to initiatives such as community forestry (see also 1G). We have identified several questions from PODES databases that match the global Multidimensional Indicators of Poverty, as well as questions to

be used in our field surveys, so that we can use the same poverty indicators throughout (Ann. 3e; see also 1H). We have not yet linked land-use perception data to the village database. All databases are prepared and will be handed over to government agencies later in the project.

1D Map ‘protection forest’ areas for Kalimantan; produce Kalimantan database (Ann. 4).

Under Indonesia regulation SK Menteri Pertanian No. 837/Kpts/Um/11/1980 large areas of forest are allocated for protection based on topographic and watershed protection criteria, but the criteria and datasets used are questionable (Ann. 4a), and have implications for land-use planning including allocation to CF on this land. In Q1 we compiled the spatial data needed to determine where Protection Forest should have been designated according to Indonesian law (on the basis of slope, rainfall and soil type). We found substantial mismatch between the total area legally allocated for protection over Kalimantan versus the area expected from our analyses (Ann. 4ab). This has been written up as a report in English and Bahasa Indonesia, but we have so far limited dissemination as the findings are quite controversial and could confuse the allocation of CF, rather than facilitate it. We will revisit this in year 2.

1E Update maps of proposed & allocated CF; produce Kalimantan database (Ann. 5).

The Ministry of Environment and Forestry’s Directorate General of Social Forestry and Partnership manages Indonesia’s Indicative Map of Social Forestry (PIAPS), which is periodically updated with allocated and revised indicative CF areas across the archipelago. We first acquired a version of these data from November 2015, but following our consultation workshop held in August 2016 (1B) it was clear it had been updated substantially. We are now basing all maps and analyses on the latest version (Feb 2016) acquired in Q3 (Ann.5a).

1F Produce/update baseline deforestation estimates since 2000. (Ann. 6)

Deforestation data were compiled for 2000 and 2005 by combining the Global Forest Change data (Hansen et al. 2013, 2016) and spatial boundaries of natural forest data (Margono et al. 2014) in Q2. These data are being used as a baseline to assess any change in forest cover inside and outside of allocated CF areas in Kalimantan (and Sumatra – see 1G), and to develop a traffic light map of ‘deforestation risk’ in the allocated CF area to help government planners make allocation decisions (underway). For the former, we used a spatial and temporal matching approach of existing CF areas alongside the deforestation data to evaluate if the scheme in Kalimantan and Sumatra has avoided forest loss. The total area of 2,200 km² contributed to 17km² of avoided deforestation over the five years, but performance varied annually, and was particularly low during the 2015 drought event in SE Asia. The main conclusion so far is that performance varies by biophysical circumstances, with CF areas established on peatland and close to agricultural settlements performing particularly poorly. We are currently revising a manuscript for the journal *Global Environmental Change* (Ann.6a), which, if accepted, will be translated with other outputs into a policy brief during Year 2 as per project plan. This is being led by UQ with involvement across the team, and will be the project’s first open-access publication.

1G Prepare publication: “Socio-economic & ecological performance of CF in Indonesia”

We are now in a position to combine the various spatial datasets (1C,1D,1E,1F) into an overarching evaluation of the performance of CF to date in Kalimantan. We are currently preparing this manuscript with view to submit to a conservation journal in Q1 of year 2.

1H Site visits to villages in Kalimantan to develop case studies and produce baseline assessment of poverty. (Ann.7)

This component begins in earnest in year 2, but we began consulting village heads during Q4. New partners in FFI (Change Request July 2016) have brought many benefits to the project, including pre-existing information and local partnerships with villages in West Kalimantan that are seeking or have confirmed CF status. To facilitate this FFI implemented social survey campaigns in CF villages in Ketapang and Kapuas Hulu regencies during 2011/12.

These datasets bring two benefits to the project. First, the surveys were based on the ‘Nested Spheres of Poverty’ (NESP) framework pioneered by the NGO CIFOR, which was designed following extensive consultation with local communities in East Kalimantan – hence, our planned participatory workshops to identify poverty indicators in year 2 are no longer necessary. Second, they provide a wealth of baseline poverty data for villages in 2011/12 that can be compared to subsequent data collected under our project in year 2. Using the

same/similar questions to the national poverty assessment (see 1C) will also give us insight on how well official data collected at the village-level correspond to the findings from households.

Knowing that there are differences in CF performance in terms of avoided deforestation between areas of peatland and mineral soils (1F), we identified 4 villages to survey for our case studies, as well as potential control villages against which trends can be compared (Ann.7a). The case study villages are a selection of those FFI surveyed previously, and the controls have been selected as spatial matches for topography and soil type:

- Kapuas Hulu regency (Ann.7b)
 - Peat = Nanga Lauk (identified as ‘poor’ on NESP 2011)
 - Mineral soil = Menua Sadap (identified as ‘poor’ on NESP 2011)
 - Control peat = Pulau Manak
 - Control mineral soil = Kelakar
- Ketapang regency (Ann.7c)
 - Peat = Pematang Gadung complex (actually 3 village surveys)
 - Mineral soil = Laman Sotong
 - Control peat = Sungai Kelik
 - Control mineral soil = Kayong Utara

OUTPUT 2: Guidance and dissemination of information on community forestry planning
2A Produce and circulate policy brief (Ann. 8)

Policy briefs are to be produced mainly in year 2, but in Q2 and Q3 we developed a broad national-level brief about CF and indigenous forest rights for Strategic Review, a widely read journal among Indonesian policy makers. The article, co-authored by team members Meijaard, Budiharta and Santika, discusses the need for careful rather than rapid implementation of new policies on community use of forests, and was published in January 2017 (Ann.8a).

2B Train 3 facilitators in CFM policy and planning options in Jakarta – Year 2 as planned.

2C Produce guidelines of best practice from the case study villages – Year 2 as planned.

2D Develop public outreach and measure media coverage to evaluate impact (Ann.9)

Our public outreach and media engagement will begin in earnest in Year 2 now that we have accrued the main datasets. In addition to the Strategic Review article (see 2A), we also published commentaries in *Kompas*, an Indonesian national newspaper (Ann. 9a) and the Darwin Initiative newsletter (Ann.9b) in year 1. We have consulted Wildlife Impact, a new company based in the US to help us develop a media and monitoring plan (due Q1 year 2).

The remaining activities pertain to Years 2-4, as planned.

3.2 Progress towards project Outputs

We limit this section to Output 1 as activities in Year 1 focused on this Output, which is near complete (pending completion of indicator 1.6 and period updates to the other indicators in years 2 and 3). We are on track to contribute to outputs 2 and 3 as planned in the remainder of the project, but may bring forward the timing of our final consultation workshops (for Output 3, indicators 3.2 and 3.3) because there are national CF policy targets for completion by 2019.

Output 1: A robust evidence base (including a pre-intervention baseline) available to assess CF applications and land-use change in at-risk ‘Protection forests’, and evaluation of the consequences on human livelihoods and the environment (mo 1-15)

| | <u>Progress in 2016/17 (9 months since 1st June 2016)</u> |
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| 1.1 Kalimantan-wide spatial data produced of biodiversity provisions, ecosystem functions and other environmental characteristics... (mo 9). | Authoritative maps produced for 4 environmental characteristics in Kalimantan – biodiversity, forest cover, flood risk and fire risk (Ann.3). <u>Baseline:</u> difficult to access previously (except forest) <u>Appropriate</u> , but should be made open access in year 2. |
| 1.2. Kalimantan-wide village level databases collated of poverty indicators from Central Agency on Statistics national census; baseline data describing social | Maps produced of 13 indicators of poverty from the Indonesian national census (Ann.3). <u>Baseline:</u> available but spatially mismatched. Now aligned for Kalimantan <u>Appropriate</u> , but should be made open access in year 2. |

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| <p>perceptions on land-use...(mo 9).</p> <p>1.3 Kalimantan-wide spatial database of existing and proposed CF areas, and land meeting 'Protection forest' criteria... (mo 12,24,36).</p> <p>1.4 Kalimantan-wide annual deforestation rate...as baseline (mo 6).</p> <p>1.5 Confirmation of at least 4 CFM case- studies involving village heads and local communities in West Kalimantan (mo 12).</p> <p>1.6 Case-study village visits for participatory workshops to identify poverty indicators. Subsequent baseline survey across case-study areas (mo 15). Production of a social network analysis ... (mo 18)</p> | <p>Summary map produced on CF areas (Ann.5), but this is now publically accessible via government. 'Protection Forest' map (Ann. 4) produced, but will not be circulated due to concern among the team that results could further confuse CF decisions rather than facilitate them. <u>Baseline:</u> 'protection forest' map available, but incorrect. <u>Recommend Indicator is withdrawn.</u></p> <p>Data acquired and estimates calculated of avoided deforestation in existing CF areas. Data currently in manuscript submitted to <i>Glob. Environ. Change.</i> (Ann.6). <u>Baseline:</u> data not easily accessible for project area. Forest cover 2010 will be used as a baseline. <u>Indicator change:</u> traffic light deforestation map for CF areas produced by end of project and shared on website.</p> <p>8 villages identified to date, but letters of intent (or similar documentation) to follow in Q1 of year 2. <u>Baseline:</u> N/A <u>Appropriate,</u> to be collated in year 2.</p> <p>18 poverty indicators already identified from previous poverty assessments in Kalimantan. 9-13 of these match with national level poverty data. Subsequent field surveys to document any change since 2011 in year 2. <u>Baseline:</u> these data will be used to produce a baseline. <u>Appropriate indicator</u></p> |
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3.3 Progress towards the project Outcome

As yet, no progress against the Outcome indicators in Year 1. Our original project Outcome sought to improve decision-making processes for CF policy and the designation of 'protection forest'. However, our assessment on 'protection forest' criteria undertaken in year 1 highlights substantial problems with the interpretation of this legislation, which could have further negative repercussions for allocating CF land. In order to achieve a positive outcome for the project, we therefore believe it is better to focus solely on the issue of CF policy decisions. This will mean removing reference to 'protection forest' from the Outcome and Outcome Indicators (though it will remain a part of Output 1), and the complete removal of Indicator III (No reduction in the area allocated to protective management...). Indicator III is no longer a valid measure of success/failure as it is now apparent that allocation of CF on land designated as 'protection forest' would not change the underlying land-use designation. Furthermore, if we successfully lobbied for changes to the Indonesian forest code needed to better designate land as 'protection forest' then we would likely see a reduction of this land-use type in Kalimantan!

Other than this we remain confident that our Outcome can be achieved in our timeframe, although we may bring forward some activities to do so (See section 3.2). We are reviewing indicators working with M&E experts in Wildlife Impact with the view to submit a revised logframe by end of Q1 in year 2 if necessary.

3.4 Monitoring of assumptions

We limit this section to report on Outcome Assumption 3. All other assumptions hold true.

Outcome, Assumption 3: *Legal reform does not proceed until consultation and interrogation of scientific evidence has taken place.*

From our August consultation workshop (Ann. 2) we are now aware that there are government targets to allocate >12 mill ha of CF land by 2019. Therefore, we are in the process of moving forward some of our intended activities (primarily the first round of policy briefs and stakeholder workshops) so that we can best influence allocation decisions during this period. Following suggestion by new project partner FFI, we are also tailoring our evidence base to better facilitate monitoring of CF, which will be needed by government agencies far beyond 2019.

3.5 Impact: achievement of positive impact on biodiversity and poverty alleviation

While at the first phase of our project we remain confident that our activities can have a positive impact on biodiversity and poverty alleviation if our evidence base is utilised by CF decision-makers in Indonesia. So far, our analyses demonstrate that CF can have positive outcomes on forest cover in Indonesia (i.e. by keeping areas as forest that would otherwise be lost) if allocated away from peatland areas (Ann.6). We are now finalising similar analyses on poverty change in Kalimantan to work out whether there are other simple lessons that can be learned. In years 2 and 3 we will translate these findings into materials that can help us engage with CF decision-makers to help them improve outcomes of CF for conservation and human wellbeing.

4. Contribution to the Global Goals for Sustainable Development (SDGs)

Two of the SDGs are most relevant to our project. Following SDG 1 'No Poverty' we are helping the Indonesian government identify the poorest communities to prioritise CF allocation efforts, while also evaluating land according to biodiversity, forest cover and ecosystem service criteria to ensure that these values are safeguarded and managed sustainably in the CF estate (SDG 15: 'Life on Land'). Finally, we are helping to integrate biodiversity into Indonesia's land-use planning processes, which is an important target of SDG 15.

At this first phase of the project we are yet to demonstrate contribution to these goals as yet, but will do in due course once we have fully engaged with local policy makers in year 2.

5. Project support to the Conventions, Treaties or Agreements

Indonesia ratified the CBD and Nagoya Protocol. Our programme will contribute directly to **Aichi Strategic Goal A** (*Mainstreaming biodiversity across government and society*) by helping Indonesia integrate biodiversity values into national and local poverty-reduction strategies and planning processes (**Target2**), which includes safeguards to ensure impacts of CF areas are within safe limits (**Target3**).

By sharing the environmental/developmental evidence-base to assist Kalimantan's governments to allocate CF land we will address **Goal E** (*Enhance implementation through participatory planning...*). Specifically, our awareness-raising and capacity building campaign is designed to ensure the science-base for these decisions is improved, shared, and applied (**Target19**), and local communities can participate in the planning process (**Target18**).

Unfortunately, Dr Widyatmoko, CBD Focal Point at the Indonesian Institute of Sciences, was unable to attend our inception workshop last August, and so we intend to discuss the project with him in more detail during the Q1 and Q2 of year 2.

6. Project support to poverty alleviation

Indonesia's desire to alleviate poverty by allocating forests for community management is at the heart of this project. We have therefore spent much of year 1 developing spatial datasets, indicators and baselines that can be used to help allocate CF applications to the places needed most, and subsequently monitor success or failure against the poverty baselines. Acknowledging that government buy in is maximised when official datasets are used, we have worked with Indonesia's national poverty census data, and identified multiple indicators of

poverty that match to international standards (e.g. World Bank Multidimensional Poverty Indicators), as well as the field surveys protocols (Nested Spheres of Poverty) we are using to develop local case studies in Kalimantan (Ann. 3d,e). These indicators cover financial, health, social and environmental aspects of poverty, and will be useful to determine which local communities in Kalimantan could benefit most from a fair CF allocation system.

7. Project support to gender equality issues

We expect the distribution of benefits of our project to be equal between women and men as women's rights are relatively strong in Indonesia. We have sought a gender balance on our team (currently 5 women; 6 men), and seek fair representation of both genders at our consultation meetings to allow equal contribution of ideas, although this has not been perfect (August workshop, activity 1A-B; 7 women, 11 men).

8. Monitoring and evaluation

We recognise that demonstrating linkage between intervention and policy change can be difficult, and so have contracted Wildlife Impact (a new company in the US) to help us develop an M&E plan for the project and identify additional indicators by which the project can be judged. We are now in the process of reconstructing the simple Process Trace provided in our Darwin Initiative application into a broader conceptual model (see draft in App.10.a) and more detailed results chains for each of the research (App.10.b), communication (App.10.c) and capacity building (App.10.c) aspects of the project. These are currently at a draft stage and will be translated into a renewed M&E plan in Q1 of year 2, at which time we will begin evaluating progress in the project against this plan. The agreed M&E plan will be submitted in the next report, but the drafts are appended here.

9. Lessons learnt

The challenges so far have all been administrative (i.e. staff and partners), but have been overcome by engaging a new partner (i.e. FFI). This has obviously taken some time to resolve, but was unavoidable and necessary for the project to continue. If a lesson is to be learned from this it would be to have had face-to-face meetings in Indonesia sooner (i.e. Q1), rather than relying on Skype between Indonesia, UK and Australia, and smaller conversations with individual partners. Regrettably such a meeting with most the team was not possible until Q4 due to other commitments. However, our project was already designed so that most activities in year 1 were research-based and spread across partners, and so we have met most of our goals. Our team is much stronger now, and the project is in a much better position to make the impact we desire. We are now implementing monthly team meetings and quarterly brief reports against the logframe (in part to ensure finances are on track).

Though we originally intended to engage more stakeholders at the start of the project, our inception workshop was smaller than planned and targeted to key personnel while we worked through our new team structure ourselves. Our new partner, FFI, brings a large network of stakeholders with them and so this has not had any serious repercussions so far.

While we worked through these challenges we have been slow to develop our M&E plan. We have therefore contracted Wildlife Impact to help us design our M&E and inject some fresh ideas to ensure we demonstrate impact during the project timeframe.

10. Actions taken in response to previous reviews (if applicable)

Not Applicable

11. Other comments on progress not covered elsewhere

None

12. Sustainability and legacy

Given initial challenges to our project and subsequent restructuring of the team we have not spent as much time as intended on promoting the project internationally via the web and social media. We have a basic webpage on the Borneo Futures site, which we plan to update substantially with maps and summary datasets in year 2, and Meijaard and Struebig have taken to Twitter. Otherwise, we are currently formulating a media strategy for Q1 in year 2 in consultation with colleagues in Wildlife Impact, US. We have, however, been successful in promoting the project in Indonesia via two articles in the press (Ann.8a and 9a).

We attracted some extra funding from the Woodspring Trust (via Borneo Futures and University of Queensland) and University of Kent, which helped contract research staff (Dr Truly Santika) to implement additional analyses above the scope we initially intended. This has resulted in an additional open access publication opportunity (Ann.6a), which we hope will be accepted in the journal *Global Environmental Change* in Q1 of year 2.

13. Darwin identity

Most of our engagement activities will be undertaken in years 2-4. Hence, opportunities for promoting the Darwin Initiative have been limited to our August 2016 workshop, project communications and social media. In recognition of this, and acknowledging that much of the project is implemented in country by 2 partners with established profiles on land-use policy, we have decided to rebrand the project as '*MEPS: Monitoring dan Evaluasi Perhutanan Sosial*' (Monitoring and Evaluation of Social Forestry). We can better label this as a DI/UK government contribution to the policy debate on CF, and should be better placed to track the uptake of the project in government documentation etc., to verify whether our Outcome is achieved. In year 2 Meijaard and Struebig will continue to promote the project via Twitter and Facebook, and this will be part of a coordinated plan being developed by Wildlife Impact in US.

14. Project expenditure

Table 1: Project expenditure during the reporting period (1 April 2016 – 31 March 2017)

| Project spend (indicative) since last annual report | 2016/17 Grant (£) | 2016/17 Total Darwin Costs (£) | Variance % | Comments (please explain significant variances) |
|-----------------------------------------------------|-------------------|--------------------------------|------------|-------------------------------------------------|
| Staff costs (see below) | | | | |
| Consultancy costs | | | | |
| Overhead Costs | | | | |
| Travel and subsistence | | | | |
| Operating Costs | | | | |
| Capital items (see below) | | | | |
| Others (see below) | | | | |
| TOTAL | | | | |

Highlight any agreed changes to the budget and **fully** explain any variation in expenditure where this is +/- 10% of the budget. Have these changes been discussed with and approved by Darwin?

Annex 1: Report of progress and achievements against Logical Framework for Financial Year 2016-2017

| Project summary | Measurable Indicators | Progress and Achievements April 2016 - March 2017 | Actions required/planned for next period |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Impact</p> <p>Kalimantan's landscapes are sustainably managed to deliver social justice and ecological protection through improved understanding of the linkages between ecological systems and human wellbeing, resulting in improved governance.</p> | | None to date (see section 3.5) | |
| <p>Outcome</p> <p>Development of transparent decision-making processes for approving CFM applications and protecting forest, which meet environmental and poverty alleviation goals, incorporate evidence-based and participatory approaches, and can be replicated elsewhere.</p> | <p>(I) At least one new or improved policy/procedure for allocating land for CF and designating 'Protection Forest' is proposed by local government by end of project and incorporates specific findings, including datasets, from this project.</p> <p>(II) At least one new/improved decision making process, map or dataset developed by the project (e.g. Outputs 1.1-1.4, 1.6, 2.1, 2.3) is made available from local agencies to civil society via government-endorsed maps/websites (yr 2, 3). (Only the indicative map of CF applications under review in 2015 is currently available).</p> <p>(III) No reduction in the area allocated to protective management (i.e. 'Protection Forest') in the case study province (West Kalimantan) by end of project.</p> <p>(IV) At least 20% increase in CF</p> | None to date (see section 3.5). Outcome indicators refer to end of project and beyond. We should be able to demonstrate progress towards the Outcome at end of year 2 when we have begun full engagement and exchange of research outputs and ideas with government and non-governmental stakeholders | We will begin full engagement activities with stakeholders at a provincial-level workshop in Q4 of year 2. AT this point we will work towards demonstrating measures (I) and (II), and have the baseline information in place to verify the remaining indicators at a later date. |

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| | <p>approvals in socially and environmentally appropriate areas in West Kalimantan by end of project compared to previous 5 years.</p> <p>(V) The rate of forest clearance by local communities in CF land and 'Protection Forest' areas reduced by at least 20% relative to original extent in West Kalimantan at end of project compared to 15 year historical average.</p> | | |
| <p>Output 1.</p> <p>A robust evidence base (incl. pre-intervention baseline) available to assess CF applications and land-use change in at-risk 'Protection forests', and evaluate consequences on human livelihoods and environment (mo 1-15)</p> | <p>1.1 Kalimantan-wide spatial data produced of biodiversity provisions, ecosystem functions and other environmental characteristics relevant to land-use planning and evaluation of CF applications and 'Protection forests' (mo 9).</p> <p>1.2. Kalimantan-wide village level databases collated of poverty indicators from Central Agency on Statistics national census (e.g. household income, non-food expenditure); baseline data describing social perceptions on land-use (previously collected by Meijaard and spatially modelled across Kalimantan) split by village and linked to these data (mo 9).</p> <p>1.3 Kalimantan-wide spatial database of existing and proposed CF areas, and land meeting 'Protection forest' criteria so that potential synergies and conflicts between CF and protective land-uses can be identified (mo 12,24,36).</p> | <p><i>See section 3.2 and Annex.</i></p> <p>Authoritative maps produced for 4 environmental characteristics in Kalimantan – biodiversity, forest cover, flood risk and fire risk (evidence in Ann.3a-c). <u>Baseline:</u> difficult to access previously (except forest) Datasets will be used as baseline. Appropriate indicator, but files should be made open access in year 2.</p> <p>Maps produced of 13 indicators of poverty from the Indonesian national census (evidence in Ann.3d-e and also Ann.7b-c for case-study regencies). <u>Baseline:</u> available but spatially mismatched. Now aligned for Kalimantan to form a baseline for 2010 Appropriate, but files should be made open access in year 2 subject to government approval.</p> <p>Summary map produced on CF areas (Ann.5a), but this is now publically accessible via government. 'Protection Forest' map (Ann. 4a) produced, but will not be circulated due to concern among the team that results could further confuse CF decisions rather than facilitate them. <u>Baseline:</u> 'protection forest' map available, but incorrect. Indicator withdrawn.</p> | |

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| | <p>1.4 Kalimantan-wide annual deforestation rate using freely available Landsat imagery, estimates 2000-2015 as baseline (mo 6).</p> <p>1.5 Confirmation of at least 4 CF case-studies involving village heads and local communities in West Kalimantan by mo 12.</p> <p>1.6 Case-study village visits for participatory workshops with local communities to identify multidimensional poverty indicators (e.g. health, empowerment, trust, access to resources). Subsequent baseline survey across case-study areas (mo 15). Production of a social network analysis linking local communities in case-study areas to governmental and non-governmental stakeholders in CFM allocation (mo 18 - see also Output 2)</p> | <p>Data acquired and estimates calculated of avoided deforestation in existing CF areas. Data currently in manuscript submitted to <i>Glob. Environ. Change</i>. (Ann.6). Baseline: data not easily accessible for project area. Forest cover in 2010 will be used as a baseline to evaluate changes due to CF.</p> <p>Indicator change: traffic light deforestation map for CF areas produced by end of project and shared on website.</p> <p>Villages identified (including additional 4 control villages for comparative purposes) (evidence in Ann.7a), but letters of intent (or similar documentation) to follow in Q1 of year 2 prior to start of household surveys.</p> <p>Baseline: N/A</p> <p>Appropriate, to be collated in year 2.</p> <p>18 poverty indicators already identified from previous poverty assessments in Kalimantan (evidence in Ann.3e). Up to 13 of these match with national level poverty data. Subsequent field surveys to establish a baseline and document any change since 2011 to take place in Q1 of year 2. The social network analysis will be undertaken in Q2 and Q3 of year 2 depending on permits.</p> <p>Baseline: these data will be used to produce a baseline (2011 for villages with established CF; 2017 for those without).</p> <p>Appropriate indicator</p> |
| <p><u>Activity 1A</u> Project team inception meeting ...</p> | | <p>Completed. Participant list and meeting minutes in Ann.1.</p> |
| <p><u>Activity 1B</u> Consultation meeting/workshop at start of project with key personnel within national government ministries and relevant NGOs, to identify evidence-base required for subsequent analyses.</p> | | <p>Completed. Participant list, perception questionnaire results and meeting minutes in Ann.2.</p> |
| <p><u>Activity 1C</u> Collate Kalimantan-wide baseline spatial data on environmental attributes and poverty indicators, that are pertinent to allocating CF and 'Protection Forests'.</p> | | <p>Completed. Maps of environmental characteristics (biodiversity, forest cover, fire risk, flood risk) and poverty indicators (13 questions from PODES data) produced. Need to make available on website during year 2 (subject to requirements of peer review if being published etc).</p> |
| <p><u>Activity 1D</u> Map areas meeting official 'Protection Forest' criteria; production of Kalimantan-wide database.</p> | | <p>Completed, but not yet disseminated due to concern within the team that this could hinder our efforts to facilitate CF (and hence achieve our Outcome).</p> |
| <p><u>Activity 1E</u> Update maps of proposed and allocated CF from government sources; update of Kalimantan-wide database.</p> | | <p>Completed for year 1 – using current database from Feb 2016. Will continue to update in subsequent years as new versions from government are made</p> |

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| | | available. |
| <u>Activity 1F</u> Update baseline deforestation estimates since 2000 using forest cover data available after the 2015 forest fires (allows for comparison of CF areas inside and outside 'Protection Forests' across Kalimantan, before, during and after the project timeframe). | | Completed. Manuscript under revision for journal <i>Global Environmental Change</i> . Once published we will make deforestation summary data available on website. |
| <u>Activity 1G</u> Prepare publication: Socio-economic and ecological performance of CFMs in Indonesia: evidence from Kalimantan' (target: <i>Conservation Letters or Human Ecology</i>). | | Underway (all datasets are prepared) – expected to complete by Q3 in year 2. |
| <u>Activity 1H</u> Site visits and participatory workshops in 4 CFM case study villages to develop case studies to inform government guidance documents, and also identify and rank baseline multidimensional poverty indicators.... | | Multidimensional poverty indicators identified from previous surveys undertaken by FFI, who have also previously visited all villages. 4 case study villages (plus 4 controls) identified and FFI team plan to survey households in Q1 of year 2 as planned. |
| Output 2. Guidance on CFM assessment and 'Protection forest' criteria from 'Output 1' widely disseminated amongst government and non-governmental stakeholders, and contributing to increased advocacy and new CFM development in West Kalimantan (mo 15-36). | <p>2.1 Policy brief produced based on key project outputs (i.e. 1.1-1.4, 1.6, 2.1, 2.3 in mo 15; updated with 1.3, 1.5 in mo 30). Presented and circulated to government agencies and relevant mechanisms (e.g. Ministry of Environment and Forestry, CBD, National Peatland Restoration Body). Also available on project and associated websites (mo 15, updated mo 30; 200 copies per year).</p> <p>2.2 Three facilitators trained in CFM policy, planning processes and how to use key project datasets (mo 18).</p> <p>2.3 Best practice guidelines based on case-studies (see 1.6) printed and disseminated to at least 25 governmental and non-governmental organisation (NGO) personnel (e.g. local planning offices, CIFOR, FFI Indonesia, Indigenous Movement Alliance/AMAN) at dedicated workshops in Kalimantan (mo 24; 200</p> | <p>Efforts to achieve this Output will begin in earnest in year 2, as planned. During year 1 we produced a national-level policy brief which was published in the Indonesian journal Strategic Review in Q4 (evidence in Ann.8a).</p> <p>Public outreach began with a commentary in Indonesian newspaper, Kompas in Q3 (evidence in Ann.9a).</p> |

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| | copies). 2.4 Two stakeholder consultation workshops in Kalimantan (Ketapang and Kapuas Hulu regencies) to present datasets and guidelines, garner feedback, and generate CFM social network analysis to facilitate communication between government and non-governmental (mo18). At least a 20% increase from previous year in NGOs citing importance of sustainable CFM in national media (e.g. newspapers, conferences, websites) between months 18 & 36. At least a 10% increase in government representatives citing the importance. | |
| <u>Activity 2A</u> Policy brief on CF produced and circulated to government.... | | National-level policy brief published in the Indonesian journal Strategic Review in Q4 (evidence in Ann.8a). The planned policy brief based on our spatial data will be produced and circulated in Q3 of year 2, ahead of our stakeholder workshop. |
| <u>Activity 2B</u> 3 facilitators trained ahead of workshops (mo20). | | To be completed in Q3/Q4 of year 2 ahead of our workshop, as planned. |
| <u>Activity 2C</u> Guidelines of best practice based on the case studies produced & circulated to government stakeholders... | | The planned guidelines based on our case studies will be produced and circulated in Q3 of year 2, ahead of our stakeholder workshop (as planned). |
| <u>Activity 2D</u> Public outreach through press releases, opinion pieces and social media. Measure amount of coverage before and after media campaign. | | First commentary produced for <i>Kompas</i> newspaper by Budiharta in Q3 of year 1. No monitoring undertaken as yet, but we have contracted Wildlife Impact (a US-based monitoring company) to help improve our M&E plan – expected in Q1 of year 2. |
| <u>Activity 2E</u> Two stakeholder consultation workshops with local governmental and non-governmental organisations, and indigenous groups... | | The main workshop to be undertaken in Q4 of year 2 (expected January 2018) in West Kalimantan provincial capital, Pontianak. Likely we will run a smaller consultation at regency level in Kapuas Hulu and Ketapang in Q2 of year 2. |
| <u>Activity 2F</u> Social network analysis linking local communities with other stakeholders in CF allocation. Subsequent open-access publication (mo 15). | | Framework developed by UQ PD student Rachel Friedman, and permits application submitted. Planned to begin in Q2 of year 2. Preparatory questions will feature in our household questionnaire to be implemented by the FFI team in Q1 of year 2. |

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| <p>Output 3.</p> <p>Increased understanding and capacity to transparently manage, monitor and evaluate land for CFM and 'Protection Forest' status within government (yr3).</p> | <p>3.1 One governmental planning department staff educated to MSc level, trained in spatial planning (using datasets outlined in Output 1) and workshop facilitation (mo30).</p> <p>3.2 At least 17 government staff trained in use of datasets and evidence-based planning techniques at workshop in Jakarta (3 from each Ministry of Spatial Planning, Forestry & Environment, Agriculture, and Finance in Kalimantan and 1 from each in Jakarta, plus national representative from the Ministry of Female Empowerment to ensure gender is implicit in the participatory design) (mo32).</p> <p>3.3 Change in perceptions and understanding of environmental/poverty datasets as well as causal relationships between CFM policy and consequences among the trained government personnel between workshops in years 2 and 3. Specific indicators based on key information in guidance outputs produced via 2.1 and 2.3. Baseline perceptions established during year 2 workshop as part of Output 2.4 (mo 18 & 32).</p> | <p>Efforts to achieve this Output will begin in earnest in years 2 and 3, as planned.</p> |
| <p><u>Activity 3A</u> Postgraduate training of a government planning staff ...</p> | | <p>We have begun advertising for the MSc scholarship (3.1), and are having difficulty recruiting a government personnel with appropriate English-language skills. If we have not recruited by June 2017 we will open the opportunity to NGO staff working in CF (2 candidates already identified).</p> |
| <p><u>Activity 3B</u> Stakeholder workshops with governmental and targeted NGOs, to train in planning techniques, and evaluate change in perceptions. Press briefing linked to workshops via LIPI communications team.</p> | | <p>Will begin in year 3. Likely we will bring forward to Q1 to ensure we fully engage/train target people prior to national CF deadlines in 2019.</p> |
| <p><u>Activity 3C</u> Measure changes in environmental and poverty indices used and</p> | | <p>Will be undertaken in years 2 and 3 once 2017/18 PODES poverty data are</p> |

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| disseminated to government via stakeholder workshop and to NGOs via media/website (annual meeting ahead of Darwin report). | available from Indonesian government. |
| <u>Activity 3D</u> Measuring of perceptions and changes to beliefs/mind-sets among government personnel. | Will be undertaken in years 3 and 4. |

Annex 2: Project's full current logframe as presented in the application form (unless changes have been agreed)

Revised logframe agreed with new project partners FFI, following DEFRA approved our Change Request in July 2016.

| Project summary | Measurable Indicators | Means of verification | Important Assumptions |
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| <p>Impact: Kalimantan's landscapes are sustainably managed to deliver social justice and ecological protection through improved understanding of the linkages between ecological systems and human wellbeing, resulting in improved governance.</p> <p>(Max 30 words)</p> | | | |
| <p>Outcome:</p> <p>Development of transparent decision-making processes for approving CFM applications and protecting forest, which meet environmental and poverty alleviation goals, incorporate evidence-based and participatory approaches, and can be replicated elsewhere.</p> <p>(Max 30 words)</p> | <p>(I) At least one new or improved policy/procedure for allocating land for CFM and designating 'Protection Forest' is proposed by local government by end of project and incorporates specific findings, including datasets, from this project.</p> <p>(II) At least one new/improved decision making process, map or dataset developed by the project (e.g. Outputs 1.1-1.4, 1.6, 2.1, 2.3) is made available from local agencies to civil society via government-endorsed maps/websites (yr 2, 3). (Only the indicative map of CFM applications under review in 2015 is currently available).</p> <p>(III) No reduction in the area allocated to protective management (i.e. 'Protection Forest') in the case study province (West Kalimantan) by end of project.</p> <p>(IV) At least 20% increase in CFM approvals in socially and environmentally appropriate areas in West Kalimantan by end of project compared to previous 5 years.</p> <p>(V) The rate of forest clearance by local</p> | <p>(I) Content analyses of local and national planning/policy documents to see if use of key terms has increased during project - Ministries of National Development Planning (BAPPENAS), Land and Spatial Planning (BPN), Agriculture, Forestry & Environment, including the National REDD+ Agency. This will include reference to key project outputs: 1.1-1.4, 1.6, 2.1, 2.3. (yr 2 & 3).</p> <p>(II) Content analysis of government-endorsed maps and datasets publically available via website(s) (yr 2, 3).</p> <p>(III), (IV) Baseline lists of communities with CFM applications; maps of potential CFM and 'Protection Forest' areas (mo 12); comparisons of social and environmental data from year 1 and 3 (and 3 years later) in case study locations (yr 3); peer-reviewed publications in open-access journals (yr 3).</p> <p>(V) Forest cover change assessment, and analysis of publically-available fire hotspot data 2000-2018 (yr 3)</p> | <p>Support obtained from listed government institutions for involving their staff at our proposed national and local workshops.</p> <p>Indonesia remains a democratic country committed to its stated goals on poverty alleviation, respect for human rights and sustainable development, and is willing to implement policy changes to achieve these goals.</p> <p>Legal reform does not proceed until consultation and interrogation of scientific evidence has taken place.</p> <p>The Ministry of Environment & Forestry remain consistent in achieving their target of allocating 13 million ha state forest for community forestry (so far only ~0.6 million ha has been granted).</p> |

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| | communities in CFM land and 'Protection Forest' areas reduced by at least 20% relative to original extent in West Kalimantan at end of project compared to 15 year historical average. | | |
| <p>Outputs:</p> <p>1. A robust evidence base (including a pre-intervention baseline) available to assess CFM applications and land-use change in at-risk 'Protection forests', and evaluate consequences on human livelihoods and the environment (mo 1-15)</p> | <p>1.1 Kalimantan-wide spatial data produced of biodiversity provisions, ecosystem functions and other environmental characteristics relevant to land-use planning and evaluation of CFM applications and 'Protection forests' (mo 9).</p> <p>1.2. Kalimantan-wide village level databases collated of poverty indicators from Central Agency on Statistics national census (e.g. household income, non-food expenditure); baseline data describing social perceptions on land-use (previously collected by Meijaard and spatially modelled across Kalimantan) partitioned by village and linked to these data (mo 9).</p> <p>1.3 Kalimantan-wide spatial database of existing and proposed CFM areas, and land meeting 'Protection forest' criteria so that potential synergies and conflicts between CFM and protective land-uses can be identified (mo 12,24,36).</p> <p>1.4 Kalimantan-wide annual deforestation rate using freely available Landsat imagery, estimates 2000-2015 as baseline (mo 6).</p> | <p>1.1 Kalimantan-wide maps of key environmental data in GIS format and summary documents made open-access via dedicated website (mo 9).</p> <p>1.2 Kalimantan-wide maps and summary statistics for social perception, forest dependency and poverty indicator data (from the BPS Central Agency on Statistics) (mo 9)</p> <p>1.3 CFM applications and areas meeting 'Protection Forest' criteria monitored annually, reported to Darwin and stakeholders, and shared with online map sources (e.g. www.brwa.or.id/sig; www.landmarkmap.org) (mo 12,24,36)</p> <p>1.4 Deforestation statistics communicated in annual report and on project website. (mo 12,24,36)</p> <p>1.5 Letters of intent from village heads from the 4 case-study areas in East and West Kalimantan (mo 12).</p> <p>1.6 Year 2 project report (mo 24); manuscript (e.g. 'Socio-economic and ecological performance of CFM in Indonesia: evidence from Kalimantan')</p> | <p>Central Agency for Statistics (BPS) is willing to share poverty indicator and occupational data at the village-level resolution, and more broadly sees the value in incorporating scientific evidence. <i>NB: such data are commercially available so we see no restriction. We have already acquired data for 2014 and are in process of requesting previous assessments.</i></p> <p>Community leaders permit locality information for their CFM areas to be shared <i>NB: formal consent will be sought; option to share information at low spatial resolution.</i></p> <p>Local communities in case study and control areas are willing to be interviewed and help identify and collate multidimensional poverty indicators capital asset data. <i>NB: we will foster existing partnerships between local communities, district and provincial forestry services and other NGOs (e.g. CIFOR & FFI in Kalimantan)</i></p> |

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| | <p>1.5 Confirmation of at least 4 CFM case-studies involving village heads and local communities in West Kalimantan by mo 12.</p> <p>1.6 Case-study village visits for participatory workshops with local communities to identify multidimensional poverty indicators (e.g. health, empowerment, trust, access to resources). Subsequent baseline survey across case-study areas (mo 15). Production of a social network analysis linking local communities in case-study areas to governmental and non-governmental stakeholders in CFM allocation (mo 18 - see also Output 2)</p> | <p>submitted to peer-reviewed open-access journal (mo 15).</p> | |
| <p>2. Guidance on CFM assessment and 'Protection forest' criteria from 'Output 1' widely disseminated amongst government and non-governmental stakeholders, and contributing to increased advocacy and new CFM development in West Kalimantan (mo 15-36).</p> | <p>2.1 Policy brief produced based on key project outputs (i.e. 1.1-1.4, 1.6, 2.1, 2.3 in mo 15; updated with 1.3, 1.5 in mo 30). Presented and circulated to government agencies and relevant mechanisms (e.g. Ministry of Environment and Forestry, CBD, National Peatland Restoration Body). Also available on project and associated websites (mo 15, updated mo 30; 200 copies per year).</p> <p>2.2 Three facilitators trained in CFM policy, planning processes and how to use key project datasets (mo 18).</p> <p>2.3 Best practice guidelines based on case-studies (see 1.6) printed and disseminated to at least 25 governmental and non-governmental organisation (NGO) personnel (e.g. local planning offices, CIFOR, FFI Indonesia,</p> | <p>2.1 Policy briefs available at national and international meetings. Google analytics of project websites and those of governmental ministries (e.g. Ministry of Land & Spatial Planning) (yr2,3).</p> <p>2.2 Minutes and entry/exit questionnaire testing understanding of planning processes in Jakarta training workshop for the three facilitators (mo 20)</p> <p>2.3 Guidance materials in Bahasa Indonesia and English. Number of copies disseminated (mo 24).</p> <p>2.4 Entry/exit questionnaire from stakeholder workshops in Kalimantan (will also serve as baseline for Output 3.3). Annual report on workshop outcomes. Manuscript (e.g. 'A social-network analysis of the CFM planning</p> | <p>The chosen formats are useful to target audience, especially decision-makers.</p> |

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| | <p>Indigenous Movement Alliance/AMAN) at dedicated workshops in Kalimantan (mo 24; 200 copies).</p> <p>2.4 Two stakeholder consultation workshops in Kalimantan (Ketapang and Kapuas Hulu regencies) to present datasets and guidelines, garner feedback, and generate CFM social network analysis to facilitate communication between government and non-governmental (mo18). At least a 20% increase from previous year in NGOs citing importance of sustainable CFM in national media (e.g. newspapers, conferences, websites) between months 18 & 36. At least a 10% increase in government representatives citing the importance.</p> | <p>process in Indonesia: actors, perceptions and effectiveness of environmental policy' submitted to peer-reviewed open-access journal (mo 15). Media reports (press releases and opinion pieces in Indonesia newspapers) and meeting minutes monitored and reported annually (mo 24 & 36).</p> | |
| <p>3. Increased understanding and capacity to transparently manage, monitor and evaluate land for CFM and 'Protection Forest' status within government (yr3).</p> | <p>3.1 One governmental planning department staff educated to MSc level, trained in spatial planning (using datasets outlined in Output 1) and workshop facilitation (mo30).</p> <p>3.2 At least 17 government staff trained in use of datasets and evidence-based planning techniques at workshop in Jakarta (3 from each Ministry of Spatial Planning, Forestry & Environment, Agriculture, and Finance in Kalimantan and 1 from each in Jakarta, plus national representative from the Ministry of Female Empowerment to ensure gender is implicit in the participatory design) (mo32).</p> <p>3.3 Change in perceptions and</p> | <p>3.1 MSc awarded at University of Kent; thesis presented to government (mo30).</p> <p>3.2 Training materials, presentations and reports from workshops in Kalimantan and Jakarta (mo18, 32).</p> <p>3.3 Perceptions/understanding/beliefs recorded via questionnaires in sequential government workshops (i.e. mo 32 Jakarta workshop compared to mo18 Kalimantan workshop baseline from previous year), targeting understanding of key messages from policy brief (2.1) and best practice guidelines (2.3). Questionnaires will be embedded within a measurable learning exercise across the two workshops based on the ChaRL framework: first</p> | <p>Appropriate government staff are available to participate in capacity building activities and retain their roles during the course of the project.</p> <p>Staff respond positively to the ChaRL approach and provide feedback on the participatory modelling process. This approach has been trialled for land-use planning decision-making elsewhere in Kalimantan and was positively received, indicating that it is the ideal framework to use in our context.</p> |

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| | <p>understanding of environmental/poverty datasets as well as causal relationships between CFM policy and consequences among the trained government personnel between workshops in years 2 and 3. Specific indicators based on key information in guidance outputs produced via 2.1 and 2.3. Baseline perceptions established during year 2 workshop as part of Output 2.4 (mo 18 & 32).</p> | <p>stakeholder visions/beliefs/mind-sets are articulated; extant beliefs recorded; then new knowledge is introduced (i.e. from Outputs 1 & 2); then changes to beliefs recorded. Further verification via post-workshop assessment and stakeholder consultation feedback (mo18, 32).</p> | |
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Activities (each activity is numbered according to the output that it will contribute towards, for example 1.A, 1.B and 1.C are contributing to Output 1)

1A Project team inception meeting amongst key team personnel in Jakarta to confirm framework for project management, monitoring and reporting and to begin the process of identifying and collating the relevant data.

1B Meeting at start of project in Jakarta with key personnel within national government ministries (1-2 from each Ministries of National Development Planning (BAPPENAS), Land and Spatial Planning (BPN), Agriculture, Forestry & Environment, plus representative from the newly formulated Ministry of Female Empowerment to ensure gender is implicit in the participatory design) and relevant non-governmental organisations (e.g. CIFOR, FFI Indonesia), to identify evidence-base required for subsequent analyses.

1C Collate Kalimantan-wide baseline spatial data on environmental attributes identified above (e.g. biodiversity levels, forest cover, watersheds, other ecosystem functions) and poverty indicators (e.g. capital assets from latest national census in 2015; social perceptions from previous study), that are pertinent to allocating CFMs and 'Protection Forests'.

1D Map areas meeting official 'Protection Forest' criteria; production of Kalimantan-wide database.

1E Update maps of proposed and allocated CFMs from government sources; update of Kalimantan-wide database.

1F Update baseline deforestation estimates since 2000 using forest cover data available after the 2015 forest fires (allows for comparison of CFM areas inside and outside 'Protection Forests' across Kalimantan, before, during and after the project timeframe).

1G Prepare publications: Socio-economic and ecological performance of CFMs in Indonesia: evidence from Kalimantan' (target: *Conservation Letters or Human Ecology*).

1H Site visits and participatory workshops in 4 CFM case study villages (2 in East, 2 in West Kalimantan) to develop case studies to inform government guidance documents (in part using social network analysis - see also activity 2.4), and also identify and rank baseline multidimensional poverty indicators.

2A Produce policy brief on environmentally and developmentally appropriate CFM allocation and circulate to relevant national mechanisms (e.g. CBD focal point, Indonesian REDD+ Taskforce), and make freely available on project website.

2B Train 3 facilitators in CFM policy and planning options at a dedicated workshop in Jakarta (mo20).

2C Produce guidelines of best practice based on the 4 case studies and circulate to governmental agencies and non-governmental organisations.

2D Develop public outreach through press releases, opinion pieces and social media. Measure amount of coverage generated in targeted media (e.g. Jakarta Globe, Jakarta Post, Tempo, Twitter feeds) before and after media campaign.

2E Two stakeholder consultation workshops (one each in East and West Kalimantan) with local governmental and non-governmental organisations, and indigenous groups, to present the case for appropriately allocated CFMs and 'Protection Forest', introducing the case studies identified and presenting Kalimantan-wide baseline data. Also to glean feedback on guidelines document, recruit MSc candidate and record beliefs and mind-set information via pre and post-workshop questionnaires for monitoring.

2F Undertake social network analysis linking local communities in case study areas with governmental and non-governmental stakeholders in CFM allocation. Subsequent manuscript (e.g. 'A social-network analysis of CFMs in Kalimantan, Indonesia: actors, perceptions and effectiveness of environmental policy') submitted to peer-reviewed open-access journal (mo 15).

3A Postgraduate training of a government planning staff on DICE's MSc Conservation & Rural Development.

3B Stakeholder workshops at LIPI headquarters in Jakarta, with governmental and targeted non-governmental organisations, to train in planning techniques, and evaluate change in perceptions. Press briefing linked to workshops via LIPI communications team.

3C Measure changes in environmental and poverty indices used and disseminated to government via stakeholder workshop and to NGOs via media/website (annual meeting ahead of Darwin report).

3D Measuring of perceptions and changes to beliefs/mind-sets among government personnel.

Annex 3: Standard Measures

Table 1 Project Standard Output Measures

| Code No. | Description | Gender of people (if relevant) | Nationality of people (if relevant) | Year 1 Total | Year 2 Total | Year 3 Total | Total to date | Total planned during the project |
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| TRAINING MEASURES | | | | | | | | |
| 2 | MSc students qualified | ? | Indonesian | | | | 0 | 1 |
| RESEARCH MEASURES | | | | | | | | |
| 11A | Journal papers published (<i>incl. Strategic Review article in year 1</i>) | Female & Male | Indonesia, UK, USA, Australia, Netherlands | 1 | | | | 2 |
| 11B | Journal papers submitted | Female & Male | Indonesia, UK, USA, Australia, Netherlands | 1 | | | | 2 |
| 12A | GIS databases established (<i>produced but not yet handed over</i>) | N/A | Indonesia (language) | | | | | 1 |
| 12B | GIS databases enhanced from existing data (<i>produced but not yet handed over</i>) | N/A | Indonesia (language) | | | | | 5 |
| DISSEMINATION MEASURES | | | | | | | | |
| 14A | Workshops organised by project to present findings | Female & Male | Indonesia, UK, USA, Australia, Netherlands | 1 | | | | 3 |
| 14B | Conferences attended to present project findings | Female & Male | Indonesia, UK, USA, Australia, Netherlands | | | | | 2 |
| <i>New measure?</i> | <i>Policy brief to government</i> | <i>N/A</i> | <i>Indonesia (language)</i> | | | | | 2 |
| FINANCIAL MEASURES | | | | | | | | |
| 23 | Additional funds raised for project: - Woodspring Trust (~ £20k) - University of Kent (~£8k) | N/A | N/A | 2 | | | | 0 |

Table 2 **Publications**

| Title | Type (e.g. journals, manual, CDs) | Detail (authors, year) | Gender of Lead Author | Nationality of Lead Author | Publishers (name, city) | Available from (e.g. weblink or publisher if not available online) |
|------------------------------------------|---------------------------------------------|--------------------------------------------------|------------------------------|-----------------------------------|-------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|
| * Getting community forest reforms right | Policy Journal | Erik Meijaard, Sugeng Budiharta, & Truly Santika | Male | Netherlands | Strategic Review – Indonesian Journal of Leadership, Policy and World Affairs | Borneo Futures website: www.borneofutures.org/ articles |
| | | | | | | |

Annex 4 Onwards – supplementary material (optional but encouraged as evidence of project achievement)

Darwin Initiative Year 1 report evidence files in accompanying .zip file

- Ann.1. Darwin project team meeting minutes, Year 1:
- a. *DI-CFM_160424_team meeting Jakarta.docx*
 - b. *DI-CFM_160425_FFI meeting Jakarta.docx*
 - c. *DI-CFM_160627_Matt meeting with Erik.docx*
 - d. *DI-CFM_160628_FFI meeting, Jakarta, Erik notes.docx*
 - e. *DI-CFM_160725_Kent meeting with Erik, Freya, Matt.docx*
 - f. *DI-CFM_160901_Sugeng Aug16_Workshop_Notes.docx*
 - g. *DI-CFM_161004_Skype meeting Kerrie, Sugeng, Matt.docx*
 - h. *DI-CFM_161122_Skype_email meeting Erik, Kus, Matt.docx*
 - i. *DI-CFM_161213_Skype_email meeting Rachel, Freya, Kus.docx*
 - j. *DI-CFM_170113_Jan_team_Skype meeting.docx*
 - k. *DI-CFM_170201_Meeting_Erik, Kus logistics_revised2.docx*
 - l. *DI-CFM_170303_Y1 annual meeting minutes_v2.docx*
 - m. *DI-CFM_170404_Feb_team_Skype meeting.docx*
- Ann.2. Team inception meeting & project launch workshop with government and NGO stakeholders, 30-31 August 2016
- a. Launch workshop participant list
Darwin_Workshop_2016_participant list.xls
 - b. Launch workshop minutes (Sugeng Budiharta, LIPI)
DI-CFM_160901_Sugeng Aug16_Workshop_Notes.docx
 - c. Launch workshop stakeholder perception questionnaire
Darwin_CommForests_WorkshopQuestionnaire_25Aug2016_FINAL.docx
 - d. Launch workshop stakeholder questionnaire anonymised results
Launch_workshop_perception_q'aire_anon_310816.xlsx
- Ann.3. Baseline maps of Kalimantan-wide biodiversity, forest cover, ecosystem services and poverty
- a. Map of mammal species diversity for Kalimantan in 2010/2015 (overlays of 81 mammal species distributions from Struebig et al 2015. Current Biology)
MEPS_y1_maps-biodiversity.pdf
 - b. Map of forest cover in Kalimantan, 2010 and 2015
MEPS_y1_maps-deforestation.pdf
 - c. Maps of ecosystem service indicators (fire susceptibility) 2010 and 2015
MEPS_y1_maps-fires.pdf
 - d. Map of poverty levels over Kalimantan at the village administration level, 2010 and 2015 (according to indicators in the Government of Indonesia PODES datasets)
MEPS_y1_maps-PODES,2011.pdf
 - e. Multidimensional Indicators of Poverty utilised from various Kalimantan datasets
Matched poverty-related questions, MPI, PODES and NESP.xlsx
- Ann.4. Protection Forest (*hutan lindung*) policy analysis
- a. *Hutan lindung* policy analysis (English version)
An analysis of Indonesia's forest protection laws - draft report.docx
 - b. *Hutan lindung* policy analysis (Indonesian version)
Analisis Hutan Lindung Kalimantan.docx

- Ann.5. Maps of proposed & allocated community forest areas (*hutan desa*) according to the Indicative Map of Social Forestry (PIAPS, version: February 2016).
- a. Indicative Map of Social Forestry (PIAPS, version: February 2016).
MEPS_y1_maps-PIAPS.pdf
- Ann.6. Submitted manuscript to *Global Environmental Change* on deforestation in community forest areas:
- a. Community forest management in Indonesia: avoided deforestation in the context of anthropogenic and climate complexities' (GEC_2016_396)
Santika_REVISION_GEC_24April.docx
- Ann.7. Preparations for village surveys to develop community forest case studies in Year 2.
- a. Village sites selected based on spatial matching techniques
Control villages for NESP survey.doc
 - b. Maps of poverty change 2000-2014 by village in Kapuas Hulu regency, West Kalimantan
PovertyChange_KapuasHulu.pdf
 - c. Maps of poverty change 2000-2014 by village in Ketapang regency, West Kalimantan
PovertyChange_Ketapang.pdf
- Ann.8. First national-level policy brief.
- a. Strategic Review article: Getting community forest reforms right, published January 2017
Strategic review article Dec 2016.pdf
- Ann.9. Year 1 media coverage of the project
- a. Kompas Indonesia commentary: *Perhutanan Sosial dan Upaya Konservasi* (14/12/2016)
Kompas_social forestry Buidiharta.jpg
- Ann.10. Monitoring & Evaluation planning
- a. Draft Conceptual model of MEPS (Darwin Initiative) project
CM_Darwin_project_draft.png
 - b. Draft Results Chain for research: (output 1)
RC 1_Darwin_project_draft.png
 - c. Draft Results Chain for communication: (output 2)
RC 2_Darwin_project_draft.png
 - d. Draft Results Chain for capacity building (outputs 2 and 3)
RC 3_Darwin_project_draft.png

Checklist for submission

| | Check |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| Is the report less than 10MB? If so, please email to Darwin-Projects@ltsi.co.uk putting the project number in the Subject line. | Yes |
| Is your report more than 10MB? If so, please discuss with Darwin-Projects@ltsi.co.uk about the best way to deliver the report, putting the project number in the Subject line. | No |
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| Have you involved your partners in preparation of the report and named the main contributors | Yes |
| Have you completed the Project Expenditure table fully? | TBC |
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