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# NTFP-EP end line report

MFS II country evaluations, Civil Society component

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This report describes the findings of the end line assessment of the Non Timber Forest Product-Exchange Programme (NTFP-EP) that is a partner of IUCN and a part of the Ecosystem Alliance.

The evaluation was commissioned by NWO-WOTRO, the Netherlands Organisation for Scientific Research in the Netherlands and is part of the programmatic evaluation of the Co-Financing System - MFS II financed by the Dutch Government, whose overall aim is to strengthen civil society in the South as a building block for structural poverty reduction. Apart from assessing impact on MDGs, the evaluation also assesses the contribution of the Dutch Co-Funding Agencies to strengthen the capacities of their Southern Partners, as well as the contribution of these partners towards building a vibrant civil society arena.

This report assesses NTFP-EP's contributions towards strengthening Civil Society in Indonesia and it used the CIVICUS analytical framework. It is a follow-up of a baseline study conducted in 2012. Key questions that are being answered comprise changes in the five CIVICUS dimensions to which NTFP-EP contributed; the nature of its contribution; the relevance of the contribution made and an identification of factors that explain NTFP-EP's role in civil society strengthening.

Keywords: Civil Society, CIVICUS, theory based evaluation, process-tracing



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# List of abbreviations and acronyms

AMAN	<i>Aliansi Masyarakat Adat Nusantara</i> (Indigenous Peoples' Alliance of the Archipelago)
APL	<i>Areal Penggunaan Lain</i> (Non-forest estate)
AOI	<i>Aliansi Organik Indonesia</i> (Organic Alliance Indonesia)
BCI	Basic Capabilities Index
BPS	<i>Badan Pusat Statistik</i> (Central Agency on Statistics)
BPD	<i>Badan Permusyawaratan Desa</i> (Village Consultative Body)
BUR	<i>Bina Usaha Rotan</i>
CDI	Centre for Development Innovation, Wageningen UR
CFA	Co-Financing Agency
CFO	Co-Financing Organisation
CIFOR	Center for International Forestry Research
CS	Civil society
CSO	Civil society organisation
Disperindagkop	<i>Dinas Perindustrian Perdagangan dan Koperasi</i> (Department of Industry, Trade and Cooperatives)
EA	Ecosystem Alliance
FKKM	<i>Forum Komunikasi Kehutanan Masyarakat</i> (Community Forestry Communication Forum)
GNI	Gross National Income
GOI	Government of Indonesia
GPS	Global Positioning System
HDI	Human Development Index
HuMa	<i>Perkumpulan untuk Pembaharuan Hukum Berbasis Masyarakat dan Ekologis</i> (Association for Legal Reform and Community-Based Ecology)
Hutan Desa	Village Forest
ICCA	Indigenous Community Conserved Area
IUCN	International Union for Conservation of Nature
JKPP	<i>Jaringan Kerja Pemetaan Partisipatif</i> (Participatory Mapping Network)
JMHI	<i>Jaringan Madu Hutan Indonesia</i> (Indonesian Network of Wild Honey)
JMM	Jasa Menun Mandiri (weaving cooperative)
KIARA	<i>Koalisi Rakyat Untuk Keadilan Perikanan</i> (The People's Coalition for Fisheries Justice)
KpSHK	<i>Konsorsium Pendukung Sistem Hutan Kerakyatan</i> (Consortium for the Support of Community Forest Systems)
LEI	<i>Lembaga Ekolabeling Indonesia</i> (The Indonesian Eco labelling Institute)
LP3M	<i>Lembaga Pemerhati dan Pemberdayaan Dayak Punan Malinau</i> (Institute for the Overseeing and Empowerment of the Dayak Punan, Malinau)
MFS	Dutch co-financing system
MoC	Model of Change
MoF	Ministry of Forestry
MoFA	Ministry of Foreign Affairs
NGO	Non-governmental organisation
NTFP	Non-timber forest product
NTFP-EP	Non Timber Forest Product-Exchange Program
Ormas	<i>Organisasi masyarakat</i> (Societal Organizations)
P3R	<i>Perkumpulan Petani dan Pengrajin Rotan</i> (Association for Rattan Farmers and Artisans)
PGS	Participatory Guarantee System
PRCF	People Resource and Conservation Foundation
REDD+	Reducing Emissions from Deforestation and Forest Degradation



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ROLES	Rotan Lestari
SERF	Social Economic Rights Fulfilment
SLIMs	Sustainable Livelihood Initiatives and Models
SPO	Southern Partner Organisation
SSI	Semi-structured Interview
ToC	Theory of Change
Wageningen UR	Wageningen University & Research Centre
WWF	World Wildlife Foundation
YADUPA	<i>Yayasan Anak Dusun Papua</i> (Papua Villagers Foundation)
YMI	<i>Yayasan Mitra Insani</i>

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# 1 Introduction

This report presents the civil society end line findings of NTFP-EP in Indonesia which is a partner of IUCN under the Dutch Consortium Ecosystem Alliance. It is a follow-up to the baseline assessment that was carried out in 2012. According to the information provided during the baseline study, NTFP-EP is working on MDG 7.

These findings are part of the overall evaluation of the joint MFS II evaluations to account for results of MFS II-funded or –co-funded development interventions implemented by Dutch Co-Funding Agencies (CFA) and/or their Southern Partner Organisations (SPO) and to contribute to the improvement of future development interventions. The civil society evaluation uses the CIVICUS framework and seeks to answer the following questions:

- What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?
- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?
- What factors explain the findings drawn from the questions above?

The CIVICUS framework that comprises five dimensions (civic engagement, level of organization, practice of values, perception of impact and contexts influencing agency by civil society in general) has been used to orient the evaluation methodology.

## *Changes in the civil society arena of the SPO*

In the 2012 – 2014 period, the most important change that took place in the civil society arena of the SPO are related to civic engagement: NTFP-EP managed to increase membership of groups that engage in the production and sales of NTFP products with 13 percent, whilst at the same time increasing their income from € 53 in 2012 to € 137 in 2013. However, participation of women in a participatory certification system for rattan product, as well as their participation in community eco-cultural mappings is marginal.

Another change that was realised with regards to the 'perception of impact' dimension, in particular in relation to local policy influencing, consists of communities having made their eco-cultural mappings as a means to influence districts in charge of spatial planning. On one occasion this helped to refute a demand by a palm oil company.

Also of note is that with regards to Practice of Values, NTFP-EP has undergone an institutional transformation in mid-2012 becoming an independent foundation. This has arguably led to better accountability.

These findings were obtained through an analysis of documents, a workshop and follow-up interviews with NTFP-EP, and interviews with external resource persons working in civil society organisations that receive support from NTFP-EP; other civil society organisations with whom the SPO is collaborating; public or private sector agents and; external resource persons capable of overlooking the MDG or theme on which the SPO is concentrating.

## *Contribution analysis*

Based upon an analysis of the projects and programmes financed by the Dutch CFAs a selection was made of SPOs to be included in an in-depth process tracing trajectory and those to be included for a quick contribution assessment. NTFP-EP was amongst those SPOs selected for in-depth-process tracing.

A first outcome that we looked at concerns and increased income earned from crafts by 17 weavers. Their incomes in absolute values (but not corrected for inflation) representing € 15, € 23 and € 24 per month per weaver in respectively 2012, 2013 and 2014. In the same period the share of crafts work increased from 8 percent of total household incomes in 2012 to 12 percent in 2014. The most plausible explanation of this increased income consists of increased sales to in the first place other

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buyers than Borneo Chic, a business unit created by the Craft Kalimantan network supported by NTFP-EP in collaboration with Cordaid and Both Ends until 2011 and with MFS II funding. In the second place Borneo Chic, NTFP-EP and the association of the weavers explain the outcome. In the third place the Participatory Guarantee System that was launched in 2014 with support from IUCN-NL provided some additional value. Each of these actors and factors are a sufficient explanation for the increased outcome, but other factors such as women selling their product to other buyers, also explain the outcome.

The second outcome the evaluation traced was the ability of forest dependent communities to claim their rights to managing forest resources and land in four target villages. Multiple pathways can explain the outcome. NTFP-EP's efforts to develop participatory eco-cultural maps form the building blocks for greater recognition of community rights to manage forests, but this alone is not sufficient to bring about government acknowledgement and commitment. Other actors played an important role in terms of organising communities and lobbying the district to obtain the endorsement of the village maps. NTFP-EP recognizes that achievements were a result of joint efforts by itself and other CSOs and NGOs. Although NTFP-EP conducted lobby efforts directed at the local government, the legal recognition of the maps and community rights has not yet been achieved. Advocacy for recognition by government of community maps may take longer than the time afforded by the project period. In this regard, the sustainability of the outcome (communities able to claim their rights) will require additional efforts to ensure district policies and practices do not annul or influence current achievements.

From a CIVICUS perspective the contribution of both outcomes towards enhancing civic engagement, strengthening CBOs like the weaver group is limited.

#### *Relevance*

Interviews with staff of NTFP-EP, with external resource persons, with the liaison officer of IUCN, as well as contextual information helped to assess the relevance of NTFP-EP's interventions in terms of; its Theory of Change (ToC) for Civil Society (SC) as designed during the baseline study; the context in which NTFP-EP is operating; the CS policies of IUCN.

With regards to the baseline ToC, the interventions and outcome achieved are relevant because they are in line with the ultimate objective of NTFP-EP to improve rural livelihoods through better forest management, in particular through mainstreaming NTFPs in forest management. However, the interventions did not address preconditions identified in the 2012 ToC, specifically with regards to a conducive political context.

With regards to the context in which NTFP-EP is operating, its interventions and outcome achieved are relevant because the Governments 'concession regime' has infringed the capacity of forest-dependent communities to attain sustainable livelihoods options that do not contribute to the depletion of scarce forest resources.

With regards to the CS policies of IUCN, NTFP-EP's interventions and outcome are only partly relevant because although the existence of community maps may help the communities' bargaining position to deal with land use change with the private sector agencies and government, legal recognition of these community-produced maps has not yet been realised. While communities are taking forest management more seriously, structural change is more challenging, especially considering that communities palm oil permits and mining permits have been granted around forested areas. Nonetheless, there are opportunities for communities to make sure these forested areas are not converted to plantation areas. For example, in one of the target villages, an agreement was reached with a palm oil company on land-use, which is in line with the overarching goal of the Ecosystem Alliance support.

#### *Explaining factors*

The information related to factors that explain the changes in CS, NTFP-EP's contribution to these changes and the relevance of its interventions were collected at the same time as the data were gathered for the previous questions. Apart from searching for explaining factors related to these evaluation questions, the evaluation team was also informed about other important factors such as the organisational performance of NTFP-EP, relations with IUCN that might have had an effect on its performance or external factors.

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The most important factors that explain the changes from the internal organization point of view is the institutional transformation that allows NTFP-EP to make in-country decisions. Interventions preceding NTFP-EP's project supported by MFS-II have formed an important basis for continued support and community participation. NTFP-EP benefited from previous investments by Cordaid and other donors in the same project areas. Other influencing factors with regards to participatory community mapping relate to high local political dynamics, as well as lack of capacity of NTFP-EP and implementing partners to undertake strategic lobby interventions. While the evaluation team recognizes that NTFP-EP has undertaken lobby interventions, there is a need for more strategic interventions at a higher level because current interventions have not yet resulted in legal recognition from district authorities.

The following chapter briefly describes the political context, the civil society context and the relevant background with regards to the governance issues NTFP-EP is working on. Chapter three provides background information on NTFP-EP, the relation of its MFS II interventions with the CIVICUS framework and specific information on the contract with IUCN. An evaluation methodology has been developed for the evaluation of the Civil Society component which can be found in appendix 2; however, deviations from this methodology, the choices made with regards to the selection of the outcomes for contribution analysis, as well as difficulties encountered during data collection are to be found in chapter 4. The answers to each of the evaluation questions are being presented in chapter 5, followed by a discussion on the general project design in relation to CS development; an assessment of what elements of the project design may possibly work in other contexts or be implemented by other organisations in chapter 6. Conclusions are presented in chapter 7.

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## 2 Context

This section briefly describes the context NTFP-EP is working in.

### 2.1 Political context

Indonesia's political context changed drastically when Suharto's New Order regime came to an end in 1998 which opened the possibilities for civil society to start playing its role in society. This paragraph briefly describes the political contexts of the past decades, and ends with an overview of the most important recent changes.

#### 2.1.1 Brief historical perspective

Indonesia's rise to being the world's third largest democratic nation has been lauded by many world leaders. The country is often considered to be a model Muslim democracy. As the fourth most populous nation with an estimated 250 million people<sup>1</sup>, Indonesia has sustained its democratic commitment since transitioning from an authoritarian leadership to a democracy in 1998. The decentralized administration now consists of 34 provinces and 508 districts and municipalities.

Prior to 1998, Indonesia was under strict authoritarian regime. Suharto, known for his so-called New Order (1966-1998) regime, ushered in radical transformations that would place social and political forces under direct state supervision. The defining characteristics of the Suharto era were a focus on economic growth and controlled consensus and political stability devoid of dissent. A series of tumultuous economic and political transitions in the nineties severely diminished the credibility of ageing President Suharto, who was forced to resign amidst mass street protests.

His departure in 1998 laid bare three decades of social inequalities, state-perpetuated abuses against human rights, and a lack of civilian liberties. The regime change opened the way for a period of *Reformasi* started under the presidency of B. J. Habibie (1998-1999) and continued by Abdurrahman Wahid (1999-2001), Megawati Soekarnoputri (2001-2004), and Susilo Bambang Yudhoyono (2004-2014). Restrictions on citizen participation, press freedom and association were removed. Democratic reforms and decentralization led to direct elections, portioned authority, a devolution of authority to regional authorities, formation of new political parties and ended the military's parliamentary influence. The distinct historical periods of the New Order Regime and *Reformasi* (1998-present) have shaped the emergence of civil society. Defining characteristics are summarized in the table below.

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Table 1

*Characteristics that have defined the emergence of civil society in Indonesia*

Characteristics	New Order, authoritarian period (1966 – 1998)	Reformasi (1998 – present)
<b>Political system</b>	Centralized, authoritarian characterized by unipolarity. Golkar as the dominant political party.  In 1999, there were 27 provinces, 306 districts	Decentralized, democratic. Fragmentation of power and atomization of patronage relationships. Emergence of numerous political parties. Direct presidential elections since 1999.  Decentralization altered the political and administrative landscape: 34 provinces, 410

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<sup>1</sup> In 2010 the population was estimated to be around 237 million people (BPS 2010 Population Census). The current figure is an estimate from BKKBN and similar figures are cited in the CIA's World Fact Book and the World Bank.

	and around 60,000 villages.	districts, 98 municipalities, 6,944 sub-districts and 81,253 <sup>2</sup> .
<b>State-citizen interaction</b>	Benevolent leader, obedient population. Down to the village level, the state permeated society.	Modern political culture marked by diminishing hierarchy between the state and citizens, allowing for citizens to interact more freely.
<b>Citizen representation and voice</b>	<p>Strict control of speech, expression and association.</p> <p>CSOs and their networks largely "hiding behind the screen", operating under state surveillance. A period of growth occurred in 1995-98, as resistance was building.</p>	<p>Burgeoning of CSOs, pressure groups and NGOs following the political euphoria after Suharto's fall.</p> <p>Indonesian CSOs began to establish new networks internationally. Up until the early 2000s the focus was on state-centrist issues. Later, issues that CSOs were tackling became more diverse, ranging from pluralism, poverty reduction to fulfilment of economic, social and cultural rights.</p>
<b>Media</b>	No free press, censorship and state-control. Suharto had firm grasp over how to use print & broadcast medias to promote political ideologies.	More vibrant media environment, flourishing of media businesses albeit in control of 12 main conglomerates that are mostly profit-driven and often have political ties.
	Limited public and CS use and access to internet until mid-90s.	Twitter nation, widespread social media use.
		Growing realization of the importance of media/free press as the fourth pillar of democracy.
<b>Artistic forms of expression</b>	Art and literary censorship conducted by the state. Art forms were a means to reinforce political order.	Greater freedom of the arts and cultural sectors. Organizations able to hold art events more freely. Freedom of expression a catchphrase amongst individuals and artistic groups, but challenged by more conservative members of society.
<b>Religious expression and organization</b>	Regime repressed religious groups, especially radical forms.	Emergence of religious groups seeking to restore Islamic values and defend Muslim values.

Source: project documents

With political reforms came greater freedom and space for civic engagement. In the *Reformasi* period, there was a remarkable increase in the number of civil society organizations, many of which were Islamic in character. In 2000, the Central Agency on Statistics (BPS) recorded around 70,000 registered organizations, compared to just 10,000 in 1996<sup>3</sup>. New groups sprung up with donors encouraging activists to establish NGOs they could fund. These organizations were eager to distance themselves from state and often took an anti-government stance. Proliferating CSOs and NGOs have taken advantage of decentralization and greater regional autonomy to engage in public affairs. Civil society and government relations have improved, although both sides remain sceptical of the others' intentions.

### 2.1.2 Recent trends in the political context

Indonesia is considered to be a story of democratic success, but it still struggles to realize the benefits of sustained and equitable economic growth. In the political context, the main challenges lie in governing such geographically vast and decentralized country, applying principles of good governance and the enormous task of reforming the country's bureaucracy.

Although, Indonesia's 'big bang' decentralization initiated at the turn of the century narrowed the gap between local government and citizens, it has also localized political power struggles. While the devolution of authorities relieved tensions between the central government and the regions, it has also

<sup>2</sup> Latest data (2014) See: Rumah Pemilu, "http://www.rumahpemilu.org/in/read/3351/Gambaran-Singkat-Pemilihan-Umum-2014-di-Indonesia", 3 July 2014. Available from <http://www.rumahpemilu.org/in/read/3351/Gambaran-Singkat-Pemilihan-Umum-2014-di-Indonesia> (accessed 25 October 2014)

<sup>3</sup> Wahid, Marzuki. 2010. LSM, Islam, dan Perempuan di Indonesia Paska Orde Baru. Presentation at the Asian Dialogues: Open Seminars in Asian Languages. Melbourne, 22 April. Available from <http://intranet.law.unimelb.edu.au/staff/events/files/Microsoft%20PowerPoint%20-%20LSM%20dan%20Islam%20di%20Indonesia%20--Melbourne%202010-FINAL.pdf> (accessed 25 October 2014)

created opportunities for corrupt and rent-seeking practices, at the local level. As indicated by Transparency International's corruption index scores, perceived corruption in Indonesia remains high.

**Table 2**

*Transparency International's Global Corruption Barometer survey: Indonesia*

Year	Corruption perceptions Index Score (0 perceived as highly corrupt and 100 perceived as clean)	Rank
2011	30	100/182
2012	32	118/174
2013	32	114/177

Source: Transparency International

In 2013, decentralization was taken a step further with the approval of the Village Law, intended to address weak governance arrangements and empower rural communities to participate politically. The new law could also lead to village elites distorting power relations and misusing government funding if not properly monitored.

Indonesia is still transitioning politically and many challenges lie ahead. According to the 2012 Indonesia Governance Index's Executive Report: "Indonesia is witnessing a paradox in its democracy. On one hand, a successful opening-up of civil liberty has led to the avalanche of democratic demands across the nation, however on the other hand, democratic institutions' are inadequately respond to those demands." Nonetheless, the Indonesian Governance Index, which focuses on measuring provincial governance, does show a general improvement in the performance of the government (political office) bureaucracy, civil society and economic society based on principles of participation, transparency, fairness, accountability, efficiency, and effectiveness between 2008 and 2012. Civil society scores improved the most significantly, while scores for bureaucracy rose slightly.<sup>4</sup>

**Table 3**

*Indonesia Governance Index: Average provincial scores*

Arena	2008	2012
Government	4.93	5.46
Bureaucracy	5.53	5.58
Civil Society	4.85	6.33
Economic Society	4.77	5.71

Source: <http://www.kemitraan.or.id/igi>

In the past decade, Indonesians have generally enjoyed a freedom to participate in the political process through a direct-election mechanism. However, in September 2014 lawmakers voted in favour of a bill reviving indirect elections of regional heads. The controversial vote provoked public outcry which saw peaceful protests and the public voicing their discontent through social media. In early October, just before the end of his term, president Yudhoyono issued a regulation in lieu of the law, effectively repealing the law until further judicial review.

The recent 2014 elections which marked the end of Yudhoyono's 10-year term, demonstrated that Indonesian voters are increasingly voting for popular figures irrespective of political party alliances. While practices of corruption, vote-buying and poor voter administration remained in the recent election, the public seems to have matured politically, indicated by the enormous interest in televised debates between the leading candidates. The appeal of the newly sworn in President Joko Widodo, popularly known as Jokowi, has come from his hands-on, man-of-the-people approach. As Jokowi begins his five-year term he will need to start addressing a myriad of challenges that include corruption, stagnant economic growth, and human rights concerns, particularly with respect to the rights to freedom of expression, peaceful assembly, and religious intolerance. If left unaddressed, these challenges could seriously undermine Indonesia's stability and democratic reforms.

<sup>4</sup> The IGI uses a scale of 1 (lowest) to 10 (highest). Data is available online through their website.

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## 2.2 Civil Society context

This section describes the civil society context in Indonesia that is not SPO specific but in line with the information criteria used by CIVICUS.<sup>5</sup>

### 2.2.1 Socio-political context

Today, there are tens of thousands of civil organisations in the country<sup>6</sup>, comprising of religious organisations, unions, mass-based membership organisations, ethnic groups, professional associations, politically affiliated organisations, NGOs, and other community organisations.<sup>7</sup> CSOs in Indonesia work on wide range of themes. Thematic areas recently prominent include democratization and human rights; issue-based campaigns; protecting economic, social and cultural rights; promoting community access to basic services; environmental and natural resources management, and; climate change and disaster risk reduction. In 2012, the Ministry of Home Affairs documented more than 65,000 organisations, of which around 9,000 were officially registered with the Ministry.<sup>8</sup> A year later, the figure increased to more than 130 thousand foundations, associations, NGOs, research institutions, and other organisations.<sup>9</sup> It is worth noting that NGOs in Indonesia are also allowed to establish cooperatives or SMEs, of which there are 203,701 with a membership reaching 35.2 million people.<sup>10</sup> Under recently reinstated Law No. 25/1992 concerning cooperatives, the cooperatives' objectives are to improve the welfare of its members and participate in developing the economy.<sup>11</sup> Given these regulations it is possible to expand the definition of civil society to include cooperatives.<sup>12</sup>

The civil society stage has become more diverse; the stage is now "shared with more players, like political parties, religious organisations and universities, all able to speak out and publicize their views in a multitude of media outlets that have sprung up in recent years."<sup>13</sup> NGOs and civil society in Indonesia are now starting to deal with the dissolve of traditionally-compartmentalized roles and responsibilities as their activities begin to overlap with those of the government and private sector. As one recent report stated, "NGOs that were united against Suharto are now without a common enemy and something to unite them to a common vision."<sup>14</sup> While the government has come to recognize that "a strong civil society is an important contributor to both launching and sustaining a transition to democratic governance"<sup>15</sup>, NGOs and CSO networks continue to be scrutinized and criticized for being vehicles of foreign intervention.

Despite the considerable number of organisations, those operating effectively are likely to be a small proportion.<sup>16</sup> The accountability and transparency of CSOs and NGOs themselves has also come under greater scrutiny. "Donors have started to become impatient with some of their NGO counterparts, who have difficulties accepting that they now have to fulfil much greater demands"<sup>17</sup>. In recent years

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<sup>5</sup> Mati J.M., Silva F., Anderson T., April 2010, Assessing and Strengthening Civil Society Worldwide; An updated programme description of the CIVICUS Civil Society Index: Phase 2008 to 2010., CIVICUS

<sup>6</sup> Under state law, there are two forms of organisation recognized legally: "yayasan" or foundations, and "perkumpulan" or associations. The main difference between foundations and associations is that the latter is member-based and in the way they are governed internally and under law. A large majority of NGOs in Indonesia are private foundations.

<sup>7</sup> NGO Accountability: Politics, Principles and Innovations edited by Lisa Jordan, Peter van Tuijl

<sup>8</sup> Source: <http://www.koran-jakarta.com/?112-1000-ormas-perbarui-pendaftaran>. This figure is similar to 2010 data provided by Rustam Ibrahim in An ASEAN Community for All: Exploring the Scope for Civil Society Engagement, FES 2011.

<sup>9</sup> <http://kesbangpol.kemendagri.go.id/index.php/subblog/read/2013/2515/Pemerintah-Ada-Ormas-yang-Diperalat-untuk-Kepentingan-Asing/2330> & [www.kesbangpolbulukumba.info/berita-sambutan--dirjen-kesbangpol-----pada-----pertemuan--sosialisasi-undangundang--nomor-17-tahun-2013-.html](http://www.kesbangpolbulukumba.info/berita-sambutan--dirjen-kesbangpol-----pada-----pertemuan--sosialisasi-undangundang--nomor-17-tahun-2013-.html)

<sup>10</sup> Article entitled: Pemerintahan Jokowi Diminta Terus Beber Koperasi dan UMKM, 20 October 2014, Available at: <http://www.depkop.go.id/>

<sup>11</sup> A cooperative is defined in Article 3 as: "an economic organisation of the people with a social content (character) having persons or legal cooperative societies as members, farming economic entity as a collective endeavor based upon mutual help" (FAO, A study of cooperative legislation in selected Asian and Pacific countries).

<sup>12</sup> The World Economic Forum has adopted such a definition in 2013. See: The Future Role of Civil Society, available at: [http://www3.weforum.org/docs/WEF\\_FutureRoleCivilSociety\\_Report\\_2013.pdf](http://www3.weforum.org/docs/WEF_FutureRoleCivilSociety_Report_2013.pdf)

<sup>13</sup> NGO Accountability: Politics, Principles and Innovations, Edited by Lisa Jordan and Peter van Tuijl (2006)

<sup>14</sup> STATT NGO Sector Review 2012

<sup>15</sup> Evolution and Challenges of Civil Society Organisations in Promoting Democratization in Indonesia

<sup>16</sup> Rustam Ibrahim comments on this in FES 2011

<sup>17</sup> Ibid



foreign donor funding has depleted, which has led to more organisations turning to the private sector and government programmes.

Since 1985 the state has regulated member-based, citizen organisations under a Mass Organisations Law making it obligatory for social organisations to register with government. This law was largely ignored in the period of reform following 1998. However, in 2013 the law was replaced by a new controversial Mass/Societal Organisations (*Ormas*) Law No. 17, reinforcing control of foundations and associations. The Law could be used to prohibit or dissolve CSOs. Many NGOs and civil society networks deplored the Law for constricting democratic space and the freedom of civil society. The 2014 Freedom House Index's ratings for civil liberties in Indonesia declined from Free to Partly Free as a result of the new law<sup>18</sup>.

Table 4

*Indonesia's Rank & Score: Freedom House Indices*

Arena	2011	2012	2013	2014
Freedom status	Free	Free	Free	Partially Free
Political rights	2	2	2	2
Civil liberties	3	3	3	4

Source: <http://www.freedomhouse.org>

The 2013 CIVICUS report hinted that the legislation could be part of the state's reaction to a perceived threat that environmental, land rights and indigenous activists pose to political and economic interests due to the "shadowy connections that can exist between transnational corporations and politicians" in the agriculture extractive and construction industries.

The annual Freedom of the Press Index produced by Freedom House illustrates that Indonesia's media remains "partly free". From 2011 to 2012 there was significant numerical improvement from 53 points to 49 with the reduction of restrictions and a greater ability of journalists to cover news more freely. From 2012 to 2014, the country's rating remained steady at 49, with slight changes in global ranking (2012: 97<sup>th</sup>, 2013: 96<sup>th</sup>, 2014: 98<sup>th</sup>).<sup>19</sup>

Overall, the press system in Indonesia is vibrant, with a wide range of news sources and perspectives, further growing with the developments in digital media. "Indonesia's online growth in recent years is recognised as nothing short of phenomenal" (Matt Abud 2012). While the Internet is seen as a new space for debate and participation, current laws still curtail openness, accessibility, inclusiveness and place limits on its use for expression. Only a limited number of organisations like ICT Watch are addressing freedom of expression and online rights. Nonetheless, citizens are using cyber space to set up online communities and organize campaigns. Some recent examples include the commuter movement 'masukbusway.com' aimed to capture and shame traffic violators in Jakarta.

Less progressive sources of rhetoric can be found amongst a number of hard-line religious groups and leaders, such as *Front Pembela Islam* (Islamic Defenders Front or FPI), who have links with traditional religious schools (*pesantren*) and recruit members through these and online networks. Radical groups organize frequent protests to apply pressure on the government and are a threat to diversity and freedom.<sup>20</sup>

## 2.2.2 Socio-economic context

At a macro-level, Indonesia's socio-economic situation has been improving. The country is a regional and global economic force, and has recently graduated to lower-middle income country (LMIC) status.

<sup>18</sup> <http://www.freedomhouse.org/report/freedom-world/freedom-world-2014#.VE4BahbarZk>

<sup>19</sup> Freedom House. Freedom of the Press 2011, Freedom of the Press 2012, Freedom of the Press 2013, Freedom of the Press 2014.

<sup>20</sup> The Limits of Civil Society in Democratic Indonesia: Media Freedom and Religious Intolerance, Kikue Hamayotsu. Journal of Contemporary Asia, March 2013

Table 5

*Indonesia's Rank & Score: UN Human Development Reports*

	2010	2011	2012	2013
HDI Rank (scale 1 – 187 for all years except 2010 out of 169)	108	124	121	108
HDI Value	0.671	0.640	0.681	0.684
Category	Medium human development			
Life expectancy at birth (years)	70.2	70.4	70.6	70.8
Mean years of schooling (years)	7.4	7.5	7.5	7.5
Expected years of schooling	12.5	12.7	12.7	12.7
GNI per capita (2011 PPP\$)	7,802	8,201	8,601	8,970
Gender Inequality Index (value & rank)	0.680 100 (2008 data)	0.505 100	0.494 106	0.500 103

Source: Human Development Report 2014 &amp; Explanatory Note for Indonesia

In recent years, Indonesia has consistently been ranked in the medium development category of the UN's Human Development Index (HDI) measuring a long and healthy life, access to knowledge and a decent standard of living. In 2013, the HDI value was 0.684 with a rank of 108 out of 187 countries and territories. However, the value falls to 0.553, or 19.2 percent, when taking into account inequality. Indonesia's HDI is above its peers in the medium development category but below the average of 0.703 in East Asia and the Pacific. The Gross National Income (GNI) per capita is steadily rising to US\$ 8,970, a remarkable feat considering it was just 2,931 in 1980. Despite improvements, the 2014 report and its explanatory note show that growth is slowing and the country has yet to achieve equitable growth. For example, women only hold 18.6 percent of the seats in parliament, 10 percent fewer women reach secondary education compared to men, and women's labour market participation is 51.3 percent compared to 84.4 percent for men.<sup>21</sup>

The Basic Capabilities Index (BCI) produced by Social Watch offers a picture of the status of key human capabilities of accessing basic services. It utilizes three main indicators: under-five mortality rate, births attended by skilled personnel, and enrolment of children up to the 5th grade. Countries are categorized into five groups accordingly based on their BCI values: 1) Basic: 98 and over; 2) Medium: from 91 to 97; 3) Low: from 81 to 90; 4) Very Low: from 71 to 80, and; 5) Critical: values below 70. Results for Indonesia saw stable or improving scores for child and maternal health, but a regression for education. While no data beyond 2011 is available, other data sources confirm that Indonesia still has high maternal mortality rates but basic education through primary school enrolment is improving.<sup>22</sup>

Table 6

*Indonesia's Rank & Score: Basic Capabilities Index*

Year	Children reaching 5 <sup>th</sup> grade	Survival up to 5	Births attended by skilled health personnel	BCI
2011	87 (low)	96 (medium)	73 (very low)	88 (low)
2010	94 (medium)	96 (medium)	79 (very low)	90 (low)
2000				86 (low)
1990				74 (very low)

Source: Social Watch

Indonesia does not fare too well on the Social and Economic Rights Fulfilment (SERF) Index. In 2012 Indonesia achieved 67.86 percent of protecting social and economic rights. Although there was an improvement compared to 2011 values, performance worsened when compared to 2010. The country consistently preforms poorly in the areas of right to food and right to work, although it improved in fulfilling rights to education.

<sup>21</sup> Human Development Report 2014, 'Sustaining Human Progress: Reducing Vulnerabilities and Building Resilience': Explanatory note on the 2014 Human Development Report composite indices Indonesia

<sup>22</sup> See: Social Progress Index 2014 Country Scorecards published by the Social Progress Imperative; and the World Bank's Indonesia Development Policy Review 2014.

Table 7

*Social and Economic Rights Fulfilment (SERF) Index Values: Indonesia*

Year	SERF Index Value	Right to Food	Right to Health	Right to Education	Right to Housing	Right to Work
2012	67.86	45.33	83.95	95.19	64.26	50.56
2011	65.71	45.01	85.16	93.43	63.88	41.09
2010	69.29	45.75	85.95	93.82	65.88	54.72

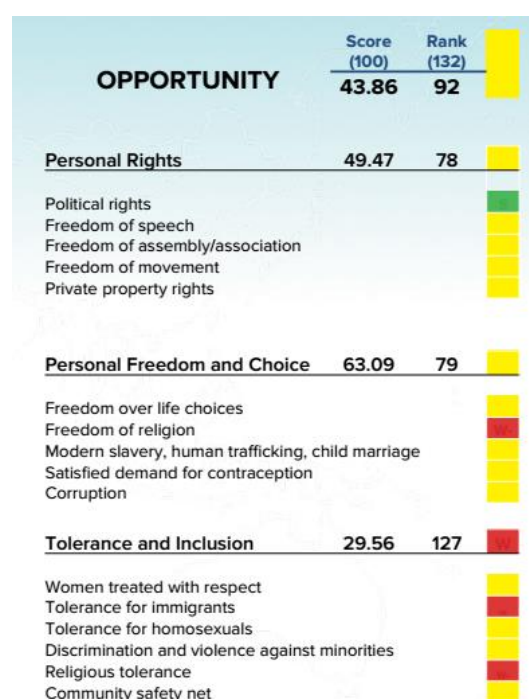
Source: Social Watch, Core Country SERF Indices 2010, 2011 and 2012 (Note that 2010 data was adjusted in 2013).

Trends in the country's Economic Freedom Scores produced by The Heritage Foundation and The Wall Street Journal are also rather bleak. From 2010 to 2014 the country has been categorized as 'Mostly Unfree', with only a small increase in its score from 55.5 to 58.5.<sup>23</sup>

These macro-level figures illustrate the complexity of the socio-economic context. While the economy has grown, 65 million people remain highly vulnerable to shocks. Disparities in income and geographic areas remain, made more complex by the number of people 'floating' between the poor and middle class'.<sup>24</sup>

## 2.2.3 Socio-cultural context

With respect to the socio-cultural context it is of interest to look at global indices that provide some insight into the level of trust between ordinary people and the extent to which tolerance exists. On a



**Figure 1** Indonesia's 2014 Social Progress Index Scorecard illustrating selected elements of the Opportunity

whole, Indonesia has been able to maintain peace as indicated in the improvements in scores recorded by the annual Global Peace Index. In 2010, the country scored 1.950 on a scale of 1 to 5, with 1 being the best score. This has gradually improved to 1.853 in 2014, with a rank of 54 out of 162 countries. Nonetheless, inequality, socio-economic conditions and rights claims (especially land rights) are still a source of localized incidences of conflict in Indonesia. Between 2010 and 2014 there has been a rising incidence of resource and identity-based conflicts as well as vigilantism.<sup>25</sup>

Amongst other components, the Social Progress Index published in 2014 examines whether there is opportunity for individuals to reach their full potential by scoring four different components: personal rights; personal freedom and choice; tolerance and inclusion; and access to advanced education. Indonesia scores low in this regard, at just 43.86 out of 100 and ranking 92<sup>nd</sup> out of 132 countries. Freedom of religion, tolerance for immigrants and religious intolerance are all considered to be weak (red), while the majority of the components are scored as neutral (yellow).

The Edelman Trust Barometer Survey, which collects annual data from 33,000 respondents in 27 countries

has shown that on aggregate, Indonesians' confidence in nongovernmental organisations, government, media and businesses increased by 10 percent in the 2014 trust index. Interestingly, businesses, with 82 percent, are the most trusted of the four sectors compared to 73 percent for NGOs, 53 percent for government and 73 percent of respondents putting their trust in the media.

<sup>23</sup> <http://www.heritage.org/index/>

<sup>24</sup> World Bank's Indonesia Development Policy Review 2014

<sup>25</sup> Data from the National Violence Monitoring System: [www.sn timer-indonesia.com/](http://www.sn timer-indonesia.com/)

According to survey results, Indonesians believe businesspeople are more inclined to tell the truth than their government counterparts and three times more likely to fix problems.<sup>26</sup>

The trends in levels of trust in NGOs over the past four years are noteworthy. In 2011, the trust level was at 61 percent, decreasing to 53 percent in 2012 and 51 percent in 2013. Reports claimed this was due to a lack of transparency and accountability. Edelman reported that the trust levels in 2013 were the lowest amongst eight Asia Pacific countries surveyed, ascribed to the growth of horizontal, peer-to-peer networks and a preference for social media.<sup>27</sup> The most recent results released in 2014 show substantial jump to 73 percent in 2014 which is attributed to NGOs now being able to 'walk the talk' in accountability and transparency, as well as the emergence of 'corporate NGOs'.<sup>28</sup>

## 2.3 Civil Society context issues with regards to MDG 7

There are two issues with regards to MDG 7 and forest management that are relevant to the SPO. These issues are tenurial access and the non-timber forest product market. This context is important since it defines community access and management over forest resources and how the government has regulated natural resource management.

In 1999 the Government of Indonesia passed the Forestry Law (Law No. 41/1999). This law classified all land into two designations: 1) state forests (*kawasan hutan*) as land bearing no ownership rights and further categorized by three allowable land uses, namely conservation, protection and production forests, and; 2) non-forest areas (*area penggunaan lain*) as those areas designated for non-forestry use such as agriculture and settlement<sup>29</sup>. Law 41/1999 regulated the administrative authority of the forest sector. It was designed to reaffirm control of the forest sector in the hands of the central government after the issuance of Law 22/1999 on Regional Governance, which for a brief period saw district governments taking a proactive role in administering forests and issuing timber extraction permits<sup>30</sup>.

Table 8

*Land-use and forest classifications in Indonesia*

Classification	Sub-classification	Function	Permitted activities
<b>Forest estate (Kawasan Hutan)</b>			
<b>Conservation forest (Hutan Konservasi)</b>	Natural reserve ( <i>Hutan suaka</i> )	Preserve animal and plant biodiversity as well as its ecosystem, also functions as an area for life-supporting systems.	Research, science, education, and limited tourism
	Nature Conservation area ( <i>Hutan pelestarian alam</i> )	Protect life-supporting systems, preserve biodiversity and sustainable utilization of natural resources and their ecosystems.	Research, science, education, cultivation activities, cultural activities, and limited tourism
<b>Protection forest (Hutan Lindung)</b>		Main function of protecting life-supporting systems for hydrology, preventing floods, controlling erosion, preventing sea water intrusion, and maintaining soil fertility	Forest area utilization activities (cultivating medicinal/decorative plants, fungi, apiculture, swiftlet nests, capturing wildlife, cattle feed) utilization of environmental services (water flow, ecotourism, biodiversity, environmental protection, carbon absorption and storage) extraction of non-timber forest products

<sup>26</sup> Indonesians Trust Businesses More Than Govt, Survey Shows. By Harriet Conron & Nicole Jade Millane on Feb 05, 2014. <http://thejakartaglobe.beritasatu.com/news/indonesians-trust-businesses-more-than-govt-survey-shows/> & Further Rise in Trust in Indonesia, with Business as the Most Trusted Institution in the Country, Says the 2014 Edelman Trust Barometer, Edelman Indonesia, February 5, 2014 <http://www.edelman.id/edelman-indonesia/further-rise-in-trust-in-indonesia-with-business-as-the-most-trusted-institution-in-the-country-says-the-2014-edelman-trust-barometer/>

<sup>27</sup> Guest Post: A Crisis of Trust in Indonesian NGOs? April 29, 2013. by David Brain <http://www.edelman.com/post/guest-post-a-crisis-of-trust-in-indonesian-ngos/>

<sup>28</sup> Jakarta Globe (Indonesians Trust Businesses More Than Govt Survey Shows)

<sup>29</sup> Rosenbarger, A., Gingold, B., Prasodjo, R., Alisjahbana, A., Putraditama, A., Tresya D. 2013. Page 6, How to Change Legal Land Use Classifications to Support More Sustainable Palm Oil in Indonesia. Issue Brief. World Resources Institute, October 2013, page 6.

<sup>30</sup> Barr, C., Resosudarmo, I. A. P., Dermawan, A., McCarthy J, eds. 2006. Pages 43-44, Decentralization of Forest Administration in Indonesia: Implications for Forest Sustainability, Economic Development and Community Livelihoods. Bogor, Indonesia: Edited by Christopher Barr et al. 2006 by Center for International Forestry Research, pp. 43-44

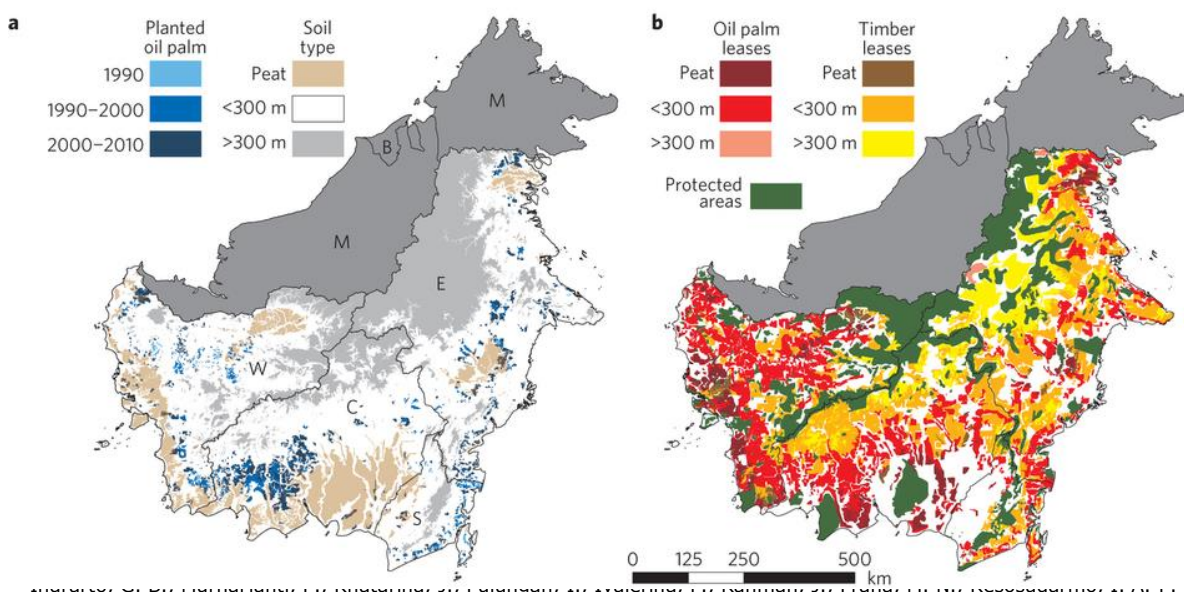
<b>Production forest (<i>Hutan Produksi</i>)</b>	Limited production forest ( <i>Hutan Produksi Terbatas</i> )	Main function of generating forest products via selective/limited logging scheme	(rattan, bamboo, honey, resin, fruits, fungi) Timber extraction through selective logging. Village forest or community forest ( <i>hutan desa, hutan kemasyarakatan</i> ) schemes allowed.
	Permanent production forest ( <i>Hutan Produksi Tetap</i> )	Main function of generating forest products	Clear cutting forests and industrial timber plantations. Village forest or community forest ( <i>hutan desa, hutan kemasyarakatan</i> ) schemes allowed.
	Convertible production forest ( <i>Hutan Produksi Konversi</i> )	Main function of generating forest products but spatially reserved for use of development other than forestry	Clear cutting and industrial timber plantations, can also be released to be non-forest land (APL). Village forest or community forest ( <i>hutan desa, hutan kemasyarakatan</i> ) schemes allowed.
	Non-forest estate ( <i>Areal Penggunaan Lain/APL</i> )	Land outside the forest estate designated for non-forestry use such as agriculture, settlement, etc.	

Source: World Resources Institute, October 2013, based on Law No.41/1999

In 2007, the Government of Indonesia issued a regulation on Forest Management Planning (PP No.6/2007) which introduced schemes for community forestry, opening up opportunities for these initiatives to be registered.<sup>31</sup> The schemes granted long-term forest management rights to communities. *Hutan desa* (village forest) is one such a scheme that has the potential to improve the welfare of rural communities. More recently in 2013, the country's constitutional court accepted a petition from the Indigenous People's Alliance (AMAN) to review articles of the 1999 Forestry Law. This resulted in a greater recognition for indigenous people's rights by declaring that customary forests should not be classified as state forest areas<sup>32</sup>.

Nonetheless, there continue to be many gaps in Indonesia's regulatory framework that have allowed for the over-exploitation of natural resources. For example, the Forest Law does not contain clear criteria for land status conversion<sup>33</sup>. Inconsistent legislation has led to different interpretations of existing policies.

In the context of decentralisation, the devolution of power to the subnational level has increased deforestation and forest degradation rates<sup>34</sup>. Local authorities have issued forest permits and permits for estate crop production and mining activities with little concern for sustainable natural resource management. "In essence, the devolution of law-making authority to regional officials has, in the absence of unambiguous laws, transparent processes, clearly defined powers and supervision, resulted in a mixed bag of rules and regulations and hence inappropriate and overlapping permits, such as the issuance of estate crop permits for forested areas."<sup>35</sup>



**Figure 1** Planted oil palm, oil palm leases, timber leases and protected areas in Kalimantan.  
Source: Nature Climate Change (2013),  
[http://www.nature.com/nclimate/journal/v3/n3/fig\\_tab/nclimate1702\\_F1.html](http://www.nature.com/nclimate/journal/v3/n3/fig_tab/nclimate1702_F1.html).

The palm oil and pulp sectors have had a negative impact on Indonesia's forests. Indonesia is now one of the world's top producers of palm oil. The expansion of the sector has resulted in forests being converted to plantations<sup>36</sup>. There are often overlapping allocations of areas designated for forest areas, palm oil production and local communities, which have often led to conflicts between state, community and private sector actors. A study published in 2012 indicated that 90 percent of lands converted to oil palm from 1990 to 2010 in Kalimantan were forested<sup>37</sup>. Local governments in Indonesia are being driven by the new commodity boom of palm oil. In Kalimantan alone, planned oil palm expansion is occurring at an unprecedented rate, encroaching into indigenous territories and protected areas<sup>38</sup>. In West and East Kalimantan the plantation and mining industries have detrimental effects on biodiversity, ecosystems and tenurial and livelihoods security of forest peoples.

In 2011, Indonesia moved to ban the export of a number of the country's raw materials, from minerals to non-timber forest products. A ban on raw rattan exports started on 1 January, 2012. The justification for this policy was to reduce competition so that domestic furniture producers would fare better in export markets<sup>39</sup>. Under these protectionist measures, many rattan farmers and traders have not fared well. Although exports of processed rattan have increased, producers have complained that prices have dropped and much of their produce has gone unsold<sup>40</sup>. The ban has affected actors unequally depending on their position in the value chain and the nature of their production activities, and the policy has generally served to benefit elite interests<sup>41</sup>.

The issues relating to the rattan and palm oil sector are small examples of larger problems stemming from legal frameworks that do not provide just and equal conditions. The way tenure systems and forest management have been regulated have failed to protect community and indigenous rights, and have generally favoured market dominant actors. Corrupt practices, limited avenues for access to justice, a lack of protection for smallholders and domestic industries, and land grabs are some of the key issues for civil society. Community groups and NGOs are seeking ways to curb the trajectory of deplorable state of forestry through alternative livelihoods, community empowerment, advocacy and education<sup>42</sup>.

<sup>36</sup>Rosenbarger, A., Gingold, B., Prasodjo, R., Alisjahbana, A., Putraditama, A., Tresya D. 2013. How to Change Legal Land Use Classifications to Support More Sustainable Palm Oil in Indonesia. Issue Brief. World Resources Institute, October 2013.

<sup>37</sup>Carlson, Kimberly M., Carlson, Lisa M. Curran, Lisa M., Asner, Gregory P., Pittman, Asner, Alice McDonald, Trigg Pittman, Simon N., Adeney, Trigg & J. Marion. 2012. "Carbon emissions from forest *conversion* Conversion by Kalimantan oil palm plantations." *Nature Climate Change* 3, pp.: 283–287. Available from <http://www.nature.com/nclimate/journal/v3/n3/full/nclimate1702.html#/ref-link-10> (accessed 25 October 2014)87. <http://www.nature.com/nclimate/journal/v3/n3/full/nclimate1702.html#/ref-link-10>.

<sup>38</sup>"NTFP-EP EA Concept Paper Note for Indonesia", The Ecosystem Alliance (EA) programme, June, 2011.

<sup>39</sup>Trade Sift, "Are Indonesia's proposed export taxes and export bans a good idea?", January 2013. Available from [http://www.tradesift.com/%28S%28wmuz3cenp2vkwz45utegx5y1%29%29/%5CReports%5CTradeSift%20Sample%20Report\\_Are%20Indonesia%27s%20proposed%20export%20taxes%20and%20export%20bans%20a%20good%20idea\\_January%202013.pdf](http://www.tradesift.com/%28S%28wmuz3cenp2vkwz45utegx5y1%29%29/%5CReports%5CTradeSift%20Sample%20Report_Are%20Indonesia%27s%20proposed%20export%20taxes%20and%20export%20bans%20a%20good%20idea_January%202013.pdf) (accessed 25 October 2014)[http://www.tradesift.com/%28S%28wmuz3cenp2vkwz45utegx5y1%29%29/%5CReports%5CTradeSift%20Sample%20Report\\_Are%20Indonesia%27s%20proposed%20export%20taxes%20and%20export%20bans%20a%20good%20idea\\_January%202013.pdf](http://www.tradesift.com/%28S%28wmuz3cenp2vkwz45utegx5y1%29%29/%5CReports%5CTradeSift%20Sample%20Report_Are%20Indonesia%27s%20proposed%20export%20taxes%20and%20export%20bans%20a%20good%20idea_January%202013.pdf)

<sup>40</sup>Andi, "Indonesia's rattan products expected to undergo robust growth", ANTARA News, 6 December 2014. Available from <http://www.antaranews.com/en/news/96823/indonesias-rattan-products-expected-to-undergo-robust-growth>. And Otniel Tamindael, "Rattan export ban makes its farmers miserable", *ANTARA News*, 19 June 2013. Available from <http://www.antaranews.com/en/news/89443/rattan-export-ban-makes-its-farmers-miserable> (accessed 25 October 2014) & <http://www.antaranews.com/en/news/89443/rattan-export-ban-makes-its-farmers-miserable>

<sup>41</sup>Myers, Rodd. 2014. What the Indonesian rattan export ban means for domestic and international markets, forests, and the livelihoods of rattan collectors., Rodd Myers, 2014. *Forest Policy and Economics* (Impact Factor: 1.81). 07/2014;

<sup>42</sup>"Proposal Micro Grant Fund for Community-Based NTFP Initiatives (MGF), Non-Timber Forest Products Exchange Programme (NTFP-EP) for South and Southeast Asia", NTFP, May 2007.

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## 3 NTFP-EP and its contribution to civil society/policy changes

### 3.1 Background of NTFP-EP

The Non-Timber Forest Products Exchange Programme (NTFP-EP) is as a collaborative, regional network of over 60 NGOs and community-based organisations in South and Southeast Asia seeking to build the capacity of forest-based communities in the sustainable management, especially in the conservation and trade of non-timber forest products. NTFP-EP initially covered six Asian countries and with its headquarters in Manila, Philippines. In mid-2012, the Indonesian arm of the programme set up an independent foundation. NTFP-EP Indonesia registered as *Yayasan Pengembangan Sumberdaya Hutan Indonesia* (referred to as NTFP-EP in this report for simplicity).

The shared goal of NTFP-EP is to promote forest conservation through the empowerment of forest-based communities and the sustainable management of NTFPs<sup>43</sup>. NTFP-EP works to catalyse and support activities that strengthen the capacities of its partner organisations working with forest-dependent communities. NTFP-EP serves as a platform for knowledge and information exchange of appropriate resource management techniques and experiences. Its partner organizations work together with communities in developing and implementing initiatives that meet local needs, while the platform aims to provide technical support.

NTFP-EP aims to strengthen the capacity of forest-based communities and its partner organisations in the fields of:

1. Forest conservation through management and sustainable harvesting of NTFPs;
2. Land tenure security and the recognition and enforcement of user rights through legal measures and policy advocacy;
3. Livelihood security through the enhancement of subsistence uses of NTFPs and promotion of indigenous culture and knowledge;
4. Climate change adaptation and mitigation through social forestry endeavours;
5. Increased income from value addition and marketing of NTFPs – domestic and regional/international; and,
6. Strengthened negotiating position of forest-dependent communities' vis-à-vis traders, policy makers and other external agents on issues which may affect their environment and livelihood.<sup>44</sup>

The regional NTFP-EP network based in the Philippines also works to facilitate knowledge exchange, providing venues to showcase valuable experiences and to become a clearinghouse for relevant information in the fields of sustainable forest management and NTFP development<sup>45</sup>.

Through strategies at the local, national and regional levels, they work to achieve these objectives by:

1. Facilitating the exchange of expertise, experiences and approaches;
2. Providing technical support/backstopping and enabling training;
3. Giving inputs in strategy discussions;
4. Documenting best practices and success stories and providing information on NTFP-related issues;
5. Mobilising resources and essential contacts; and
6. Sourcing advocacy support for local initiatives and helping articulate needs and aspirations.

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<sup>43</sup>“2013 Annual Report, Non-Timber Forest Products - Exchange Programme for South and Southeast Asia (NTFP-EP)”, NTFP-EP,). Published 2014. Philippines.

<sup>44</sup>Ibid;“ & NTFP-EP 2007 Brochure”, NTFP-EP., Available from [http://www.ntfp.org/downloads/ntfp\\_ep\\_brochure\\_2007.pdf](http://www.ntfp.org/downloads/ntfp_ep_brochure_2007.pdf) (accessed 25 October 2014): [http://www.ntfp.org/downloads/ntfp\\_ep\\_brochure\\_2007.pdf](http://www.ntfp.org/downloads/ntfp_ep_brochure_2007.pdf)

<sup>45</sup>“NTFP-EP 2007 Brochure”, NTFP-EP. Available from [http://www.ntfp.org/downloads/ntfp\\_ep\\_brochure\\_2007.pdf](http://www.ntfp.org/downloads/ntfp_ep_brochure_2007.pdf) (accessed 25 October 2014) NTFP-EP 2007 Brochure

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## 3.2 MFS II interventions related to Civil Society

In the 2011-2014 period, two interventions were supported under the NTFP Exchange Programme. Both focused on sustainable community-based forest livelihoods. The first project, 'Upscaling sustainable, community-based forest livelihoods' (2011-2014 and extended until June 2015) sought to provide and upgrade innovative livelihood models and explore tenurial options for indigenous peoples through landscape models of sustainable forest livelihoods<sup>46</sup>. The focus of the second intervention, 'Sustainable Livelihood Initiatives and Models' (February 2013-July 2015) was on promoting models of sustainable forest livelihoods to the government to draw greater attention and support for their endorsement, as well as to stimulate learning<sup>47</sup>.

The specific objectives of the 'Upscaling sustainable, community-based forest livelihoods' Project implemented in East Kalimantan, West Kalimantan and Central Kalimantan were as follows:

1. To upscale and ecologically "upgrade" community-based forest livelihoods (e.g. forest honey and crafts)
2. To introduce and test community-based forest management and tenure schemes and participatory spatial planning towards more inclusive land use planning
3. To promote and better profile an example of a landscape level model of ecological and culture-based livelihoods and conservation schemes
4. To improve the leverage of NTFP producers through better organization and through the exploration of market mechanisms (certification).<sup>48</sup>

A select number of community livelihoods and ecosystems interventions were supported. These included production and expansion of forest honey, community mapping exercises to explore tenurial models, ecological and cultural zonation, organizing rattan farmers through a participatory eco-certification scheme, and upgrading the crafts enterprises.

The second initiative, which aimed to mainstream sustainable livelihood initiatives and models of community-based forestry to the government and consumers in Indonesia had the following objectives:

1. To draw attention to and develop programme and policy support for SLIMs at the national level; and,
2. To raise consumer awareness and support for Sustainable Livelihoods Initiatives and Models (SLIMs).<sup>49</sup>

As such, both projects have a relation to strengthening intermediate organizations and lobby and advocacy. To some extent NTFP's network in and outside of Indonesia also provides an opportunity for intermediate organizations from one country to learn from experiences of those in another country.

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<sup>46</sup>NTFP-EP EA Concept Paper for Indonesia",. The Ecosystem Alliance (EA) programme, June 2011.

<sup>47</sup>"SLIMs Final Project Proposal", The Ecosystem Alliance, December 2012

<sup>48</sup>NTFP-EP EA Concept Paper for Indonesia",. The Ecosystem Alliance (EA) programme, June 2011.

<sup>49</sup>Ecosystem Alliance Technical Progress Report, SLIMs covering the period from 1 February 2013-31 January 2014.



### 3.3 Basic information

Table 9

*Basic information Non-Timber Forest Exchange Programme (NTFP-EP)*

	Details
Name of SPO	: Non-Timber Forest Exchange Programme (NTFP-EP)
Consortium	: Ecosystem Alliance (EA)
CFA	: International Union for Conservation of Nature (IUCN)
Start date of cooperation	: 2004 (regional NTFP-EP)
MDG/Theme	: MDG 7a,b: Sustainable living environment & forests and biodiversity
MFS II Project Name 1	: Upscaling sustainable, community-based forest livelihoods in Kalimantan
Contract period	: 15 September 2011 – 25 March 2014, extended till June 2015
Total budget	: € 135,217
Other donors if applicable	: € 127,100 from Cordaid through the Community of Change Alliance for the Crafts Kalimantan Network Project (Oct 2008 – Oct 2011). A second Cordaid-funded initiative is the Enhancing Eco-Cultural Enterprises Project (July 2012 to June 2013), amount unknown.  Other past donors (up until 2011) have included: Broederlijk Delen (Belgium), SDC (Swiss), Hivos, Misereor, The Asia Foundation, Both ENDS, European Union, FFI/TEFI, Toyota Foundation, ILO Regional Office Bangkok, WWF, OHK, & ARUN
Estimation of % of budget for Civil Society	: 43 %
MFS II Project Name 2	: Sustainable livelihood initiatives and models (SLIMs)
Contract period	: 1 February 2013 – 31 July 2015
Total budget	: € 45,950
Other donors if applicable	: (see above project)
Estimation of % of budget for Civil Society	: No budget information available

Sources: Project documents

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## 4 Data collection and analytical approach

### 4.1 Adjustments made in the methodology of the evaluation

The evaluation process started with an input-output-outcome analysis that utilized reports and other documents from the SPO. For NTFP-EP, the analysis was based mainly on project progress reports, which did not report against results or indicators systematically. Only one progress report for the second project was available. As such, the evaluation team was only able to benefit partly from the input-output-outcome analysis for process-tracing. The evaluation team followed the operational guidelines to a great extent, especially on the structure of the workshop with NTFP-EP and the development of model of change<sup>50</sup>. However, the team faced challenges in obtaining evidence and triangulating data with stakeholders, since almost all of them were located in Kalimantan. In addition, the structure of the project was such that there was one main intervention in each of the seven districts and these interventions were not uniform. With the given resources, the evaluation team only managed to conduct a field visit to one of the target districts, namely Sintang.

Since NTFP-EP does not directly implement interventions itself, except in Kutai Barat district<sup>51</sup>, but works with/through implementing partner organisations, data at community level and at beneficiary was not available during the visit to NTFP-EP office in Jakarta. Furthermore, this sub-contracting mode has made it difficult to distinguish which activities conducted by the implementing partners are supported by NTFP-EP. In many instances, current partner interventions are a continuation of previous NTFP-EP projects or are also funded by other donors<sup>52</sup>. The evaluation team conducted the field visit to one of the implementing partners (JMM) and met with relevant district officials in Sintang district to collect more information about the government's perceptions on eco-cultural zonation/participatory community mapping and to confirm some claims made by NTFP-EP Jakarta.

### 4.2 Difficulties encountered during data collection

During the data collection process, the team experienced three main challenges. These included the timing of the evaluation, the distance to project locations, and the lack of hard evidence provided by the SPO. At the time of meeting NTFP-EP staff and director, the SPO was in the midst of preparing for an event to be held in Jakarta. As such, the NTFP-EP team in Jakarta could only allocate one day for meeting with the evaluation team. Given the resources for the evaluation, only one field visit to

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<sup>50</sup>For example, in the workshop with NTFP EP staff, we started with an input-output analysis to guide the discussion of each indicator. During the discussion, NTFP EP emphasized that the previous project such as Craft Kalimantan is importantly related with the current project from IUCN. They provided a reason why PGS certification is urgently needed by the community for improved capabilities to be dependent on non- timber forest product to improve their livelihood. But the evaluation team also considered certain postponed or failed objectives that were addressed in the input-output analysis. The evaluation team also went to Sintang as one of the region that got support from IUCN in order to improve the ability of forest dependent communities to claim their right over forest resource. NTFP- EP handed the project to the local participatory mapping consultant and used the existing community group to do the participatory mapping.

<sup>51</sup>In Kutai Barat, NTFP-EP has one staff

<sup>52</sup>For instance, when the evaluation team went to Sintang District to assess the outcome achieved (forest dependent people claiming their rights over forest resources), we found that community groups engaged in NTFP-EP's participatory mapping had been established by other projects and actors (People Resource and Conservation Foundation-PRCF), but NTFP EP and PRCF mapping worked in different area, i.e. NTFP EP worked in peat land area and PRCF in hilly area (source: community map provided by informant from Koperasi Jasa Menenun Mandiri). Mapping activities in three villages (Ensaid Panjang, Gembang Raya, dan Karya Jaya Bakti) are managed by Koperasi Jasa Menenun Mandiri. In Village Ensaid Panjang, the community has established a group called community forest management.

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Kalimantan was possible and this visit only covered one of the seven locations where NTFP-EP implemented interventions.

Other difficulties emerged in seeking hard evidence to confirm or reject outcome pathways. Data provided by the SPO was limited to documentary evidence that included workshop minutes, activity reports and letters with the local government.

In addition, general difficulties encountered included:

- Workshop participants did not really understand, nor were they familiar with the CS indicators or the CIVICUS framework. They found it difficult to relate NTFP-EP's situation with the indicators, especially since none of them participated in the baseline process. This lessened the effectiveness of the workshop.
- Internal dynamics within the evaluation team and one staff leaving NTFP-EP meant that from both sides those participating in the end line evaluation were not the same as those in the baseline.
- Miscommunication between the evaluation team and NTFP-EP staff regarding the process of soliciting feedback and what documentation was needed. The evaluation team was not aware of internal monitoring systems and documentation processes within NTFP-EP making it difficult to make targeted requests for documents, which were not readily available when the base line was conducted.
- NTFP-EP does not have a dedicated department or personnel for monitoring and evaluation. As such, it added difficulties to find hard data and affected the agreement on the outcomes.
- NTFP-EP has very few field staff in Kalimantan (only one staff in Kutai Barat for PGS sites). Project initiatives are generally implemented through local organizations rather than directly by NTFP-EP. For some interventions, such as the eco zonation mapping, only one dedicated staff/personnel is in charge. This resulted in difficulties to meet with relevant staff and actors who had been involved in the projects.
- Due to interrupted steps of the tracing process, and this partly due to difficulty to match the evaluators' schedule and NTFP EP management, the model of change had to be revisited often to be revised based on new information found by the evaluation team, which consequently meant that the evaluation team had to collect new evidence for the amended model of change.
- Hard data on how the interventions had influenced government policies and practices was lacking. Part of the problem stems from the lack of documentation of program's result changes and the fact that NTFP-EP Indonesia is still in its infancy as an organisation having been established in 2012.

## 4.3 Identification of two outcomes for in-depth process tracing

Based upon an analysis of the projects and programmes financed by the Dutch CFAs, four strategic orientations for civil society were identified. Two of which were selected for each SPO for in-depth process tracing. CDI suggested to the country team to look at the selected strategic orientations which are intermediate organisations and policy influencing.

The first outcome that the evaluation team has looked at is the improved capabilities of minority groups dependent on non-timber forest products to improve their livelihoods. One specific example that the team looked at is increased household incomes through the production of rattan bags, including efforts to set up a certification system. The outcome was selected with the following considerations:

- It was one of several outcomes that all workshop participants agreed to as being a significant change. NTFP-EP staff and the director suggested this outcome during the evaluation workshop because the development of standards for the chain of custody in rattan production was considered a major achievement.
- The outcome is an important element in the Theory of Change (ToC) of the SPO and has relevance to both project interventions, as well as the mission of NTFP-EP.
- Since this outcome is possibly the result of the weavers group that produces the bags, it aligns with the CIVICUS orientation of civic engagement.

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The second outcome selected was: forest-dependent communities are able to claim their rights over forest-resources. This outcome relates to the participatory eco-cultural zonation interventions implemented by NTFP-EP, which were also relevant to lobby and advocacy efforts. The reasons for choosing this outcome are:

- The outcome is an important element in the Theory of Change (ToC) of NTFP-EP.
- The outcome was selected following discussions between the in-country evaluation team and CDI and was in line with suggestions for in-depth process tracing.
- As one of the sub-projects from NTFP-EP's proposal to IUCN, the evaluation team expected fewer difficulties to find supporting evidence.
- The outcome is in line with the evaluation's focus for Indonesia. It relates to the efforts of the SPO to ensure government recognition over community land use planning. This recognition process is strategic to NTFP-EP as well as to the communities given the local context which has seen large concessions granted to palm oil plantations.

## 5 Results

### 5.1 Overview of planned and realised outcomes

This paragraph describes outputs and objectives achieved based upon the project documents that CDI and SurveyMETER received from IUCN and NTFP-EP that are relevant to civil society. The level of achievement is based on results up to 2014. It should be noted that both NTFP-EP projects continue until 2015, and as such achievements are not yet final.

**Table 10**

*Overview of results achieved in relation to project plan NTFP-EP*

Planned results		Level of achievement
Objective 1	To upscale and ecologically “upgrade” community-based forest livelihoods (e.g. forest honey) in Kapuas Hulu and Paser	Not yet achieved: Some preliminary evidence after workshops of increased value or more efficient production. Weather patterns affected forest honey production and honey farmers focused on rice farming. A honey centre was established as a hub for product develop and trade in Kapuas Hulu in cooperation with the Ministry of Forestry. In response to the impact of climate change on honey production, NTFP-EP worked with local partners and honey producers to address forest fires, drought, incessant rain and production.
Objective 2	To introduce and test community-based forest management and tenure schemes and participatory spatial planning towards more inclusive land use planning in Malinau	Partially achieved: There is already a district regulation on community-based forest management in Malinau in 2012 (Perda No.10/2012 and later in November 2014 Perda No. 201/2014 on district agency for indigenous people issues (BPUNA) as a result of joint advocacy by CSOs during 2012-2014. NTFP EP specific inputs were on Eco-cultural and participatory mapping that were conducted in Sintang and Malinau districts and managed to be presented to the local government. These maps at community level have been completed and a series of lobby activities in Malinau were carried out by NTFP-EP and local partners in 2012 and 2013 for legal recognition by the government. However, it has not been recognised by the government and included in the district land-use/spatial planning RT-RW).
Objective 3	To promote and better profile an example of a landscape level model of ecological and culture-based livelihoods and conservation schemes in Sintang	Partially achieved: While a model has been developed with four eco-cultural maps prepared in Sintang with communities, this has not yet been replicated by the government. Communities reported to be more confident about their claims and possible recognition. Successful collaboration with other NGOs namely: Gemawan, Titian and WWF. This has added leverage to the application within the district, which NTFP-EP hopes will inspire local policies protecting community rights and provide villages with the means to defend against private sector encroachment. Mapping did result in the identification of area where natural dye is produced and efforts to protect this dye.
Objective 4	To improve the leverage of NTFP producers through better organization and through the exploration of market mechanisms (certification) in Kutai Barat & Kapuas	Partially achieved: Participatory Guarantee System (PGS) developed for certification of rattan and piloted in two districts. Organisation of rattan farmers set up. Rotan Lestari Indonesia (Indonesian Sustainable Rattan Initiative) launched in March 2012. Products sold by weavers to Borneo Chic fetch between IDR 60,000-110,000. According to NTFP-EP's income monitoring of 17 weavers there has been a gradual increase in income since 2009 with the establishment of BUR; a women's group. In the last two years, in total, the annual income earned from crafts by 17 weavers increased to around 50 percent per year or € 6.50 per household per month. Compared to the income produced by other livelihoods activities, such as the sale of rubber, this contributes 12 percent of generated income.
Objective 5 (SLIMs Project)	To raise consumer awareness and support for Sustainable Livelihoods Initiatives and Models (SLIMs)	Not yet achieved because planned for June 2015: Participation in SLIMs fairs took place to promote sustainable products and promotional video produced to showcase initiatives. More stakeholders (now 20 NGOs) committed time, staff and resources to the SLIMs festival. No evidence yet of increased consumer awareness. Activities to continue until 2015.
Objective 6 (SLIMs Project)	To draw attention to and develop program and policy support for SLIMs at the national level	Not yet achieved/insufficient evidence: Policy research not implemented as planned because partner organizations unable to deliver inputs. NGOs involved included: WARSI, Yayasan Mitra Insani (YMI), & YADUPA. WARSI is now conducting policy research. Activities to continue until 2015.

Sources: Progress Reports 'Upscaling sustainable, community-based forest livelihoods in Kalimantan' & 'Sustainable livelihood initiatives and models' (SLIMs); 2012 & 2013 Annual Reports NTFP-EP for South & Southeast Asia.

With regards to assessing planned versus achieved results for NTFP-EP, it should be noted that the progress reports submitted by the Indonesia office to IUCN were predominantly activity and output

oriented. It was difficult to assess the achievement of higher-level results, especially on how these relate to changes in civil society. In addition, prior support through the Ecosystem Alliance, and other Dutch organizations especially Cordaid, have formed a basis for many of the interventions in the 2012-2014 period.

## 5.2 Changes in civil society in the 2012-2014 period with particular focus on the relevant MDGs & themes in the selected country?

### 5.2.1 Civic Engagement

Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

The overall goal of the Ecosystem Alliance, under which the efforts of NTFP-EP fell, was "to improve the livelihoods of the poor and to create a more inclusive economy, through participatory, responsible and transparent management of ecosystems"<sup>53</sup>. Based on the defined goal, civic engagement forms an important component of sustainable forest management since there is specific attention to participation processes. In the case of NTFP-EP, forest-dependent communities are considered to be marginalized groups. Since the baseline, there has been some enhancement in civic engagement to advance the interests of forest communities in Kalimantan, especially in how NTFP-EP take up the needs of marginalized farmers and forest community in their programming process.

The SPO sought to engage more communities through such interventions as participatory mapping of forest resources and eco-certification of rattan and woven materials. The following table presents the growth in the outreach of NTFP-EP in the 2012 – 2013 period: NTFP-EP intervenes in 75 villages, supporting 37 community groups to become income earning groups and that regroup in total 1,440 members, which is a slight increase since 2012. The same table shows that whereas sales per member were estimated at € 53 in 2012, in 2013 they reached € 137 per member.

**Table 11**

*The reach of NTFP-EP's livelihoods/income-generation support in Indonesia 2012-2013*

Year	# of community groups/enterprises supported	# of people involved	# of villages covered	NTFPs used	Reported sales (in Euros)
2012	30	1,254	68 villages	Bamboo, beeswax, rattan, honey, leaf fibre, natural dyes, water reed	66,623
2013	37	1,440	75 villages	Bamboo, rattan, honey, leaf fibre, natural dyes, water reed, honey and honey products, seeds, pandan	197,386.14
Difference	+7	+186	+7		+130,763.14

Sources: NTFP-EP for South & Southeast Asia Annual Reports 2012, 2013

Generally, the beneficiary engagement strategy over the past two years focused on building/strengthening intermediary organisations. For example, a group of women weavers was helped to sustain their rattan supplies through the introduction of a certification model that involved 20 members from an existing group called Bina Usaha Rotan (BUR) from the Craft Kalimantan network supported by Cordaid (with MFS II funds). The participatory guarantee system (PGS) aimed to "place[s] the action in the hands of the community members and civil society and empower the

<sup>53a</sup> Annex-#3a ID NTFP EP CONTRACT AE IUCN NL", IUCN, pp. (p.2-3)

community<sup>54</sup>. Rotan Lestari Indonesia was established to manage rattan eco certification and market access for certified rattan products. While rattan farmers and producers provided inputs to the PGS standards the focus on supporting intermediary groups has also brought a risk of less direct involvement of weavers and producers. It is hoped that with the success of BUR and PGS, more communities will be encouraged to maintain and not sell their rattan gardens.

Participatory eco-cultural zonation or mapping has addressed the needs of target communities, many of which were highly interested as they faced the encroachment of palm oil companies. The evaluation found evidence of participation of target groups being involved in the mapping exercises. In Sintang, for example, members of Jasa Menurun Mandiri Cooperative, participated in collecting geographic data and creating maps. The maps were shared with villagers to obtain consent/agreement, after which community groups were often organized to define borders and adjust village plans and policies. There were no specific roles for women in the process, and no evidence was found of meaningful participation, rather women were expected to prepare meals for the men during the mapping process. The level of community participation and involvement seems to have varied from one location to the next. In Malinau, target group involvement was limited to meetings with village leaders of neighbouring communities and youth engagement in taking GPS coordinates<sup>55</sup>.

With regards to the intensity of political engagement, NTFP-EP partners continue to engage the government through workshops and providing venues for community experiences and testimonies to be used as inputs to policy dialogue at the national and local government levels. LP3M reported positive responses from the local government through the review of Perda No. 10/2012 on acknowledgement from district government on indigenous rights over forest management after holding a local workshop in Malinau in September 2013<sup>56</sup>. But there is still far more to achieve so that decision-making powers are granted to targeted local communities. Only in Sintang were results of participatory mapping used by the forest management group to refuse to consent to palm oil concessions.

The approach that has been taken in marketing and selling crafts is to organize women craft makers, assist them in marketing to various channels whether they be local, provincial or national. NTFP-EP has also linked them to a high-end retail shop in Jakarta. Rattan bags produced by women are sold to BUR for IDR 60,000 – 110,000. BUR then resells the bags to Borneo Chic for IDR 10,000 more per bag. Borneo Chic then refurbishes the bags to become luxury items that can fetch up to IDR 1 million on the high-end market. With certification, women can earn IDR 5,000 more than if the same product is sold on the local market. Until so far 20 members have registered into the PGS rattan scheme in 2014, which will increase marketability of products. NTFP-EP also facilitated the participation of BUR in several national and international craft fairs. One of these fairs in Sante Fe in 2014 contributed to profits for BUR in the same year of IDR 23 million or around IDR € 80 per year per person or € 6.50 per month per person. Although market channels are being expanded, the scale of the profits generated are not yet sufficient to support financial independency of BUR.

**Score baseline 2012 on an absolute scale from 0-3: 2**

**Score end line 2014, relative change on a scale of (-2, +2): 0**

## 5.2.2 Level of Organisation

This dimension assesses the organisational development, complexity and sophistication of civil society, by looking at the relationships among the actors within the civil society arena.

<sup>54</sup>“PGS Rattan: Not Just Another Label”, Undated Brochure by NTFP-EP. Available from [http://www.ntfp.org/ntfpadmin/publications-pdf/Rattan\\_PGS.pdf](http://www.ntfp.org/ntfpadmin/publications-pdf/Rattan_PGS.pdf) (accessed 13 November 2014, AOI (Indonesian Organic Alliance), and Setara

<sup>55</sup>Source: Interview with Nikolaus Boro Suban, staff LP3M (Lembaga Pemerhati dan Pemberdayaan Dayak Punan Malinau), MFS II Evaluation

<sup>56</sup>Other source reported that this Perda was possible due to support from AMAN and Komnas HAM (National Commission on Human Rights), See <http://dishut.jabarprov.go.id/?mod=detilBerita&idMenuKiri=&idBerita=3655>, accessed 18on February 18<sup>th</sup>, 2015.

In terms of intensity of relations with other organisations, defending the interests of forest-dependent farmers/communities and composition of the financial resource base, no changes occurred in the last two years. NTFP-EP's relation with actors in the civil society arena has three distinct typologies, namely relations with: community-based organisations and networks, local NGOs and national CSOs. In 2012, NTFP-EP transitioned from a programme into an independent organisation. Much of the SPO's relations are still defined by its earlier form. Local NGOs, like Yayasan PADI, Yayasan Dian Tama, Yayasan Riak Bumi, Yayasan Petak Danum and Lembaga Pemerhati dan Pemberdayaan Dayak Punan Malinau (LP3M) are implementers; carrying out direct activities at the community level. NTFP-EP, together with Riak Bumi, established a forest honey network (JMHI) in 2005. Since then, JMHI has formed an integral part of NTFP-EP's program, and relations have become closer in 2014. NTFP-EP's director is even a member of the JMHI board. Also of note is that NTFP-EP and its local NGO network (Yayasan Dian Tama, Yayasan Petak Danum, Jasa Menenun Mandiri Cooperative and Yayasan Riak Bumi) established a limited company, PT Lamin Betang, to continue to produce products for Borneo Chic. The strategy, which is largely driven by profit-generation, stimulates the production and selling the community forest products. In terms of frequency, NTFP-EP continued to hold regular formal meetings with their network of local NGO partners in Malinau, Sintang, Berau, and Jakarta four times a year; as well as attending the annual Ecosystem Alliance meeting and an annual weaver's meeting.

For strategic lobby work, NTFP-EP still engages with Sawit Watch, Telapak, Aliansi Organik Indonesia (AOI), Lembaga Ekolabeling Indonesia (LEI), AMAN, WWF Indonesia, WALHI, Warsi, Sawit Watch, HuMa, JKPP, KIARA, CIFOR and others. Through networks such as Forum Komunikasi Kehutanan Masyarakat and the Working Group on Indigenous Community Conserved Areas (ICCAs), NTFP-EP has been part of progressive advancements towards the registration of indigenous lands that have been documented and mapped.

During the end line workshop, NTFP-EP frequently mentioned that a key effort to defend marginalized forest groups was developing livelihood opportunities for forest groups by creating access to market. While the production of rattan and handicrafts has been scaled up, this has not yet led to visible changes at the grassroots level or in the market structure, which is still volatile to price fluctuations.

The Hutan Desa (village forest) scheme and the participatory mapping provides more opportunities for defending marginalized groups. NTFP-EP and its lobby partners have been advocating for the recognition of community land use and indigenous people's rights. Although success has been limited due to a local government that favours palm oil expansion, NTFP-EP's efforts have provided a means for communities to voice their needs and interests to the district government. However, this has sparked a repressive reaction from the district government, who told the community to refrain from provoking palm oil companies. In the cases of Ensaid Panjang and Kelumbik villages, this has led to increasingly tense relations with palm oil companies. Nonetheless, NTFP-EP feels that in the long-term, continued pressure will eventually promote a pro-indigenous administration to be elected in the 2016 district elections.

The composition financial resource base has not changed and the SPO remains dependent on external funding. The institutional transformation (to an Indonesian-based foundation in mid-2012) did not change the funding structure. Plans to develop a consultancy wing that would help NTFP-EP be more self-reliant have materialised in 2014, when NTFP-EP Asia created EXCEED. Board members have found their roles as fund raisers to be a challenge.

<b>Score baseline 2012 on an absolute scale from 0-3:</b>	<b>2</b>
<b>Score end line 2014, relative change on a scale of (-2, +2):</b>	<b>0</b>

### 5.2.3 Practice of Values

Practice of Values refers to the internal practice of values within the civil society arena. Important values that CIVICUS looks at such as transparency, democratic decision making, taking into account diversity that are deemed crucial to gauge not only progressiveness but also the extent to which civil society's practices are coherent with their ideals.

The transition into an independent foundation has improved the accountability mechanisms of the organization. NTFP-EP now has mandatory social organs (board of trustees, supervisory board, and executive office). NTFP-EP's organizational structure has grown from four to 11 staff, many of whom



come from the geographic target areas. As during the baseline, decision-making takes place through the long-distance communication between field facilitators in Kalimantan with the Program Director in Jakarta, with regular quarterly meetings held between field and Jakarta-based program staff.

NTPF-EP recognizes the importance of having target groups in their staff structure and board. While currently the board does not have representatives from target groups, there are still opportunities for this in the future. At present, the six board members (half of whom are women) include forestry experts, researchers, activists, and related business institutes. The board's performance is not yet ideal and should have an uneven number of members. One area of improvement since 2012, has been in improving the effectiveness and ownership of the annual board meetings where the executive arm of NTPF-EP reports on progress. Another aspect of downward accountability which the evaluation team is concerned with is the financial management of Borneo Chic. Information about profit-sharing has been shared with weavers during meetings, but clarity on the mechanisms and system for producers to have access to financial information needs to be institutionalized.

On external financial auditing, since its establishment as an independent foundation, NTPF-EP has not been audited externally as an organization but they have been audited for donor-funded projects as was the case with European Union (in 2013) and Swiss funding in July 2014.

**Score baseline 2012 on an absolute scale from 0-3: 2**

**Score end line 2014, relative change on a scale of (-2, +2): 0**

5.2.4 Perception of Impact

Perception of Impact assesses the perceived impact of civil society actors on politics and society as a whole as the consequences of collective action. In this, the perception of both civil society actors (internal) as actors outside civil society (outsiders) is taken into account. Specific sub dimensions for this evaluation are the extent to which the SPO has contributed to engage more people in social or political activities, has contributed to strengthening CSOs and their networks, and has influenced public and private sector policies.

According the NTPF-EP's own assessment, communities they serve are generally satisfied with the implemented initiatives, whether directly carried out by NTPF-EP or through their local partners. Since 2008, they have been building better relations and their interventions have never been refused by target communities. Acceptance by communities is considered an indication of constituent satisfaction. NTPF-EP sees itself as a trusted partner to local organizations and others working on similar issues. This was confirmed to some degree by implementing partners, LP3M and Craft Kalimantan, who expressed satisfaction over the project activities and the way which NTPF manages its projects. The degree to which beneficiaries are satisfied with improved livelihoods and incomes has not been measured by the SPO and the changes are not yet significant enough to result in widespread beneficiary satisfaction.

Civil society impacts achieved in the 2012-2014 period by NTPF-EP relate to the work carried out on rattan certification and participatory mapping. Since 2012, NTPF-EP has piloted a Participatory Guarantee System (PGS) for certification with BUR in Kutai Barat. PGS, is an eco-social alternative to third-party certification and is easier for small-scale producers to implement. Certification standards were developed and shared locally and nationally. The Rotan Lestari (ROLEs) unit in West Kutai, a multi-stakeholder platform, was established with members representing AMAN, other NGOs, Department of Industry, Trade and Cooperatives (Disperindagkop), middle-men, rattan farmers and NTPF-EP. In addition, NTPF-EP participates in the Community Forestry Communication Forum (FKKM) to lobby for and promote the optimization of forest resources and community forest products. While there seems to be growing recognition for PGS amongst local government and organisations like CIFOR and WWF, the scope of producer engagement is still limited.

Crafts Kalimantan has contributed to this promotion through the participation in exhibitions and festivals. Currently, however the sale of certified handicrafts through Crafts Kalimantan brings very limited benefits to producers in the community. Not only because of a lack of profit sharing mechanisms, but also because handicraft production is not the main source of income. Information provided by NTPF-EP shows that the contribution of crafts production to the total household income was 12 percent in 2014, an increase of from 8 percent in 2012. As such, women producing rattan bags

do so for supplemental income. There is no evidence that women have been able to improve their livelihoods by selling products through NTFP-EP-supported Borneo Chic.

The above illustrates that the relations with private sector actors remain limited to the supply side, with NTFP-EP working with third parties for the manufacturing of products. In addition to the work on PGS certification, NTFP-EP has assisted JMHI to receive national standard certification through Dian Niaga, a social business enterprise, and was able to link JMHI with a marketing chain.

With respect to the participatory mapping, the resulting maps are being used by communities to contest palm oil expansion and concessions in customary forests. In addition, in Sintang, the maps resulted in a greater recognition of the need to protect forest assets, such as a natural dye-producing plant that is used in the production of woven materials and crafts. Unfortunately the ability to influence public sector policies and practices is still limited and dependent upon the willingness of the government. Through the *Forum Komunikasi Kehutanan Masyarakat* (FKKM), NTFP-EP is active in influencing advocacy agendas on community forestry issues in the form of multi-stakeholders focus group discussions and sharing evidence although this influence is limited to public debates.

In Sintang and Malinau, NTFP-EP has been less successful, whereas in Kutai Barat, where PGS is implemented, government relations have proven more conducive. Nonetheless, none of the community forest maps have received official government recognition. The overall landscape of public sector relations thus remains unchanged. Although there has been more frequent interaction with government actors in the eco-cultural zonation initiative<sup>57</sup>, especially with the Departments of Culture and Cooperatives, support from the local government remains stagnant due to high turnover of local government staff.

**Score baseline 2012 on an absolute scale from 0-3: 2**

**Score end line 2014, relative change on a scale of (-2, +2): 0**

## 5.2.5 Civil Society Environment

The social, political and economic environment in which civil society operates affects its room for manoeuvre. The civil society context has been described in chapter 3. In this section we describe how NTFP-EP is coping with that context.

Small-scale producers have been pressured by market demands and protectionist trade policies. Effective since 2012, the export ban on raw rattan products has had implication on the livelihoods of rattan collectors and small-scale producers. As in 1986, when a similar policy was put in place, the ban has resulted in lower demands and prices - even for sustainable rattan; and has had negative impacts on revenues and profits<sup>58</sup>. Producers are paid lower prices for rattan since the raw product is no longer being exported and there is more domestic supply.

Meanwhile there are greater demands for legal and certified rattan products on the international market, requiring the traceability of the product<sup>59</sup>. In Kalimantan, there is significant potential for rattan but producers have generally been unable to compete with the monopoly the market by large furniture producers in Java<sup>60</sup>. Certification schemes give added value to products, but involve high transaction costs to put in place and are often inflexible. NTFP-EP has introduced an alternative to third-party certification through the PGS, which has been tested and applied in a number of countries

<sup>57</sup>NTFP EP reported that several activities done by the project, i.e.: audience with district head on April 17, 2013. Project also had audiences with several head of offices to report the project activities and to get local government support on policy to protect eco-zonation

<sup>58</sup>Trade Sift, "Are Indonesia'sIndonesia's proposed export taxes and export bans a good idea?"; January 2013. Available from [http://www.tradesift.com/%28S%28wmuz3cenp2vkwz45utegx5y1%29%29/%5CReports%5CTradeSift%20Sample%20Report\\_Are%20Indonesia%27s%20proposed%20export%20taxes%20and%20export%20bans%20a%20good%20idea\\_January%202013.pdf](http://www.tradesift.com/%28S%28wmuz3cenp2vkwz45utegx5y1%29%29/%5CReports%5CTradeSift%20Sample%20Report_Are%20Indonesia%27s%20proposed%20export%20taxes%20and%20export%20bans%20a%20good%20idea_January%202013.pdf) (accessed 25 October 2014)Trade Sift.

<sup>59</sup>WWF Indonesia, "Indonesia profit from Greater Mekong Rattan programme", 1 November 2011. Available from <http://www.wwf.or.id/en/?23542/wwf-indonesia-hadiri-lokakarya-rotan-lestari-di-vientiane-laos> (accessed 13 November 2014) <http://www.wwf.or.id/en/?23542/wwf-indonesia-hadiri-lokakarya-rotan-lestari-di-vientiane-laos>

<sup>60</sup>Meijaard, E., Achdiawan, R., Wan, M., and Taber, A. 2014. Rattan: The decline of a once-important non-timber forest product in Indonesia. CIFOR Occasional Paper No. 101. Bogor, Indonesia: Center for International Forestry Research

including New Zealand, India and Brazil. In addition, Fair Trade Furniture UK has expressed an interest in testing PGS rattan. PGS is a simple method that can be implemented by farmers themselves. "The system enables organic farmers to obtain certification without having to take on the burden of expensive third party audits<sup>61</sup>." PGS certification costs are said to be 10-50 percent lower than third party or international schemes<sup>62</sup>.

According to NTFP-EP, alternatives are needed to the Ministry of Trade's regulation banning exports of raw rattan, which may have positive economic impacts but restricts market access for rattan farmers. "Possibly certified PGS rattan can ensure government and private sector players that sustainably produced rattan is available for sale and can assuage fears that export of rattan will lead to depletion of the resources<sup>63</sup>". Another response of NTFP-EP has been its active involvement in multi-stakeholder forums such as FKKM, Yayasan Setara, and AOI, which support, promote and advocate community forestry and improvements in policies, as well as partnering with CIFOR. More extensive engagement with Yayasan Rotan Indonesia strengthened advocacy and coordination with the Ministry of Forestry on rattan policy issues in 2013.

A constitutional court decision in 2013 recognized that the customary forests (*hutan adat*) no longer fall under state control. NTFP-EP has recognized that this is an opportunity for communities it supports to gain tenurial rights, but is also aware that there are still lengthy procedures involved in implementing this policy change. In addition, district heads and the Ministry of Forestry (merged with the Ministry of Environment in 2014) have not been receptive to the constitutional court decision. Other challenges in enforcing this law pertain to the formalization of land use plans and their inclusion into spatial plans, where customary areas have been historically been absent. Ignoring the tenurial rights of customary forest groups spurs poverty, hinders economic development, and deters environmental stewardship. NTFP-EP efforts to help communities develop maps and land use plans are strategies that can help address these issues. But, NTFP-EP and its partners need to work more politically and strategically on this issue as none of community eco-cultural zonation initiatives have been acknowledged by the government. Local political conditions are highly dynamic and often result in high turn overs. This is a common situation all over Indonesia, and will require a flexible and multi-level lobby approach. More political space may open up in the future under the newly elected administration and through the support of large REDD programmes in Indonesia.

NTFP-EP Indonesia's support is shifting *from* direct community interventions that include providing livelihoods assistance and community resource mapping *to* place more emphasis on upstream, policy advocacy engagement. This means that NTFP-EP is relying more on intermediary organisations to conduct grassroots, community level work and this strategy is chosen as a part of strategy to strengthen local CSOs. NTFP-EP sees itself as a convener of actors at the national level. In area where local capacity is considered weak, NTFP-EP continues to work directly on the ground. This institutional adjustment is suitable considering NTFP-EP's strengths. Given that the SPO relies on a host of implementing partners for downstream work, it should be able to capitalize on the partnerships it has created with local NGOs for use in policy dialogues, influencing tenure issues, and working on markets for NTFPs. This shift will require different capabilities which the SPO does not yet fully command.

**Score baseline 2012 on an absolute scale from 0-3: 1**

**Score end line 2014, relative change on a scale of (-2, +2): 1**

<sup>61</sup>Analog Forestry Network, "Analog Forest: e bulletin by IAFN – Bulletin # 5. May 2013". Available from [http://www.analogforestrynetwork.org/newsletter/eng/bulletin\\_5\\_complete.html](http://www.analogforestrynetwork.org/newsletter/eng/bulletin_5_complete.html) (accessed 13 November 2014) [http://www.analogforestrynetwork.org/newsletter/eng/bulletin\\_5\\_complete.html](http://www.analogforestrynetwork.org/newsletter/eng/bulletin_5_complete.html)

<sup>62</sup>"PGS Rattan: Not Just Another Label",. NTFP-EP Indonesia. Available from [http://www.ntfp.org/ntfpadmin/publications-pdf/Rattan\\_PGS.pdf](http://www.ntfp.org/ntfpadmin/publications-pdf/Rattan_PGS.pdf) (accessed 13 November 2014): [http://www.ntfp.org/ntfpadmin/publications-pdf/Rattan\\_PGS.pdf](http://www.ntfp.org/ntfpadmin/publications-pdf/Rattan_PGS.pdf)






<sup>63</sup>Ibid

## 5.3 To what degree are the changes attributable to the Southern partners?

This section assesses the extent to which some outcomes achieved can be “attributed” to NTFP-EP. Starting with an outcome, the evaluation team developed a model of change that identifies different pathways that possibly explain the outcome achieved. Data collection was done to obtain evidence that confirms or rejects each of these pathways. Based upon this assessment, the evaluation team concludes about the most plausible explanation of the outcome and the most plausible relation between (parts of) pathways and the outcome. The relations between the pathways and the outcomes can differ in nature as is being explained in Table 12.

**Table 12**

*Nature of the relation between parts in the Model of Change*

Nature of the relation between parts and other parts or outcome	
The part is the only causal explanation for the outcome. No other interventions or factors explain it. (necessary and sufficient)	
The part does not explain the outcome at all: other subcomponents explain the outcomes.	
The part explains the outcome but other parts explain the outcome as well: there are multiple pathways (sufficient but not necessary)	
The part is a condition for the outcome but won't make it happen without other factors (necessary but not sufficient)	
The part is a contributory cause it is part of a 'package' of causal actors and factors that together are sufficient to produce the intended effect.	

Sources: Mayne, 2012; Stern et al, 2012

The following paragraph assesses NTFP-EP's contribution to two outcomes. Each paragraph first describes the outcome achieved and the evidence obtained to confirm that the outcome has been achieved. It then presents the pathways identified that possibly explain the outcomes, as well as present information that confirms or refutes these pathways. The last section concludes in the first place about the most plausible explanation of the outcome, followed by a conclusion regarding the role of the SPO in explaining the outcome.

The evaluation team initially selected two outcomes to measure the degree of MFS-II effectiveness. These were:

- Outcome 1: Ensuring sustainable NTFP-based community livelihoods, in particular rattan, in Kutai Barat
- Outcome 2: Forest-dependent communities in Sintang are in a better position to claim their rights over forest-resources as a result of participatory mapping.

### 5.3.1 Ensuring sustainable NTFP-EP based community livelihoods, in particular rattan, in Kutai Barat.

#### *The outcome achieved*

Table 13 shows that the income earned from crafts by 17 weavers increased with 63 percent in the 2012 – 2014 period, representing € 15 per month per weaver in 2012, € 23 in 2013 and € 24 in 2014. In the same period the share of crafts work increased from 8 percent of total household incomes in 2012 to 12 percent in 2014.

Between 2012 and 2014, total household incomes decreased with nearly 2 percent, mostly explained by decreased income sources from other persons in the family and remittances. At the same time, salaries for other work than plantation work increased with 85 percent as compared to the 63 percent of income increase for crafts. Incomes from agricultural crops increased with 43 percent which is less than the 63 percent of income increase due to crafts.

Table 13

Household income and contribution from crafts in IDR and Euro, not compensated for inflation

Crafts Income	2009	2010	2011	2012	2013	2014
Labor Cost in sales to BC/NTFP EP & Warung BUR	3,736,000	11,604,000	6,255,000	18,408,000	16,910,000	23,001,000
Sales to Direct Buyers outside of BC / NTFP-EP / CK and Warung BUR			34,937,500	24,374,000	48,190,000	41,025,000
Additional income from another business set up or profiting though income from crafts e.g. handlooms sold, payment for crafts demonstration, etc			436,000	2,493,750	3,308,750	7,872,000
<b>Total Income from Crafts In IDR</b>	<b>3,736,000</b>	<b>11,604,000</b>	<b>41,628,500</b>	<b>45,275,750</b>	<b>68,408,750</b>	<b>71,898,000</b>
<b>In EURO</b>				<b>3,101</b>	<b>4,686</b>	<b>4,925</b>
<b>Per member</b>				<b>182</b>	<b>276</b>	<b>290</b>
<b>Other Sources of Income</b>						
Sales from agricultural crops, livestock etc	8,100,000	16,000,000	89,505,900	25,785,000	36,640,000	59,585,000
Cash from other persons in the family or remittances	12,000,000	23,500,000	273,776,800	478,466,400	360,096,000	399,927,264
Convenience store (warung/toko kecil)	36,000,000	71,000,000	49,500,000	-	8,000,000	-
Plantation work	3,636,000	-	-	-	-	-
Salary for other work (as teacher or other work)	23,400,000	23,400,000	33,290,000	43,670,000	53,500,000	51,180,000
<b>Total non-crafts income in IDR</b>	<b>83,136,000</b>	<b>133,900,000</b>	<b>446,072,700</b>	<b>547,921,400</b>	<b>458,236,000</b>	<b>510,692,264</b>
<b>In EURO</b>				<b>37,529</b>	<b>31,386</b>	<b>34,979</b>
<b>Total Household Income</b>	<b>86,872,000</b>	<b>145,504,000</b>	<b>487,701,200</b>	<b>593,197,150</b>	<b>526,644,750</b>	<b>582,590,264</b>
<b>% of crafts in total household income</b>	<b>4</b>	<b>8</b>	<b>9</b>	<b>8</b>	<b>13</b>	<b>12</b>

Source: Information provided by NTFP-EP

Table 13 shows that in absolute figures sales through Borneo Chic, NTFP-EP and BUR increased in the 2011 – 2014 period. However when comparing the sales by weavers to these actors with other buyers and other additional incomes, the percentage of sales through Borneo Chic, NTFP-EP and BUR raised from 15 percent in 2011 to 41 percent in 2012, after which it dropped again in 2013 to increase to 32 percent in 2014 (Table14).

Table 14

Buyers of rattan bags in percentage of total incomes of 17 weavers in the 2011 – 2014 period

Year	2011	2012	2013	2014
Sales to Borneo Chic, NTFP EP and Warung BUR	15.03	40.66	24.72	31.99
Sales to Direct Buyers others than Borneo Chic, NTFP-EP and Warung BUR	83.93	53.83	70.44	57.06
Additional incomes from crafts e.g. handlooms sold, payment for crafts demonstration, etc	1.05	5.51	4.84	10.95
Total	100.00	100.00	100.00	100.00

Source: Information provided by NTFP-EP

*Pathways that explain the outcome*

1. The first pathway is that the Participatory Guarantee System, developed for certification of rattan, explains increased incomes. IUCN's support enabled NTFP-EP to develop PGS standards and promote community participation. PGS standards were developed with the expertise of AOI and LEI and consulted with a host of local NGOs at the national and local level. A weaver group with 20 female members (BUR) was engaged to pilot PGS.

*Information that confirms this pathway*

- The Rotan Lestari Indonesia (Indonesian Sustainable Rattan Initiative) was launched in March 2012 and its role is to manage the eco certification of rattan and to ensure the market access for certified rattan products.
- The development of the PGS certification was initiated in 2012, engaging a range of actors including LEI, KpSKH, Setara Foundation, CIFOR, AOI and Yayasan Rotan. Standards and guidelines were developed and piloted in 2013.
- During this process a management unit for the certification process was set up engaging district government offices, local NGO representatives and the Association for Rattan Farmers and Artisans

(P3R). Resulting guidelines produced outline the role of rattan farmers and producers in carrying out assurance and highlight that certification is based on the principles of participation, joint vision, transparency, trust, affordability, simplicity, and democratic principles (non-hierarchical).

- 99 percent of all PGS labelled bags were sold in the United States in July 2014, and this increased the total sales of the weaver group BUR with 30 percent in that year. As a result more weavers are said to become interested to plant rattan and NTFP-EP is now in the position to expand its production, sales and marketing of certified products.
- Data from interviews and reports show that following the introduction of PGS, bags fetched an additional 7-10 percent value added.
- According to NTFP-EP the increase of sales through the aforementioned actors between 2013 and 2014 is to be attributed to the Participatory Guarantee System. This is reflected in table 14 by the increase of the percentage of sales through Borneo Chic, NTFP-EP and BUR from 25 percent in 2013 to 32 percent in 2014.

#### Information that rejects this pathway

- The certification system was only piloted for the first time in 2014 during which monthly household incomes from craft product reached € 1.20 as compared to the previous year, when monthly household income from crafts reached €7.80 per month (see table 13).
  - The value added for women of selling certified rattan bags compared to non-certified bags to Borneo Chic is not yet significant with an added value of between 7-10 percent.
2. The second pathway that explains increased incomes from rattan processing consists of Cordaid's support through the Craft Kalimantan network until 2011. This network laid the building blocks for community groups to participate in the development of PGS standards because it gave birth to the women's weaver group Bina Usaha Rotan (BUR) that piloted PGS and also provided market linkage through a high-end retail store, Borneo Chic.

#### Information that confirms this pathway:

Borneo Chic is the business unit of the Craft Kalimantan network that was set up under the auspices of PT Lamin Betang Persada together by NTFP-EP and four other organisations. Borneo Chic received a World Craft Council of excellence for its handicrafts. BUR sells its products to Borneo Chic.

The Craft Kalimantan network has been funded by Cordaid and Both ENDS and is being facilitated by NTFP-EP Indonesia. Furthermore, staff partly funded by IUCN - NL is involved in Craft Kalimantan training activities: Panthom Priyandoko, JT, even Natasya also through work on harvest protocols for natural dyes in Sintang. This implies that all activities are being funded with MFS II funding, although not all through the Ecosystem Alliance.

#### Information that rejects this pathway

The BUR weavers' association income statement for the 2012-2014 period also confirms an increased net income of the association in 2012 and 2013, but a considerable decline in 2014 as can be seen in table 15.

**Table 15**

*BUR Income Statement 2012-2014 (in IDR)*

Income statement	2012	2013	2014
GROSS SALES	39,927,000.00	53,075,000.00	42,817,000.00
COSTS (labour and raw materials)	31,796,500.00	41,874,000.00	36,741,000.00
GROSS PROFIT	8,130,500.00	11,201,000.00	6,076,000.00
OPERATING EXPENSES	3,032,750.00	4,788,750.00	3,172,000.00
NET PROFIT	5,097,750.00	6,412,250	2,904,000.00
ADD OTHER INCOMES (Interests, donations)	647,000.00	0.00	0.00
NET INCOME BUR	5,744,750.00	6,412,250.00	2,904,000.00

Source: Information provided by NTFP-EP

In addition, table 16 shows that in the 2012 – 2014 period, the share of sales of rattan bags through BUR declined in comparison to the total sales at household level. Whereas women sold 70 percent of their bags to BUR in 2012, this percentage dropped to 51 percent in 2014.

Table 16

*Total sales at household level compared to sales through BUR in the 2012 – 2014 period*

	2012	2013	2014
Total income from crafts at household level in IDR	45,275,750	68,408,750	71,898,000
Total sales through BUR in IDR	31,796,500	41,874,000	36,741,000
<b>Percentage</b>	70.23	61.21	51.10
In Euro	2,177.83	2,868.30	2,516.68
Per person/month	10.68	14.06	12.34

Sources: see table 13 for total incomes from crafts at household level; see BUR income statement for an estimation of labour costs paid to women (table 14)

*Conclusion:*

The contribution of the sales of rattan products to general household income has increased in percentage and in absolute values; however these figures have not been corrected for inflation rates. The 17 female weavers sell their products mostly to other buyers than Borneo Chic, NTFP-EP and BUR. The increased share of sales through the three aforementioned buyers from 25 percent in 2013 to 32 percent in 2014 is, according to NTFP-EP, to be partially explained by the Participatory Guarantee System put in place in 2014. Other factors that explain the increased contribution of sales of rattan products to general household income are the Craft Kalimantan network supported by Cordaid and women selling their products to other buyers. All these factors and actors provide a sufficient but not necessary explanation for the increased income.

*Observations with regards to the CIVICUS dimension*

The outcome achieved was amongst others selected to observe the capacity of the BUR association to contribute to the increase of household incomes of the 17 women. However, despite an increased income of the association, weavers prefer to sell their crafts to other buyers than to BUR. In this respect the role of BUR as a civil society organisation with an economic focus is limited.

Also the level of participation of producer groups in developing the guidelines, in this case BUR and P3R, was limited to providing inputs through workshops and meetings without knowing how these would be used but the consultant in charge of developing the guidelines. P3R was given a role in the managerial unit established for PGS. BUR weavers were involved in piloting standards developed. The women weavers were not a part of the first PGS unit as their products were being evaluated by external parties, in this case P3R. The position of women weavers in certification is thus as the 'producer', subject to verification and control. There is a plan to rotate roles within the PGS unit, which will allow P3R's rattan products to be evaluated by BUR.

### 5.3.1 Forest-dependent communities in Sintang are in a better position to claim their rights

*The outcome achieved*

This outcome entails one of the key focuses of the Ecosystem Alliance and was also one of the intended results of the NTFP-EP project implemented in the 2011-2014 period. There is evidence that NTFP-EP supported the undertaking of mapping exercises in four villages in Sintang. This work was subcontracted to a mapping expert who engaged with community groups in the process. By the end of 2014, the four participatory maps produced were presented to the village and district governments for endorsement. So far, the project has only been able to obtain consent from the village and its neighbours. Regulations to acknowledge the maps, neither at district or at village level were issued. The most significant success was in the village of Ensaid Panjang where the community was able to refute the expansion of palm oil using the map produced by NTFP-EP.

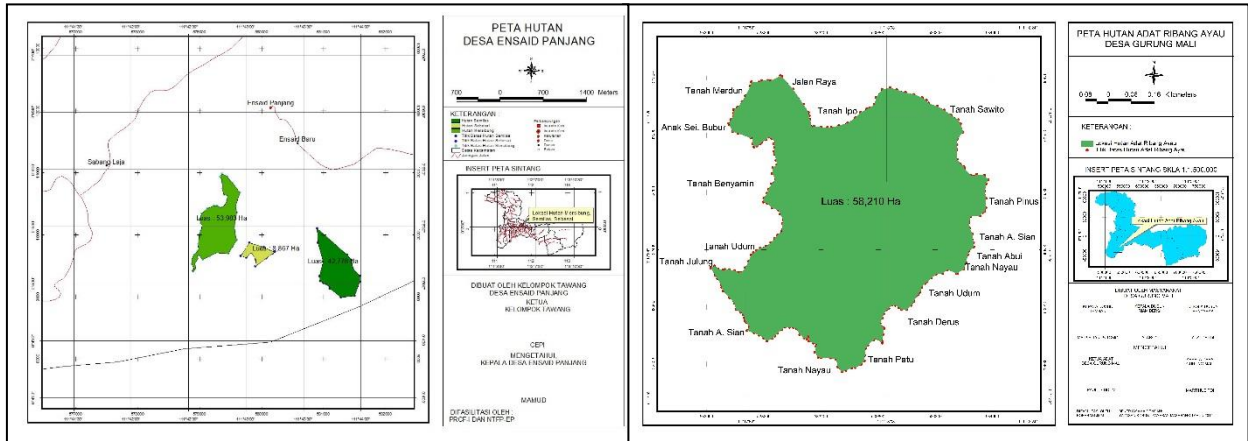
The evaluation team was able to visit two of the villages where participatory mapping was undertaken to verify the results and obtain evidence for process-tracing.

*Pathways identified and evidence obtained to confirm or reject pathways*

1. The first pathways consists of NTFP-EP (through technical experts and local partner network) conducting participatory mapping for eco-cultural zonation

Information confirming this pathway and its contribution to the outcome:

- Participatory maps produced and signed by village officials<sup>64</sup>



- NTFP-EP supported the drafting of a normative template for village regulations<sup>65</sup> as well as preparing draft regulations for each of the four villages<sup>66</sup>. These drafts regulate the protection and utilization of eco-cultural forest areas, including the size of the protected areas, and how income derived from utilization is managed. In addition a sample matrix describing the roles of community forest groups within the village regulation was formulated<sup>67</sup>.

- NTFP-EP's participatory mapping consultant together with JMM undertook lobby efforts to gain support of the District Department of Industry, Trade and Cooperatives (Disperindagkop) office to advocate for a District regulation to recognize the results of participatory mapping in 2013<sup>68</sup>.

Unfortunately the head of the Department, who was supportive of the initiative, was replaced in April 2013. As such, a joint initiative was undertaken to organize a meeting with the district and village heads to discuss the village regulations in November 2013<sup>69</sup>.

- Two official letters (August 2012) were issued jointly by the head of the village of Jaya Karya Bakti, the sub-village head and a palm oil company called PT. Agro Sukses Lestari in which the parties

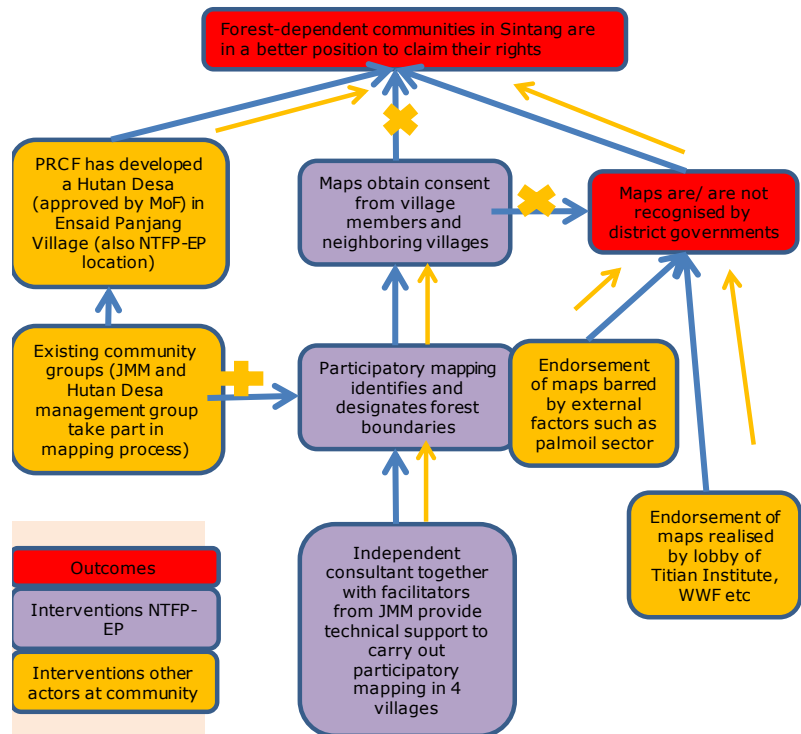


Figure 2: Pathways that explain the outcome

<sup>64</sup> NTFP-EP maps, see figures below of two of the samples of resulting maps

<sup>65</sup> "Kerangka Struktur Peraturan Desa", NTFP-EP, 2013

<sup>66</sup> "Draf Peraturan Pertaturan Desa Empaka Kebiau Raya, Ensaid Panjang, Gemba Raya and Jaya Karya Bakti", NTFP-EP

<sup>67</sup> "Matrik Sistematis Penyusunan Peraturan Desa", NTFP-EP, 2013

<sup>68</sup> Consultant Report and interview with JMM manager

<sup>69</sup> Interview with Head of Village Administration Office, Sintang District



agreed that certain areas of the village would be protected and both timber and NTFPs were not allowed to be exploited in those areas without the agreement of the sub-village head<sup>70</sup>.

- In January 2014, the village of Ensaid Panjang obtained the official endorsement from the Ministry of Forestry of a village forest area (Hutan Desa) measuring around 345 hectares. This endorsement is required for the community to apply for the rights to manage the forest area at the district level<sup>71</sup>. Apart from NTFP-EP who sees their role as a convener, other actors were involved as will be further elaborated below.

Information rejecting this pathway and its contribution to the outcome:

- According to community members in the two villages (Ensaid Panjang and Gemba Raya), community members were not trained in participatory mapping techniques. The community members reported that they only participated in a one day socialization event, while the facilitators were trained for three days. This one day participation is not considered enough for quality participation<sup>72</sup>. However in Ensaid Panjang most villagers are said to be against expansion of palm oil.
  - Participatory mapping engaged members and staff of the Cooperative Jasa Menun Mandiri (JMM), set up by an organisation called Kobus prior to NTFP-EP interventions, and was limited to taking GPS coordinates, women preparing food, and the village mapping team/representatives engaged by the project agreeing to forest boundaries<sup>73</sup>.
  - People Resource and Conservation Foundation (PRCF) has been supporting the village of Ensaid Panjang since before NTFP-EP's interventions began. In April-July 2011 they conducted participatory mapping (without NTFP-EP support) to map village forest areas (hutan desa), identifying potential resources to support community livelihoods and the ecosystem potential<sup>74</sup>. The map produced by NTFP-EP clearly states that the results were produced with PRCF support<sup>75</sup>.
  - NTFP-EP admits that they lack a strategic lobby and advocacy plan for participatory mapping interventions<sup>76</sup>.
2. The second pathway consists of interventions external to IUCN also contributing to participatory mapping and communities claiming their rights

Information confirming this pathway and its contribution to the outcome:

- Jasa Menun Mandiri (JMM) was set up by an organisation called Kobus prior to NTFP-EP interventions. The consultant hired to undertake participatory mapping engaged JMM members and staff to assist in participatory mapping, especially taking GPS coordinates, facilitating consultations with village elite and women preparing food<sup>77</sup>.
- PRCF had already established a CBFM group prior to NTFP-EP interventions.<sup>78</sup>
- Efforts to encourage and advocate for social forestry and hutan desa at the district level have been undertaken by Titian Institute, WWF and PRCF.<sup>79</sup>

<sup>70</sup>Full name of the documents covering two areas (Selabang and Senibung): Berita Acara Kesepakatan Mendata, Perintisan dan Pengukuran Tata Batas Antara Tanah Masyarakat, Perusahaan dengan Kawasan Hutan Adat Pendam/Makam Senibug, Dusun Kelumbik, Desa Karya Jaya Bakti Kecamatan Kelam Permai Kabupaten Sintang

<sup>71</sup>Menteri Kehutanan Republik Indonesia. 9 January 2014. Keputusan Menteri Kehutanan Republik Indonesia 26/Menhut-II/2014., 9 January 2014

<sup>72</sup>FGDs in both villages (Ensaid Panjang and Gemba Raya) with community members, village administration and JMM members.

<sup>73</sup>FGDs in both villages with community members, village administration and JMM members

<sup>74</sup>"PRCF report 'Pengembangan Hutan Desa di Ensaid Panjang, Community Based Forest Management Program', PRCFProgram', 2011

<sup>75</sup>Maps of Ensaid Panjang.

<sup>76</sup>Evaluation Workshop with NTFP-EP, MFS II evaluation 2014

<sup>77</sup>Consultant Report & Phone interview with consultant, and interview with JMM staff

<sup>78</sup>FGD with community in Ensaid Panjang & Fifiyati, "Cerita dari Pendamping Penenun Ikat dayak di Kalimantan Barat: <http://www.prcfoundation.org/wp-content/uploads/2012/01/Keikhlasan-akan-Berbuah-Keberkahan-dan-Kemudahan>", PRCF Indonesia, 2011. Available from <http://www.prcfoundation.org/wp-content/uploads/2012/01/Keikhlasan-akan-Berbuah-Keberkahan-dan-Kemudahan-Fifiyati.pdf> (17 November 2014)-Fifiyati.pdf

<sup>79</sup>Dedy Wahyudi, "Menteri kehutanan Serahkan Penetapan Areal Kerja Hutan Desa", *WWF Indonesia*, 14 March 2014. Available from <http://www.wwf.or.id/?32062/Menteri-Kehutanan-Serahkan-Penetapan-Areal-Kerja-Hutan-Desa>) (accessed 17 November 2014)

- WWF Indonesia has initiated the hutan desa scheme in the villages of Jasa and Rasau together with Titian Foundation since 2009 while Ensaid Panjang received support from PRCF<sup>80</sup>.

Information rejecting this pathway and its contribution to the outcome: None

3. The third pathway relates to the external local political context that lacks the receptiveness to participatory mapping and communities claiming rights

Information confirming this pathway and its contribution to the outcome:

- Village leaders have not been receptive to issuing village decrees formalizing the maps and eco-zonation. The village head of Ensaid Panjang is employed by a palm oil company, making him reluctant to recognize zonation of areas that are off-limits to estate companies<sup>81</sup>. However in the same village the traditional leader played a constructive role in the mapping process.
- In Gemba Raya, the village head has not formalized the village maps because he claims not to understand what steps are required as follow up and is dependent on the consultant's assistance<sup>82</sup>. Note: NTFP-EP reported that the mapping team met with head of village on 27 July 2013 and that the village head agreed to invite the head of the Village Consultative Body (*Badan Permusyawaratan Desa/BPD*) to facilitate a village regulation for the map. The evaluation has no evidence of this decree.
- Sintang's District Head has signed concessions for palm oil companies covering the same areas that were mapped with NTFP-EP support<sup>83</sup>. It should be noted however that the community in Ensaid Panjang does not agree to expanding oil palm in their area.
- Circular letter issued by the Head of the District calling of 'provocations' that may damage relations with palm oil companies.<sup>84</sup>
- The local parliament of Sintang (elected for the 2009-2014) period failed to pass a regulation on indigenous, customary forests, which means that non-state forest lands (APL) are still being subject to estate crop expansion, pressuring indigenous peoples.<sup>85</sup>
- The Head of Sintang District has been supportive of palm oil expansion, and considers this as an important source of economic development.<sup>86</sup>

Information rejecting this pathway and its contribution to the outcome:

- The Sintang District government has received significant financial support from the Ministry of Forestry (MoF). MoF in 2014 provided funds to the District of Sintang (Special Allocation Funds) amounting to IDR 2.5 billion to support forestry developments. Financial assistance was also provided to support community-based forest conservation development with IDR 50 million being provided to 11 community groups<sup>87</sup>.
- MoF issued decrees for village forests (hutan desa) covering a total land area of 5,000 hectares in Sintang<sup>88</sup>.

<sup>80</sup> Senentang new.com, "Tiga hutan desa di Sintang Siapkan RKDH – Dorong Penguatan Perhutanan Sosial di Sintang", 14 October 2014. Available from <http://senentangnews.com/read/2432/tiga-hutan-desa-di-sintang-siapkan-rkhd-dorong-penguatan-perhutanan-sosial-di-sintang.html#sthash.rkNUCLIG.dpuf> (accessed 17 November 2014)

<sup>81</sup> FGDs with community groups in Ensaid Panjang and Gemba Raya, interview with JMM manager, phone interview with mapping consultant, interview with Head of Village Administrative Office, Sintang

<sup>82</sup> Interview with Head of Village, Gemba Raya

<sup>83</sup> FGDs with communities in Ensaid Panjang and an invitation dated August 2014 to a socialization meeting on the expansion of palm oil areas under PT Palma Adinusa Jaya

<sup>84</sup> Consultant Report

<sup>85</sup> <http://yayasantitian.org/realisasi-perda-ulyat-sintang-tersandung-kenapa/>

<sup>86</sup> DSN Group, "Bupati Sintang Tanam Sawit Hasil kerjasama PT KAP dengan 5 Koperasi", 27 October 2014. Available from [http://dsn.co.id/m/media\\_center\\_news/detail/45/Bupati-Sintang-Tanam-Sawit-Hasil-Kerjasama-PT-KAP-dengan-5-Koperasi](http://dsn.co.id/m/media_center_news/detail/45/Bupati-Sintang-Tanam-Sawit-Hasil-Kerjasama-PT-KAP-dengan-5-Koperasi) (accessed 17 November 2014). And Ridwan Saidi, "Bupati Sintang Minta Perusahaan sawit Bangun PMKS", *Info Sawit*, 22 November 2014. Available from <http://www.infosawit.com/index.php/news/detail/bupati-sintang-minta-perusahaan-sawit-bangun-pmks> (accessed 17 November 2014)& <http://www.infosawit.com/index.php/news/detail/bupati-sintang-minta-perusahaan-sawit-bangun-pmks>

<sup>87</sup> Herry Rosadi, "Terima SK Hutan Desa", *Indopos*, 14 March 2014. Available from <http://www.indopos.co.id/2014/03/terima-sk-hutan-desa.html> (accessed 17 November 2014)

<sup>88</sup> ANTARA News, "Menhut serahkan SK hutan Desa 5.000 hektar di Kalbar", 13 March 2014. Available from <http://www.antaranews.com/berita/423862/menhut-serahkan-sk-hutan-desa-5000-hektar-di-kalbar> (accessed 17 November 2014)

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- The Department of Forestry in Sintang has been supportive of efforts by WWF, Titian Institute and PRCF to propose CBFM and hutan desa schemes<sup>89</sup>.

*Analysis:*

The evidence shows that NTFP-EP indeed supported participatory mapping in four villages, including non-forest areas. Without NTFP support these maps would not have been produced (they are a *necessary but insufficient explanation* for the outcome). But, the mapping exercises only resulted in positive developments in two of the four villages (Jaya Karya Bakti and Ensaid Panjang) and did not lead to formal recognition by local authorities in the form of district spatial plans (RTRW)—a land use plan that has legal power to manage the land use change. External actors and factors have largely influenced positive results that were achieved. In Ensaid Panjang, NTFP-EP's efforts were preceded by PRCF, who had already undertaken participatory mapping and was in the process of assisting CBFM propose a village forest (Hutan Desa) scheme, which was approved by the MoF in 2014. NTFP-EP assisted the mapping of other areas of the village that were not classified as forest areas. The endorsement of these maps by the MoF was likely to have been achieved even without NTFP-EP support. The mapping areas outside the forest areas supported by NTFP-EP will help the villages defend their rights to managing resources in these non-forest areas.

In Jaya Karya Bakti, the results are likely to have stemmed from support from the village administration to the mapping exercises. But the agreement reached with the palm oil company on zoned areas would not have been achieved without the maps.

In all four villages, NTFP-EP conducted some efforts to organize community members to conduct village mapping, as was done through the JMM cooperative who were enlisted by the consultant hired to undertake participatory mapping. In this regard, there is a risk that the process has not led to a transfer of knowledge and skills. Under the project, a number of audiences with local government were organized to report project activities and mapping results. More intense and long-term relationship building with the local government are more desirable for mapping efforts to be recognized and endorsed. Without skill transfer and intensively working to improve the participation and organization of community members not just in mapping but in village and district lobby efforts to negotiate for the legalization of the maps by the local government, it is unsurprising that the maps were not used in all four locations.

Local political dynamics have also shaped the rather sluggish response from the government. The Ministry of Forestry has provided sufficient support for community-based forestry initiatives in the district but this has only resulted in selective support on the part of the district government. On the other hand, WWF, Titan Institute and PRCF working in the district have received support from the district government.

*Conclusion:*

Forest depending communities being able to claim their rights in the four villages that NTFP-EP is working with can be explained by multiple pathways that consist of interventions by different actors. These processes differed from village to village. This implies that multiple pathways in the villages explain the outcome in a sufficient but not necessary way.

The evaluation team concludes that NTFP-EP's efforts to develop participatory maps form the building blocks for greater recognition of community rights to manage forests, but that this alone is not sufficient to bring about government acknowledgement and commitment. The project benefited from previous initiatives that managed to organize the communities. Local political dynamics have also played an important role in shaping the extent to which community claims are supported. However, although lobby activities were undertaken by NTFP-EP and its partners in the form of government audiences and consultations with government offices they have not yet resulted in a formal acknowledgement by the government to include the community maps in the district regulation (spatial plan).

From a CIVICUS perspective that addresses civil society building, the evaluation team observes that the interventions of NTFP-EP have been built upon existing groups created by other actors. This in

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<sup>89</sup><http://yayasantitian.org/408/>

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itself is efficient and effective, but at the same time implies that NTFP-EP has only partially contributed towards enhancing civil society.

## 5.4 What is the relevance of these changes?

### 5.4.1 Relevance of the changes in relation to the Theory of Change of 2012

The outcomes for which process tracing was conducted were relevant to the 2012 Theory of Change (ToC) but the strategies applied to achieve the outcomes seemed to have estranged somewhat from the underlying preconditions. As identified in the ToC, NTFP-EP's outcomes related to the CIVICUS framework's 'perception of impact' – policy influence, networking and social entrepreneurship, whereas the end line findings concentrate upon improving livelihoods and tenurial rights.

The ultimate objective of NTFP-EP was improved rural livelihoods through improved forest management, in particular through mainstreaming NTFPs in forest management. Preconditions for this change to occur were determined in the baseline as follows:

1. Favourable policies and practices regarding NTFP that would be met if: 1) indigenous communities obtain rights and access to forests as collectors and craftsmen, 2) international pressure increased to protect Indonesia's forests, and if 3) existing market for NTFP products.
2. Successful marketing and sales efforts at international, national, regency and local level. Increased consumer demands that arise from campaign efforts, middle-class interest, use of new technologies and successful marketing. Improved capacities of producers to react to market volatility and consumer behaviour.
3. Expansion of social entrepreneurship through better networks between NTFP producers and consumers, the generation of practical knowledge amongst community producers, and support for NTFP by local governments.

NTFP-EP identified its interventions as building the capacity of forest communities, conducting research and policy influence, and strengthening the organization of producers. Since all three preconditions hinged to a large extent on improved community capability and government support, the evaluation focused on confirming whether community groups have improved their livelihoods and whether there was government recognition for community rights and access.

What the end line has shown is that NTFP-EP's ToC has been rather ambitious. Important achievements have been attained, but the SPO still has some way to go for NTFPs to become viable options that are the preferred choice of the communities and for tenurial security to be achieved through acknowledgement of community rights.

Much of NTFP-EP's efforts seemed to have focused on community development and developing a model that works. Their linkages with other CSOs/NGOs working on forestry issues have certainly been beneficial in keeping NTFP development on the policy agenda at the national level, but NTFP-EP seems to have underestimated the need and importance of working intensively at the district level to influence the government. Empowering indigenous communities so that they can claim their rights (a strategy not identified in the ToC, but part of the logical framework) requires a clear advocacy agenda at the district level because it implies the integration of community maps and plans into local government land use plans. It is true that NTFP-EP conducted many workshops at the local level, some of which worked very well such as in Kutai Barat where support from the local government was garnered for PGS rattan, trade fairs, and trainings. But, due to the highly dynamic political-economic nature of the district, continuous efforts to maintain the momentum for sustainability of changes needs to be incorporated into the advocacy strategy. Workshops, audiences and consultations alone may not be sufficient to incite government responsiveness and support.

Future initiatives that seek to strengthen civil society would benefit from indicators that measure the responsiveness of the public and private sector to taking up socio-economic and environmental concerns of community groups, the impact of organizing communities on policy influence, and the changes in attitudes of intermediary organisations as well as the public and private sector towards NTFPs and tenurial issues.

#### 5.4.2 Relevance of the changes in relation to the context in which the SPO is operating

In recent years, the Government of Indonesia (GOI) has implemented reforms to address deforestation through improved forest governance. REDD+ has become one of the key priorities of the government, with institutional arrangements moving forward since the creation of a Presidential REDD+ Task Force in September 2010. In 2013, 10 working groups were established to help the Task Force roll out a national program. In the same year, an official REDD+ Agency was established.

Another relevant change in the context was the issuance of a forest conversion moratorium in 2011 (extended in 2013), effectively postponing new permits to be issued and providing an opportune moment for development actors to address forest governance issues<sup>90</sup>. At the same time, the implementation of community-based forest management had become more feasible with the issuance of implementation decrees in 2007 and 2008. Licenses that were exempt from suspension under the moratorium included those for the use of NTFPs, but also those issued by mining and crop estate sectors<sup>91</sup> – a juxtaposition of policy. The current policy framework, including Decrees issued by the Ministry of Trade generally favours large-scale industries and restrains smallholders from optimal benefits<sup>92</sup>.

Oil palm and pulp are amongst the fastest growing sectors in the plantation sector, with much of the expansion taking place in six provinces, of which three are in Kalimantan<sup>93</sup>. In the past two decades, palm oil has expanded with large tracts of land being converted to palm oil. Planned expansion in Kalimantan is occurring at an unprecedented rate; in West Kalimantan there were plans to convert over 2 million hectares into plantations<sup>94</sup>. The industry offers little benefit to local communities and has ignited any conflicts over land. According to the Ministry of Agriculture, of 1,000 conflicts in 2012, 59 percent were linked to palm oil companies, with 439 conflict in West, East, Central and South Kalimantan alone<sup>95</sup>. NTFP-EP's approach, which has sought to address these issues by improving tenurial security of forest peoples and by promoting local economic models of sustainable livelihoods based on NTFPs, is highly relevant to this context.

One of the reasons why the SPO has focused on NTFPs such as rattan, dyes, and honey is their potential for sustainable forest management and a reduction to deforestation. A 2014 paper released by CIFOR stated that "in theory" it is possible that revenues from rattan could be a disincentive for deforestation, but that rapid economic development, high demands from plantation and mining companies willing to buy up land, and a lack of tenurial security are providing rattan farmers with alternatives<sup>96</sup>. In the context of civil society, particularly the rights of minority forest communities, NTFP-EP's interventions are relevant as they seek to develop sustainable livelihoods models for groups that are facing market- and forest-exploitation. However, NTFP-EP failed to obtain endorsement for their mapping initiatives, and were thus unable to provide a basis for the recognition of these rights by

<sup>90</sup>Mid-Term Progress Report on the REDD+ Readiness Process in Indonesia", NTFP-EP,, Jakarta 2013

<sup>91</sup>Page 36. Indrarto, G. B., Murharjanti, P., Khatarina, J., Pulungan, I., Ivalerina, F., Rahman, J., Prana, M. N., Resosudarmo, I. A. P. and Muharrom, E. 2012. The Context of REDD+ in Indonesia: Drivers, agents and institutions. CIFOR Working Paper No. 92. Bogor, Indonesia: Center for International Forestry Research (CIFOR), p. 36. And Muharrom, E. 2012 *The Context of REDD+ in Indonesia: Drivers, agents and institutions*. Working Paper 92. CIFOR, Bogor, Indonesia.

<sup>92</sup>Adiwinata, Ani and Manalu, Philip. 2014. Understanding policy frameworks to facilitate smallholders' production and integrated marketing of timber and NTFPs in Indonesia. Presentation at the Forest Asia Summit. Center for International Forestry Research (CIFOR). Available: <http://www.slideshare.net/CIFOR/understanding-policy-frameworks-to-facilitate-smallholders-production-and-integrated-marketing-of-timber-and-ntfps-in-indonesia> (accessed 18 November 2014) CIFOR Presentation. May 2014. Available: <http://www.slideshare.net/CIFOR/understanding-policy-frameworks-to-facilitate-smallholders-production-and-integrated-marketing-of-timber-and-ntfps-in-indonesia>

<sup>93</sup>The Forest Dialogue. 2014. *4Fs Field Dialogue, 16<sup>th</sup> – 19<sup>th</sup> March 2014: Indonesia*. Factsheet prepared for CIFOR-TFD participants. Available from [http://theforestdialogue.org/sites/default/files/tfd\\_4fs\\_indonesia\\_fact\\_sheet\\_about\\_indonesia\\_english.pdf](http://theforestdialogue.org/sites/default/files/tfd_4fs_indonesia_fact_sheet_about_indonesia_english.pdf) (accessed 18 November 2014)

[http://theforestdialogue.org/sites/default/files/tfd\\_4fs\\_indonesia\\_fact\\_sheet\\_about\\_indonesia\\_english.pdf](http://theforestdialogue.org/sites/default/files/tfd_4fs_indonesia_fact_sheet_about_indonesia_english.pdf)

<sup>94</sup>NTFP-EP EA Concept Paper for Indonesia", The Ecosystem Alliance (EA) programme, June 2011

<sup>95</sup>Satria Eka Hadinaryanto, "Special Report: Palm oil, politics, and land use in Indonesia Borneo (Part 1)", *Mongabay Indonesia*, 24 April 2014. Available from <http://news.mongabay.com/2014/0424-Hadinaryanto-palmoil-kalimantan.html#ixzz3Ozrtbn00> (accessed 18 November 2014) <http://news.mongabay.com/2014/0424-Hadinaryanto-palmoil-kalimantan.html#ixzz3Ozrtbn00>

<sup>96</sup>Page 30. Meijaard, E., Achdiawan, R., Wan, M., and Taber, A. 2014. Rattan: The decline of a once-important non-timber forest product in Indonesia. CIFOR Occasional Paper No. 101. Bogor, Indonesia: Center for International Forestry Research (CIFOR), p. 30 CIFOR

the public or private sectors. Supporting NTFPs without successfully influencing market drivers and policies that are in favour of estate crops and extractive industries will remain an uphill battle.

5.4.3 Relevance of the changes in relation to the policies of the MFS II alliance and the CFA

Ecosystem Alliance’s programme goal is *"to improve the livelihoods of the poor and create an inclusive economy, through participatory and responsible management of ecosystems"*. It contains three programmatic themes: Livelihoods & Ecosystems, Greening the Economy and People and Climate Change. Three intervention strategies that link these themes are direct poverty alleviation, building civil society, and influencing policy. Major components in the programme are capacity building and learning. NTFP-EP contributes to the Livelihoods and Ecosystems programme.

Ecosystem Alliance introduced the programmatic approach as a means to contribute to civil society development and policy influence. This implies that all EA partners in Indonesia work together to reach joint results. At the EA programmatic level four objectives were set, of which two were merged later.

NTFP-EP is the coordinator to obtain achievements with regards to Sustainable Livelihood Initiatives and Models (SLIMs). This programme will culminate in the organisation of a SLIMs festival as a closure of the EA MFS-II programme in 2015. According to IUCN and NTFP-EP, the SLIMs festival initiative has already successfully mobilized funding commitments of more than US \$ 16,000. Films will be shown, music will be listened to that related to nature and ecosystems and products will be marketed. The objective is to attract the Indonesian middle class as a consumer and to show the government what is possible by sustainably sourcing and eco-cultural systems’ conservation and restoration. The evaluation team found some evidence of EA partners collaborating through exchange visits (between the Dayak Punan in Malinau and the Warsi-supported hutan desa project) and national lobby interventions, both EA and non-EA funded. Since the project is underway, it not yet possible to make conclusions on the achievements of SLIMs and to what extent an interest of middle class consumers will be able to influence government attitudes and practices.

The original idea of the EA programme in Indonesia was to halt the expansion of palm oil concessions and mineral concessions. In this light, the evaluation team did not find evidence that NTFP-EPs participatory mapping exercises with communities has led to the recognition of these maps by the district of Sintang, and that NTFP-EP has not yet developed an approach to lobby the district to endorse participatory village maps. There is evidence of an agreement being reached with a palm oil company in one village on land-use, but other than that the achievements have not contributed to the overarching goal of the Ecosystem Alliance support.

5.5 Explaining factors

5.1.1 Internal factors

At the start of the implementation of the project, IUCN conducted an organisational scan of NTFP-EP using the five capacities framework and applying two additional EA capacities. Five capacities (capability to act, generate, relate, adapt and achieve) were assessed. Overall, most core capacities and sub-capacities received scores between 2.5 and 3 (4 being the maximum). The following table presents an overview of the scores for each core capacity.

Table 17

*IUCN assessment of NTFP-EP against the 5C framework.*

Capacity	Description	Score (between 0 and 4)
<b>5 Cs</b>		
1	The capability to act	Mean score of 2.7
2	The capability to generate	Mean score of 2.7
3	The capability to relate	Mean score of 2.9
4	The capability to adapt and self-renew	Mean score of 3
5	The capability to achieve coherence	Mean score of 2.75
<b>IUCN 2 Cs</b>		
6	The capability to integrate environmental issues in sustainable development discussions / practice	Mean score of 2.67
7	The capability to work in fragile states and on sensitive issues	No scores for NTFP-EP Indonesia

Source: IUCN Organisational Scan 2011 (filled in by NTFP Philippines and commented by NTFP-EP Indonesia)

NTFP-EP Indonesia scored highest in its capability to relate (defined as how the organisation starts and maintain relationships with other organisations), and the lowest in IUCN's capability to integrate. Since the baseline, the capacity to relate remains one of the core strengths of NTFP-EP. These strengths are particularly evident in the SPO's ability to collaborate with a host of local organizations (although the evaluation team does have some feedback relating to this in Chapter 6) and its alliances with other CSOs/NGOs that share similar goals and principles, as well as engaging in national and regional forums on issues related to NTFP management.

Internal factors contributing to the achievement of the outcome relate to NTFP-EP's institutional transformation. Since the establishment of NTFP-EP Indonesia, in-country decision-making has become more effective and efficient. The size of the SPO's staffing has increased from four to 11 staff in 2014. NTFP-EP claims that half of the staff are technical staff who can give direct assistance to the partner organizations. However, the in-country evaluation team notes that as a whole NTFP-EP still operates very much like a small-grants programme, providing funds to (or 'sub-contracting') local partners to implement the programme in Kalimantan. NTFP-EP's office is located in Jakarta, with minimum field presence in Kutai Barat only. This means that the onsite oversight is challenging. In addition there is a lack of technical support to lobby and advocacy with political actors at the district level. This could explain why community forest zonations are not yet acknowledged by the government.

NTFP-EP's personnel have good personal networks. Some of the individuals working for NTFP-EP are also engaged with partner organizations, as in the case with JMHI. The NTFP-EP programme also contributed to the establishment of Setara Foundation in the early 2000s. These personal linkages are likely to have contributed to conducive working relations with local partners. Additionally, NTFP-EP has provided secretariat support to the Indigenous and Community Conserved Areas (ICCAs) Working Group in Indonesia. Many of NTFP-EP's implementing partners in turn have had long-standing relations with the communities supported through NTFP-EP, facilitating the implementation of downstream work.

### 5.1.2 External factors

External factors that have affected the achievement of the outcomes include market structure and demand as well as political commitment of local district governments. Demands for eco-certified products are mainly driven by global and export markets. The majority of Indonesian consumers still cannot afford the premium that certification implies, or lack an interest in labelled products. At the same time the market for organic products is growing. Only educated consumers in a small number of big cities in Indonesia have shown interest in eco-labelling. Yet even in such cities, knowledge of certification in the consuming public is limited.

The restrictions placed on the export of raw rattan have in some cases led to rattan farmers no longer being interested in joining groups or organisations because of the drop in the price of rattan. A CIFOR study published in 2014 noted that producers and farmers lack interest in maintaining their rattan gardens because they can obtain higher revenues from the sale of other forest products and by selling

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their land to coal mining and palm oil companies. In some areas the production of rattan handicrafts have ceased all together because there is no motivation for such work.<sup>97</sup>

PGS certification was completed in 2014 but the impact on farmers' livelihoods with the promised "premium price" has not yet materialized at a sufficient scale to lead to critical mass for livelihood improvement. International literature shows that in many cases such promise has many challenges. For example, in Mexico, certification did not ease slumps in chicle sales and did not provide better market access, while in South Africa there was no improved demand for more expensive, high-quality, certified medicinal plants<sup>98</sup>.

In its progress reports, NTFP-EP reported that political dynamics at the district level negatively affected the implementation of several interventions. In 2012, a newly elected district head of Malinau was in favour of palm oil expansion, which made it difficult for the community and the implementing partner to lobby for recognition of community forest management rights. Furthermore, dynamics between the local district head and the legislative branch in 2013 created uncondusive conditions to hold workshops on the issue of sustainable livelihood landscape models. In Sintang District, NTFP-EP lost one of its champions when the Head of the Industry, Trade and Culture Office was moved to another office, affecting the efforts implemented.

### 5.1.3 Relations CFA-SPO

NTFP-EP benefited from previous investments by Cordaid and other donors in the same project areas on similar issues. Cordaid projects have focused on establishing markets for indigenous crafts and promoting high-end craft items.

IUCN has supported regional NTFP-EP initiatives through its sub-grant programme since 2004, which have consistently included Kalimantan as a project location. As a part of a collaborative network of over 60 organisations, NTFP-EP Indonesia can draw from the knowledge and experience of forest-based initiatives from five other countries. NTFP-EP and partners also benefited from linkages with other IUCN partners. As mentioned in Chapter 3, the IUCN and NTFP networks in and outside of Indonesia have provided an opportunity for partner organisations and community groups to learn from each other. Indonesia has both hosted and taken part in these exchanges. For instance, in 2012 a study tour was organized between the Forest Department of Sarawak and West Kalimantan to learn from NTFP development for possible replication in Malaysia<sup>99</sup>. In 2013, the regional NTFP-EP organized seed sharing and exchange between India and Indonesia. In the same year, Dayak weavers from Indonesia took part in a study tour to the Philippines where they learned from local craft production experiences. Further exchanges were planned for 2014, include exposure visits, participation in regional and international events, trainings, as well as codification of best practices. For example, in September 2014 NTFP-EP facilitate an exchange between Indonesia and the Philippines on Indigenous and Community Conserved Areas (ICCAs) and tenure issues, which successfully triggered further sharing and exchange between the two countries.

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<sup>97</sup>Ibid Meijaard E, Achdiawan R, Wan M and Taber A. 2014. Rattan: The decline of a once-important non-timber forest product in Indonesia. Occasional Paper 101. Bogor, Indonesia: CIFOR.

<sup>98</sup>Alan Pierce, A., Patricia Shanley, P., Sarah Laird S. 2003. Certification of non-timber forest products: Limitations and implications of a market-based conservation tool. Paper presented at The International Conference on Rural Livelihoods, Forests and Biodiversity 19-23 May 2003, Bonn, Germany

<sup>99</sup>"2012 NTFP-EP for South and Southeast Asia Annual Report", NTFP-EP, 2012



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## 6 Discussion

### 6.1 Design of the intervention

Overall, NTFP-EP's intervention logic and project design fell short of clearly identifying how interventions at the community level would lead to strategic results for civil society. There was a gap between the activities and their associated results. For example, to achieve the result (2.1) "target communities are organized and empowered to manage and benefit from ecosystems and claim their rights on natural resources", three activities were identified. These were participatory community mapping, learning visits, and cross visits. While activities may have been successfully implemented, these did not necessarily lead to community empowerment and the ability to claim rights.

Another area in the design that could be improved was lobby and advocacy. The concept note stated that NTFP-EP would be working with the local government, who had been working with grassroots partners for some time. There seemed to be an assumption that partners to whom activities were subcontracted would be able to influence the district governments. During implementation, implementing partners did engage with other NGOs, district heads and the Departments of Forestry and Trade, but this seemed to be mainly through workshops and presentations. A clear and focused lobby strategy, integrated into the design, should have included influencing government policies. Future interventions would benefit from a plan of action that could include: 1) an analysis of the enabling environment and the policies at local level that are supportive of community natural resource management; 2) jointly developing NTFP management plans with local government; 3) working with the government to establish working groups with relevant departments on NTFP management; 4) assisting local governments to produce regulations that support sustainable community management of NTFPs, and; 5) improved value chain analysis to help the government and community organisations identify strategic interventions needed to make NTFP-based livelihoods more sustainable.

NTFP-EP identified its role as being a catalyst, facilitator and networker. NTFP-EP has indeed been able to create a good network of local organizations, as well as working with well-known NGOs at the national level. However, the evaluation team questions whether the model of subcontracting is a valid approach for civil society building. As mentioned in other sections, NTFP-EP itself did not have a strong field presence and had minimal field presence. Activities were dispersed over seven districts in Kalimantan. This has inherent challenges not only for oversight, but also for assisting subcontractors (in this case local NGOs) to strengthen their own organisation. As a convener of local organisations and networks, NTFP-EP can benefit from a three-pronged approach, namely: 1) to further improve the capacities and skills of local stakeholders/institutions (which include local partners) in NTFP management for civil society and conservation benefits; and 2) empowering local, NTFP-dependent communities, and 3) influencing district officials and strategic plans. NTFP-EP could focus more on ensuring that its network and local CSOs and cooperatives it supports improve their position in the civil society arena through collaborative efforts that are geared towards sustained community benefits of NTFP management and influencing public and private sector policies and practices. In order to implement such interventions effectively and with the given resources, a smaller geographic scope is recommended (one province, and two or three selected districts within that province).

Another observation is that NTFP-EP is working on sensitive issues, namely community tenurial rights and the encroachment of large estate companies. Some of the NTFPs, such as rattan, may be on land demarcated for non-forest use. This means that it competes directly with estate crops such as rubber, oil palm and pulp. In turn, protecting community claims to natural resource management ideally should include engaging Ministries and Departments that oversee these areas, such as the Ministry of Agriculture. Effective protection of community tenurial rights means determining first what kind of local land-use systems and practices are in place, and then determining how these relate to forest classifications (See Chapter 2) that have been set by the government for a particular area. Where state forest land has been demarcated for production forest, the village forest (*hutan desa*) scheme, as supported by Warsi in Jambi and West Sumatra, may be an appropriate strategy. Exchanges

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between NTFP-EP and Warsi have been facilitated through the project, but more intensive direct technical assistance is probably needed to support customary groups in Kalimantan to successfully replicate Warsi's model. However, addressing community management rights through formal recognition does not automatically lead to better community livelihoods. Without alternative livelihoods, community members may still fall back on unsustainable practices that lead to deforestation.

There is no easy solution to the dilemmas faced by communities living in forest and non-forest areas that are rich in NTFPs. IUCN is already facilitating exchanges between partners that implement different approaches and strategies. This is the right course to take, especially for NTFP-EP who considers itself to be a convener. Documenting what works and what doesn't work is critical if approaches are to be combined with another.

With regards to strengthening community-based NTFP enterprises, the evaluation team notes that Borneo Chic, the marketing arm of Crafts Kalimantan, has been successful in the marketing and sales of community products. While producers are making more profits through certification and participation in craft fairs, these benefits will have to be brought to scale in order to generate wider positive economic impact for villages. Communities that are aware of the economic opportunities of NTFPs will more likely become active citizens and undertake efforts to advance their shared interests at different levels.

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## 7 Conclusion

### *Changes in the civil society arena of the SPO*

In the 2012 – 2014 period, the most important change that took place in the civil society arena of the SPO are related to civic engagement: NTFP-EP managed to increase membership of groups that engage in the production and sales of NTFP products with 13 percent, whilst at the same time increasing their income from € 53 in 2012 to € 137 in 2013. However, participation of women in a participatory certification system for rattan product, as well as their participation in community eco-cultural mappings is marginal.

Another change that was realised with regards to the 'perception of impact' dimension, in particular in relation to local policy influencing, consists of communities having made their eco-cultural mappings as a means to influence districts in charge of spatial planning. On one occasion this helped to refute a demand by a palm oil company.

Also of note is that with regards to Practice of Values, NTFP-EP has undergone an institutional transformation in mid-2012 becoming an independent foundation. This has arguably led to better accountability.

### *Contribution analysis*

A first outcome that we looked at concerns and increased income earned from crafts by 17 weavers. Their incomes in absolute values (but not corrected for inflation) representing € 15, € 23 and € 24 per month per weaver in respectively 2012, 2013 and 2014. In the same period the share of crafts work increased from 8 percent of total household incomes in 2012 to 12 percent in 2014. The most plausible explanation of this increased income consists of increased sales to in the first place other buyers than Borneo Chic, a business unit created by the Craft Kalimantan network supported by NTFP-EP in collaboration with Cordaid and Both Ends until 2011 and with MFS II funding. In the second place Borneo Chic, NTFP-EP and the association of the weavers explain the outcome. In the third place the Participatory Guarantee System that was launched in 2014 with support from IUCN-NL provided some additional value. Each of these actors and factors are a sufficient explanation for the increased outcome, but other factors such as women selling their product to other buyers, also explain the outcome.

The second outcome the evaluation traced was the ability of forest dependent communities to claim their rights to managing forest resources and land in four target villages. Multiple pathways can explain the outcome. NTFP-EP's efforts to develop participatory eco-cultural maps form the building blocks for greater recognition of community rights to manage forests, but this alone is not sufficient to bring about government acknowledgement and commitment. Other actors played an important role in terms of organising communities and lobbying the district to obtain the endorsement of the village maps. NTFP-EP recognizes that achievements were a result of joint efforts by itself and other CSOs and NGOs. Although NTFP-EP conducted lobby efforts directed at the local government, the legal recognition of the maps and community rights has not yet been achieved. Advocacy for recognition by government of community maps may take longer than the time afforded by the project period. In this regard, the sustainability of the outcome (communities able to claim their rights) will require additional efforts to ensure district policies and practices do not annul or influence current achievements.

From a CIVICUS perspective the contribution of both outcomes towards enhancing civic engagement, strengthening CBOs like the weaver group is limited.

### *Relevance*

With regards to the baseline ToC, the interventions and outcome achieved are relevant because they are in line with the ultimate objective of NTFP-EP to improve rural livelihoods through better forest management, in particular through mainstreaming NTFPs in forest management. However, the interventions did not address preconditions identified in the 2012 ToC, specifically with regards to a conducive political context.

With regards to the context in which NTFP-EP is operating, its interventions and outcome achieved are relevant because the Governments 'concession regime' has infringed the capacity of forest-dependent communities to attain sustainable livelihoods options that do not contribute to the depletion of scarce forest resources.

With regards to the CS policies of IUCN, NTFP-EP's interventions and outcome are only partly relevant because although the existence of community maps may help the communities' bargaining position to deal with land use change with the private sector agencies and government, legal recognition of these community-produced maps has not yet been realised. While communities are taking forest management more seriously, structural change is more challenging, especially considering that communities palm oil permits and mining permits have been granted around forested areas. Nonetheless, there are opportunities for communities to make sure these forested areas are not converted to plantation areas. For example, in one of the target villages, an agreement was reached with a palm oil company on land-use, which is in line with the overarching goal of the Ecosystem Alliance support.

*Explaining factors*

The most important factors that explain the changes from the internal organization point of view is the institutional transformation that allows NTFP-EP to make in-country decisions. Interventions preceding NTFP-EP's project supported by MFS-II have formed an important basis for continued support and community participation. NTFP-EP benefited from previous investments by Cordaid and other donors in the same project areas. Other influencing factors with regards to participatory community mapping relate to high local political dynamics, as well as lack of capacity of NTFP-EP and implementing partners to undertake strategic lobby interventions. While the evaluation team recognises that NTFP-EP has undertaken lobby interventions, there is a need for more strategic interventions at a higher level because current interventions have not yet resulted in legal recognition from district authorities.

*Design*

NTFP-EP's project design fell short of clearly identifying how interventions as the community level would lead to strategic results for civil society. This is in particular the case with regards to communities claiming their rights on natural resources and lobbying districts governments to endorse natural resources maps for land use with a forest or an agricultural destination. Future interventions would benefit from a plan of action that includes: a context analysis including the identification of favourable district policies; a joint development of NTFP management plans with local government; creating working groups within the local government regarding NTFP management; support them to produce regulations in favour of the participatory management of NTFPs, and; improved value chain analysis meant to make NTFP-based livelihoods more sustainable and which includes market access through Borneo chic.

The project design could further benefit from a concentration of efforts on fewer districts; building the capacities of local stakeholders and partners in NTFP management and; empowering them to claim their rights.

**Table 18**

*Summary of findings.*

When looking at the MFS II interventions of this SPO to strengthen civil society and/or policy influencing, how much do you agree with the following statements?	Score
The CS interventions were well designed	5
The CS interventions were implemented as designed	6
The CS interventions reached their objectives	5
The observed outcomes are attributable to the CS interventions	5
The observed CS outcomes are relevant to the beneficiaries of the SPO	7

Score between 1 to 10, with 1 being "not at all" and 10 being "completely".

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Sagiman	Facilitator of participatory mapping	Staff of Jasa Menenun Mandiri Cooperation		
Irawan	Participatory mapping consultant			



# Appendix 1 CIVICUS and Civil Society Index

CIVICUS, the World Alliance for Citizen Participation is an international alliance of members and partners which constitutes an influential network of organisations at the local, national, regional and international levels, and spans the spectrum of civil society. It has worked for nearly two decades to strengthen citizen action and civil society throughout the world. CIVICUS has a vision of a global community of active, engaged citizens committed to the creation of a more just and equitable world. This is based on the belief that the health of societies exists in direct proportion to the degree of balance between the state, the private sector and civil society.

One of the areas that CIVICUS works in is the Civil Society Index (CSI). Since 2000, CIVICUS has measured the state of civil society in 76 countries. In 2008, it considerably changed its CSI.

## 1. Guiding principles for measuring civil society

*Action orientation:* the principal aim of the CSI is to generate information that is of practical use to civil society practitioners and other primary stakeholders. Therefore, its framework had to identify aspects of civil society that can be changed, as well as generate knowledge relevant to action-oriented goals.

*CSI implementation must be participatory by design:* The CSI does not stop at the generation of knowledge alone. Rather, it also actively seeks to link knowledge-generation on civil society, with reflection and action by civil society stakeholders. The CSI has therefore continued to involve its beneficiaries, as well as various other actors, in this particular case, civil society stakeholders, in all stages of the process, from the design and implementation, through to the deliberation and dissemination stages.

This participatory cycle is relevant in that such a mechanism can foster the self-awareness of civil society actors as being part of something larger, namely, civil society itself. As a purely educational gain, it broadens the horizon of CSO representatives through a process of reflecting upon, and engaging with, civil society issues which may go beyond the more narrow foci of their respective organisations. A strong collective self-awareness among civil society actors can also function as an important catalyst for joint advocacy activities to defend civic space when under threat or to advance the common interests of civil society vis-à-vis external forces. These basic civil society issues, on which there is often more commonality than difference among such actors, are at the core of the CSI assessment.

*CSI is change oriented:* The participatory nature that lies at the core of the CSI methodology is an important step in the attempt to link research with action, creating a diffused sense of awareness and ownerships. However, the theory of change that the CSI is based on goes one step further, coupling this participatory principle with the creation of evidence in the form of a comparable and contextually valid assessment of the state of civil society. It is this evidence, once shared and disseminated, that ultimately constitutes a resource for action.

*CSI is putting local partners in the driver's seat:* CSI is to continue being a collaborative effort between a broad range of stakeholders, with most importance placed on the relationship between CIVICUS and its national partners.

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## 2. Defining Civil Society

The 2008 CIVICUS redesign team modified the civil society definition as follows:

*The arena, outside of the family, the state, and the market – which is created by individual and collective actions, organisations and institutions to advance shared interests.*

*Arena:* In this definition the arena refers to the importance of civil society's role in creating public spaces where diverse societal values and interests interact (Fowler 1996). CSI uses the term 'arena' to describe the particular realm or space in a society where people come together to debate, discuss, associate and seek to influence broader society. CIVICUS strongly believes that this arena is distinct from other arenas in society, such as the market, state or family.

Civil society is hence defined as a political term, rather than in economic terms that resemble more the 'non-profit sector'.

Besides the spaces created by civil society, CIVICUS defines particular spaces for the family, the state and the market.

*Individual and collective action, organisations and institutions:* Implicit in a political understanding of civil society is the notion of agency; that civil society actors have the ability to influence decisions that affect the lives of ordinary people. The CSI embraces a broad range of actions taken by both individuals and groups. Many of these actions take place within the context of non-coercive organisations or institutions ranging from small informal groups to large professionally run associations.

*Advance shared interests:* The term 'interests' should be interpreted very broadly, encompassing the promotion of values, needs, identities, norms and other aspirations.

They encompass the personal and public, and can be pursued by small informal groups, large membership organisations or formal associations. The emphasis rests however on the element of 'sharing' that interest within the public sphere.

## 3. Civil Society Index- Analytical Framework

The 2008 Civil Society Index distinguishes 5 dimensions of which 4 (civic engagement, level of organisation, practice of values and perception of impact), can be represented in the form of a diamond and the fifth one (external environment) as a circle that influences upon the shape of the diamond.

*Civic Engagement*, or 'active citizenship', is a crucial defining factor of civil society. It is the hub of civil society and therefore is one of the core components of the CSI's definition. Civic engagement describes the formal and informal activities and participation undertaken by individuals to advance shared interests at different levels. Participation within civil society is multi-faceted and encompasses socially-based and politically-based forms of engagement.

*Level of Organisation.* This dimension assesses the organisational development, complexity and sophistication of civil society, by looking at the relationships among the actors within the civil society arena. Key sub dimensions are:

- Internal governance of Civil Society Organisations;
- Support infrastructure, that is about the existence of supporting federations or umbrella bodies;
- Self-regulation, which is about for instance the existence of shared codes of conducts amongst Civil Society Organisations and other existing self-regulatory mechanisms;
- Peer-to-peer communication and cooperation: networking, information sharing and alliance building to assess the extent of linkages and productive relations among civil society actors;
- Human resources, that is about the sustainability and adequacy of human resources available for CSOs in order to achieve their objectives:
  - Financial and technological resources available at CSOs to achieve their objectives;

- International linkages, such as CSO's membership in international networks and participation in global events.

*Practice of Values.* This dimension assesses the internal practice of values within the civil society arena. CIVICUS identified some key values that are deemed crucial to gauge not only progressiveness but also the extent to which civil society's practices are coherent with their ideals. These are:

- Democratic decision-making governance: how decisions are made within CSOs and by whom;
- Labour regulations: includes the existence of policies regarding equal opportunities, staff membership in labour unions, training in labour rights for new staff and a publicly available statement on labour standards;
- Code of conduct and transparency: measures whether a code of conduct exists and is available publicly. It also measures whether the CSO's financial information is available to the public.
- Environmental standards: examines the extent to which CSOs adopt policies upholding environmental standards of operation;
- Perception of values within civil society: looks at how CSOs perceive the practice of values, such as non-violence. This includes the existence or absence of forces within civil society that use violence, aggression, hostility, brutality and/or fighting, tolerance, democracy, transparency, trustworthiness and tolerance in the civil society within which they operate.

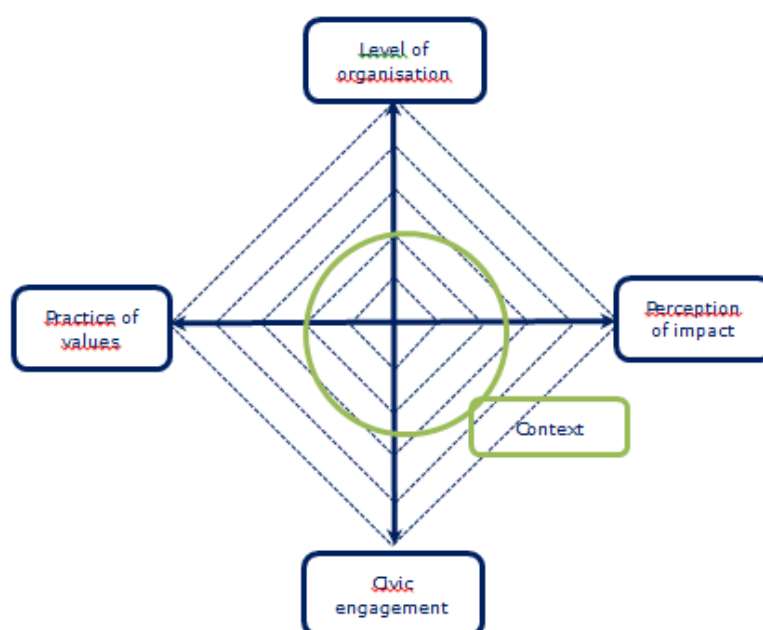
*Perception of Impact.* This is about the perceived impact of civil society actors on politics and society as a whole as the consequences of collective action. In this, the perception of both civil society actors (internal) as actors outside civil society (outsiders) is taken into account. Specific sub dimensions are

- Responsiveness in terms of civil society's impact on the most important social concerns within the country. "Responsive" types of civil society are effectively taking up and voicing societal concerns.
- Social impact measures civil society's impact on society in general. An essential role of civil society is its contribution to meet pressing societal needs;
- Policy impact: covers civil society's impact on policy in general. It also looks at the impact of CSO activism on selected policy issues;
- Impact on attitudes: includes trust, public spiritedness and tolerance. The sub dimensions reflect a set of universally accepted social and political norms. These are drawn, for example, from sources such as the Universal Declaration of Human Rights, as well as CIVICUS' own core values. This dimension measures the extent to which these values are practised within civil society, compared to the extent to which they are practised in society at large.

#### *Context Dimension: External*

*Environment.* It is crucial to give consideration to the social, political and economic environments in which it exists, as the environment both directly and indirectly affects civil society. Some features of the environment may enable the growth of civil society. Conversely, other features of the environment hamper the development of civil society. Three elements of the external environment are captured by the CSI:

- Socio-economic context: The Social Watch's basic capabilities index and measures of corruption, inequality and macro-economic health are used to portray the socioeconomic context that can have marked consequences for civil society, and perhaps most significantly at the lower levels of social development;



- 
- Socio-political context: This is assessed using five indicators. Three of these are adapted from the Freedom House indices of political and civil rights and freedoms, including political rights and freedoms, personal rights and freedoms within the law and associational and organisational rights and freedoms. Information about CSO experience with the country's legal framework and state effectiveness round out the picture of the socio-political context;
  - Socio-cultural context: utilises interpersonal trust, which examines the level of trust that ordinary people feel for other ordinary people, as a broad measure of the social psychological climate for association and cooperation. Even though everyone experiences relationships of varying trust and distrust with different people, this measure provides a simple indication of the prevalence of a world view that can support and strengthen civil society. Similarly, the extent of tolerance and public spiritedness also offers indication of the context in which civil society unfolds.

# Appendix 2 Evaluation methodology

This Appendix describes the evaluation methodology that was developed to evaluate the efforts of Dutch NGOs and their Southern Partner Organisations (SPO) to strengthen Civil Society in India, Ethiopia and Indonesia. The first paragraph introduces the terms of reference for the evaluation and the second discusses design issues, including sampling procedures and changes in the terms of reference that occurred between the 2012 and 2014 assessment. The third paragraph presents the methodologies developed to answer each of the evaluation questions.

## 1. Introduction

### 1.1 Terms of reference for the evaluation

The Netherlands has a long tradition of public support for civil bi-lateral development cooperation, going back to the 1960s. The Co-Financing System ('MFS') is its most recent expression. MFS II is the 2011-2015 grant programme which meant to achieve sustainable reduction in poverty. A total of 20 consortia of Dutch Co Financing Agencies have been awarded €1.9 billion in MFS II grants by the Dutch Ministry of Foreign Affairs (MoFA).

One component of the MFS II programme addresses the extent to which the Southern Partners of the Dutch Consortia are contributing towards strengthening civil society and this evaluation assesses this contribution for Southern Partner countries in Indonesia, India and Ethiopia. The evaluation comprised a baseline study, carried out in 2012, followed by an end line study in 2014.

The entire MFS II evaluation comprises assessments in eight countries where apart from a civil society component, also assessments towards achieving MDGs and strengthening the capacity of the southern partner organisations by the CFAs. A synthesis team is in place to aggregate findings of all eight countries. This team convened three synthesis team meetings, one in 2012, one in 2013 and one in 2014. All three meetings aimed at harmonising evaluation methodologies for each component across countries. CDI has been playing a leading role in harmonising its Civil Society and Organisational Capacity assessment with the other organisations in charge for those components in the other countries. This Annex describes the methodology that has been developed for the evaluation of the efforts to strengthen civil society priority result area. We will first explain the purpose and scope of this evaluation and then present the overall evaluation design. We will conclude with describing methodological adaptations, limitations and implications.

### 1.2 Civil Society assessment – purpose and scope

The overall purpose of the joint MFS II evaluations is to account for results of MFS II-funded or –co-funded development interventions implemented by Dutch CFAs and/or their Southern partners and to contribute to the improvement of future development interventions.

The civil society evaluation is organised around 5 key questions:

- What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?
- To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?
- What is the relevance of these changes?

- Were the development interventions of the MFS II consortia efficient?
- What factors explain the findings drawn from the questions above?

Furthermore, the evaluation methodology for efforts to strengthen civil society should:

- Describe how a representative sample of Southern partner organisations of the Dutch CFAs in the country will be taken
- Focus on five priority result areas that correspond with dimensions of the Civil Society Index (CSI) developed by CIVICUS (see paragraph 6.4 - Call for proposal). For each of those dimensions the call for proposal formulated key evaluation questions.
- Should compare results with available reference data (i.e. a CSI report or other relevant data from the country in question).

The results of this evaluation are to be used by the Dutch Ministry of Foreign Affairs, the Dutch Consortia and their partner organisations. The evaluation methodology has to be participatory in the sense that Dutch Consortia and their partner organisation would be asked to give their own perception on a range of indicators of the adjusted CIVICUS analytical framework in 2012 and in 2014.

## 2. Designing the methodology

### 2.1 Evaluation principles and standards

The overall approach selected is a participatory, theory-based evaluation through a before and after comparison. This paragraph briefly describes these principles and how these have been translated into data collection principles. It also describes how a 'representative sample' of Southern Partner Organisations was selected and how the initial terms of references were adjusted with the consent of the commissioner of the evaluation, given the nature of the evaluation component and the resources available for the evaluation.

#### **Recognition of complexity**

The issues at stake and the interventions in civil society and policy influence are complex in nature, meaning that cause and effect relations can sometimes only be understood in retrospect and cannot be repeated. The evaluation methods should therefore focus on recurring patterns of practice, using different perspectives to understand changes and to acknowledge that the evaluation means to draw conclusions about complex adaptive systems (Kurtz and Snowden, 2003)<sup>100</sup>.

Changes in the values of the Civil Society Indicators in the 2012-2014 period are then the result of conflict management processes, interactive learning events, new incentives (carrots and sticks) that mobilise or demobilise civil society, rather than the result of a change process that can be predicted from A to Z (a linear or logical framework approach)<sup>101</sup>.

#### **A theory-based evaluation**

Theory-based evaluation has the advantage of situating the evaluation findings in an analysis that includes both what happened over the life of the project as well as the how and why of what happened (Rogers 2004). It demonstrates its capacity to help understand why a program works or fails to work, going further than knowing only outcomes by trying to systematically enter the black box (Weiss 2004). Theory-based evaluations can provide a framework to judge effectiveness in context of high levels of complexity, uncertainty, and changeability when traditional (impact) evaluation methods are not suitable: the use of control groups for the civil society evaluation is problematic since comparable

<sup>100</sup> C. F. Kurtz, D. J. Snowden, The new dynamics of strategy: Sense-making in a complex and complicated world, in IBM Systems Journal vol 42, no 3, 2003.

<sup>101</sup> Caluwe de, L & Vermaak H. (2003) "Learning to Change. A Guide for Organisation Change Agents" Sage Publications.

organisations with comparable networks and operating in a similar external environment would be quite difficult to identify and statistical techniques of matching cannot be used because of a small n. Because SPO's theories of change regarding their efforts to build civil society or to influence policies may alter during the 2012-2014 period, it requires us to develop a deep understanding of the change process and the dynamics that affect civil society and policies. It is important to understand what has led to specific (non-) changes and (un)-expected changes. These external factors and actors, as well as the SPO's agency need to be taken into account for the attribution question. Linear input-activities-outputs-outcomes-impact chains do not suffice for complex issues where change is both the result of SPOs' interventions as those by other actors and/or factors.

Therefore, the most reasonable counterfactual that can be used for this evaluation is that of considering alternative causal explanations of change (White and Philips, 2012). Therefore the SPOs' Theory of Change constructed in 2012 is also related to a Model of Change constructed in 2014 that tries to find the ultimate explanations of what happened in reality, including other actors and factors that might possibly explain the outcomes achieved.

### **Triangulation of methods and sources of information**

For purposes of triangulation to improve the robustness, validity or credibility of the findings of the evaluation we used different types of data collection and analysis methods as well as different sources of information. The CIVICUS analytical framework was adjusted for this evaluation in terms of providing standard impact outcome indicators to be taken into account. Data collection methods used consisted of workshops with the SPO, interviews with key resource persons, focus group discussions, social network analysis (during the baseline), consultation of project documents; MFS II consortia documents and other documents relevant to assess general trends in civil society

### **Participatory evaluation**

The evaluation is participatory in that both baseline and end line started with a workshop with SPO staff, decision makers and where possible board members. The baseline workshop helped SPOs to construct their own theory of change with regards to civil society. Detailed guidelines and tools have been developed by CDI for both baseline and follow-up, and these have been piloted in each of the countries CDI is involved in. Country based evaluators have had a critical input in reviewing and adapting these detailed guidelines and tools. This enhanced a rigorous data collection process. Additionally, the process of data analysis has been participatory where both CDI and in-country teams took part in the process and cross-check each other's inputs for improved quality. Rigorous analysis of the qualitative data was done with the assistance of the NVivo software program.

### **Using the evaluation standards as a starting point**

As much as possible within the boundaries of this accountability driven evaluation, the evaluation teams tried to respect the following internationally agreed upon standards for program evaluation (Yarbrough et al, 2011). These are, in order of priority: Utility; Feasibility; Propriety; Accuracy; Accountability. However, given the entire set-up of the evaluation, the evaluation team cannot fully ensure the extent to which the evaluation is utile for the SPO and their CFAs; and cannot ensure that the evaluation findings are used in a proper way and not for political reasons.

## **2.2 Sample selection**

The terms of reference for this evaluation stipulate that the evaluators draw a sample of southern partner organisations to include in the assessment. Given the fact that the first evaluation questions intends to draw conclusions for the MDGs or the themes (governance or fragile states) for Indonesia a sample was drawn for the two or three most frequent MDGs or themes that the SPOs are working in. In 2012, the Dutch MFS II consortia were asked to provide information for each SPO regarding the MDG/theme it is working on, if it has an explicit agenda in the area of civil society strengthening and/or policy influence. The database then provided an insight into the most important MDG/themes covered by the partner organisations, how many of these have an explicit agenda regarding civil society

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strengthening and/or policy influence. The entire population of SPOs in Indonesia was 120, of which those exclusively working on the governance theme (28 SPOs), those working on MDG 7ab (26 SPOs) and on MDG 3 (26 SPOs) were the most frequent ones. With regards to MDG 3 and MDG 7ab the evaluator decided to select MDG 7ab, which is a very specific and relevant MDG for Indonesia. Five partner organisations were randomly selected for respectively MDG 7 (natural resources) of a population of 26 SPOs and 5 for the governance theme from 28 SPOs<sup>102</sup>.

## 2.3 Changes in the original terms of reference

Two major changes have been introduced during this evaluation and accepted by the commissioner of the MFS II evaluation. These changes were agreed upon during the 2013 and the 2014 synthesis team meetings.

### **The efficiency evaluation question**

During the June 2013 synthesis meeting the following decision was made with regards to measuring how efficient MFS II interventions for organisational capacity and civil society are:

*[...] it was stressed that it is difficult to disentangle budgets for capacity development and civil society strengthening. SPOs usually don't keep track of these activities separately; they are included in general project budgets. Therefore, teams agreed to assess efficiency of CD [capacity development] and CS activities in terms of the outcomes and/or outputs of the MDG projects. This implies no efficiency assessment will be held for those SPOs without a sampled MDG project. Moreover, the efficiency assessment of MDG projects needs to take into account CD and CS budgets (in case these are specified separately). Teams will evaluate efficiency in terms of outcomes if possible. If project outcomes are unlikely to be observed already in 2014, efficiency will be judged in terms of outputs or intermediate results (e-mail quotation from Gerton Rongen at February 6, 2014).*

### **Attribution/contribution evaluation question**

During the June 2013 NWO-WOTRO workshop strategies were discussed to fit the amount of evaluation work to be done with the available resources. Therefore,

1. The number of SPOs that will undergo a full-fledged analysis to answer the attribution question, were to be reduced to 50 percent of all SPOs. Therefore the evaluation team used the following selection criteria:
  - An estimation of the annual amount of MFS II funding allocated to interventions that have a more or less direct relation with the civil society component. This implies the following steps to be followed for the inventory:
  - Covering all MDGs/themes in the original sample
  - Covering a variety of Dutch alliances and CFAs
2. The focus of the attribution question will be on two impact outcome areas, those most commonly present in the SPO sample for each country. The evaluation team distinguishes four different impact outcome areas:
  - The extent to which the SPO, with MFS II funding, engages more and diverse categories of society in the 2011-2014 period (Civicus dimensions "Civic engagement" and "perception of impact")
  - The extent to which the SPOs supports its intermediate organisations to make a valuable contribution to civil society in the 2011 -2014 period (Civicus dimension "Level of organisation" and "perception of impact")
  - The extent to which the SPO itself engages with other civil society organisations to make a valuable contribution to civil society in the 2011-2014 period (Civicus dimension "level of organisation")

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<sup>102</sup> See the evaluation methodology for the civil society component as described in the annex of the baseline report.



- The extent to which the SPO contributes to changing public and private sector policies and practices in the 2011-2014 period (Civicus dimension “perception of impact”)
3. The CS dimension ‘Practice of Values’ has been excluded, because this dimension is similar to issues dealt with for the organisational capacity assessment.

The aforementioned analysis drew the following conclusions:

Country	SPO in the in-depth analysis	Strategic CS orientation to include
<b>Indonesia</b>	ELSAM, WARSI, CRI, NTFFP-EP, LPPSLH	1. Strengthening intermediate organisations AND influencing policies and practices 2. If only one of the two above mentioned is applicable, then select another appropriate impact outcome area to look at.
<b>India</b>	NNET, CWM, CECOEDCON, Reds Tumkur, CSA	6. Enhancing civic engagement AND strengthening intermediate organisations 7. If only one of the two above mentioned is applicable then select another appropriate impact outcome area to look at.
<b>Ethiopia</b>	OSSA, EKHC, CCGG&SO, JeCCDO and ADAA	1. Strengthening the capacities of intermediate organisations AND SPO’s engagement in the wider CS arena 2. If only one of the two above mentioned is applicable then select another appropriate impact outcome area to look at.

Source: Consultation of project documents available in February 2014

### 3. Answering the evaluation questions

#### 3.1 Evaluation question 1 - Changes in civil society for the relevant MDGs/topics

Evaluation question 1: *What are the changes in civil society in the 2012-2014 period, with particular focus on the relevant MDGs & themes in the selected country?*

##### Indicators and tools used

In line with the CIVICUS Civil Society Index, a scoring tool was developed in 2012 which comprises 17 indicators. The selection was inspired by those suggested in the terms of reference of the commissioner. Each indicator was, also in line with the CIVICUS index accompanied by an open evaluation question to be used for data collection in 2012 and 2014. In 2012 the scoring tool contained four statements describing the level of achievements of the indicator and scores ranged from 0 to 3 (low score - high score).

A comparison of the scores obtained in 2012 informed the evaluation team that there was a positive bias towards high scores, mostly between 2 and 3. Therefore during the 2014 assessment, it was decided to measure relative changes for each indicator in the 2012 – 2014 period, as well as the reasons for changes or no changes and assigning a score reflecting the change between -2 (considerable deterioration of the indicator value since 2012) and +2 (considerable improvement).

In 2012 and based upon the Theory of Change constructed with the SPO, a set of standard indicators were identified that would ensure a relation between the standard CIVICUS indicators and the interventions of the SPO. However, these indicators were not anymore included in the 2014 assessment because of the resources available and because the methodology fine-tuned for the attribution question in 2013, made measurement of these indicators redundant.

Also in 2012, as a means to measure the ‘level of organisation’ dimension a social network analysis tool was introduced. However this tool received very little response and was discontinued during the end line study.

##### Key questions to be answered for this evaluation question

In 2012, SPO staff and leaders, as well as outside resource persons were asked to provide answers to 17 questions, one per standard indicator of the scoring tool developed by CDI.

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In 2012, the SPO staff and leaders were given the description of each indicator as it was in 2012 and had to answer the following questions:

1. How has the situation of this indicator changed compared to its description of the 2012 situation? Did it deteriorate considerably or did it improve considerably (-2 → +2)
2. What exactly has changed since 2012 for the civil society indicator that you are looking at? Be as specific as possible in your description.
3. What interventions, actors and other factors explain this change compared to the situation in 2012? Please tick and describe what happened and to what change this led. It is possible to tick and describe more than one choice.
  - Intervention by SPO, NOT financed by any of your Dutch partners .....
  - Intervention SPO, financed by your Dutch partner organisation .....(In case you receive funding from two Dutch partners, please specify which partner is meant here)
  - Other actor NOT the SPO, please specify.....
  - Other factor, NOT actor related, please specify.....
  - A combination of actors and factors, INCLUDING the SPO, but NOT with Dutch funding, please specify...
  - A combination of actors and factors, INCLUDING the SPO, but WITH Dutch funding, please specify...
  - Don't know
4. Generally speaking, which two of the five CIVICUS dimensions (civic engagement, level of organisation, practice of values, perception of impact, environment) changed considerably between 2012 – 2014? For each of these changes, please describe:
  - Nature of the change
  - Key interventions, actors and factors (MFS II or non-MFS II related) that explain each change (entirely or partially).

### **Sources for data collection**

During the baseline and the end line and for purposes of triangulation, several methods were used to collect data on each (standard) indicator:

- Self-assessment per category of staff within the SPO: where possible, three subgroups were made to assess the scores: field staff/programme staff, executive leadership and representatives of the board,, general assembly, and internal auditing groups if applicable completed with separate interviews;
- Interviews with external resource persons. These consisted of three categories: key actors that are knowledgeable about the MDG/theme the SPO is working on and who know the civil society arena around these topics; civil society organisations that are being affected by the programme through support or CSOs with which the SPO is collaborating on equal footing, and; representatives of public or private sector organisations with which the SPO is interacting
- Consultation and analysis of reports that relate to each of the five CIVICUS dimensions.
- Project documents, financial and narrative progress reports, as well as correspondence between the SPO and the CFA.
- Social network analysis (SNA), which was discontinued in the end line study.

During the follow-up, emphasis was put on interviewing the same staff and external persons who were involved during the baseline for purpose of continuity.

## 3.2 Evaluation question 2 – “Attribution” of changes in civil society to interventions of SPOs.

Evaluation question 2: *To what degree are the changes identified attributable to the development interventions of the Southern partners of the MFS II consortia (i.e. measuring effectiveness)?*

### **Adapting the evaluation question and introduction to the methodology chosen**

In line with the observation of Stern et al. (2012) that the evaluation question, the programme attributes, and the evaluation approaches all provide important elements to conclude on the evaluation design to select, the teams in charge of evaluating the civil society component concluded that given the attributes of the programmes it was impossible to answer the *attribution* question as formulated in the Terms of References of the evaluation and mentioned above. Therefore, the evaluation teams worked towards answering the extent *to which the programme contributed towards realising the outcomes*. For this endeavour explaining outcome process-tracing<sup>103</sup> was used. The objective of the process tracing methodology for MFS II, in particular for the civil society component is to:

- Identify what interventions, actors and factors explain selected impact outcomes for process tracing.
- Assess how the SPO with MFS II funding contributed to the changes in the selected impact outcomes and how important this contribution is given other actors and factors that possibly influence the attainment of the outcome. Ruling out rival explanations, which are other interventions, actors or factors that are not related to MFS II funding.

### **Methodology – getting prepared**

As described before a limited number of SPOs were selected for process tracing and for each country strategic orientations were identified as a means to prevent a bias occurring towards only positive impact outcomes and as a means to support the in-country evaluation teams with the selection of outcomes to focus on as much as was possible, based upon the project documents available at CDI. These documents were used to track realised outputs and outcomes against planned outputs and outcomes. During the workshop (see evaluation question on changes in civil society) and follow-up interviews with the SPO, two impact outcomes were selected for process tracing.

### **Steps in process tracing**

1. Construct the theoretical model of change – by in-country evaluation team

After the two impact outcomes have been selected and information has been obtained about what has actually been achieved, the in-country evaluation team constructs a visual that shows all pathways that might possibly explain the outcomes. The inventory of those possible pathways is done with the SPO, but also with external resource persons and documents consulted. This culminated in a Model of Change. A MoC of good quality includes: The causal pathways that relate interventions/parts by any actor, including the SPO to the realised impact outcome; assumptions that clarify relations between different parts in the pathway, and; case specific and/or context specific factors or risks that might influence the causal pathway, such as for instance specific attributes of the actor or socio-cultural-economic context. The Models of Change were discussed with the SPO and validated.

2. Identify information needs to confirm or reject causal pathways as well as information sources needed.

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<sup>103</sup> Explaining outcome process tracing attempts to craft a minimally sufficient explanation of a puzzling outcome in a specific historical case. Here the aim is not to build or test more general theories but to craft a (minimally) sufficient explanation of the outcome of the case where the ambitions are more case centric than theory oriented. The aim of process tracing is not to verify if an intended process of interventions took place as planned in a particular situation, but that it aims at increasing our understanding about what works under what conditions and why (Beach & Pedersen, 2013).

This step aims to critically reflect upon what information is needed that helps to confirm one of causal pathways and at that at same time helps to reject the other possible explanations. Reality warns that this type of evidence will hardly be available for complex development efforts. The evaluators were asked to behave as detectives of Crime Scene Investigation, ensuring that the focus of the evaluation was not only on checking if parts/interventions had taken place accordingly, but more specifically on identifying information needs that confirm or reject the relations between the parts/interventions. The key question to be answered was: "What information do we need in order to confirm or reject that one part leads to another part or, that X causes Y?". Four types of evidence were used, where appropriate:<sup>104</sup>

- *Pattern evidence* relates to predictions of statistical patterns in the evidence. This may consist of trends analysis and correlations.
- *Sequence evidence* deals with the temporal and spatial chronology of events predicted by a hypothesised causal mechanism. For example, a test of the hypothesis could involve expectations of the timing of events where we might predict that if the hypothesis is valid, we should see that the event B took place after event A. However, if we found that event B took place before event A, the test would suggest that our confidence in the validity of this part of the mechanism should be reduced (disconfirmation/ falsification).
- *Trace evidence* is evidence whose mere existence provides proof that a part of a hypothesised mechanism exists. For example, the existence of meeting minutes, if authentic, provides strong proof that the meeting took place.
- *Account evidence* deals with the content of empirical material, such as meeting minutes that detail what was discussed or an oral account of what took place in the meeting.

### 3. Collect information necessary to confirm or reject causal pathways

Based upon the inventory of information needs the evaluation teams make their data collection plan after which data collection takes place.

### 4. Analyse the data collected and assessment of their quality.






This step consists of compiling all information collected in favour or against a causal pathway in a table or in a list per pathway. For all information used, the sources of information are mentioned and an assessment of the strength of the evidence takes place, making a distinction between strong, weak and moderate evidence. For this we use the traffic light system: **green letters mean strong evidence**, **red letters mean weak evidence** and **orange letter mean moderate evidence**: The following table provides the format used to assess these issues.

Causal pathway	Information that confirms (parts of) this pathway		Information that rejects (parts of) this pathway	
<b>Pathway 1</b>	<b>Information 1</b>	Source of information	<b>Information 1</b>	Source of information
<b>Part 1.1</b>	<b>Information 2</b>	Source of information	<b>Information 2</b>	Source of information
<b>Part 1.2</b>	<b>Information 3</b>	Source of information	<b>Information 3</b>	Source of information
<b>Etc</b>	etc	etc	etc	etc
<b>Pathway 2</b>	<b>Information 1</b>	Source of information	<b>Information 1</b>	Source of information
<b>Part 2.1</b>	<b>Information 2</b>	Source of information	<b>Information 2</b>	Source of information
<b>Part 2.2</b>	<b>Information 3</b>	Source of information	<b>Information 3</b>	Source of information
<b>Etc.</b>	etc	etc	etc	etc
<b>Pathway 3</b>				

### 5. Assessing the nature of the relations between parts in the model of change

The classification of all information collected is being followed by the identification of the pathways that most likely explain the impact outcome achieved. For this the evaluators assess the nature of the relations between different parts in the MoC. Based upon Mayne (2012) and Stern et al (2012) the following relations between parts in the MoC are mapped and the symbols inserted into the original MoC.

<sup>104</sup> Beach and Pederson, 2013

<b>Nature of the relation between parts and other parts or outcome</b>	
The part is the only causal explanation for the outcome. No other interventions or factors explain it. (necessary and sufficient)	
The part does not explain the outcome at all: other subcomponents explain the outcomes.	
The part explains the outcome but other parts explain the outcome as well: there are multiple pathways (sufficient but not necessary)	
The part is a condition for the outcome but won't make it happen without other factors (necessary but not sufficient)	
The part explains the outcome, but requires the help of other parts to explain the outcome in a sufficient and necessary way (not a sufficient cause, but necessary) → it is part of a causal package	
Sources: Mayne, 2012; Stern et al, 2012	

## 6. Write down the contribution and assess the role of the SPO and MFS II funding

This final step consists of answering the following questions, as a final assessment of the contribution question:

- The first question to be answered is: What explains the impact outcome?
- The second question is: What is the role of the SPO in this explanation?
- The third question, if applicable is: what is the role of MFS II finding in this explanation?

## 7. Sources for data collection

Information necessary to answer this evaluation question is to be collected from:

- Interviews with resource persons inside and outside the SPO
- Project documents and documentation made available by other informants
- Websites that possibly confirm that an outcome is achieved and that the SPO is associated with this outcome
- Meeting minutes of meetings between officials
- Time lines to trace the historical relations between events
- Policy documents
- etc

## 3.3 Evaluation question 3 – Relevance of the changes

Evaluation question 3: *What is the relevance of these changes?*

The following questions are to be answered in order to assess the relevance of the changes in Civil Society.

- How do the MFS II interventions and civil society outcomes align with the Theory of Change developed during the baseline in 2012? What were reasons for changing or not changing interventions and strategies?
- What is the civil society policy of the Dutch alliance that collaborates with the SPO? And how do the MFS II interventions and civil society outcomes align with the civil society policy of the Dutch alliance that collaborates with the SPO?
- How relevant are the changes achieved in relation to the context in which the SPO is operating?
- What is the further significance of these changes for building a vibrant civil society for the particular MDG/ theme in the particular context?

### Sources for data collection

For this question the following sources are to be consulted:

- Review of the information collected during interviews with the SPO and outside resource persons
- The 2012 Theory of Change
- Interview with the CFA liaison officer of the SPO;

- 
- Review of reports, i.e: the civil society policy document of the Dutch Alliance that was submitted for MFS II funding, relevant documents describing civil society for the MDG/ theme the SPO is working on in a given context.

### 3.4 Evaluation question 4, previously 5 - Factors explaining the findings

Evaluation question 4: *What factors explain the findings drawn from the questions above?*

To answer this question we look into information available that:

- Highlight changes in the organisational capacity of the SPO
- Highlight changes in the relations between the SPO and the CFA
- Highlight changes in the context in which the SPO is operating and how this might affect positively or negatively its organisational capacity.

#### **Sources for data collection**

Sources of information to be consulted are:

- Project documents
- Communications between the CFA and the SPO
- Information already collected during the previous evaluation questions.

## 4. Analysis of findings

A qualitative software programme NVivo 10 (2010) was used to assist in organising and making sense of all data collected. Although the software cannot take over the task of qualitative data analysis, it does 1) improve transparency by creating a record of all steps taken, 2) organise the data and allow the evaluator to conduct a systematic analysis, 3) assist in identifying important themes that might otherwise be missed, and 4) reduce the danger of bias due to human cognitive limitations, compared to "intuitive data processing" (Sadler 1981). The qualitative data in the evaluation consisted of transcripts from semi-structured interviews, focus group discussions workshops, field notes from observation, and a range of documents available at the SPO or secondary information used to collect reference data and to obtain a better understanding of the context in which the CS component evolves.

To analyse this diverse collection of data, several analytical strategies are envisioned, specifically content analysis, discourse analysis, and thematic analysis. Although each of these strategies can be understood as a different lens through which to view the data, all will require a carefully developed and executed coding plan.

Data have been coded according to: standard civil society indicator; outcome included for in-depth contribution analysis; relevance, and; explaining factors.

This qualitative analysis will be supported by a limited amount of quantitative data largely arising from the score assigned by the evaluation team to each performance indicator described in the civil society scoring tool. Other quantitative data in this study are drawn information provided in background literature and organisational documents as well as the Social Network Analysis method.

## 5. Limitations to the methodology

### 5.1 General limitations with regards to the MFS II evaluation

#### **The MFS II programme and CIVICUS**

Although the MFS II programme stated that all proposals need to contribute to civil society strengthening in the South<sup>105</sup>, mention was made of the use of the CIVICUS framework for monitoring purposes. The fact that civil society was to be integrated as one of the priority result areas next to that of organisational capacity and MDGs became only clear when the MoFA communicated its mandatory monitoring protocol. In consequence, civil society strengthening in the MFS II programmes submitted to the ministry is mainstreamed into different sub programmes, but not addressed as a separate entity.

This late introduction of the Civil Society component also implies that project documents and progress reports do not make a distinction in MDG or theme components vs those of civil society strengthening, leaving the interpretation of what is a civil society intervention our outcome and what not to the interpretation of the evaluation team.

At the same time the evaluation team observes that SPOs and CFAs have started to incorporate the organisational capacity tool that is being used in the monitoring protocol in their own organisational assessment procedures. None of the SPOs is familiar with the CIVICUS framework and how it fits into their interventions.

#### **Differences between CIVICUS and MFS II evaluation**

CIVICUS developed a Civil Society Index that distinguishes 5 dimensions and for each of these a set of indicators has been developed. Based upon a variety of data collection methods, a validation team composed of civil society leaders provides the scores for the civil society index.

Major differences between the way the Civil Society Index is been used by CIVICUS and for this MFS II evaluation is the following:

1. CIVICUS defines its unit of analysis in terms of the civil society arena at national and/or subnational level and does not start from individual NGOs. The MFS II evaluation put the SPO in the middle of the civil society arena and then looked at organisations that receive support; organisations with which the SPO is collaborating. The civil society arena boundaries for the MFS II evaluation are the public or private sector organisations that the SPO relates to or whose policies and practices it aims to influence
2. The CIVICUS assessments are conducted by civil society members itself whereas the MFS II evaluation is by nature an external evaluation conducted by external researchers. CIVICUS assumes that its assessments, by organising them as a joint learning exercise, will introduce change that is however not planned. With the MFS II evaluation the focus was on the extent to which the interventions of the SPO impacted upon the civil society indicators.
3. CIVICUS has never used its civil society index as a tool to measure change over a number of years. Each assessment is a stand-alone exercise and no efforts are being made to compare indicators over time or to attribute changes in indicators to a number of organisations or external trends.

#### **Dimensions and indicator choice**

The CIVICUS dimensions in themselves are partially overlapping; the dimension 'perception of impact' for instance contains elements that relate to 'civic engagement' and to 'level of organisation'. Similar overlap is occurring in the civil society scoring tool developed for this evaluation and which was highly oriented by a list of evaluation questions set by the commissioner of the evaluation.

Apart from the overlap, we observe that some of the standard indicators used for the civil society evaluation were not meaningful for the SPOs under evaluation. This applies for instance for the political

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<sup>105</sup> Policy Framework Dutch Co- financing System II 2011 - 2015

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engagement indicator "How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?"

### **Measuring change over a two-year period**

The MFS II programme started its implementation in 2011 and it will finish in 2015, whereas its evaluation started mid-2012 and will end in the beginning of 2014. The period between the baseline and the end line measurement hardly covers 2 years in some cases. Civil society building and policy influence are considered the type of interventions that requires up to 10 years to reap significant results, especially when taking into account attitudes and behaviour. Apart from the fact that the baseline was done when MFS II was already operational in the field for some 1,5 years, some SPO interventions were a continuation of programmes designed under the MFS I programme, hence illustrating that the MFS II period is not a clear boundary. Contracts with other SPOs ended already in 2012, and practically coincided with the baseline assessment being conducted at the moment the relationship with the CFA had practically ended.

### **Aggregation of findings**

Although working with standard indicators and assigning them scores creates expectations of findings being compared and aggregated at national and international level, this may lend itself to a quick but inaccurate assessment of change. Crude comparison between programs on the basis of findings is problematic, and risks being politically abused. The evaluation team has to guard against these abuses by ensuring the necessary modesty in extrapolating findings and drawing conclusions.

### **Linking the civil society component to the other components of the MFS II evaluation**

The Theory of Change in the terms of reference assumes that CFAs are strengthening the organisational capacity of their partners, which is evaluated in the organisational capacity components, which then leads to impact upon MDGs or upon civil society. Because the evaluation methodology designed for both the organisational capacity and the civil society evaluation require considerable time investments of the SPOs, a deliberate choice was made not to include SPOs under the organisational capacity component in that of Civil Society. This may possibly hamper conclusions regarding the assumption of capacitated SPOs being able to impact upon civil society. However, where information is available and where it is relevant, the civil society component will address organisational capacity issues.

No such limitations were made with regards to SPOs in the MDG sample, however, apart from Indonesia; none of the SPOs in the civil society sample is also in that of MDG.

## **5.2 Limitations during baseline with regards to the methodology**

A very important principle upon which this evaluation methodology is based is that of triangulation, which implies that different stakeholders and documents are consulted to obtain information about the same indicator from different perspectives. Based upon these multiple perspectives, a final score can be given on the same indicator which is more valid and credible.

For Indonesia this has not always been possible:

- For 7 out of 10 SPOs a Survey Monkey questionnaire was developed to assess the intensity of the interaction between stakeholders in the network. Out of 156 actors that were invited to fill in this 5 minute questionnaire, only 7 actors effectively filled in the questionnaire = 4.5 %. The online Social Network Analysis aims at having both the opinion of the SPO on the intensity of the interaction with another actor, as well as the opinion of the other actor for triangulation. Important reasons for not filling in this form are that actors in the network are not technology savvy, or that they have difficulties in accessing internet. Data obtained by survey monkey were not used in the baseline. Instead the evaluation team did a social network assessment during the baseline workshop with the SPO.
- With regards to filling in offline interview forms or answering questions during interviews a number of civil society actors did not want to score themselves because they do not benefit from the interventions of the MFS II projects. Having the scores of their own organisations will help to assess the wider



environment in which the SPO operates and possibly an impact of the SPO on other civil society organisations in 2014.

- With regards to public officials the evaluation team faced difficulties to have their opinions on a certain number of indicators such as perception of impact on policy influencing and relations between public organisations and civil society. Public officials fear that they will be quoted in the assessment, which may have repercussions for their position.

## 5.3 Experiences during end line from in-country teams - Indonesia

The in-country team experienced difficulties in working on the first evaluation question regarding changes in civil society. The team would have preferred a similar workshop as during the baseline that would recapitulate the essence of the CIVICUS model and the content of each standard indicator developed. Although some members of the in-country team were also involved in the 2012 base line assessment, they and their new colleagues experienced a kind of “CS dimension shock” when these topics were not addressed during the workshop, where a lot of time was spent to work on the second evaluation question on contribution. A guidance sent later in the year was helpful but came late according to the Indonesian team.

The many appendices prepared for data collection and meant as a step-wise approach for the end line study, sometimes became a burden and a limitation when applied directly in collecting data. Like mentioned for the baseline study the questions sometimes limited the probing for information. In addition, in-country team members had to deal with the “CS dimension shock”.

The organisation of the entire MFS II evaluation did provide very little opportunities for SPOs to engage with the evaluation and to feel concerned. For many of the SPOs the evaluation does not provide a strategic value in terms of drawing lessons. This lack of ownership is felt more strongly with those SPOs that already ended their contract with the Dutch MFS II organisation and with those SPOs that due to high staff turn overs were confronted with past tense issues that they did not experience.

Some of the SPOs simply didn't care about the evaluation. This could have been anticipated if there had been a special workshop (for the directors, perhaps, and the CFAs) prior to the endline. Via such workshops, appointments and agreements could have been set, allowing the in-country teams to plan their time and schedule. What ended up happening was that many of the SPOs kept putting off appointments and this also affected the schedule of the team.

Many SPOs are unfamiliar with the CIVICUS framework and the in-country team tried to ease them into it by sending background information and the indicator questions regarding changes in civil society prior to the workshop. This was effective for some SPOs (Common Room, WARSI), but not very effective for LPPSLH, RUANGRUPA, and CRI. The latter three found it too difficult to answer these questions by themselves. Common Room, on the other hand dedicated a special discussion session to discuss the questions internally. The questions were however the same as those dealt with during the baseline and possibly high staff turnovers may also explain this “CS dimension shock”.

Fieldwork was sometimes inefficient since the in-country team assumed that each step (workshop, interview, drafting model of change, selecting outcome, finding evidences) would neatly fall into sequence and could be packed tightly within 4 or 5 days with strong commitment from the SPO. This often did not happen.



## Civil Society Scoring tool - baseline

Dimension	Outcome domains								What are factors (strengths, weaknesses) that explain the current situation?	
				Statements						
			Question	0	1	2	3	x		
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	Are NOT taken into account	Are POORLY taken into account	Are PARTLY taken into account	Are FULLY taken into account	Question not relevant, because .....		
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups, in particular marginalised groups in the analysis, planning and evaluation of your activities?	They are INFORMED about on-going and/or new activities that you will implement	They are CONSULTED by your organisation. You define the problems and provide the solutions.	They CARRY OUT activities and/or form groups upon your request. They provide resources (time, land, labour) in return for your assistance (material and/or immaterial)	They ANALYSE PROBLEMS AND FORMULATE IDEAS together with your organisation and/or take action independently from you.	Question not relevant, because .....		
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	No participation	You are occasionally CONSULTED by these bodies	You are a member of these bodies. You attend meetings as a participant	You are a member of these bodies. You are chairing these bodies or sub groups	Question not relevant, because .....		
organisation level of	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	No interaction at all	Networking - Cooperation: Inform each other; roles somewhat defined; all decisions made independently	Coordination - Coalition: ideas and resources shared; roles defined and divided; all have a vote in decision making	Collaboration: organisations belong to one system; mutual trust; consensus on all decisions.	Question not relevant, because .....		

Dimension	Outcome domains								What are factors (strengths, weaknesses) that explain the current situation?
				Statements					
			Question	0	1	2	3	x	
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	No interaction at all	Less than 2 times a year	Between 2 and 3 times a year	More than 4 times a year	Question not relevant, because .....	
	6	Defending the interests of marginalised groups:	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	No interaction at all	Networking - Cooperation: Inform each other; roles somewhat defined; all decisions made independently	Coordination - Coalition: ideas and resources shared; roles defined and divided; all have a vote in decision making	Collaboration: organisations belong to one system; mutual trust; consensus on all decisions.	Question not relevant, because .....	
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendans to workshops of other CSOs; costs for organisational growth and/or networking?	Depends on 1 international donor	Depends on few financial sources: one fund cover(s) more than 75% of all costs.	Depends on a variety of financial sources; one fund cover(s) more than 50% of all costs.	Depends on a variety of sources of equal importance. Wide network of domestic funds	Question not relevant, because .....	
Practice of Values	8	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	(financial) information is made available and decisions are taken openly	They fulfil their formal obligation to explain strategic decisions and actions	They react to requests of social organs to justify/explain actions and decisions made	Social organs use their power to sanction management in case of misconduct or abuse	Question not relevant, because .....	
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	Between 0-10 % of all members of the social organs	Between 11-30 % of all members of the social organs	Between 31-65 % of all members of the social organs	More than 65% of all members of the social organs	Question not relevant, because .....	

Dimension	Outcome domains		Question	Statements					What are factors (strengths, weaknesses) that explain the current situation?
				0	1	2	3	x	
				Never	Occasionally, upon request of funders	Periodically and regularly, because our external funder asks for it	Periodically and regularly, because it is part of our code of conduct	Question not relevant, because .....	
	10	External financial auditing	How regularly is your organisation audited externally?						
Perception of impact	11	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	Majority of target groups are NOT satisfied	Majority of target groups are POORLY satisfied	Majority of target groups are PARTLY satisfied	Majority of target groups are MOSTLY satisfied	Question not relevant, because .....	
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	You have not undertaken any activities of this kind	You have undertaken activities of this kind but there is no discernible impact	You have undertaken activities of this kind but impact is limited	You have undertaken activities and examples of significant success can be detected.	Question not relevant, because .....	
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	No direct interaction	You have been invited by public sector organisations for sharing of information	You have been invited by public sector organisations for regular consultations (but public sector decides)	Formal and regular meetings as a multi-stakeholder task force.	Question not relevant, because .....	
	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	No direct interaction	You have been invited by private sector organisations for sharing of information	You have been invited by private sector organisations for regular consultations (but public sector decides)	Formal and regular meetings as a multi-stakeholder task force.	Question not relevant, because .....	
	15	Influence upon public policies, rules, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	No activities developed in this area	Some activities developed but without discernible impact	Many activities developed in this area, but impact until so far has been limited	Many activities developed in this area and examples of success can be detected	Question not relevant, because .....	

Dimension	Outcome domains		Question	Statements					What are factors (strengths, weaknesses) that explain the current situation?
				0	1	2	3	x	
	16	Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	No activities developed in this area	Some activities developed but without discernible impact	Many activities developed in this area, but impact until so far has been limited	Many activities developed in this area and examples of success can be detected	Question not relevant, because .....	
Context Environmental	17	Coping strategies	In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	No analysis of the space and role of civil society has been done.	You are collecting information of the space and role of civil society but not regularly analysing it.	You are monitoring the space and role of civil society and analysing the consequences of changes in the context for your own activities. Examples are available.	You are involved in joint action to make context more favourable. Examples are available.	Question not relevant, because .....	

## Appendix 3 Civil Society Scores

This table presents the appreciation of the evaluation team regarding changes occurred for each indicator between 2012 and 2014 on a scale of -2 to + 2

- 2 = Considerable deterioration

- 1 = A slight deterioration

0 = no change occurred, the situation is the same as in 2012

+1 = slight improvement

+2 = considerable improvement

Dimension		Indicators	Question	Change
Civic engagement	1	Needs of marginalised groups	How does your organisation take the needs of your beneficiaries/target groups, in particular marginalised groups into account in your planning, actions, activities, and/or strategies?	+1
	2	Involvement of target groups	What is the level of participation of your beneficiaries/target groups, in particular marginalised groups in the analysis, planning and evaluation of your activities?	0
	3	Political engagement	How intense is your (individual staff or organisational) participation in locally-nationally elected bodies and/or sectoral user groups?	0
Level of organisation	5	Relations with other organisations	In the past 12 months what has been the most intensive interaction you had with other CSOs?	0
	5	Frequency of dialogue with closest CSO	In the past 12 months how many meetings did you have with the CSO that you have most intensive interaction with?	+1
	6	Defending the interests of marginalised groups	Which CSO are most effective in defending the interests of your target groups? In the past 12 months, how did you relate to those CSOs?	0
	7	Composition current financial resource base	How does your organisation finance institutional costs such as workshops of the General Assembly (if applicable); attendance to workshops of other CSOs; costs for organisational growth and/or networking?	0
Practice of Values	8	Downward accountability	To what extent can mandatory social organs (steering committee, general assembly, internal auditing group) ask your executive leaders to be accountable to them?	+1
	9	Composition of social organs	What % of members of your mandatory social organs belong to the marginalised target groups you are working with/for?	0
	10	External financial auditing	How regularly is your organisation audited externally?	0
Perception of impact	11	Client satisfaction	What are the most important concerns of your target groups? How do your services take into account those important concerns?	0
	12	Civil society impact.	In the past 12 months, what impact did you have on building a strong civil society?	0
	13	Relation with public sector organisations.	In the past 12 months, what interaction did you have with public sector organisations to realise your programme and organisations' objectives?	0
	14	Relation with private sector organisations	In the past 12 months, what interaction did you have with private sector organisations to realise your programme and organisations' perspective?	+1
	15	Influence upon public policies, rules, regulations	How successful have you been in influencing public policies and practices in the past 2 years?	0

	16	Influence upon private sector agencies' policies, rules, regulations.	How successful have you been in influencing private sector policies and practices in the past 2 years?	N/A
CS context t	17	Coping strategies	In the past 2 years, how did your organisation cope with these changes in the context that may have been positive or negative consequences for civil society.	1



# Appendix 4 Changes in civil society indicators between 2012 and 2014

## 1. Civic Engagement

### 1.1. Needs of marginalised groups SPO

NTFP-EP Indonesia considers forest-dependent communities like the Dayaks in Kalimantan to be marginalized by government and private sector actors. Concessions are granted to the public and private sector to exploit forest resources, leading to deforestation and threatening the livelihoods of communities. Under decentralization, local authorities are able to grant such concessions to release non-forest and even forest lands in favour of booming estate crops such as palm oil. In terms of approach and process, during the evaluation workshop, NTFP-EP claimed that they have taken the needs of their target groups into account. This claim has been confirmed by a member of a local partner organization in Malinau<sup>106</sup>.

During the 2012 baseline, NTFP-EP mainly supported community groups that produced NTFPs such as rattan, honey and natural dyes through livelihood support. During 2012-2014 period, NTFP-EP continued to support such community-based forest livelihoods, working on increasing access, value added through eco-certification and supporting the sales of NTFP products. In Kutai Barat District, for example, a group of women weavers has been helped to sustain their rattan supplies by introducing an eco-certification model through a regional body called 'Unit Rotan Lestari' that involved 20 members from the existing beneficiary group Bina Usaha Rotan from the Craft Kalimantan project supported by Cordaid. Overall, there was an increase in the number of community groups, people and villages covered by these initiatives. It should be noted that upscaling indigenous crafts initiatives was not supported by the Ecosystem Alliance although certification activities were.

Table 19

*The reach of NTFP-EP's livelihoods/income-generation support in Indonesia 2012-2013*

Year	# of community groups/enterprises supported	# of people involved	# of villages covered	NTFPs used	Reported sales (in Euros)
2012	30	1,254	68 villages	Bamboo, beeswax, rattan, honey, leaf fibre, natural dyes, water reed	66,623
2013	37	1,440	75 villages	Bamboo, rattan, honey, leaf fibre, natural dyes, water reed, honey and honey products, seeds, pandan	197,386.14
Difference	+7	+186	+7		+130,763.14

Sources: NTFP-EP for South & Southeast Asia Annual Reports 2012, 2013

In addition, NTFP-EP tried to take the needs of their beneficiaries up through the introduction of participatory land use mapping and advocacy for the recognition of eco-cultural mapping by the government. In Sintang District, known for longstanding land disputes with palm oil companies since 2007, NTFP-EP helped 4 villages conduct participatory mapping in 2013. In their reports, NTFP-EP mentioned that four eco-cultural maps had been prepared for Sintang district using participatory methods resulting in communities being more confident about their claims and possible recognition<sup>107</sup>.

<sup>106</sup>Interview with Nikolaus Boro SubanS, staff Lembaga Pemerhati dan Pemberdayaan Dayak Punan Malinau – LP3M, MFS II evaluation 2014

<sup>107</sup>NTFP-EP Third Technical Progress Report (1/1/2013 – 28/02/2014)", NTFP-EP)

In Malinau District, the community maps were presented to the District government for recognition of indigenous rights as well as “community-managed forestry” or *hutan kemasyarakatan*. However, until the end of 2014, legal recognition in the form of a district spatial plan and a decree from Ministry of Forestry, had not been issued by the authorities. NTFP-EP recognized that legal acknowledgement by the government of community maps may take longer than expected.

Based on the above findings the evaluation team rates that there has been an improvement in taking into account the needs of marginalized target groups.

## 1.2. Involvement of target groups SPO

NTFP-EP’s approach to ensuring quality participation of target groups (men and women, and youth) and other stakeholders has shifted. In the last two years, NTFP-EP’s engagement strategy focused more on supporting intermediary partner organisations to engage with beneficiaries. This shift has brought a risk of detaching from direct engagement with weavers and other producers. This approach is different with their engagement approach in 2012 when NTFP-EP used a beneficiary assessment in its project cycle management and Participatory Rural Appraisal (PRA) methods in the assessment phase.

In Kutai Barat, where NTFP-EP designed certification standards for forest products, weavers and producers did participate to some extent by providing inputs to work implemented by external consultants hired to develop standards. After developing certification standards for rattan, NTFP-EP established a regional management unit to oversee certification (Unit Rotan Lestari) with representation of a rattan producer group, Perkumpulan Petani dan Pengrajin Rotan (P3R), as product inspectors. This role has a function in monitoring the implementation of standards by women weavers. According to the Rotan Lestari document (April 2014), inspectors will verify whether production meets plans submitted by women weavers. Of note is that there are no women involved as decision-makers in the unit, despite their dominant role in production. Currently the women are not involved in Unit Rotan Lestari because it is their products which are being certified and controlled. However, NTFP-EP foresees a potential future role for the women weaver’s group if PGS is expanded to include other producer groups. The women weavers would then play a role in inspecting the products of other community groups.

Participatory eco-cultural zonation or mapping has addressed the needs of target communities, many of which were highly interested as they faced the encroachment of palm oil companies. Work on participatory mapping has relied on the ability of consultants and implementing partners to involve target groups. The participatory eco-zonation mapping in Sintang supported two kinds of involvement. The consultant engaged staff from the NTFP-EP-supported cooperative Jasa Menenun Mandiri in taking GPS coordinates and producing maps. Second, facilitators also involved community groups to clear forest paths, define borders between forest and cultivation areas, and adjusting Village Regulations as community recognition for participatory maps. Women were engaged in traditional roles such as preparing food for the community members conducting forest mapping.

The lack of engagement of women was also found in participatory land use mapping activities in Malinau. An interview with NTFP-EP’s partner, LP3M, revealed that the mapping process involved mainly village the village leadership, and to some extent youth were involved in GPS trainings, but women were relatively excluded in the process. The end line evaluation finds that there are similar concerns as during the baseline on equal participation of target groups, especially where gender is concerned.

In the evaluation workshop, NTFP-EP reported that the involvement of target groups in project activities has increased quantitatively as well as an expanded focus on engaging policy makers (See Indicator 4.3). The evaluation team has found evidence of involvement of target groups, however the level of that involvement seems to have varied in each location and was dependent on the performance of intermediary organisations. As such, we do not consider there to be an improvement since the baseline.

### 1.3. Intensity of political engagement SPO

NTPF-EP's strategy and partnership approach<sup>108</sup> shows that SPO is making a conscious effort to link their work on sustainable livelihoods with the political and economic dimensions of forest governance. In the baseline, advocacy efforts were mainly driven by local political needs such as collecting evidence and testimonies from the community to demonstrate to the head of districts (Bupati) that there were alternative options for boosting districts' economies and to convince local legislators that NTFP-EP's programmes were in line with district development plans and/or Bupati visions for indigenous peoples. National level political engagement mainly targeted the Ministry of Forestry and is being implemented in collaboration with other CSOs such as KKI-Warsi, Yadupa Papua, Telapak, Gita Buana Foundation and Mitra Insani Foundation.

At the district level, there is no particular strategy for political engagement other than obtaining buy-in and recognition of local authorities of community maps and certification. The main strategy has been to invite district offices to workshops and meetings and expose them to NTFP-EP's model. In Kutai Barat, NTFP-EP worked with the Departments of Trade and Forestry and has managed to engage them in the unit that manages certification standards. These results were attainable because of the relations that had been established through the Craft Kalimantan project since 2008, which the new initiative simply continued (this included monthly meetings with the government).

There is no fundamental change in terms of NTFP-EP's political engagement as there have been no significant changes to local forest governance: the community eco-cultural zonation has not yet been legalized by the government. There was a district regulation issued in Malinau District that acknowledges the indigenous people rights on forest (Perda No. 10/2012), but this regulation was issued in 2012 (baseline period) and according to the website of the Provincial Forest Department, the main actors that were responsible for lobbying for the regulation were AMAN, Komnas HAM, and WWF<sup>109</sup>.

What has changed is that there seems to be more resistance amongst political power holders to community-managed forestry. For instance, NTFP-EP, through its network in Sintang, has been working to encourage the head of district to issue a letter instructing village heads and the sub-district to prioritize community access to forest resources given the ongoing conflict and tension with palm oil companies. However, the head of district instead issued a letter to the community warning them against provoking palm oil companies<sup>110</sup>. LP3M, NTFP-EP's implementing partner, also reported that although many meetings had been organised with local authorities to lobby them to adopt the participatory forest zonation resulting in positive government feedback, there has been no concrete follow up in terms of action and regulations by local authorities specific on eco-cultural zonation.

## 2. Level of Organisation

### 2.1 Relations with other organisations SPO

The baseline reported that NTFP-EP manages multi-level CSO networking. In the 2012-2014 period there has been no fundamental change in the SPO's CSO relations. There is a slight change in the strategy of collaboration. Three current strategic levels are identifiable: 1) NTFP-EP's relations with community-based organisations and enterprises to expand and scale up NTFP production and management; 2) NTFP-EP's engagement with local NGOs as implementing partners, and; 3) collaboration with organisations working on similar issues at the grassroots, national and regional level.

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<sup>108</sup>Engagement with KKI-Warsi, Yadupa Papua, Telapak, Gita Buana Foundation and Mitra Insani Foundation to strengthen their advocacy and be a part of the ASEAN Social Forestry Network

<sup>109</sup>Dinas Kehutanan Jabar, "Hutan Adat dalam Tumpukan Penguasaan Hutan". Available from <http://dishut.jabarprov.go.id/?mod=detilBerita&idMenuKiri=&idBerita=3655> (accessed 15 December 2014)

<sup>110</sup>The head of district letter could not be found during the evaluation, but there is a consultant report/notes of the results of a community meeting with the villages of Ensaid Panjang and Kelumbik on 26-27 July 2013.

Collaboration with grassroots organisations continued, such as community cooperatives and NGOs that are linked to the Craft Kalimantan initiative as shareholders of Borneo Chic, the marketing division of PT Lamin Betang. These Kalimantan-based organisations include Jasa Menenun Mandiri Cooperative, Yayasan Petak Danum, Yayasan Riak Bumi, and Yayasan Dina Tama. Together, since 2011 these organisations have worked to stimulate the production and sales of community forest products through a high-end retail store based in Jakarta<sup>111</sup>. At the same time, NTFP-EP has worked with Jasa Menenun Mandiri Cooperative on community land use planning. This effort is helping to protect natural dyes found in the forest area that are also a main input to producing woven products (tenun ikat).

With regards to the second strategic level identified above, NTFP-EP subcontracted work to NGOs and networks, including *Jaringan Madu Hutan Indonesia* (JMHI), LP3M, *Aliansi Organik Indonesia*, and the Participatory Mapping Network (JKPP). For example, NTFP-EP together with Riak Bumi, began work with *Jaringan Madu Hutan Indonesia* (JMHI) in locations around Sentarum Lake, West Kalimantan<sup>112</sup> and an expansion to Berau Barat District in 2014<sup>113</sup>. This is part of an effort to upscale community-based forest livelihoods. Of note is that NTFP-EP's director is also a member of JMHI's board. Similarly, NTFP-EP organised rattan producers under the Rotan Lestari Indonesia (Indonesian Sustainable Rattan Initiative) launched in March 2012, which also systematizes certification under the Participatory Guarantee System.

With regards to the third level of organisation, NTFP-EP's engagement strategy is generally issue-based. For example, NTFP-EP was able to initiate eco-certification by enlisting the assistance of national networks such as *Aliansi Organik Indonesia* (AOI), *Lembaga Ekolabeling Indonesia* (LEI), and CIFOR, as well as international networks with Keystone India and NTFP-EP Philippines. NTFP-EP is also a part of several networks that work to advance the rights of communities by attaining recognition for indigenous communities and 'hutan desa' or village/community forest. Through networks such as *Forum Komunikasi Kehutanan Masyarakat* (FKKM), and the Working Group on Indigenous Community Conserved Areas (ICCAs), NTFP-EP engages with AMAN, KKI-Warsi, Sawit Watch, HUMA, JKPP, KIARA, Forest People Program, WALHI and WWF Indonesia. In Indonesia, ICCAs are advancing progressively as the role of Customary Territory Registration Body (*Badan Registrasi Wilayah Adat* or BRWA) has become crucial to the formal registration and recognition of indigenous, communal lands that have been documented and mapped<sup>114</sup>. In advocacy works, NTFP-EP also collaborates with other environmental NGOs like Sawit Watch and Telapak for national advocacy.

At the regional level, NTFP-EP continued to work with the ASEAN Social Forestry Network (ASFN), a network in South East Asia which focuses on issues of social forestry and climate change. NTFP-EP was involved actively discussions on these issues, encouraging the mainstreaming of NTFP management into policies of the Indonesian Government, through the Ministry of Forestry. NTFP-EP Indonesia also benefited from exchanges organised by the NTFP-EP regional network.

## 2.2. Frequency of dialogue with closest civil society organisation SPO

There has been a slight improvement was in the frequency of dialogue with NTFP-EP's closest civil society partners. In the baseline, NTFP-EP worked intensively with four NGOs in Sanggau (Yayasan Dian Tama), Lake Sentarum (RiakBumi), Sintang (Koperasi Jasa Menenun Mandiri) and with Kapuas (Petak Danum Foundation) with quarterly visits to these NGOs. In the last two years, NTFP-EP continued to manage quarterly meetings with partners in Malinau, Sintang, Berau Barat and Jakarta and expanded collaboration. Other forms of collaboration that took place in the 2012-2014 period included cross visits involving community members and LP3M (hosted by WARSI) and learning exchange, as well as taking part in annual Ecosystem Alliance meetings. The SPO also helped to organise annual Bina Usaha Rotan meetings as a venue for dialogue. In Jakarta, NTFP-EP helped to

<sup>111</sup>NTFP-EP. 2011. *Craft Kalimantan Narrative Report*, NTFP-EP, 2011. Supported by Cordaid

<sup>112</sup>Earlier engagement with Yayasan Padi in Paser District was not successful. In response, NTFP-EP began to engage with JMHI.

<sup>113</sup>Jaringan Madu Hutan Indonesia, "Survey potensi madu hutan di Kabupaten Berau", 23 August 2014. Available from <http://www.jmhi.info/?p=149> (accessed 10 November 2014)

<sup>114</sup>Non-Timber Forest Products, "Calendar". Available from [www.ntfp.org](http://www.ntfp.org) (accessed 10 November 2014); [www.ntfp.org](http://www.ntfp.org), ICCA calendar (Indonesia)

host ICCA working group meetings with eight NGOs (HuMA, AMAN, YKPP, WWF, Sawit Watch, Pusaka, KIARA, and WALHI), which also served as opportunity to exchange ideas and other lessons with ICCA members. Regular collaboration also took place with NGOs base in West Kalimantan, such as Titian, Gemawan, and WWF.

### 2.3. Defending the interests of marginalised groups SPO

NTPF-EP's main strategy to defend the interests of community members remained the same over the 2012-2014 period. This strategy entails: 1) linking forest-based communities to a broader market networks and providing capacity building activities such as training in production and marketing (branding), organizing exhibitions etc.; and 2) implementing Hutan Desa schemes similar to what WARSI has done in Sumatra and advocating for the government recognition of customary land and granting forest management rights to communities.

Unfortunately, in the last two years, interventions have not yet led to high-level results. With regards to the livelihood strategy, certification and exhibitions have increased the visibility and appreciation for products produced by NTFP-EP communities. But certification schemes are not yet fully viable, especially for rattan and honey because further testing is required for the Participatory Guarantee System (PGS) and honey production has not been consistent due to unpredictable weather patterns. Activities and outputs geared towards this objective were also postponed. The idea to upscale and ecologically "upgrade" community-based forest livelihoods (honey) in Kapuas Hulu and Paser, for example, was postponed due to lack of raw materials. Women rattan basket weavers may be getting slightly more (€ 80 per month) for their raw products, which are then further styled and sold through Borneo Chic, but there are no changes yet in the market structure and rattan basket production is not yet a dominant source of income generation.

Similarly, expected results from the eco-cultural mapping on land/forest boundaries in Sintang and Malinau were not fully achieved. Results of participatory mapping were presented to the local authorities, but there was no follow up by the government to recognize these maps. More resources (time, specialized advocacy personnel, intensive lobby efforts at the district, provincial and national levels) are needed for this to be realized.

During the workshop with NTFP-EP, staff acknowledged that there was no change in defending the interest of marginalized groups.

### 2.4. Composition financial resource base SPO

In the 2011-2013 period, NTFP-EP Indonesia's funding has come from external sources with three major donors (IUCN Netherlands, Cordaid, and the European Union). Together these three donors contributed to more than 62 percent of the SPO's resource base. The remaining resources came from other donors, including PT Lamin Betang (subsidiary of Borneo Chic). The dependency on external donor support remains the same in 2014. It should be noted however that NTFP-EP considers the greater independency of NTFP-EP as a separate, registered foundation to be critical in terms of achieving a better financial resource base. However, income-generating activities that were expected to support NTFP-EP Indonesia to become more self-reliant were not realized in the 2012-2014 period and the board members have struggled to raise funds<sup>115</sup> although some additional funds from Cordaid were secured. This dependency on external donors is also reflected amongst NTFP-EP's implementing partner organisations and their end beneficiaries. Honey farmers and rattan groups have not been able to sell more because of certification, although the prices they fetch have increased slightly. NTFP-EP Indonesia is exploring possible support from the Swedish Society for Nature Conservation (SSNC) to continue alternative certification for rattan. Fair Trade Furniture UK has also expressed an interest in testing PGS rattan.

It is also of interest to note that NTFP-EP reported in 2013 that Borneo Chic recorded a 25 percent increase in sales of community-produced crafts. Although initial discussions on a profit-sharing

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<sup>115</sup>Interview with Tarigan, NTFP Executive Director, 7 October 2014.

mechanism with women weavers have taken place, Borneo Chic will need to find and maintain a sustainable market for community crafts before nett profits are reinvested into the communities.

### 3. Practice of Values

#### 3.1. Downward accountability SPO

Since the baseline, NTFP-EP Indonesia as an independent organization has grown due to the 2012 institutional transformation. There are now 11 staff (from four staff in 2012) and there is a clearer decision-making process and accountability mechanism. NTFP-EP Indonesia has been able to adopt business processes from the previous institutional set-up, which was run out of the Philippines. But there has been a significant overhaul, so to speak, from a project-based initiative under NTFP-EP regional, to an independent institution. NTFP-EP has put in place all mandatory social organs (board of trustees, supervisory board, and executive) and this structure allows for better accountability and internal control mechanisms compared to the baseline situation.

Oversight and supervision are now legally the responsibility of the foundation's board of trustees, following the Indonesian regulation on foundations (Law No/16/2001). However, during the workshop with NTFP-EP, staff implicitly mentioned that the board is not as active as they would have hoped, partly because they are geographically dispersed. Annual meetings are conducted nonetheless. In addition to accountability procedures not following government regulations, there is also regular donor oversight. This, according to NTFP-EP's management signifies an improvement from the baseline situation.

However, the evaluation team notes that the director of NTFP-EP is also on the board of JMHI, and since JMHI is one of the grantees, this could potentially become a conflict of interest.

Also, downward accountability of Borneo Chic to its producers could be improved so that producers are more aware of profit-sharing mechanisms. Initial discussions on the matter have taken place, but ideally information pertaining to financial reports should be available to the public.

#### 3.2 Composition of social organs SPO

With NTFP-EP transforming into a foundation in 2012, its organizational structure and diversity of social organs have changed significantly. First, the law regulating foundations in Indonesia requires for a board of trustees, supervisory board, and an executive body to be established. This has been done in accordance with the law. Board members (50 percent of whom are women) are representatives from various professions (a professor of Social Forestry, the director of a website that publishes environmental news and an activist and founder of ASPUK). The supervisory board also has representatives from the private sector (the directors of Martha Tilaar Inc. and Dian Niaga) and honey expert. There are no representatives of target groups like the Dayak in the board, which is made up of people from outside Kalimantan. The executive director is aware of this situation and NTFP-EP plans to add a Dayak native to the board.

#### 3.3. External financial auditing SPO

On external financial auditing, since its establishment as an independent foundation, NTFP-EP has not been audited externally as an organization. They have, however, been audited for donor-funded projects as was the case with European Union in 2013 and Swiss funding in July 2014.

### 4. Perception of Impact

#### 4.1. Client satisfaction SPO

NTFP-EP has not measured the satisfaction of its beneficiaries and it is beyond the scope of this evaluation to carry out such an assessment. There are monitoring instruments in place to track the

income generated from craft production and sales. But there are no instruments to monitor the satisfaction of target groups, such as whether villages are satisfied with participatory mapping. From NTFP-EP's regular income monitoring of targeted households and the group businesses, there is an increased income from crafts production and sales. However the income improvements are not yet significant if we calculate per capita income, i.e. around € 5 per month per capita in the last 24 months. Women weavers only make minimal additional profits by selling certified bags and baskets to Borneo Chic. Through PGS certification, the purchase price of semi-finished rattan handicraft products increased by 20-30 percent. However, craft production is not their main source of livelihood, thus the money made is probably considered as a bonus.

In the absence of client satisfaction data, the evaluation team can only assess the satisfaction of NTFP-EP's local partner organisations and projects such as LP3M, Craft Kalimantan, and JMHI. LP3M and Craft Kalimantan staff expressed their satisfaction with project activities and technical assistance provided by NTFP-EP. However, this satisfaction seems limited to how NTFP manages the project activities rather than substantive satisfaction with the results achieved. This activity-level satisfaction is echoed by NTFP-EP staff, who measure satisfaction of beneficiaries with community acceptance of their activities and their attendance and participation in meetings and interventions<sup>116</sup>. NTFP-EP is also well aware that positive reception by the community has also been due to the fact that the project has not started from zero; community relations were in place before 2011.

#### 4.2. Civil society impact SPO

Since 2012, NTFP-EP has actively and extensively networked with other CSOs, bringing them together to develop certification standards as well as to conduct and lobby for community recognition of forest and NTFP management. Collaborative efforts with other CSOs to improve the position of small-scale producers and indigenous groups vis-à-vis the government's concession regime have not led to significant achievements. It seems that all NTFP-EP's efforts require more time and resources to fully bring them to fruition.

There are some results worth mentioning, although they are not yet scalable. First, it is clear that communities who are threatened by palm oil expansion have responded well to the mapping efforts. For villages it is a way to record and communicate their claims to land and resources, which they can then use to refute and reject plans to expand the production area of estate crops. In some villages, village regulations have been issued as an initial step. In Sintang, the mapping exercise resulted in the discovery of natural dyes in the customary forest, which are threatened by palm oil expansion. The findings were presented to the district as a means to advocate for the protection of the forest area.

Second, the Participatory Guarantee System (PGS) and the Rotan Lestari Certification Standards should provide value added to rattan. The certification process and standards have been tested in two districts and Rotan Lestari Indonesia (Indonesian Sustainable Rattan Initiative) was launched in March 2012. NTFP-EP ensured multiple stakeholders were engaged, including community groups (Bina Usaha Rotan/BUR in Eheng Village), Yayasan Setara, Aliansi Organik Indonesia (AOI), Lembaga Ekolabelling Indonesia (LEI) and the Ministry of Forestry. NTFP-EP supported BUR in Kutai Barat to pilot PGS and brought in local partners like AMAN and P3R to support the farmers.

NTFP-EP continued supporting the Jaringan Madu Hutan Indonesia (JMHI) for similar standardization and certification efforts. In addition, local partners of NTFP-EP, Yayasan Dian Tama, Yayasan Petak Danum, Jasa Menenun Mandiri Cooperative and Yayasan Riak Bumi set up a Limited Company (PT Lamin Betang) to continue Craft Kalimantan and Borneo Chic. This strategy has successfully stimulated the production and sales of community forest products, with a reported 25 percent income increase for Borneo Chic in 2013.

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<sup>116</sup>Eco-Certification staff mentioned this during the workshop.

#### 4.3. Relation with public sector organisations SPO

NTFP-EP's main focus has been on raising the concern for sustainable NTFP management and forestry issues. Overall, NTFP-EP claims that relations with the national-level government (Ministry of Forestry and Ministry of Trade) have improved. NTFP-EP coordinates what they call the social forestry team, which is made up of NTFP-EP, Warsi and HuMA and is engaged nationally with the aforementioned ministries. This is funded through the ASEAN Swiss Partnership for Climate Change Project, for which NTFP-EP is the regional coordinator.

The relationship with the sub-national government is acknowledged to be "stagnant" due to unfavourable external political dynamics, especially in Sintang District. In Kutai Barat, NTFP-EP and its partners have had more conducive relations with the Department of Industry, Trade and Cooperatives (Disperindagkop) and the Forest Department in the area of PGS certification. This resulted in Disperindagkop becoming a member of the executive team within Rotan Lestari Unit. Another stakeholder involved in developing certification standards was the Department for Plantation, Food Crops, Livestock and Fisheries of West Kutai.

In the last two years, NTFP-EP has been working more intensively in participatory eco cultural zonation. Their eco cultural zonation activities have put them in close interaction with the government, but there is no materialised support received from the government and no acknowledgement by the government on the community map. NTFP-EP and its partners have tried to build relations with stakeholders involved in recognizing community maps. However, both in Sintang and in Malinau, the government was largely unresponsive. NTFP-EP described their relations as being "flat". The district head of Sintang has not been supportive, while support for the Department of Culture and the Department of Cooperatives in both districts has relied on personal commitment. Support from the government is still mainly in the form of complying with workshop invitations. This lack of response from the government has been despite regular dialogue through NGO networks and in a joint working group on forest tenure that works to pressure and encourage the Ministry of Forestry.

#### 4.4. Relation with private sector agencies SPO

During the baseline, the relation with private sector was still limited the supply side, i.e. NTFP working with communities to supply NTFP products and improve the production quality. While continuing to work in similar areas, NTFP-EP also expanded to influencing the value chain through PGS certification. Although still in its infancy, PGS Lestari Rotan is providing value added. NTFP-EP established a management unit for certification in 2014, engaging both public, community and NGO actors. This unit delivers certification services that are participatory. There is no sufficient information on the effectiveness of the certification and whether newly established links with the private sector will benefit the communities because the system has not yet been adopted and put to full-scale use. Nonetheless, community groups like BUR were able to participate in more national and international exhibitions (such as the International Folk Art Market in Santa Fe, New Mexico) that are helping to expand their market access. One of the BUR members expressed her satisfaction over the amount of exposure the group has enjoyed since the eco-certification project was initiated.

Another successful intervention was the facilitation of JMHI to comply with the Indonesian National Standards (SNI) from the Ministry of Forestry. This was possible through support from Dian Niaga, a small company, whose director is on NTFP-EP's supervisory board. Marketing links have been created with PT. UKMI and Amway for the sale and distribution of honey. JMHI has also established links with cosmetic company, L'Oreal.

These examples illustrate that where there is significant traction and interest in a particular product, NTFP-EP can help facilitate linkages between community and producer networks with private sector actors, including compliance with market demands – whether this is in the form of eco-certification or meeting required standards.

#### 4.5. Influence upon public policies, rules, regulations SPO

NTFP-EP is aware that their work depends on public policies, and as such they have continued to conduct policy advocacy through different approaches, which include influencing the agenda-setting of



public debates and influencing policy formulation by presenting evidence and proposals that are based on empirical data collected. NTFP-EP, through eco cultural zonation conducted with the community, has tried to influence land-use planning (spatial plans). Community maps have been presented to district authorities, who have not yet recognized community claims and proposals. Through FKKM (Forum Komunikasi Kehutanan Masyarakat), NTFP-EP has been active in influencing the agenda setting in community forestry issues in the form of multi-stakeholder focus group discussions and sharing evidence. However, there have been no tangible successes beyond agenda setting.

At the national level, NTFP-EP continued to coordinate with key actors such as CIFOR, WALHI, WWF and other environmental NGOs and those involved in the ICCAs platform. These efforts have been geared towards influencing the Ministries of Forest and Trade to mainstream NTFPs and support community efforts. There have been no distinct policy changes that NTFP-EP has contributed to since the baseline.

#### 4.6. Influence upon private sector agencies' policies, rules, regulations SPO

This indicator is not applicable for NTFP-EP.

## 5. Civil Society context

### 5.1. Coping strategies

The establishment of NTFP-EP Indonesia (as an Indonesia-based foundation) can be seen as a strategy to cope with changes in funding opportunities where foreign aid is decreasing. This strategy seems appropriate to mobilise domestic funds from private sector (through CSR) and the government, as well as potentially benefiting from the REDD+ initiatives being undertaken in the country (which include Central Kalimantan as a priority area).

Small-scale producers have been pressured by market demands and protectionist trade policies. Effective since 2012, the export ban on raw rattan products has had implication on the livelihoods of rattan collectors and small-scale producers. As in 1986, when a similar policy was put in place, the ban has resulted in lower demands and prices - even for sustainable rattan; and has had negative impacts on revenues and profits<sup>117</sup>. Producers are paid lower prices for rattan since the raw product is no longer being exported and there is more domestic supply. Indonesia is the world's largest supplier of rattan and policies that ban the export of un- and semi-processed rattan may put the industry at risk as well as jeopardize forests.

Meanwhile there are greater demands for legal and certified rattan products on the international market, requiring the traceability of the product<sup>118</sup>. In Kalimantan, there is significant potential for rattan but producers have generally been unable to compete with the monopoly the market by large furniture producers in Java<sup>119</sup>.

Given these conditions, one of the coping strategies of NTFP-EP was the hosting of a collaborative workshop with the Forest Department of Kutai Barat District, Department of Industry and WWF Indonesia on schemes and systems for sustainable rattan in January 2013. The aim of this workshop was to spark an interest in sustainable rattan certification and resulted in the establishment of the

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<sup>117</sup>Trade Sift, "Are Indonesia's proposed export taxes and export bans a good idea?," January 2013.

Available from

[http://www.tradesift.com/%28S%28wmuz3cenp2vkwz45utegx5y1%29%29/%5CReports%5CTradeSift%20Sample%20Report\\_Are%20Indonesia%27s%20proposed%20export%20taxes%20and%20export%20bans%20a%20good%20idea\\_January%202013.pdf](http://www.tradesift.com/%28S%28wmuz3cenp2vkwz45utegx5y1%29%29/%5CReports%5CTradeSift%20Sample%20Report_Are%20Indonesia%27s%20proposed%20export%20taxes%20and%20export%20bans%20a%20good%20idea_January%202013.pdf) (accessed 25 October 2014)Trade Sift.

<sup>118</sup>WWF Indonesia, "Indonesia profit from greater Mekong Rattan programme", 1 November 2011. Available from <http://www.wwf.or.id/en/?23542/wwf-indonesia-hadiri-lokakarya-rotan-lestari-di-vientiane-laos> (accessed 10 November 2014) <http://www.wwf.or.id/en/?23542/wwf-indonesia-hadiri-lokakarya-rotan-lestari-di-vientiane-laos>

<sup>119</sup>Meijaard, E., Achdiawan, R., Wan, M., and Taber, A. 2014. Rattan: The decline of a once-important non-timber forest product in Indonesia. CIFOR Occasional Paper No. 101. Bogor, Indonesia: Center for International Forestry Research (CIFOR)

Rotan Lestari Unit in Kutai Barat and the development of a certification plan. Certification schemes give added value to products, but involve high transaction costs to put in place and are often inflexible. NTFP-EP has introduced an alternative to third-party certification through the Participatory Guarantee System (PGS), which has been tested and applied in a number of countries including New Zealand, India and Brazil. PGS is a simple method that can be implemented by farmers themselves. "The system enables organic farmers to obtain certification without having to take on the burden of expensive third party audits<sup>120</sup>." PGS certification costs are said to be 10-50 percent lower than third party or international schemes<sup>121</sup>.

According to NTFP-EP, alternatives are needed to the Ministry of Trade's regulation banning exports of raw rattan, which may have positive economic impacts but restricts market access for rattan farmers. "Possibly certified PGS rattan can ensure government and private sector players that sustainably produced rattan is available for sale and can assuage fears that export of rattan will lead to depletion of the resources<sup>122</sup>". Another response of NTFP-EP has been its active involvement in multi-stakeholder forums such as FKKM, Yayasan Setara, and AOI, which support, promote and advocate community forestry and improvements in policies, as well as partnering with CIFOR. More extensive engagement with Yayasan Rotan Indonesia strengthened advocacy and coordination with the Ministry of Forestry on rattan policy issues in 2013.

A constitutional court decision in 2013 recognized that the customary forests (*hutan adat*) no longer fall under state control. NTFP-EP has recognized that this is an opportunity for communities it supports to gain tenurial rights, but is also aware that there are still lengthy procedures involved in implementing this policy change. In addition, district heads and the Ministry of Forestry (merged with the Ministry of Environment in 2014) have not been receptive to the constitutional court decision. Other challenges in enforcing this law pertain to the formalization of land use plans and their inclusion into spatial plans, where customary areas have been historically been absent. Ignoring the tenurial rights of customary forest groups spurs poverty, hinders economic development, and deters environmental stewardship. NTFP-EP efforts to help communities develop maps and land use plans are strategies that can help address these issues. But, NTFP-EP and its partners need to work more politically and strategically on this issue as none of community eco-cultural zonation initiatives have been acknowledged by the government. However, a lessons learned from the project is that government ministries must provide further clarity on how community plans will be incorporated into the formal spatial planning process. More political space may open up in the future under the newly elected administration and through the support of large REDD programmes in Indonesia.

NTFP-EP Indonesia's support is shifting *from* direct community interventions that include providing livelihoods assistance and community resource mapping *to* place more emphasis on upstream, policy advocacy engagement. This means that NTFP-EP is relying more on intermediary organisations to conduct grassroots, community level work and this strategy is chosen as a part of strategy to strengthen local CSOs. NTFP-EP sees itself as a convener of actors at the national level. In area where local capacity is considered weak, NTFP-EP continues to work directly on the ground. This institutional adjustment is suitable considering NTFP-EP's strengths. Given that the SPO relies on a host of implementing partners for downstream work, it should be able to capitalize on the partnerships it has created with local NGOs for use in policy dialogues, influencing tenure issues, and working on markets for NTFPs. This shift will require different capabilities which the SPO does not yet fully command.

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<sup>120</sup>Analog Forestry Network, "Analog Forest: e bulletin by IAFN – Bulletin # 5. May 2013". Available from [http://www.analogforestrynetwork.org/newsletter/eng/bulletin\\_5\\_complete.html](http://www.analogforestrynetwork.org/newsletter/eng/bulletin_5_complete.html) (accessed 13 November 2014)

<sup>121</sup>"PGS Rattan: Not Just Another Label", NTFP-EP. Available from Indonesia. Available: [http://www.ntfp.org/ntfpadmin/publications-pdf/Rattan\\_PGS.pdf](http://www.ntfp.org/ntfpadmin/publications-pdf/Rattan_PGS.pdf) (accessed 13 November 2014)

<sup>122</sup>Ibid



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