



# **CIFOR-EC DG DEVCO Programme (2017–2020)**

## **Sustainable forested landscapes: livelihoods, governance, markets and climate resilience**

**A concept note prepared by the Center for International Forestry Research (CIFOR) for the European Commission's Directorate General for International Development Cooperation (DG DEVCO)**

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## 1. INTRODUCTION

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In 2008, the European Commission's Directorate General for International Development Cooperation (DG DEVCO) Sustainable Growth and Development (C), Environment, Ecosystems, Biodiversity and Wildlife (C2) commissioned the Center for International Forestry Research (CIFOR) to undertake the following three major global projects (click each to read more on CIFOR's website):

- [Bioenergy, sustainability and trade-offs: Can we avoid deforestation while promoting bioenergy?](#)
- [Policy and regulatory options to recognize and integrate the domestic timber sector in tropical countries](#)
- [Opportunities and challenges to developing REDD+ benefit sharing mechanisms in developing countries](#)

The main scope of the work and results from CIFOR and partners were as follows:

- Applied research was conducted assessing the impacts associated with the expansion of bioenergy feedstocks including oil palm, sugarcane and Jatropha in six countries (Indonesia, Malaysia, Brazil, Mexico, Cameroon and Tanzania). CIFOR provided evidence of direct and indirect land-use changes, changes in land governance regimes, and the variable socio-economic and environmental impacts of biofuels, including carbon payback times. We issued a number of policy recommendations, for example, the need for full carbon accounting of biofuels and promoting responsible investments.
- Policy support was provided to the EU's FLEGT Action Plan and Voluntary Partnership Agreements (VPA) and negotiations in the following countries: Cameroon, the Central African Republic (CAR), the Republic of Congo, the Democratic Republic of Congo (DRC), Ecuador, Gabon, Indonesia and Côte d'Ivoire<sup>1</sup>. This included generating an evidence base on the domestic timber sector, which is large and economically vibrant, but generally informal and ignored in current legal frameworks. CIFOR has been working to raise the profile of the informal domestic timber sector to policymakers and propose policy options and scenarios for integrating this sector more effectively into VPA agreements.
- REDD+ benefit-sharing policy options and lessons were produced based on national contexts and policy priorities to support the design of effective, efficient and equitable REDD+ outcomes. These have been shared at both global and national levels in Brazil, Cameroon, Indonesia, Peru, Tanzania and Vietnam.

### **Working Together: Building on Past Success and Lessons Learned**

CIFOR has built a reputation locally, nationally and globally as a non-partisan knowledge partner. We are recognized for high-quality analysis, independent thinking, capacity development and technology transfer directed towards policy engagement and policy change related to forest landscapes.

CIFOR has a strong track record in implementing DG DEVCO-funded initiatives that have helped to advance DG DEVCO's environment and natural resources thematic programme (ENRTP).

Lessons learned from this work are directly applicable to the proposed programme. These include:

- the need to promote greater synergies between different instruments (e.g. FLEGT-VPA, REDD+, FSC, CITES, EITI, etc.)
- the benefits of deepening engagement with new multi-stakeholder platforms
- the need for regular real-time policy analysis and briefs from ongoing research

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<sup>1</sup> CIFOR, with grants not funded by the European Union, has also worked on these issues in CAR and Republic of Congo. Similarly, work in Cote d'Ivoire on related research started after closure of PROFORMAL.

- the advantages of broadening institutional partnerships to adopt a systems approach that links supply and demand interventions on work related to FLEGT
- the necessity of contributing to the development and operation of simplified impact monitoring systems of e.g. VPAs.

Building on the achievements and the lessons learned from the DG DEVCO–CIFOR collaboration, this concept note describes a new programmatic framework (hereinafter called “the programme”) that will enable CIFOR and its partners to support development, environment and climate change objectives under the EU’s Global Public Goods and Challenges Program (GPGC).

The programme will produce scientific outputs, but more importantly, will contribute directly to actionable policy recommendations. This will be achieved through properly designed theories of change, state-of-the-art monitoring, evaluation and regular interaction with the European Commission (EC) and other policy-makers at various levels. The overall aim is to contribute to the development objectives of the EC.

## 2. PROGRAMME DESCRIPTION

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The programme addresses key knowledge gaps related to sustainable forest and land-use management. Focusing on the interface between forest resources and food security to address poverty, livelihoods and climate resilience, it aims to develop capacity and promote practical policy dialogue in targeted countries. As such, the programme will create opportunities to link global work to national development strategies. Led by CIFOR, it will support activities under the Environment and Climate Change Strategic Area of the GPGC, specifically Flagship 2 Biodiversity for Life Initiative (B4LIFE) and Flagship 4 FLEGT.

Based on earlier discussions with DG DEVCO C2 and partners, CIFOR proposes the following six strategic areas:

1. Impacts of commodity-based agribusiness and smallholder production on forests and people’s livelihoods
2. EU FLEGT Action Plan and monitoring the impacts of VPAs and associated development agendas
3. Innovative financing for sustainable land use
4. Forestry and food security – the role of foods from the forests
5. Woodfuel value chains and markets
6. Governance and management of protected areas

### **Strategic Area 1: Impacts of commodity-based agribusiness and smallholder production on forests and people’s livelihoods**

**Context:** Much of the deforestation taking place in sub-Saharan Africa cannot be solely attributed to the development of large-scale plantations, but is rather associated with the expansion of diversified smallholder production systems. Public and private sector responses to halt deforestation have, to date, involved the development and adoption of a host of targeted hard and soft regulations to enhance the sustainability of commodity supply (e.g. voluntary certification, trade standards, corporate zero deforestation commitments). Because these approaches are commodity centered and are often inaccessible to smallholders, they are unlikely to make significant contributions to containing deforestation in sub-Saharan Africa. Therefore, there is a need to explore alternative governance options that look beyond commodity-specific interventions and embrace more complex territorial dynamics. To support this, better business models that support smallholder diversified production systems are required.

The need to improve the governance of international production to consumption systems (PCSs) and promote a transition to more inclusive business models is increasingly important. The way in which

international demand for agricultural commodities from sub-Saharan Africa has impacted actual land use transitions and livelihoods strategies on the ground remains poorly understood. Thus, the production-side dynamics of PCSs need to be further investigated. In particular, we need to better understand the role of different types of commodities, capital sources and actors in driving deforestation, and how these dynamics are shaped by local political economies of production and resource use. This knowledge will enhance the coherence between supply- and demand-side interventions.

**Approach:** This Strategic Area will generate evidence on the impacts of international trade and investment in agricultural commodities on forests and people’s livelihoods in Cameroon, Ghana and Mozambique. The focus will be on selected export crops that significantly contribute to direct forest conversion in deforestation hotspots, but constitute an important option for economic development (e.g. soy, pineapple, cocoa and oil palm). Evidence produced under this Strategic Area will help identify suitable governance options and business models. These will enable both producer and consumer governments to increase the sustainability and inclusiveness of agricultural PCSs.

### Strategic Area 1 - Summary

<b>Activities</b>	<ul style="list-style-type: none"> <li>• Complete an inventory and analysis of existing spatial datasets on temporal land-use change patterns in Cameroon, Ghana and Mozambique and country-disaggregated data on deforestation embodied in international trade and consumption</li> <li>• Conduct research in at least four deforestation hotspots in each country to quantify the impact of different agricultural commodities and end markets on deforestation</li> <li>• Analyse the dynamics and governance of select PCSs in at least two deforestation hotspots per country, including the role of different types of actors, markets, and capital sources in driving expansion</li> <li>• Identify alternative governance options (e.g. industry standards, fiscal instruments, [territorial] certification, and public–private governance arrangements) and business models to reduce the forest footprint of agricultural commodity expansion in target countries, including analysis of potential risks and opportunities for smallholder inclusion</li> <li>• Carry out consultations with diverse stakeholder groups (e.g. industry, smallholder representatives, civil society organizations, multi-stakeholder platforms and consumer and producer country governments) to evaluate the viability of alternative governance options and identify suitable implementation mechanisms linked to national policy dialogues</li> <li>• Recommend agricultural sector programs to minimize the impact on deforestation</li> </ul>
<b>Outcomes and potential impacts</b>	<ul style="list-style-type: none"> <li>• Relevant state (e.g. local, national and regional governments) and non-state actors (e.g. private sector, practitioners and consumers) are equipped with knowledge, tools, and policy and regulatory options to reduce the forest footprint and enhance the inclusiveness of particular PCSs</li> <li>• Relevant state and non-state actors are engaged in informed multi-stakeholder dialogues to identify policy priorities, responsibilities and implementation mechanism</li> </ul>
<b>Geographic scope</b>	<ul style="list-style-type: none"> <li>• Cameroon (cocoa, oil palm, and banana)</li> <li>• Ghana (cocoa, oil palm, rice, pineapple)</li> <li>• Mozambique (soy, rice, banana)</li> </ul>
<b>Partners</b>	<ul style="list-style-type: none"> <li>• Cameroon: Center for Environment and Development (CED) and Ministry of Environment, Protection of Nature and Sustainable Development (MINEPDED)</li> <li>• Ghana: Forestry Research Institute of Ghana (FORIG) and Forestry Commission of Ghana</li> <li>• Mozambique: Centro Terra Viva (CTV) and Mozambican Institute for Agricultural Research (IIAM)</li> </ul>

## Strategic Area 2: EU FLEGT Action Plan, VPAs and associated development agendas

**Context:** Implicit in signing a VPA is commitment to the development and implementation of a VPA impact monitoring system (IMS). As part of a broader set of actions initiated by the EC, this monitors the outcomes and impacts of the VPA within VPA countries and beyond. For example, the ITTO's EU-funded Independent Market Monitoring will eventually monitor the acceptance/trends of FLEGT-licensed timber on the international market, and the possible impacts of VPAs on timber prices, trade and market development.

Each VPA country is free to develop its own IMS under the guidance of the Joint Implementation Committee (JIC, JMIRM in Ghana and JMC in Cameroon). A general framework for impact monitoring that could be adapted to local needs and conditions would avoid duplication of efforts allowing more effective IMSs to be developed. This Strategic Area will focus on designing an IMS of VPAs, which can then be extended to monitor the impact of FLEGT licenses once the licensing system is operational.

**Approach:** A number of efforts to develop a general IMS have already been conducted by EFI under the guidance of the EC with IOD-PARC. These have focused on Ghana, Liberia, Cameroon and the Republic of Congo. After completion of the framework in mid-2016, the activities laid out will begin, building on work currently undertaken by IOD-PARC. CIFOR will work alongside DFID, which is developing a similar IMS for Indonesia. The IMS will broadly cover five areas: (1) institutional effectiveness; (2) illegal logging; (3) forest condition; (4) livelihoods and poverty; (5) economic development.

CIFOR will also produce the first monitoring report, to be completed before project end.

Countries that could be included in this strategic area (listed by VPA phase) are detailed below.

VPA phase	Countries
Phase 4 Licensing	None yet
Phase 3 Implementing (month/year of official start)	Cameroon (12/2011); CAR (07/2012); Ghana (03/2010); Indonesia (05/2014); Liberia (12/2013); Congo (02/2013).
Phase 2 Negotiating	Côte d'Ivoire, DRC, Gabon, Guyana, Honduras, Laos, Malaysia, Thailand, Vietnam
Phase 1 Information and consensus building	Bolivia, Colombia, Cambodia, Ecuador, Guatemala, Myanmar/Burma, PNG, Peru, Philippines, Sierra Leone, Solomon Islands

### Strategic Area 2 – Summary

Activities	
	<ul style="list-style-type: none"> <li>• Construct independent but interlinked VPA and FLEGT licensing Theories of Change (ToC), linking VPA and FLEGT licensing to potential changes in five areas               <ul style="list-style-type: none"> <li>○ Append FLEGT licensing ToC to the VPA ToC</li> <li>○ Produce first ToC at a global level</li> <li>○ Create country-specific ToCs</li> </ul> </li> <li>• Determine indicators of interest for each result area and intermediate outcomes               <ul style="list-style-type: none"> <li>○ Include a maximum of two indicators per result area, and one per intermediate outcome</li> <li>○ Determine methods to measure indicators</li> <li>○ Consult global and national secondary data for information on indicators</li> <li>○ Collect primary data collection as required</li> </ul> </li> <li>• Choose countries to serve as the control group               <ul style="list-style-type: none"> <li>○ Determine selection criteria</li> </ul> </li> <li>• Design IMS</li> </ul>

	<ul style="list-style-type: none"> <li>○ Use the ToC and the indicators for the five areas as a basis for the system</li> <li>○ Examine historical data for long-term trends, using 2017 as the baseline year</li> <li>○ Produce dashboard</li> <li>● Conduct ex-ante and ex-post impact assessments of VPA and FLEGT licensing <ul style="list-style-type: none"> <li>○ Elucidate the reasons for any evidence/non-evidence of impact by using more rigorous impact evaluation methods to examine countries in depth</li> <li>○ Consider: <ul style="list-style-type: none"> <li>▪ Impact on all five areas of interest.</li> <li>▪ Implementation integrity – institutional effectiveness (process evaluation) examining implementing bodies, legality assurance systems, etc.</li> <li>▪ Intermediate outcomes (impact evaluation)</li> </ul> </li> <li>○ Develop methods to determine causality, dependent on data availability and budget constraints</li> <li>○ Establish baseline from the first results of the IMS together with intermediate outcomes data</li> </ul> </li> </ul>
<b>Outcomes and potential impacts</b>	<ul style="list-style-type: none"> <li>● EC and the VPA countries are provided with information that they can use to improve the design of the system, such that it can achieve the goal of eliminating illegal timber trade while improving livelihoods and environmental outcomes</li> </ul>
<b>Geographic scope</b>	<ul style="list-style-type: none"> <li>● All countries in Phases 1–3, except Indonesia</li> <li>● Initial sample countries to be determined after consultation with EC, but likely including Ghana, Liberia, Cameroon and the Republic of Congo</li> </ul>
<b>Partners</b>	TBD according to the work conducted by EFI and target countries

### Strategic Area 3: Innovative financing for sustainable land use

**Context:** Land and natural resource dependent rural communities face multiple challenges associated with climate and natural disasters. These are exacerbated by production, technological, financing, regulatory/policy/legal and price volatility risks. Investments in sustainable agriculture, agro-forestry and forestry activities could generate economic development, strengthen the resilience of smallholders, enhance regulation of ecosystem services and reduce greenhouse gas emissions.

Poverty means that urgent short-term needs often take precedence over longer-term sustainability. This is compounded by limited access to formal credit to invest in more productive landscapes and, hence, reliance on high-interest credit from traders and unregulated lenders. Despite a decade of efforts to develop forest carbon financing as a potential new source of rural finance, REDD+ incentives alone cannot pay for the opportunity costs of the foregone investments of converting forests into agricultural land.

**Approach:** This Strategic Area aims to establish the knowledge and methods required to test and develop the institutional architecture for an innovative network-based financing mechanism, The Landscape Fund (TLF). The Fund will work to promote sustainable land use in selected landscapes, beginning in one pilot country in 2016.

With the support of the EC, CIFOR and its partners will:

- develop a Sustainability Measurement and Verification System (SMVS)
- produce two systematic reviews on default rates and market access
- create a web-based portal to provide information on investable sustainable land uses in agriculture, agroforestry and forestry.

This initiative will be co-financed by SIDA (with an indicative budget of up to 85m SEK). The SIDA funding will be directed to:

- developing a partnership with the European Investment Bank (EIB) and other finance specialists (e.g. UNEP-Finance Initiative and Innpact)
- enhanced due diligence of potential partner institutions ('aggregators') in the pilot country(ies)
- the operational modalities needed to establish the framework to provide, securitize and monitor loans to smallholders.

TLF will provide evidence-based scientific information to policymakers at local, national and international levels on its governance in comparison to other financing instruments. This will address the need to diversify financial instruments to overcome the rural financing gap. The objective is to bridge the divide between project development and national/global climate finance by assisting communities, the private sector and governments to implement larger, more ambitious programs across rural landscapes.

### Strategic Area 3 – Summary

<b>Activities</b>	<ul style="list-style-type: none"> <li>• Develop an open access database for potential investors of sustainable agricultural, agroforestry and forestry practices, and attendant risks</li> <li>• Research, design and test a simplified sustainability verification system</li> <li>• Test and develop an open access securitization software based on a portfolio of pilot loans</li> </ul>
<b>Outcomes and potential impacts</b>	<ul style="list-style-type: none"> <li>• The TLF host institution and aggregators in at least one pilot country are equipped with knowledge and tools to facilitate lending, management and sustainability verification of a portfolio of pilot loans issued with effect from 2017</li> <li>• SMVSS will be developed and tested in one pilot country by the end of 2016 for subsequent scaling-up</li> <li>• A web-based portal with database created to provide information on bankable sustainable land-use practices (at least 50 scientifically proven cases)</li> <li>• Securitization software tested in one pilot country based on portfolio of pilot loans</li> <li>• First-loss guarantees secured for pilot activities, initially in one country</li> <li>• Additional funding leveraged from both public and private sources to expand operations in at least three other countries in each region by 2019</li> <li>• Effective synergies achieved notably with other Strategic Areas of Work to facilitate transitions to more sustainable and equitable production systems in the pilot countries</li> </ul>
<b>Geographic scope</b>	<ul style="list-style-type: none"> <li>• Focus on specific landscapes to be selected initially in one of four potential pilot countries, viz. the Philippines, India, Tanzania and Peru, and in collaboration with other Strategic Areas of Work</li> </ul>
<b>Partners</b>	<ul style="list-style-type: none"> <li>• Potential partners include TMP Systems; ICRAF; CCAFS; Ateneo School of Government, Philippines; Vice President's Office, Tanzania; Ministry of Environment, Peru</li> <li>• Selected aggregators in each country (selection and contracting to be based on ongoing enhanced due diligence)</li> <li>• Policy engagement with state agencies, banks/other lending institutions, other financing instruments and sustainability platforms</li> </ul>

### Strategic Area 4: Forests and food security and nutrition – the role and importance of foods from the forests

**Context:** Malnutrition is prevalent in much of the Congo Basin. Micronutrient deficiencies are especially problematic for women and young children, and can lead to impaired immunity, increased mortality and morbidity, as well as impaired physical growth and cognitive development in children. Animal-based foods are particularly high in these commonly limited micronutrients. Wild meat and insects collected from forests are important sources of animal foods for local communities, particularly in areas of the Basin where livestock are difficult to raise due to tsetse fly. In addition, fish from streams and rivers that are dependent on forests may be equally, if not more important in people's diets. Unsustainable land practices (pesticide and fertilizer use, gold mining), deforestation and unsustainable fishing practices may deplete local fish stocks and, thus, adversely affect local

diets and nutrition. Little is known about the links between such behaviours and fisheries in the Congo Basin or about the role of local fish in peoples’ diets.

There is little information available on the relative contributions of wild meat, insects and fish to peoples’ diets in the region, particularly with regard to diet quality and seasonality. In order to better understand the relative dietary contribution of these different animal foods, mothers will be surveyed. Special attention will be given to the types of animal source foods hunted or collected by specific to elucidate gender roles. Differences (if any) in diets of boys and girls under 5 years will also be considered. Data from the survey will be used to inform policy to ensure that conservation, land-use development and nutrition policies can promote the sustainable use of local animal source foods.

**Approach:** This Strategic Area will investigate the relative importance of wild meat, insects and fish in the diets of mothers and young children in several regions of the Congo Basin. This component is complementary to the ‘Wildmeat’ project (currently being considered for EU funding). The ‘Wildmeat’ project focuses on the sustainability of hunting practices and wildlife management, while the current programme focuses on the nutritional contribution of animal food sources to the diet. Understanding the dietary contributions of these foods will help to illustrate that better wildlife management and more sustainable hunting practices are not only of interest to the wider conservation community, but also affect the health and wellbeing of local communities directly.

#### Strategic Area 4 – Summary

<b>Activities</b>	<ul style="list-style-type: none"> <li>• Conduct a systematic review on the relative contributions of wild meat, insects and fish to local diets</li> <li>• Conduct dietary recall surveys of approximately 2400 mothers with children under 5 years in five regions (600 in each region) across the Congo Basin during both wet and dry seasons</li> <li>• Host national stakeholder meetings to disseminate project results and discuss the importance of animal source foods in local diets and the need for nutrition-sensitive forest, wildlife and fisheries policies</li> </ul>
<b>Outcomes and potential impacts</b>	<ul style="list-style-type: none"> <li>• Systematic review protocol and full review will be published</li> <li>• Scientific publication on the relative contribution of forest animal foods, insects and fish to meeting dietary requirements produced</li> <li>• Policy dialogue promoted in two countries on sustainable forestry, wildlife and fish management, food security and nutrition</li> <li>• Congo Basin multi-stakeholder platform on forests and food security and nutrition established to bring together those working in forestry, conservation, fisheries and nutrition, as well as local communities</li> <li>• Relevant state and non-state institutions provided with new knowledge and policy options to promote sustainable use of wild meat, insects and fish for food security and nutrition</li> </ul>
<b>Geographic scope</b>	<ul style="list-style-type: none"> <li>• Congo Basin (Cameroon and DRC)</li> </ul>
<b>Partners</b>	Cameroon: Forests and Resources for People and The Institut de Recherche Agricole pour le Développement (IRAD) DRC: University of Kisangani Malaysia: WorldFish UK: Sustainable Aquaculture Research Networks in Sub Saharan Africa United States: Penn State University, PA

## Strategic Area 5: Informal Woodfuels Markets

**Context:** Wood contributes over 80% of the energy supply in all African countries. Africa, especially Central Africa, is the only continent where wood will continue to have a prominent role as a source of household energy in the coming decades. It is estimated that 83% of Cameroon's population depend on woody biomass and, in rural areas, it is often the only available source of energy.

In most of sub-Saharan Africa, wood energy provides employment to tens of thousands of people including small-scale producers/collectors, traders, transporters and sellers, who rely on it for their livelihoods. Despite its importance, the contribution of the wood energy sector to government revenues is often minimal, and legal and institutional frameworks are nonexistent or weak. This lack of governance results in the degradation of natural woodlands, forests, parks, trees and shrub savannas, particularly in the supply basins of cities and megacities. Such degradation leads to deforestation with disastrous ecological, economic and social consequences. There are estimates that cooking with wood energy contributes approximately 18% of the current greenhouse gas emissions when related degradation and deforestation are taken into account.

Some formalization of the sector could lead to increased visibility and transparency, clarity of rights of access and use, improved representation in multi-stakeholder platforms, reduced conflicts, and ultimately improved working conditions and local economic benefits. However, it could also have negative impacts, such as criminalization, exclusion and inequality in the redistribution of benefits, if not planned and managed properly.

**Approach:** This Strategic Area will contribute to the development of sustainable woodfuels value chains from upstream production at forest level to downstream consumption at household and small- and medium-sized enterprise levels. The Strategic Area will provide evidence-based policy options in participating countries in order to promote the sustainable management of forest resources that includes production of woodfuels from natural as well as restored forests. The policy options developed would strengthen sector governance and institutions benefitting stakeholders, including women and other marginalized groups.

### Strategic Area 5 - Summary

<b>Activities</b>	<ul style="list-style-type: none"> <li>• Conduct research to understand the evolution, and current cost and benefit structure of domestic, cross-border and international value chains of woodfuels (firewood and charcoal)</li> <li>• Analyse the supply and demand of woodfuels in 3–5 big cities in Central and West Africa, including mapping woodfuel supply basins</li> <li>• Identify constraints in woodfuel value chains to help improve the opportunities for women (individually and as collectives), and small and medium enterprises to access and benefit from existing and potential new markets</li> <li>• Conduct a review to assess the implications of the new transnational regulatory frameworks in the context of state-led efforts to develop non-traditional agricultural export commodities</li> <li>• Conduct a review of the state of, and trade-offs among, the multiple values and functions of agroforestry landscapes, given the growing pressures to mechanize agriculture and meet rural energy needs in selected countries</li> <li>• Develop and test new policy options, and promote improved regulations and standards</li> </ul>
<b>Outcomes and potential impacts</b>	<ul style="list-style-type: none"> <li>• Improved evidence and analysis of woodfuels supply and demand in domestic, cross-border and global value chains</li> <li>• A simple tracking and monitoring system for domestic woodfuels value chains established involving government, civil society and the private sector</li> <li>• Improved organizational and technical capacities of domestic producers, traders and government officials for:               <ul style="list-style-type: none"> <li>○ understanding the dynamics of woodfuels value chains</li> <li>○ coping with new woodfuel regulatory frameworks</li> <li>○ promoting new or strengthening existing multi-stakeholder platforms</li> </ul> </li> <li>• Improved information on which state and non-state stakeholders can base new policy options, adopt improved regulations and standards, and identify and access new</li> </ul>

	markets
<b>Geographic scope</b>	Selected areas of Congo Basin (Cameroon and DRC) and West Africa (Ghana and Burkina Faso)
<b>Partners</b>	CIRAD; ICRAF Ghana: Savannah Fruits; University of Ghana, Legon; University of Tamale; University of Ouagadougou UK: Leeds University

## Strategic Area 6: Enhancing governance of protected areas for joint conservation and development outcomes

**Context:** Expanding the coverage of protected areas does not always yield the desired outcomes in terms of biodiversity conservation and secure livelihoods for local communities. Many protected forested areas are increasingly burdened by local and national demands to “pay their way” through land uses and investments that generate immediate revenue. Very few studies have considered how best to address the trade-offs involved and how to enhance *joint* conservation–development outcomes. Fewer still have systematically explored the links between governance architectures (including decision processes, distribution of accountabilities, representation, leadership, individual and organizational management capacities, and access to resources and benefits) across diverse management modalities or how these may ultimately influence conservation and development outcomes.

**Approach:** By providing greater clarity on how underlying governance arrangements affect outcomes, this Strategic Area will provide much needed evidence and generate options on how to govern protected areas more effectively to achieve conservation and development objectives. In particular, this work will build on a recent study of protected areas in Central Africa<sup>2</sup>. The study showed that most countries continue to expand their protected areas, but these are subject to ever-increasing pressures, such as hunting, poaching, oil and mining projects or the development of large infrastructures such as dams or major roads. The main challenge is to fund and maintain the existing protected areas on a long-term basis, while allowing economic development.

### Strategic Area 6 – Summary

<b>Activities</b>	<ul style="list-style-type: none"> <li>• Complete a review of relevant documents such as legal and policy frameworks, conservation strategies and management plans in order to analyse protected area governance structures and arrangements</li> <li>• Conduct reviews of at least one targeted country, such as Namibia, where governance regimes have yielded well-documented successes in addressing conservation–development trade-offs</li> <li>• Generate evidence of actual outcomes and governance/institutional drivers through field studies deploying mixed methods (such as intra-household interviews, interviews with relevant agency officials and managers at multiple levels, ecological studies to evaluate landscape-level trends in forest degradation, biodiversity status and ecosystem services)</li> <li>• Analyse institutions at landscape level, incorporating descriptions of: <ul style="list-style-type: none"> <li>○ formal and informal institutions that control the human activities in each protected area</li> <li>○ of the way tasks and responsibilities are allocated among levels of government</li> <li>○ the role of diverse actors protected area management</li> </ul> </li> <li>• Conduct gender analysis to identify whether, and how, the implementation of</li> </ul>
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<sup>2</sup> Doumenge C., Palla F., Scholte P., Hiol Hiol F. and Larzillière A. (eds) 2015. *Aires protégées d’Afrique centrale – État 2015*. OFAC, Kinshasa, DRC, and Yaoundé, Cameroon. 256 p.

	<p>protected area governance arrangements may affect interactions among men and women</p> <ul style="list-style-type: none"> <li>• Host scenario development workshops to formulate options and action plans in support of joint conservation–development outcomes</li> <li>• Host knowledge-sharing and exchange workshops to support lesson learning among protected area managers of effective governance arrangements</li> <li>• Develop tools and guidebooks to support capacity development of protected area managers</li> <li>• Assess alternative models for protecting and conserving threatened habitats and species, narrowing the trade-offs between conservation and livelihoods/development outcomes</li> </ul>
<b>Outcomes and potential impacts</b>	<ul style="list-style-type: none"> <li>• New standards of protected area management</li> <li>• New initiatives for agro-product standards (certification) linked to protected areas</li> <li>• Increased awareness among protected area managers of how governance approaches affect conservation and development outcomes, generally, and for different social groups, including women, in particular</li> <li>• Increased awareness and reflection among protected area managers of options and measures for mitigating conservation–development trade-offs</li> <li>• Enhanced debate and dialogue among researchers, practitioners, donors and the private sector on the roles of governance arrangements in mitigating trade-offs</li> </ul>
<b>Geographic scope</b>	Selected sites in the Congo Basin, West and East Africa that jointly capture the spectrum of management modalities. Sites will be selected after an inception workshop.
<b>Partners</b>	RAPAC, CIRAD, AWF, WWF, GIZ, OFAC and other governmental and non-governmental agencies

### 3. CROSS-CUTTING ISSUES

In addition to research, the programme will focus on sharing knowledge with key stakeholders to enhance their understanding and better equip them to make policy and development interventions. A rigorous approach to integrating gender considerations with evidence and capacity development will be taken to inform policy engagement interventions at national, regional and global levels.

#### **Social Inclusion: gender and youth**

CIFOR deploys gender and youth analysis methods, partnerships and alliances, knowledge sharing and adaptive learning to ensure our entire research cycle is socially inclusive. We aim to deepen, expand and strengthen gender and youth integration into the proposed research programme. This will include collecting gender- and age-disaggregated data and performing gender analysis across the research components.

CIFOR will integrate gender and youth analysis into research questions rather than have a specific, isolated component that is focused only on gender or youth. The following are a handful of examples of where such analyses will add depth to the research of this programme:

- Revealing how the structure and governance of value chains affect the ways in which men and women participate (e.g. migrant workers, smallholder farmers)
- Understanding how gender affects access to and use of land to produce food crops
- Understanding the role of youth and transgenerational issues in the use or control of forest landscape resources

- Investigating how customary systems of ownership are changing and the ways in which they influence gender access and control over land as cash crop production systems expand
- Understanding the benefits of smallholder participation in cash crop production are distributed within households
- Elucidating gender and age differences in relative participation in informal value chains and assess the impact of these trends in terms of intra-household benefit sharing processes.

## Capacity Development

Policymakers and practitioners alike need to address the multidisciplinary nature of contemporary sustainable land-use issues. Forest management can no longer be limited to the boundaries of concessions, plantations and protected areas due to the complex nature of extra-sectorial drivers of deforestation and forest degradation and, increasingly, policy-making within climate-related fora. In order to address the cross-cutting nature of these issues, this programme will anchor the aim to building capacity within each Strategic Area of Work.

The demand for research, policy and management capacity, in terms of the widespread need for skilled personnel, competent organizations and adaptive institutions, has never been greater. In contrast, existing capacities to address the complex interactions of policies and markets, and deeply embedded governance challenges relating to land and forest resources and livelihood outcomes are generally weak. Effective technical training in forestry in sub-Saharan Africa all but disappeared in 1999 and is often compounded by an ageing civil service that is not aware of the latest technologies, demotivated and largely ignored by national and international policy-makers. Agricultural and forestry institutions are also in need of investment. Capacity is lacking in the biophysical aspects of SLU as well as in social and policy aspects.

There is a critical need to strengthen capacity development to address the global sustainable land-use capacity gap. Specifically, it is essential to develop:

- New and innovative capacities to manage forests, trees and agroforestry systems across a range of multifunctional landscapes
- New skill sets spanning the biophysical, socio-economic and political sciences.
- CIFOR and its partners will develop a systemic approach to designing, implementing and measuring capacity development related to all Strategic Areas. Building on this, it is expected that we will leverage additional funding for specific capacity development projects.

## Outreach and Policy Engagement

CIFOR will ensure outreach and policy engagement opportunities are built into all Strategic Areas via carefully designed theories of change and strategic partnerships for impact. The following are a set of proposed activities, tools and policy processes:

- Identify existing fora/events involving target audiences, and facilitate representation there of CIFOR and/or its partners. Identify policy processes and associated channels or networks (boundary partners) to inform actors and disseminate information accordingly. Examples include CBFP, UNFCCC (e.g. events at UNFCCC COP, SBSTA, Standing Committee on Finance and Global Landscapes Forum), CBD (events at CBD COP), FLEGT (events/week in Brussels), Congo Basin Forest Partnership, Central Africa Forest Initiative (CAFI), COMIFAC and other EC policy and learning events in Brussels and with EU Delegations in selected countries (innovative financing, forests and food security, FLEGT/VPAs etc).
- Work with partners to convene targeted seminars and field trips for carefully selected audiences. Leverage the communications infrastructure of CIFOR and partners to extend the reach of messages and learning shared at events. For example, through video-recording and disseminating talks, panel discussions, or interviews via digital communications infrastructure.

- Develop tailored products (e.g. briefs, fact files/primers, infographics, documentary videos, and/or interactive tools and toolkits) that address key policy-oriented questions in an accessible, practical manner, drawing on a range of research outputs.
- Gather feedback from target audiences on their information needs and use that feedback to tailor further seminars and knowledge products. Outputs can be disseminated through digital and personal channels, and used at seminars and other events.
- Monitor developments in policy processes and respond rapidly to current discourses through media outreach (direct engagement with targeted journalists/editors, dissemination of media packages and releases, pitching op-eds to target publications). Media training workshops and field trips could be organized in specific contexts in collaboration with communications teams based at EC Delegations and of other EC funded programmes (e.g. FAO FLEGT programme; EU REDD and FLEGT Facilities).
- Create multimedia and online products for knowledge sharing and capacity building, such as blogs, videos, podcasts, info graphics and webinars.
- Deploy a suite of communications and outreach tools to disseminate communications products, such as Forests News blog, CIFOR TV, events, and social media.

## 4. RAPID RESPONSE MECHANISM

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Countries are currently implementing various policy mixes to improve governance of their forests and land for sustainability goals ranging from market-based instruments (e.g. FLEGT and PES programs) to policies for conservation (e.g. protected area management). More recently, initiatives have been introduced, led by the private sector, for sustainable production of key commodities including oil palm, rubber, soy and beef (RSPO, RTRS, Zero Deforestation Commitments).

The programme will provide a rapid response mechanism to finance urgent catalytic and strategic knowledge products on emerging challenges stemming from forest product regulations and policies. This mechanism will assist the EU and EU Delegations to influence and inform policy, policymakers, decision takers and opinion makers in Europe and internationally.

Research can contribute to this policy learning process by:

- identifying country-specific demands and new policy issues
- providing sound evidence and lessons on impacts and outcomes of particular policies, commitments and measures

## 5. MONITORING AND EVALUATION

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### Approach

CIFOR Monitoring Evaluation and Impact Assessment (MEIA) team will work closely with implementing partners to measure the progress and impacts of the programme. Using a toolkit of data collection and synthesis tools to assist programme staff collect and manage data, CIFOR aims to help increase knowledge uptake and policy influence.

CIFOR will:

- identify target boundary partners and end users of the program
- determine the indicators of success in terms of policy and practices
- define strategies to achieve success
- specify monitoring tools
- plan outcome and impact evaluations for the end of the program.

We will also aim to implement rigorous outcome and impact evaluations. We will use Dataverse, a data management platform (<https://dataverse.harvard.edu/dataverse/CIFOR>) to support data collection, monitoring and analysis linked to our theory of change and work plan.

## Theory of Change

The programme will be guided by an overall ToC and logframe. Each Strategic Area will develop a specific ToC with a dedicated performance framework, which identifies targets, milestones and indicators to monitor progress towards achieving the overall programme targets for each Strategic Area and cross-cutting theme.

## 6. MODALITIES AND GEOGRAPHICAL SCOPE

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CIFOR successfully completed the seven-pillar assessment in 2014. DG DEVCO will manage the programme through an indirect management delegation agreement with CIFOR over 4 years. We will set up an internal Programme Steering Committee, which will meet at regular intervals during the implementation of the programme. This group will be established during the inception period. A Terms of Reference for the Steering Committee will be developed

This Programme Management group will involve DEVCO C2 colleagues from the forestry, biodiversity and finance teams. The Programme Management group will also draw on expertise from other Lead Advisors across DG DEVCO and the EC as required (e.g. DEVCO C1 and C3, DG-CLIMA, DG ENV, DG-Trade).

The programme will focus on priority countries where EC-DEVCO and CIFOR have strong interests, a track record and regional or country presence. CIFOR will operate from its headquarters in Bogor, Indonesia, working closely with two of its three regional Hub Offices in Nairobi, Kenya, and Yaoundé, Cameroon. We will also draw lessons and evidence from relevant work in other countries and regions, including Indonesia, Brazil and China.