

German bilateral development cooperation in the forest sector:

A critical reflection based on the analysis of forest-related development initiatives from Indonesia, Cameroon, and the Democratic Republic of the Congo

Benno Pokorny
University of Freiburg,
Germany



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- Author: Prof. Dr. Benno Pokorny
Faculty of Environment and Natural Resources
Tennenbacherstrasse 4
79106 Freiburg, Germany
tel.+49 761 203 3680
fax:+49 761 203 3781
e-mail: benno.pokorny@waldbau.uni-freiburg.de
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fax. +49 761 203-3864
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Abstract

Globally Germany ranks among the five major ODA donor countries, but hasn't yet managed to reach its political target of providing 0.7% of its GNI to ODA. While Germany supports multilateral international processes, the major share of German ODA is bilateral and affects millions of hectares of forest and people. Based on an analysis of Germany's forest related ODA and bilateral programs in Indonesia, Cameroon and the DRC, this study critically reflects on the application of such bilateral funds. The lack of transparency, on part of the responsible German organizations – BMZ, BMU, GIZ and KfW – made this a difficult task. The analysis showed that although Germany provides only a minor proportion of its ODA to the forest and environment sectors, this amount of funding can be significant for poor partner countries. Since 2002 Germany has committed some €436 million forest-related funds through 89 bilateral programs, and another US\$181 million via regional programs to the three case study countries. The amount and focus of German forest cooperation has increasingly targeted forest administration and the governance of large-scale forest management schemes. This has contributed to improvements in legal and institutional frameworks and a professionalization of concession and protected area management. Bilateral forest cooperation can make a difference in the attempt to achieve more sustainable development in the rural tropics and should be substantially intensified. However, high deforestation rates and massive social conflicts involving concessions and protected areas indicate the need to critically reflect on existing mindsets, approaches and expectations. A shift in focus is needed from the promotion of large-scale management schemes and related actors to the governance of natural resources at the local level. For forest conservation to be successful, it needs the support and active involvement of the people living in and around forests. This requires a much stronger commitment to supporting the rights and capacities of local people, even if this is against the interests of national governments and influential economic actor groups. German development organizations and their staff need to leave their headquarters in the cities for the challenges involved in having to work in complex local contexts alongside local people and their organizations.

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Benno Pokorny

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List of Abbreviations

AA	German Federal Foreign Office	EU	European Union
ACB	ASEAN Centre for Biodiversity	EZE	Evangelische Zentralstelle für Entwicklungshilfe
AFD	Agence Française de Développement (French Development Agency)	FAO	Food and Agriculture Organization of the United Nations
AMAN	Indigenous Peoples Alliance of the Archipelago (<i>Aliansi Masyarakat Adat Nusantara</i>)	FC	Financial Cooperation
APL	Non Forest Area (<i>Areal Penggunaan Lain</i>)	FCPF	Forest Carbon Partnership Facility
ASEAN	Association of Southeast Asian Nations	FFI	Fauna and Flora International
BAL	Basic Agrarian Law	FLEGT	Forest Law Enforcement, Governance and Trade
BAPPENAS	Ministry of National Development Planning (<i>Badan Perencanaan Pembangunan Nasional</i>)	FMU	Forest Management Unit
BMBF	German Federal Ministry of Education and Research	FORCLIME	Forests and Climate Change Program
BMF	German Federal Ministry of Finance	FPIC	Free, Prior and Informed Consent
BMUB	German Federal Ministry for the Environment, Nature Conservation, Building & Nuclear Safety	FPP	Forest Peoples Program
BMWi	German Federal Ministry for Economic Affairs and Energy	FSC	Forest Stewardship Council
BMZ	German Federal Ministry for Economic Cooperation and Development	FZS	Frankfurt Zoological Society
CBD	The Convention on Biological Diversity	GDP	Gross Domestic Product
CBFM	Community Based Forest Management	GeDo	German Doctors e.V.
CBFP	Basin Forest Partnership	GEF	Global Environment Facility
CIF	Climate Investment Funds	GFA	GFA Consulting Group
CIFOR	Centre for International Forestry Research	GHG	Greenhouse Gas
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora	GIS	Geographic Information Systems
CMF	Communally Managed Forest Area	GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (German Society for International Cooperation)
COMIFAC	Central African Forest Commission (Commission des Forêts d'Afrique Centrale)	GNI	Gross National Income
COP	Conference of the Parties to the CBD	GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit
CRS	Creditor Reporting System	HA	Natural Forest Timber Concession (<i>IUPHHK-HA</i>)
DAC	Development Assistance Committee	HD	Village Forest (<i>Hutan Desa</i>)
DEG	Deutsche Investitions- und Entwicklungsgesellschaft	HDI	Human Development Index
DFG	German Research Foundation	HK	Conservation Forest (<i>Kawasan Hutan Konservasi</i>)
DFID	UK Department for International Development	HKM	Community Forest (<i>Hutan Kemasyarakatan</i>)
DKF	Deutsche Klimafinanzierung	HL	Protection Forest (<i>Kawasan Hutan Lindung</i>)
DRC	Democratic Republic of the Congo	HoB	Heart of Borneo
ERC	Ecosystem Restoration Concession (<i>IUPHHK-RE</i>)	HP	Permanent Production Forest (<i>Hutan Produksi Tetap</i>)
ESMF	Environmental and Social Management Framework	HPK	Convertible Production Forest (<i>Hutan Produksi Konversi</i>)
		HPT	Limited Production Forest (<i>Hutan Produksi Terbatas</i>)
		HTI	Industrial Forest Plantation Concession (<i>Hutan Tanaman Industri - IUPHHK-HT</i>)
		HTR	Community Forest Plantation (<i>Hutan Tanaman Rakyat</i>)

IATI	International Aid Transparency Initiative	R-PP	Readiness Preparation Proposal
ICCN	Institut laise de la Conservation de la Nature	REDD	Reducing Emissions from Deforestation and Forest Degradation
ICI	International Climate Initiative	REL	Reference Emission Level
ICRAF	International Centre for Research in Agroforestry (World Agroforestry Centre)	RSPB	British Royal Society for the Protection of Birds
IFC	International Finance Corporation	SAD	Suku Anak Dalam (<i>Batin Sembilan</i>)
IFCA	Indonesia Forest Climate Alliance	SESA	Strategic Environmental and Social Assessment
IFF	Intergovernmental Forum on Forests	SFM	Sustainable Forest Management
IGO	Intergovernmental Organisation	SIS	Safeguards Information System
IPF	Intergovernmental Panel on Forests	SPI	Serikat Petani Indonesia (<i>Indonesian Peasant Union</i>)
IPPKH	Forest Area for Temporary Utilization Concession (<i>Izin Pinjam Pakai Kawasan Hutan</i>)	STN	Serikat Tani Nasional (<i>National Peasant Union</i>)
JICA	Japan International Cooperation Agency	TC	Technical Cooperation
KfW	Kreditanstalt für Wiederaufbau	TNO	Transnational Organisation
KZE	Katholische Zentralstelle für Entwicklungshilfe	UN	United Nations
LHL	Lernen-Helfen-Leben e.V.	UNCCD	United Nations Convention to Combat Desertification
MECNT	Ministry for the Environment and Tourism of DRC	UNEP	United Nations Environment Program
MoF	Indonesian Ministry of Forestry	UNESCO	United Nations Educational, Scientific and Cultural Organization
MRV	Measurement, Reporting and Verification	UNFCCC	United Nations Framework Convention on Climate Change
NABU	Naturschutzbund Deutschland	UNFF	United Nations Forum on Forests
NFP	National Forest Program	UN-REDD	UN Program on Reducing Emissions from Deforestation and Forest Degradation
NGO	Nongovernmental Organisation	VPA	Voluntary Partnership Agreement on FLEGT
NT	Lesser Sunda Islands (<i>Nusa Tenggara</i>)	WCS	Wildlife Conservation Society
NTFP	Non Timber Forest Product	WWF	World Wide Fund for Nature
ODA	Official Development Assistance		
OECD	Organisation for Economic Co-operation and Development		
OFAC	Observatoire des Forêts d'Afrique Centrale		
OPEC	Organization of the Petroleum Exporting Countries		
OXFAM	Oxford Committee for Famine Relief		
PADDL	Programme D'Appui à la Décentralisation et au Développement Local		
PBF	Programme Biodiversité Forêts		
PPECF	Programme Promotion de l'Exploitation Certifiée des Forêts		
PPP	Public-Private Partnership		
PSFE	Programme Sectoriel Forêts et Environnement au Cameroun		
PT	Perseroan Terbatas (Limited Company)		
PT AP	Perseroan Terbatas Asiatic Persada		
PT REKI	Perseroan Terbatas Restorasi Ekosistem Indonesia		

Executive Summary

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Scope and objectives

The conservation of rapidly disappearing natural forests in the tropics is one of the priority issues of international cooperation. Large amounts of funding have been pledged to projects claiming to protect forests, forest peoples, biodiversity, and to reduce carbon emissions. Germany, as one of the largest donors of funding for forests, not only exerts a significant influence over international processes such as REDD+, the Biodiversity Convention and UNFCCC, but also works bilaterally with recipient countries mostly located in the tropics. Since millions of hectares of forest and people are affected by the agreements made, this study analyses the nature and impact of German bilateral forest funding in an attempt to come up with meaningful ways to apply such funds.

The study focuses on Germany's forest related Official Development Assistance (ODA) and the bilateral programs in three case study countries: Indonesia, Cameroon and the Democratic Republic of the Congo (DRC). These countries represent the spectrum of situations typically addressed by the German forest cooperation in terms of economic development, political stability, and deforestation dynamics. While DRC is listed as a Least Developed Country and classified as a failed State, Indonesia is considered a middle-income country with a stable democracy and Cameroon is deemed to be in a somewhat intermediate position. Although forest cover in all three countries is still considerable, deforestation rates are particularly high in the economically more developed countries of Cameroon and Indonesia, where the share of cultivated land is also the highest. Indonesia also has the largest areas consisting of degraded and secondary forests, as well as a longer history of initiatives aimed at promoting sustainable forest management. In all three countries, forests are not only important for the national economies, but also for millions of poor, often indigenous, forest dwellers.

By analyzing reports, statistics and scientific literature (up to the end of 2014), as well as information gathered during two to four weeks country visits, this report provides insights into: (1) the role of forest funding within the overall ODA; (2) the strategies, approaches and instruments applied; (3) the organization of German forest cooperation; and (4) the effects of ODA on biodiversity conservation and local livelihoods.

The report is intended for policy makers and implementing agencies in Germany and in other donor and recipient countries, international organizations, NGOs, companies, carbon investors as well as the interested public.

Limits of interpretation due to paucity of information

The findings presented in this report should be interpreted with care considering that the study was challenged by a serious lack of transparent and coherent data dealing with the programs and projects of the German forest cooperation. Available data sources were compiled using different approaches, had different degrees of reliability and used outdated codes that insufficiently captured the complexity of programs. For 22 of the 39 ongoing bilateral programs identified in the three case study countries representing a total budget of more than €382 million, only elementary data such as project title, budget, program start, sector and policy marker were available. Only 17 programs provided at least some additional information on objectives, target groups, instruments, activities, and results. Most serious was the nearly complete absence of results from program evaluations, even though the German development organizations have, at a minimum, committed themselves to make summaries of evaluation reports available. Particularly the programs implemented by KfW suffered from major information deficits, while GIZ generally had a better (but not satisfactory) information availability policy.

The lack of public transparency made it impossible to appropriately assess the specific effects of the analyzed programs. It also needs to be remembered that actions outside of the forest sector may have much stronger effects on forests and people than the bilateral forest programs that have been in the focus of this study. Such disregarded actions include the majority of multi and bilateral development programs concerned with infrastructure and commerce, as well as many private sector land uses like large-scale agricultural, mining and energy production.

Nevertheless, the examination of available statistics, scientific studies and reports in combination with some interviews and on site observations has contributed to the report's accuracy and relevance. This is particularly true regarding the Indonesian case study conducted by Dr. Buergin.

Major findings

- **Development assistance is significant and is strategically used by donors:** In 2012, global development assistance was about US\$474 billion with one third representing ODA provided in the form of loans, grants or debt relief. While for many countries development assistance is marginal in relation to the country's gross net income (GNI) and private and domestic investments and trade, ODA, for poorer countries may be significant. This gives donor countries considerable influence in national sector policies. Accordingly, the BMZ presents German development cooperation as one of the most important in-

struments to actively engage "...in combating poverty, securing food, establishing peace, freedom, democracy and human rights, shaping globalization in a socially equitable manner, and preserving the environment and natural resources...".

- **Germany is a key donor including multilateral funding:** Germany consistently ranks among the world's top five donors. The amount contributed annually has steadily increased reaching US\$14 billion in 2011. Over the period 2002–2012, Germany provided 8.7% of all donors net ODA. Nevertheless, with 0.4% of its GNI (in 2012), Germany is still significantly below the political target of 0.7%. The share of German multilateral ODA, averaging 37% (2002-2012), was significantly higher compared to other donor countries. This indicates the relative importance Germany gives to international processes managed by the European Union, the World Bank, Regional Development Banks, GEF and other international institutions.
- **Germany applies bilateral ODA for many purposes:** The major share of German ODA remains bilateral. Despite Germany's announced strategy to concentrate on a few countries of strategic importance, the recipient countries may strongly vary throughout the years. Between 2002 and 2012, ODA amounted a total of US\$75 billion. In this period, the major recipients were Iraq, China, Afghanistan, Cameroon, DRC, India, Egypt and Brazil. In 2012, almost 60% of this bilateral ODA was assigned to project type interventions while scholarships and student costs accounted for another 12%. The remaining 25% was distributed as bilateral core support for NGOs and pooled programs, payments for experts and other technical assistance, debt relief, and administrative costs not included elsewhere.
- **Only a minor proportion of German ODA targets forest and environment sectors.** In 2012, over 60% of German ODA was assigned to the 'Social Infrastructure and Services', 'Economic Infrastructure and Services' and 'Production' sectors. ODA addressing forests is mostly related to production sector 'Forestry' and the cross-cutting sector 'General Environmental Protection', latter, however, including a major proportion of funds for purposes not related to forests. In 2012, these two sectors together accounted for about US\$715 million representing less than 6% of total German ODA. Nevertheless, Germany provides considerable amounts of forest relevant bilateral funding to some tropical forest countries – such as the three case study countries. Since 2002 disbursements and commitments for the 89 forest-related programs identified for the three countries amount to €436 million. Another US\$181 million is contributed through regional programs addressing forests in the case study countries.
- **Germany provides technical and financial assistance through GIZ and KfW.** The BMZ has the legal mandate to negotiate with the partner countries and provides almost 90% of the funding for the ongoing forest-related programs.

Due to concerns over climate change, the role of the BMUB via its International Climate Initiative (ICI) is increasing. All German funded bilateral initiatives are in the final responsibility of the partner countries. They are supported, in their efforts, by the two major German development organizations, the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and the KfW Development Bank. While GIZ disburses mostly non-repayable grants for the provision of advisory services and capacity building under the label 'Technical Cooperation', the KfW, under the label 'Financial Cooperation', provides the partner countries with funds for programs laid out in contractual agreements. In the three case study countries, the GIZ was in charge of about one third of forest funding, while most of the rest was channeled via KfW. Each program includes layers of planning, monitoring and evaluation. In addition to regular internal evaluations the GIZ conducts external evaluations whereas the KfW only carries out evaluations for some of their programs only when they are completed.

- **Diffuse conceptual guidance:** The objectives of international forest cooperation, stated by the BMZ, GIZ and KfW, include the utilization and conservation of forests, the maintenance of a global ecological balance, poverty reduction, livelihood improvements and sustainable development. The focus is on local communities and in particular on forest-dependent and indigenous people. Statements from German and international organizations suggest that there is a close and mutually supportive interdependence between these undisputed objectives. However, the study reveals that in practice these goals are not necessarily mutually supportive or may be even contradictory, and that there is a disparate emphasis and uneven allocation of resources for the different objectives in accordance with the priorities of the donor and national partners.
- **Some success in strengthening the national forest administration:** Germany is an important strategic partner for the forest administrations of the three case studies countries although it contributed only 8% of the US\$3.1 billion for the environment and forest sectors provided by all donors between 2002 and 2012. The German forest cooperation has established close institutional and personal relationships with the governmental forest agencies. Some positive results that can be partly attributed to German support include improved regulatory and institutional frameworks, clearer organizational structures, professionalization of human resources and bureaucracy, more effective law enforcement and progress in decentralization. However, incapacitating corruption in the public sector combined with a notorious neglect of local people's rights not only mean enormous operational challenges for partnerships, but also raises the question, if and to what degree, responsibility for unsupportable governmental action, particularly regarding human rights violations, has to be shared. This study indicates a lack of sensitivity for this topic.
- **Focus on large-scale forest management schemes:** The biggest share of German forest funding is dedicated to the promotion of sustainable forest manage-

ment. Support includes improvements in forest administration, governance of timber concessions, technical training, certification, establishment of associations and market relevant networks, as well as data collection, analysis and modelling. Many of the latter were related to REDD+ preparatory processes. Also, funding for biodiversity conservation is significant, for example for the demarcation and consolidation of protected areas, the provision of training and equipment for responsible agencies and rangers, mechanisms for long-term financing as well as for the management of buffer zones. Support for local livelihoods and human rights issues get much smaller amounts of forest-related funding. Out of all the programs analyzed, very few (representing less than one percent of total funds) have listed these goals as priority objectives, while a number of programs (representing 12% of the funds) don't mention at all the improvement of local livelihoods within their objectives.

- **Over optimistic expectations regarding concessions:** Concessions are expected to reduce deforestation at the same time as they contribute to rural development through job creation, investments in infrastructure and taxes. The promise of achieving of all this at low administrative costs makes national governments generally receptive for cooperation in this area. Although there are some positive effects for local economies, they are most often temporary. Some employment is generated but it is minor compared with small-scale agriculture or informal logging. Most critical, many agreements between the state and the concessionaires are often flawed by corruption and insufficiently consider or even violate local rights particularly those of indigenous forest users. Furthermore, concessionaires are not necessarily willing or able protect the forests. Frequently concessions are invaded by secondary land users soon after logging operations commence and this pattern continues in the long-run with logging roads serving as access for secondary land users.
- **Management of protected areas, an unsolved challenge:** Protected areas have proved their potential to function, at least temporarily, as barriers against deforestation. However, only a few existing areas in the three case study countries were provided with enough personnel and equipment. In many cases the rights of local forest users were insufficiently addressed and conflicts were resolved at their costs. Few local jobs were created and the management of buffer zones was seldom successful at larger scales. Resettlement programs and compensation policies were mostly insufficient and tended to contribute to cultural marginalization and misery. In most protected areas, encroachment and ongoing harvest of forest products was the rather rule than exception. Most critically, the governments themselves tended to ignore the status of protected whenever lucrative alternatives for the land emerged such as mining, energy and agro industrial uses.
- **Some weak efforts to better consider local rights:** The German forest cooperation, often in collaboration with national and international NGOs, pushed

forward several initiatives that would see the rights and interests of local people, in the context of concessions and protected areas, seriously taken into consideration. Some of the newer programs support regulatory reforms that spell out the recognition of local rights, respect the social organization of local forest users, look for non-forest livelihood alternatives, try and improve the availability of information, enhance communications and decentralize decision-making. However, many of these efforts have only played a minor role in the programs and largely remain at an early development stage. Generally, concessionaires and national forest authorities, who are the strategic partners of German forest cooperation, show a shameful lack of respect and interest for local concerns and rights. As a consequence, many locals continued to perceive these areas as zones carved out for the “white man” for timber, tourism, medicinal plants, research, hunting, and to do pretty much whatever else they want while depriving the locals of their rights and interests.

- **REDD+ remains at a preparatory level:** In all three case study countries, many activities emerged within the REDD+ framework. In the expectation of significant inflows of international funds (also from Germany), the national governments started to prepare the institutional framework, and to collaborate with studies done to collect baseline data and action programs. However, beyond the establishment of systems for measuring, reporting and verifying (MRV) as well as the development of action and financial plans at a national level, only a few pilot projects have been supported on the ground, and most of them simply mimic classic integrated protection development projects for sustainable forest management. Many indigenous groups and NGOs criticize that REDD+ efforts insufficiently take into account the multiple values of forests and in practice, continue disregarding international agreements on human rights even though, in writing, they have agreed not to.
- **Safeguards, a toothless tiger:** In the course of REDD+ actions, the UNFCCC, the World Bank, and the FCPF put a strong emphasis on safeguarding policies to ensure social and environmental compatibility of forest protection measures. Standards have become obligatory for REDD Readiness Preparation processes and are closely monitored by NGOs and academic observers. In the three case-study countries, GIZ has been strongly involved in establishing mechanisms for social and environmental assessments grounded in consultation and participation processes. Nevertheless, forest-dependent people and their representative organizations were largely unsatisfied with the implementation, effectiveness and adequacy of the safeguards because they still only have few possibilities to effectively participate in related processes. Little progress has been made in developing sanctioning mechanisms. Instead there is a reliance on robust regulatory frameworks applicable at the national and international level. As a result the functionality of most safeguards depends on voluntary multi-stakeholder agreements such as the Soy Moratorium or the Round Table on Sustainable Oil Palm, whose effectiveness is hotly debated.

- **FLEGT promotes large international timber companies:** All three case study countries have joined the FLEGT Action Plan to guarantee the legality of exported timber. Although this has strengthened enforcement capabilities, there has been nearly no influence on the forest sector as a whole and even less on the drivers of deforestation. Unexpectedly, the additional bureaucratic requirements created new opportunities for corruption and worsened the situation of millions of forest dwellers while favoring a few large international companies who are able to circumvent the requirements.
- **Weak faith in community forestry:** Many forest dwelling communities have institutions, customary laws and knowledge systems grounded in a long relationship with forests and have proved their capacity to use forests without destroying them. Even though this capacity has frequently been marginalized historically or never existed as in the case of many migrant farmers, small-scale local land users, compared to other economic actor groups they show an interest in maintaining the forests on which they depend. It is therefore inconsistent that the German forest cooperation puts such little effort into the promotion of local forest management schemes. The regulatory frameworks that have been set up, and are a credit to German forest cooperation, to allow local land users to legally manage their forests, in practice, do not match local realities and needs. Furthermore, the funds provided to support the few existing community forestry initiatives are negligible.
- **Complete ignorance of the informal sector:** Most striking is the nearly complete unwillingness of the informal forest sectors to get involved although they play enormous economic and social roles and have the capacity to provide options for the optimization and long-term effectiveness of forest management schemes. Their unwillingness may be the result of pragmatic reasons such as the desire to avoid conflicts with disinterested national governmental partners or the complexity of the informal sector. But this also indicates a lack of confidence in the potential of local empowerment and a reluctance to leave the offices in the capitals and get involved in field work that is known to be complex, difficult and slow to progress.

Recommendations

The focus of German forest cooperation has been on the strengthening of national forest administrations and improving the governance of large-scale forest management schemes. This has contributed to better legal and institutional frameworks and the professionalization of concession and protected area management. However, in social and environmental terms, this approach has not brought the desired results and it may be even less successful in the future due to increasing pressure on land and forests. The insights presented in this study show that any successful ap-

proach to forest conservation needs the active involvement of the people living in and around forests. Many possibilities exist for improving the effectiveness of the German forest cooperation.

- **Substantial intensification of bilateral forest cooperation:** Bilateral forest cooperation can make a difference towards the sustainable development of rural areas in the tropics. The weaker the national economies and governance structures are, the higher are the possibilities for influence, although the implementation might be challenging. To use forest cooperation as a leverage point to positively influence rural development, Germany should systematically explore the opportunities for bilateral cooperation while continuing its engagement in multilateral forest processes. This requires a long-term political and financial commitment with selected partner countries.
- **Reflections on underlying mindsets and expectations:** There is an important need to take into account conflicting goals within forest cooperation and other non-forest sectors such as mining, energy and agriculture that drive deforestation and are also supported by the German government and the private sector. Also, a clearer understanding is required of the impacts and risks involved in using the approaches much favored by German forest cooperation, in particular the command-and-control approach focusing on forest administration and state control, and the market approach aiming at the commercialization of forests and forest services. Lesser confidence should be given to the ability and willingness of governments and companies to protect forests and forest people.
- **Re-think the role of local people:** The German forest cooperation primarily perceives local people as a potential threat to forests while disregarding their role as resource managers. Only few of the analyzed programs prioritize the improvement of local livelihoods, and none mention the empowerment of the local people as a goal. Possible reasons could be disinterest or pressure coming from partner countries, concerns about the complexity of the task and workload involved, insufficient economic benefits, or simply resentment or unreflected mindsets
- **Arrange partnerships with local and academic organizations:** Decision makers in government ministries lack first-hand knowledgeable concerning local realities in the partner countries. It's quite accurate that employees of GIZ and KfW work under challenging conditions with a lot of pressure and little time for reflection. However, they should take advantage of the support available from competent people and organizations other than short-term consultants. In particular it is recommended that there should be much more cooperation with local grassroots organizations and academic institutions. This would help make development cooperation more coherent, set relevant and realistic objectives, and identify workable options to stimulate the interests and capacities of local people.

- **Improve transparency.** The German forest cooperation should be more aware that their programs are funded with public money. Much more effort should be put into informing the public about their programs, including aims, impacts and risks. The BMZ's decision to support the International Aid Transparency Initiative (IATI) is an important step, but should also include programs involving the BMUB and KfW. In addition, a solid safeguard system is needed with clear criteria, transparent internal and external oversight and a possibility for redress through a grievance mechanism. To support people-friendly information policies it is desirable to establish mandatory standards for the public dissemination of information regarding the planning, implementation, development, and evaluation of all programs and projects.
- **Work for and with local people:** Millions of poor families are living and will continue to live in and around forested areas. Therefore, the success of any initiative taken depends on the involvement of local resource users. This can be accomplished by measures which: (1) support the social organization and empowerment of local people; (2) actively involve local people and their representative organizations early on in the program planning stages; (3) facilitate the mediation and resolution of forest-related conflicts particularly in and around timber concessions and protected areas; (4) support community forestry regimes in accordance with local capacities and interests, and, related to this; (5) systematically explore opportunities to improve the informal forest sector. To tap the potential embedded in these actions requires a much more explicit commitment regarding the rights and capacities of local people, even if this goes against the interests of national governments and influential economic actor groups.
- **Leave the cities for the field:** The actions outlined above require highly qualified personnel working, in particular, at the local level. But so far GIZ and KfW staff prefer working in the capitals, leaving the responsibility for program implementation to NGOs, consultants or local governmental agencies that are insufficiently prepared, overstrained or simply not interested in dealing with such a challenge. A greater presence and the long-term engagement of the employees of German forest cooperation at the local level are crucial for success. This requires staff training and the building of facilities at the local level. Experts are needed who are willing and qualified to work under the difficult conditions of the rural tropics.

1 Introduction

1.1 Context

Since the 1992 Earth Summit in Rio¹, the challenge of protecting the remaining natural forests has become one of the priority issues of international cooperation. Challenges include concerns about the loss of biodiversity and its potential indirect effects on humanity², the detrimental effects of deforestation on forest-dependent communities³, particularly indigenous cultures. More recently, the contribution of forest loss to the problem of climate change has become a major concern⁴.

In response, governments have pledged large amounts of funding to projects in tropical countries who claim to protect forests, forest peoples and biodiversity as well as to reduce forest emissions. While some of those funds are negotiated at the international level and channeled on the basis of multilateral agreements, involving various processes and mechanisms, a major share is supplied via bilateral deals. In contrast to multilateral negotiations,

bilateral funding is based on individual negotiations between the donor and the recipient country. Thus it offers more possibilities for the negotiating partners to influence decisions on how the funding is spent. Although these deals rely on the decisions and commitments to be made by the recipient country's national government, generally, the poorer a recipient country is the stronger is the influence of the donor country. In the end, funding decisions should reflect the interests of both.

Over the last few years a significant amount of attention has been paid to the work done by institutions and processes involving work done on a multilateral basis such as with the World Bank, the UN Program on Reducing Emissions from Deforestation and Forest Degradation (UNREDD), and initiatives for Reducing Emissions from Deforestation and Forest Degradation (REDD+). In contrast, bilateral transactions and policies have received considerably less scrutiny. Considering the fact that millions of hectares of forest are affected by those bilateral deals be-

1. UNECD, 1992.

2. MEA, 2005

3. Sunderland et al., 2013

4. UNFCCC, 2013

tween countries, it deems worthwhile to invest in a more accurate understanding about the role and impact of bilateral forest funding.

Germany is one of the world's largest donors to forest causes. It exerts significant political influence and often plays an active and leading role in international forest processes. Parallel, Germany provides significant support to tropical countries also on a bilateral basis. But so far, little has been done to understand the role and impact of these bilateral arrangements.

1.2 Objectives

With this in mind, this study focuses on Germany's forest related Official Development Assistance (ODA) and development cooperation with a special emphasis on bilateral forest funding to three case study countries: Indonesia, Cameroon and the Democratic Republic of the Congo (DRC). All three countries are situated in the tropics and characterized on the one hand by having large remaining primary forests, and on the other, as having significant deforestation rates. These three countries are main beneficiaries of international as well as German forest funding.

Within this context, this study intends to understand how bilateral funded forest related development programs work, learn about related potentials and challenges, and come up with recommendations for an effective use of such bilateral funds. The study provides insights on the following aspects:

- The role of forest funding within the overall development assistance provided;
- The strategies, approaches and instruments applied;

- The organization of forest cooperation;
- The effects on forests, biodiversity conservation and local livelihoods.

The report is aimed at policy makers, implementing agencies in Germany and other donor and recipient countries, other stakeholders such as non-governmental organizations (NGOs), forest companies, carbon investors and international organizations, as well as the interested public. Thus, this report is not to be considered as a purely academic document, but as a contribution to the ongoing debate of how to best support tropical countries in their attempt to foster rural development in forested regions that contributes to economic development, particularly for local populations, while at the same time reducing deforestation and environmental degradation.

1.3 Methods and data sources

The study started in December 2013 with the identification of relevant secondary information such as reports, statistics, and scientific literature and by making institutional contacts, particularly with employees of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) and KfW in Germany and the study countries. In the beginning of 2014 two researchers went on two to four week visits to Indonesia, Cameroon and DRC to communicate with representatives of German development cooperation, NGOs and national forest stakeholders.

The analysis of German ODA relied on official data provided by the Organization for Economic Cooperation and Development (OECD) and the German Federal Ministry for Economic Cooperation and De-

velopment (BMZ) for the period from 2002 to 2012. Program and project case study information, including disbursements and commitments made for programs planned until about 2020 have been derived from OECD Aid Statistics and the Creditor Reporting System (CRS) of the Development Assistance Committee (DAC), the International Aid Transparency Initiative (IATI), BMZ, the Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB), GIZ, the KfW Development Bank and the federal budget plans of the German Bundestag⁵ supplemented by information from website of the Deutsche Klimafinanzierung (DKF) and the REDD desk.

To explore, understand and analyze the programs and projects implemented by forest related development cooperation was challenging because these programs frequently cover long time periods, involve successive disbursements and make commitments to provide funding in the future. In addition, available data sources use specific information schemes and rely on different bases with differing degrees of reliability. For example, data provided by the Creditor Reporting System (CRS) of the DAC refers to actual disbursements to ODA donors at a certain time. Although the data are reliable, the particular programs and projects that received the disbursements are not always clear. Commitments for funding are recorded by some OECD data by source, but are sometimes not consistent and are frequently subject to changes. To support transparency claims, the International Aid Transparency Initiative (IATI) collects standardized data including disbursements and commitments at the program level provided by the donors. The BMZ has been supporting IATI since March 2013 and has significantly advanced in updating and

completing information according to IATI standards since then.⁶ Unfortunately, other German funding organizations including BMUB and KfW have not.

It's even more challenging is to try and find meaningful information about the funded programs and projects and the strategies and instruments employed. In the majority of cases, the information provided by the implementing organizations is not satisfactory, to say the least. Codifications supposed to indicate funding objectives – such as the purpose codes – reflect outdated approaches and standards dating back to the 1970s and 1980s and are often insufficient in capturing the program's complexities. Even worse, information about instruments and measures applied, is in most cases missing completely. This problem is further aggravated by the fact that current program and project monitoring practices are rarely assessed. And those assessments that are done, are seldom made available to the public.

Another problem we encountered during our analysis is that actions that most likely have the strongest effect on forests and people, occur outside of the forest sectors. It's particularly investments made and activities done by the private sector, for example large-scale agricultural land uses, mining or hydro dams that massively affect forests but they are not included in the statistics we analyzed. Although most of the development programs happen outside of the forest sector, they might have tremendous impacts on forests. For example, capital intensive infrastructure programs like the construction of roads. On the other hand, not all environmental programs have direct impacts on forests, like those promoting renewable energy in urban settings. The fact that our analysis focused on programs and projects in for-

5. Deutscher Bundestag 2011, 2012, 2013.

6. BMZ [Veröffentlichung gemäß IATI-Standard](#) [accessed August 2014].

estry and environmental sectors designed to have positive outcomes for forests and people, implies a pro-cooperation bias.

The analysis of the programs and projects has been carried out in four steps combining different research approaches:

1. In a first step the funding and purposes of official bilateral German development assistance were analyzed in the context of overall international development assistance. This research step focused on programs attributed to the forest and environmental sectors and the three case study countries Cameroon, DRC, and Indonesia. The analysis used data provided by the OECD and the German Federal Ministry for Economic Cooperation and Development (BMZ), and mostly refers to disbursements covering the period from 2002 to 2012.
2. The second step was dedicated to the analysis of the forest related programs of the German development cooperation in the three case study countries to identify country specific patterns of bilateral cooperation. To overcome the above mentioned data deficits, we first aligned the CRS data with IATI data and the program information available from the BMUB, GIZ, KfW, DKF websites and the REDD desk. This analysis considered programs and projects from all sectors. Those programs dealing directly with forests were classified as 'forest related', those addressing other sectors but expected to affect forests as 'forest relevant'. The analysis covered the period from 2002 to about 2020 and includes programs already finished, currently implemented, in the pipeline, or in the process of identification.

3. Finally, the third research step examined the objectives and instruments of the ongoing forest related programs⁷ in the three case study countries in more detail. By using accessible project documents it was analyzed if these programs explicitly name, address or ignore the general objectives set by the BMZ: 'Biodiversity Conservation' meaning conservation of forests and biodiversity; 'Forest Use' about utilization and profitable management of forests; and 'Local Livelihoods' aiming to improve local livelihoods. Additionally, we also identified the instruments these programs applied and if they were applied 'frequently', means, being emphasized in many programs as a major instrument, 'sometimes' if mentioned in several instances, or 'never' if mentioned only once.
4. The final step was intended to better understand the socioeconomic and political country specific contexts in which bilateral German forest cooperation works and assesses its effects on forests and people. Beyond the very little information found in documents from the funding and implementing agencies, this analysis also considered scientific studies as well as information gathered in interviews with persons actively engaged in the selected programs at local, regional and national levels. Additionally, in Indonesia it was possible to obtain first-hand experiences during field visits to two major German funded development programs: the Forests and Climate Change Program (FORCLIME) and the Ecosystem Restoration Concessions (ERC).⁸

Additionally, reports, books and scientific articles were systematically explored

7. 'Ongoing' is defined as being designated 'in implementation', 'decided', or 'in the pipeline' according to IATI data for 2013, or recorded as ongoing programs in the ICI, GIZ, and KfW data bases.

8. The two villages Menua Sadap and Nanga Betung (Kapas Hulu district, Kalimantan) were visited. Both villages had recently approved Village Forests, one established with facilitation by FORCLIME, and the second supported by the regional Kapuas Hulu subsidiary of the NGO Fauna and Flora International (FFI). Menua Sadap is a poor Iban Dayak indigenous community while the people of Nanga Betung are mostly Malay and Moslem with better living standards.

to learn about the forest sector in the three case study countries and to evaluate our experiences with the three major instruments promoted by the German forest cooperation: timber concessions, protected areas and community forests.

1.4 Structure

This synthesis report relies largely on the work of Dr. Reiner Buergin who did a desk study of the German ODA with a specific focus on forest cooperation with Indonesia, Cameroon and DRC, and also did the country study for Indonesia. His reports elaborated under his full responsibility show much more detailed information, and have been made available as separate documents. This report, however, in large parts, copied the footnotes and listed the references as well as the annexes from Dr. Buergin's reports.⁹

Additionally, some information about the German forest cooperation in Cameroon and DRC was provided by Mr. Emmanuel Freudenthal.

Following the introduction this synthesis report has five sections. Section 2 provides an overview of the magnitude, goals and organization of International and German development cooperation. Section 3 presents the goals, approaches and key instruments of German forest cooperation. Section 4 reports on the specific actions of the German forest cooperation in the three case study countries and reflects on the functionality and effects produced. Lastly, Section 5 critically reflects on the findings, presents the main lessons learned and provides some recommendations.

⁹ Buergin, R. 2014. Forest problematic and bilateral forest related German development cooperation in Indonesia. Report. University of Freiburg. 114p. URL: <https://www.freidok.uni-freiburg.de/data/10306>

Buergin, R. 2014. German forest related bilateral development cooperation in the global context and in Cameroon, Democratic Republic of the Congo, and Indonesia. Report. University of Freiburg. 80p. URL: <https://www.freidok.uni-freiburg.de/data/10307>

2 International development cooperation

2.1 The origins

There is a continuous flow of funds from economically well-developed countries to those economically less developed. The vast majority of donor countries are industrialized and located in the global north. The recipient countries, on the other hand, are mostly located in tropical and subtropical regions of the global south. Developing countries and territories eligible for receiving ODA are determined by DAC from a list of ODA recipients which is revised every three years.¹⁰

From a historical perspective development assistance emerged after World War II when under the lead of the new hegemonic power USA, the western countries started to systematically propagate their modern agro-industrial production technologies to economically less developed countries whose people, at the time, frequently suffered from starvation. These economic and political efforts were intellectually backed up by the work of Rostow who reported on the existence of a universal development path from 'traditional' agricultural societies to 'modern' industrialized societies based on mass consumption.¹¹ However, from the beginning, development assistance has been also used by the Western and the Eastern hegemonic powers to ensure their areas of political influence¹². In addition to military

and political considerations, development assistance also serves economic interests, especially in the resources and products of developing nations as well as securing access to their growing markets¹³. In the course of economic globalization and the emergence of massive global challenges such as climate change, economic crises, wars and migration, concerted action for mitigation and adaptation have become major issues in development cooperation. Joint efforts in processes such as the Millennium Development Goals (MDGs) became crucial for international cooperation. Development assistance has to be understood in this complex framework of national, regional and international interests.

2.2 Concepts

Development assistance consists of three elements: Official Development Assistance (ODA), Other Official Flows (OOF) and Private Flows. ODA refers to financial flows to countries and territories on the DAC list of ODA recipients and to multilateral agencies which (a) are undertaken by the official sector, (b) have the promotion of economic development and welfare as the main objective and (c) are grants or loans with a grant element of at least 25%. Grants, loans and credits for military purposes are excluded. Transfer payments to private individuals (e.g. pensions, reparations or insurance

10. The list is designed for reporting and statistical purposes, not as guidance for aid or other preferential treatment. In particular, geographical aid allocations are national policy decisions and responsibilities. Listed are all low and middle income countries based on gross national income (GNI) per capita as published by the [World Bank](#), with the exception of G8 members, EU members, and countries with a firm date for entry into the EU. Membership of the OECD or the DAC does not affect eligibility to receive ODA, and countries may be both significant providers and recipients of ODA.

11. Rostow, 1960; for a condensed review of development and modernisation discourses see Buergin 2013: 6-9.

12. Ekbladh 2011 and Latham 2000

13. Deutscher Bundestag 2013

payouts) are generally not counted.¹⁴ Other financial flows to developing countries which are recorded in OECD statistics but do not count as ODA include so-called Other Official Flows and Private Flows. Other Official Flows are also transactions by the official sector but are not eligible as ODA, either because they are not primarily aimed at development, or because their grant element is less than 25%. Private Flows consist of flows at market terms financed out of private sector resources (i.e. changes in holdings of private long-term assets held by residents of the reporting country) and private grants (i.e. grants by NGOs, foundations, churches and other private bodies, net of subsidies received from the official sector).¹⁵

ODA can be analyzed from different perspectives, most importantly, by the character of the fund, its origin, the underlying institutional arrangements, and its purpose. With regards to the character of the fund it is important to distinguish between grants and credits. Grants are lost funds, thus recipient countries are not expected to pay them back. In practice grants are subjected to conditions that the recipient country has to fulfil. Credits are only temporarily provided and the receiving country eventually has to pay them back. Credits belonging to ODA are charged interest rates significantly below the market rate. Also, depth releases are a strategy used by ODA where the donor country eventually waives the repayment of credits given to insolvent countries. Often this is tied to conditions such as the need for re-investing the waived amounts in specific sectors or programs.

Another aspect is that ODA can be bilateral or multilateral. In the case of bilateral ODA, the flow of funds is based on an agreement made between two states only.

Multilateral ODA consists of an agreement between more than two countries and also includes permanently established international organizations such as the United Nations and the World Bank, but it could also take the form of specific mechanisms and processes. German development policy is committed to an international policy framework and agreements which were established with the active involvement of Germany. In particular they are the Millennium Development Goals, the Monterrey Consensus on securing funding, the Johannesburg Action Plan promoting sustainability, the European Union's ODA Plan with its financing obligations, the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action seeking to increase the effectiveness of development cooperation. Countries get involved in multilateral agreements to mainstream and coordinate their efforts and because responsibilities and risks are distributed among the group. This potentially makes the situation more advantageous for individual countries. The major reason countries pursue bilateral agreements is to gain larger influence and have more flexibility, and because it is easier to negotiate with just one country. In our study we focus on bilateral public funds provided by German Federal Ministries.

Finally, for the purpose of this study, it also makes sense to look at the objectives of ODA so to see how the funds have been spent. Funds are allocated to standardized sectors that exist to structure public policies. Such sectors include health, education, infrastructure, environment and forests and many others.

^{14, 15} OECD [DAC Glossary](#)
[accessed October 2014]

2.3 The flow of ODA

In 2012, according to OECD statistics, the total flow related to development assistance from all donor countries to all recipient countries was calculated at about US\$474 billion. Around one third of this assistance, US\$151 billion, represents ODA¹⁶, of which nearly 85% was provided by DAC countries. In the observed period, total ODA has grown incrementally including bilateral and multilateral ODA; the latter accounting for 27% of total ODA (see Figure 2-1).

The total amount of Germany's development assistance is estimated at US\$35 billion in 2012, including US\$1.4 billion in private grants predominantly provided by NGOs. In contrast to the average funding

from all donor countries since 2005, the amount of private grants from Germany has been decreasing, while total German ODA has increased. From 2002 to 2012 Germany contributed an average of 9% of the global ODA increasing from US\$5 billion in 2002 to a high of US\$14 billion in 2011. Since 2002, Germany has consistently ranked among the five major ODA donor countries. Nevertheless, with 0.4% of GNI, Germany is still clearly below its politically set target of 0.7% of GNI. Using this indicator Germany was only ranked 12th among the 27 DAC countries in 2012.

The share of German multilateral ODA (37% on average between 2002 and 2012) is significantly higher than the average for all donor countries, which indicates the relatively high importance that Ger-

¹⁶. If not specified otherwise, data on ODA refers to net ODA and disbursements in millions of USD. For basic definitions see OECD [DAC Glossary](#) [accessed October 2014]

Figure 2-1. Multi- and bilateral ODA from DAC countries and Germany, and total net private grants from 2002 to 2012 (in billions US\$)

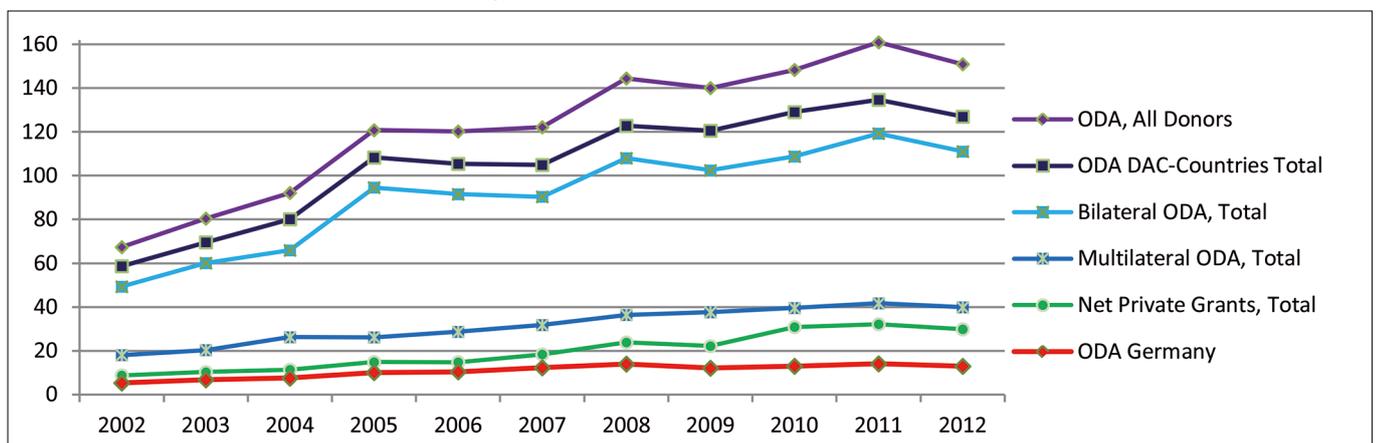
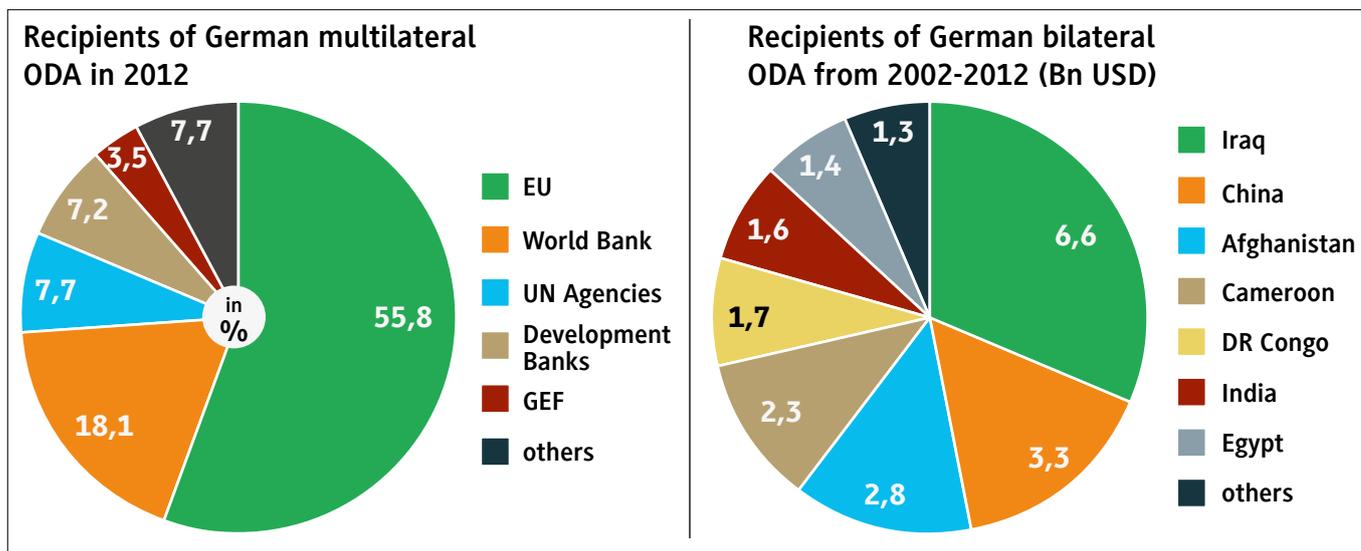


Figure 2-2. Distribution of German ODA



many gives to international processes and mechanisms.¹⁷ (see Figure 2-2)

In 2012, the highest share of German multilateral ODA by far, has been allocated to institutions of the European Union (EU) followed by the World Bank Group in a distant second place. Beyond that, several Regional Development Banks as well as the GEF also received a significant share. Although Germany's stated strategy for the distribution of bilateral ODA, is to concentrate on selected countries of strategic importance, bilateral ODA has in fact been more diverse. The major recipients from 2002 to 2012 were Iraq, China, Afghanistan, Cameroon, DRC, India, Egypt and Brazil. With some US\$2 billion of gross ODA, Indonesia also ranks among the major recipients, but due to significant debt repayments, it only received about US\$300 million net ODA. The ranking fluctuates greatly from year to year. In 2012, for example, the five major recipients were DRC (4.6%), Afghanistan (4.0%), China (3.3%), India (1.3%) and Kenya (1.2%). Nearly 60% of this bilateral ODA was designated for project type interven-

tions, while scholarships and expenses for students from ODA eligible countries accounted for another 12%. The remaining quarter was distributed through bilateral core support directed to NGOs and pooled programs, payments for experts and other technical assistance, debt relief and administrative costs not included elsewhere.

In 2012 more than 40% of German ODA, amounting to US\$10.2 billion, was assigned to the 'Social Infrastructure and Services' sector. Together with the 'Economic Infrastructure and Services' and 'Production' sectors they were responsible for another 25%. Also, the cross-cutting sector (including the sub-sector General Environmental Protection) received a significant share. More than 8% was used for Action Relating to Debt and nearly 5% was allocated for Administrative Costs of Donors. The rest, around 7%, included the sectors 'Commodity Aid and General Program Assistance', 'Humanitarian Aid' and 'Refugees in Donor Countries' (Figure 2-3). The environment and forest related activities sectors were officially categorized in such a way that the proportion of funds

¹⁷. BMZ [Entwicklung der bi- und multilateralen Netto-ODA 2007-2012](#) [accessed April 2014]

Figure 2-3. German ODA by sectors (2012) (source BMZ, 2014)¹⁸

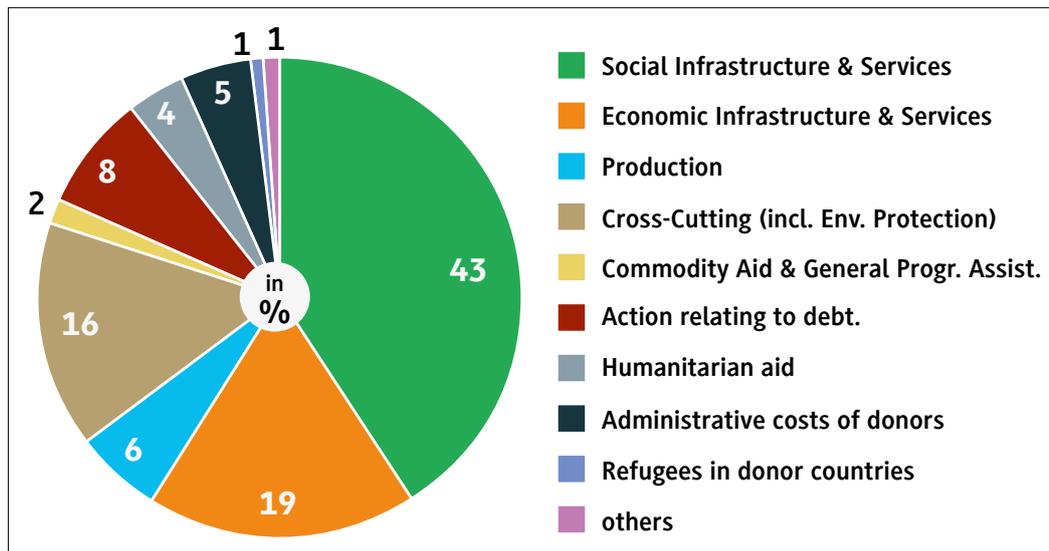
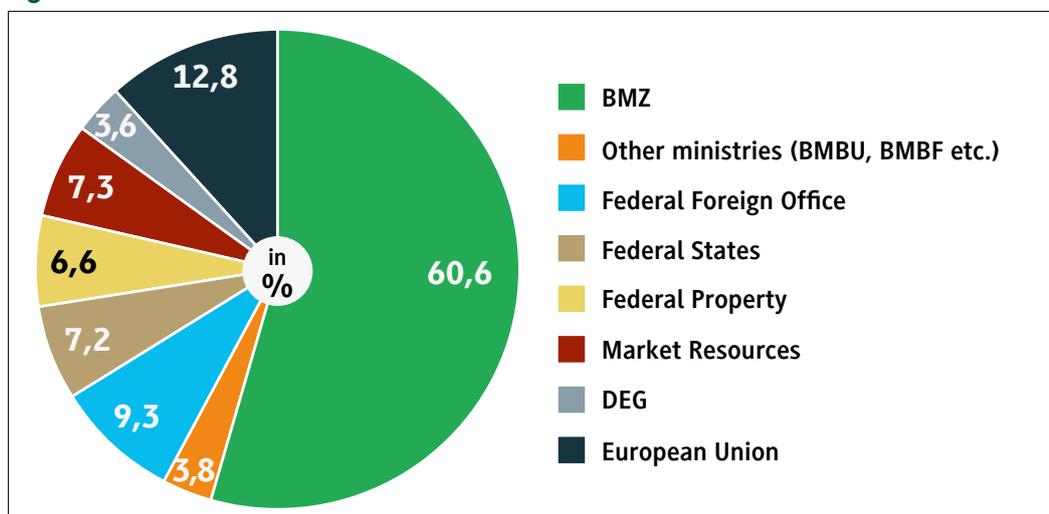


Figure 2-4. Sources of German ODA (2012)



that were allocated to each is not possible. However, it is clear that in terms of funding, compared to the economic and social sectors, the environmental sector, including forests, plays a rather marginal role in German ODA.

Nearly two thirds of the German ODA in 2012 was provided by the BMZ. The German share of ODA provided through the EU is also significant. Other important sources of German ODA were the Federal

Foreign Office, the Federal States, Federal Property, Market Resources generated from financial markets (mainly by KfW), and the DEG (Deutsche Investitions- und Entwicklungsgesellschaft) of KfW. Other federal ministries, particularly the Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) (1.3%) and the Federal Ministry of Education and Research (BMBF) (1.1%) combined, contributed less than 5.0%.¹⁹ **(Figure 2-4.)**

8. BMZ [Bilaterale Netto-ODA nach Förderbereichen 2012](#) [accessed August 2014]

19. BMZ [Mittelherkunft der bi- und multilateralen ODA 2011-2012](#), [accessed August 2014]; for more detailed information on sources and allocation of funds see Deutscher Bundestag 2011, 2012, 2013.

2.4 German ODA in the forestry sector

The environmental and forestry sectors are the two with the highest relevance for forests. In 2012, Germany provided some US\$700 million, accounting for 5,6% of the total ODA (Figure 2-5)

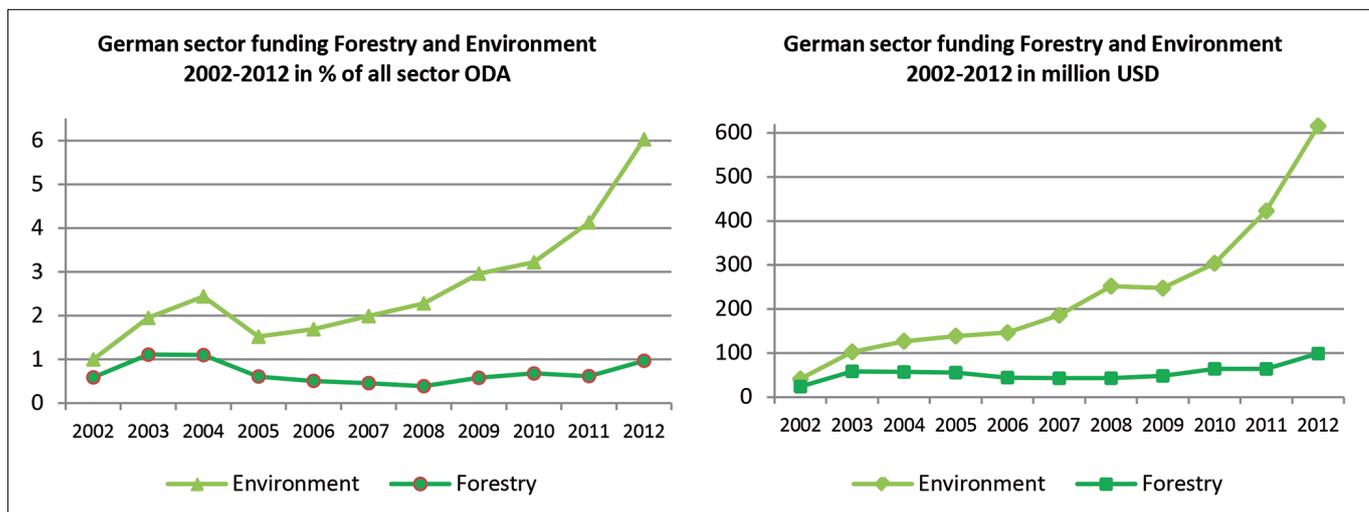
While German ODA to the forestry sector only increased slightly from 2002 to 2012, German funding for the environment sector has increased continuously in terms of absolute numbers as well as in the percentage of all ODA sectors. While these trends correspond to global funding trends, Germany provided a considerably larger proportion of ODA to the forestry sector when compared to most other donors (0,69% of ODA for Germany compared to 0,49% of ODA for all donors over this period). Also, the contribution to the environment sector was higher (2,66% of ODA for Germany compared to 2,30% ODA for all donors over this period).

²⁰ BMZ [Principles](#) [accessed April 2014]

2.5 Organization of the German development cooperation

The BMZ website presents Germany's development cooperation as one of the most important instruments of the German government to actively engage "...in combating poverty, securing food, establishing peace, freedom, democracy and human rights, shaping globalization in a socially equitable manner, and preserving the environment and natural resources..."²⁰. These goals are to be achieved in close cooperation with the international community. To realize these goals, German development policy is committed to an international policy framework and agreements which were established with the active involvement of Germany, in particular they include the Millennium Development Goals, the Monterrey Consensus on securing funding, the Johannesburg Action Plan promoting sustainability, the EU's ODA Plan with its financing obligations, as well as the Paris

Figure 2-5. German ODA for the environment and forestry sectors



Declaration on Aid Effectiveness and the Accra Agenda for Action seeking to increase the effectiveness of development cooperation.²¹

Although several public agencies and actors are engaged in providing development aid, it is the BMZ that has the legal mandate to represent Germany in the international processes mentioned above as well as in bilateral negotiations with potential partner countries. Thus, the BMZ leads the German development aid.²² The BMZ mission statement declares that the leading principles of German development aid advocate for the fundamental human values of justice and solidarity and for the obligations of the strong and wealthy to help the weak and serve the public good.²³ In 2002 the BMZ, in its Strategy on Forests and Sustainable Development, specified the goals, priorities, and principles of German development cooperation in the Forest Sector.²⁴ The goals of this sector are to guide the decision making process in the identification, examination, planning, implementation, supervision and evaluation of forest relevant development projects, as well as guiding the development of forest relevant policies at the national and international level. The BMZ provides authoritative guidelines and instructions for German development cooperation public agencies (including forest relevant projects from other sectors of German development cooperation) and acts as a guide for NGOs and the private sector. In 2011 the BMZ adopted the Human Rights Strategy paper (4 2011/e) as the binding reference that recognizes and ensures Germany's commitment to: the Human Rights Convention, development cooperation with partner countries, and that its programs are accountable and do not contribute to human rights violations²⁵. A number of processes have been initiated

to ensure its implementation; however, it is still being developed by the BMZ.²⁶ The BMZ guidelines on incorporating human rights, standards and principles, including gender, published in 2013, makes it mandatory for all program proposals for bilateral development cooperation to "... appraise the relevant human rights risks and impacts...".²⁷ At the time of this study, the BMZ is also developing a position paper on the rights of indigenous peoples.

The major actor of German development cooperation in the countries being aided is the GIZ. The sole shareholder of GIZ is the Federal Republic of Germany, represented by the BMZ and the Federal Ministry of Finance (BMF). Besides the BMZ other agencies that commission GIZ to carry out projects in partner countries include the BMUB, the German Federal Foreign Office (AA) and the EU. The second major actor of German development cooperation is the KfW Development Bank which is owned by the Federal Republic of Germany and its States.²⁸ These two organizations are responsible for the implementation of the majority of German development programs and projects. However, various other actors, including intergovernmental organizations (IGOs), NGOs, churchly organizations, academic institutions and private enterprises are involved in the implementation of Germany's development projects.

Although in many countries the KfW and the GIZ cooperate in so-called joint programs, they largely work independently from each other and their organization and implementation of development cooperation is considerably different. The operational approach, generally attributed to the GIZ, is known as 'Technical Cooperation' and aims to boost the performance capacities of individuals

21. BMZ [International Goals](#) [accessed April 2014]; for a review of the international forest policy framework see e.g. McDermott et al. 2007, 2010.
22. In 2012 the Federal Ministry for Economic Cooperation and Development (BMZ) had a 60.6% share of the total bi- and multilateral German ODA, the Federal Foreign Office (AA) provided 9.3%, the Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) 1.3%, and the Federal Ministry of Education and Research (BMBF) 1%, while another 7.2% came from the Federal States, 6.6% out of the Federal Property, and 3.6% was provided by the Deutsche Investitions- und Entwicklungsgesellschaft (DEG/KfW). (BMZ [Mittelherkunft der bi- und multilateralen ODA 2011-2012](#) [accessed June 2014]); for more detailed information on sources and allocation of funds see Deutscher Bundestag 2011, 2012, 2013.
23. BMZ [Principles](#) [accessed April 2014]
24. BMZ 2002
25. BMZ 2011a
26. Email correspondence with BMZ, April 14, 2014.
27. BMZ [Guidelines on Incorporating Human Rights Standards and Principles](#) [accessed January 2015]
28. Thies 2011.

and organizations in partner countries by providing advisory services and teaching know-how and skills through a few specialized organizations employing mostly German experts. Technical Cooperation embraces programs and projects agreed on during negotiations between the German government and the partner country government. The funds provided are always non-repayable. The operational approach of the KfW basically belongs to the concept of 'Financial Cooperation'. Here, the partner countries receive funds to implement programs and projects that have been agreed to and laid out in a contract with Germany. According to this contract, funds can, for instance, be used to finance investments, particularly in infrastructure and financial systems, to purchase materials and equipment, or to establish effective structures. The funding usually takes the form of soft loans while the poorest developing countries are also granted funding in the form of a non-repayable grant²⁹. Financial Cooperation only involves national organizations. The KfW helps to develop the contract and to monitor its implementation to ensure the suitable use of funding by partner countries. Normally this is done by short-term consultants.

Both operational approaches for implementing forest related development cooperation show advantages and disadvantages. For example, compared to the more hands-off implementation approach of the KfW, whose focus is on the financing of projects and measures, the hands-on approach of GIZ staff as experts and facilitators in projects and measures of development cooperation provides better possibilities to steer and monitor projects directly. It also facilitates a greater under-

standing of the contexts and particularities of projects as well as their suitability to particular circumstances and problems. Compared to Technical Cooperation, funding outcomes from Financial Cooperation are less determinable and controllable. On the other hand the GIZ approach of Technical Cooperation is more susceptible to the establishment of hegemonic roles and the attitudes of development actors.

In the partner countries, every few years, the BMZ represented by the German Embassy meets with representatives delegated by the national governments to negotiate objectives and the budget of Germany's involvement with the government. The position of the BMZ is based on input by GIZ and KfW who normally have long-term relationships with national governmental agencies. This position gives them access to both networks allowing them to informally check and discuss interests and possible options as well as the feasibility and relevance of upcoming projects. However, there might be significant differences between the interests of the recipient governments and the German development cooperation which need to be worked out. At the conclusion of the negotiations a formal memo is agreed upon which includes the general budget, objectives and indicators of success. Based on these outlines the GIZ and KfW then each prepare project propositions which are then submitted back to the BMZ. During this process several studies are done to assess the propositions, including feasibility studies. Propositions assessed positively by the BMZ are then presented to the national governments for final approval (or rejection). All initiatives of the German development cooperation are responsibly implemented by

29. [BMZ Approaches in bilateral cooperation between Germany and its partner countries](#) [accessed January 2015]

partner country governmental agencies which are in turn supported by German development organizations by way of advisors with technical expertise, financial resources or both.

The implementation of the programs is accompanied by multiple layers of planning. Generally, each allocation of funds has to go through an approval process involving multiple agencies. During these processes each program uses a specific set of criteria to determine the allocation of funds for specific activities. In addition to these planning and decision procedures, there are also regular internal evaluations of these activities. Also, the GIZ regularly conducts different kinds of external evaluations of their projects, but only the KfW does evaluations after a project is completed and only for some of them. GIZ project evaluation summaries should be made available on their website. In contrast, KfW evaluation reports are treated as internal documents.³⁰

In general terms, the international forest cooperation follows the same procedures, sometimes making slight changes. Most importantly, the role of the BMU in international ODA relevant negotiations has increased considerably during the last decade due to a greater awareness of the consequences of climate change and the allocation of significant funds to this ministry. Additionally, environmental NGOs, particularly large international ones play a more active role in other sectors.

30. GIZ 2013

3 German Forest Development Cooperation

3.1 Goals

The goals and strategies of German forest cooperation are embedded in overall principles and objectives of the German development cooperation. A body of international agreements and forest laws developed since the early 1990s are the basis of German forest cooperation, namely the Statement of Forest Principles adopted at the UN Conference on Environment and Development in 1992, the Intergovernmental Panel on Forests (IPF) established in 1995, the Intergovernmental Forum on Forests (IFF) in 1997, the United Nations Forum on Forests (UNFF) in 2000, the Convention on Biological Diversity (CBD) in 1993, the Working Program for Forest Biological diversity in 2002, the Kyoto Protocol to the Convention on Climate Change in 1997, and the United Nations Convention to Combat Desertification (UNCCD) in 1994.³¹

Important features of Germany's development cooperation in the forest sector are policy consultancy in international donor forums, networking in international expert groups and organizations and building partnerships with intermediate actors from government agencies, civil society and the private sector.³²

German forest cooperation aims to conserve the environment and natural resources including water, soils and biodiversity. It also works to reduce disasters and biosafety risks and promotes itself as playing an important role in poverty reduction.³³ Thus, projects in the forest sector must include instruments that help rural populations meet their immediate basic needs and in the long run make concrete contributions to reduce poverty. Progress made towards protecting forests is seen as necessary to achieve the Millennium Development Goals by 2015, especially

31. BMZ [International Policy on Forests](#) [accessed April 2014] and BMZ 2002: 10f.

32. BMZ 2002: 5-11, 18f.

33. BMZ [Protecting the Environment](#) [accessed April 2014].

the goal of cutting poverty by half. This is why forest protection is regarded as an important element of German development policy.³⁴ Because industrialized countries, for the most part, have succeeded in halting the destruction of their forests, economic development is seen as one of the key requirements that enable countries to effectively fight the main causes of forest destruction, namely poverty, population growth, inappropriate forestry practices, forest clearance for pasture, arable land and high-profit monocultures, as well as mining and road construction.³⁵

The goals, priorities, and principles of German development cooperation in the forest sector are further specified in the 2002 BMZ Strategy on Forests and Sustainable Development.³⁶ This sector concept is used by public agencies, NGOs and the private sector in Germany as authoritative guideline for the identification, examination, planning, implementation, supervision and evaluation of forest relevant development projects. Besides references to the international forest regime, environmental regulations and human rights legislation,³⁷ the sector concept outlines principles and safeguards to which German development cooperation in the forest sector is committed. Specifically, this concept addresses the dissemination and sharing of information, the participation of all relevant groups,³⁸ respect for the land and use rights of forest dependent and indigenous people,³⁹ benefit sharing and the improvement of livelihoods, the recognition of gender issues and the participation of women and the observation of standards regarding forest conservation and sustainable forest use⁴⁰. These social and ecological safeguards are thought of as minimum requirements for programs and projects the German development cooperation is involved with. They are sup-

posed to be applied in partner countries and be systematically integrated into the bilateral planning and implementation of development programs and include predetermined breaking points.⁴¹

In remarkable contrast to the general economic growth oriented development approach of the BMZ, the sector concepts approach puts weak governance at the center of forest destruction, including issues such as missing political determination, insufficient participation of civil society, insecure land and use rights, land use conflicts, legal and illegal logging, mining and infrastructure projects, export oriented extension of agricultural areas and plantations, market deficiencies as well as global economic relations and financial flows⁴². Accordingly, the primary goal of forest cooperation is to assist government, civil society and private actors in partner countries to protect and sustainably use forests to permanently preserve their capacity to contribute to poverty reduction and sustainable development thereby maintaining the global ecological balance. The sector concept defines rural poor and indigenous people that depend on forests as primary target groups, and sets securing their livelihoods and basic needs as well as structural improvements in rural areas as the key objectives of forest related development cooperation.⁴³ To facilitate these efforts, policy consultancy in international donor forums and networking in international expert groups and organizations is seen as crucial, while intermediate actors from government agencies, civil society and the private sector may become primary partners.⁴⁴

In summary, German forest cooperation follows three major goals: (1) the conservation of forests and biodiversity, (2) the utilization and profitable management of

34. BMZ 2002: 5, 12.

35. BMZ [Endangered Forests](#) [accessed April 2014].

36. BMZ 2002

37. BMZ 2011b

38. BMZ 1999

39. BMZ 1996, 2006.

40. BMZ 1997, 2008.

41. BMZ 2002: 12-15.

42. BMZ 2002: 9f.

43. BMZ 2001, 2011a, 2012, 2013

44. BMZ 2002: 5-11, 18f.

forests on a sustainable basis, and (3) the improvement of local livelihoods.

3.2 Mindsets and approaches

The three major goals of German forest cooperation seem to constitute a harmonic triad, and the cited program documents generally suggest that they can be achieved jointly, where achieving one goal positively affects the others in so called win-win situations. For example, the sustainable management of tropical forests may generate income that is urgently required for rural development and local livelihoods while the effective use of monetary values contribute to higher valorization and preservation of the remaining forests. However, in the specific decisions about how bilateral forest cooperation might achieve this win-win paradigm, there are strongly differing positions.

In accordance with the proponents of cultural theory⁴⁵, this study considers that the concepts of forest cooperation reflect social constructions which are culturally determined and vary in accordance with cultural histories.⁴⁶ This study explores the idea that decisions and the resulting policies and actions of bilateral forest cooperation rely on specific mindsets understood as being a set of assumptions held by a group of people that creates a powerful incentive to continue to adopt or accept prior behaviors, choices, or tools. Thus, understanding these mindsets will help to understand the political and academic debates and discourses on environment, development, tropical forests and forest use.

Mindsets are conceptualizations of cultural reality and thus can change over time and may differ between and within

societies. A short historical review shows that mindsets and the related debates on forest cooperation have continuously changed their focus over time. Throughout the 1950s and 1960s tropical forests in developing countries have been predominantly conceived of as valuable resources for national development and to satisfy global demands for forest products, particularly timber. It was only in the 1970s, in response to rising concerns about the limits to growth (Meadows et al., 1972), that deforestation and forest degradation was more consciously perceived as a problem and that forest conservation became an international issue.

Until the 1980s discussions about forest conservation in developing countries were related to two, loosely connected, disputes about 'nature' and 'development'. The 'nature' dispute on the one side, involved those who considered forests and forest lands primarily as resources to be exploited for profit and economic development. On the other side were those who thought forests were more than just for human use and wanted to preserve forests, even to the point of excluding any type of human use. The controversy about 'development' occurred between those supporting capitalist and market oriented approaches and those advocating socialist and state-led concepts, thereby reflecting the prevailing dispute at this time between the two major political ideologies of the cold war.

At a later stage, these disputes were augmented by a discourse on indigenous people indicating an increasing awareness for the rights and problems of local and indigenous forest dependent communities as well as by a new focus on cultural diversity. In this process, civil society managed to establish itself as a third

45. Thompson et al. 1990

46. Schanz 1996

power beside markets and the state. Since the late 1980s the protection and well-being of forest dependent communities and indigenous peoples became an important element in both forest protection and economic development discourses. Although these forest user groups were originally perceived as disruptive factors causing the ineffective use of forests and forest destruction, they were gradually recognized as potential allies for forest conservation.

Rooted in these transformations and reinforced by the political struggles that emerged during the global environmental crisis is a broad consensus on what to do with forests including sustainable use of forest goods and services, protection of biodiversity, poverty alleviation and respect for local rights and cultures. However, the historical disputes are still perceptible in the policies, instruments and tools that have been designed to achieve these goals over the course of ever changing political power relations, emerging concerns and challenges, specific regional conditions, and the bubbling up of public and academic disputes. Grossly simplifying, all these measures are attributable to

three different and competing approaches that ground on specific ideological frameworks and mindsets: (1) command and control, (2) free markets, and (3) local empowerment (see Table 3-1).

The 'command and control' mindset is grounded in the belief of the functionality of legal and institutional frameworks that follow good governance principles and enforcement by strong formal organizations and governmental mechanisms at local, national and international level. It aims to strengthen state control and the management capacities of administrative institutions to sustainably manage and protect forests. This is primarily expected to guarantee the economic and environmental functions of forests, while social considerations are indirectly considered.

The 'free-market' mindset emphasizes the regulative power of free markets and the generation of societal benefits by competitive entrepreneurs and companies. It grounds on the observation that industrialized countries, pushed by the private sector, have, for the most part, succeeded in halting the destruction of forests. Re-

Table 3-1. The three dominant mindsets of bilateral German forest cooperation

	Command-and-Control	Free Markets	Local Empowerment
General approach	Effective control of users of forests and forest lands is of utmost importance to avoid mismanagement of forests	The regulative power of free markets is the best way to ensure development and efficient resource allocation	Local people whose livelihoods and cultural identity ground on forests are most appropriate to ensure protection and sustainable use of their forests
Key agents	Governmental agencies and institutions	The private sectors, particularly companies and entrepreneurs	Local communities and civil society institutions
Key strategy	Strengthening administrative agencies and their capacities to control and manage forests	Supporting competition and privatisation, commodification of forest' goods and services	Increasing communal self-determination and capacities for sustainable forest use
Priority field of action	Strong forest administration	Timber concessions and carbon markets	Community forestry and protected forests
Impact pathway	Effectively controlled forests and forest managers guarantee the continuous provision of forest goods and services for local and national benefit	Professional working timber companies effectively protect their concession while investing in local infrastructure as well paying taxes to finance public policies for local and national benefit	Local people taking care of their forests and benefit from a continuous income flow that stabilizes their source of livelihood and energizes markets

sulting policies for deregulating markets, privatization, and the commodification of forest goods and services have been developed. They count on the professional know-how and capital of forest users from the private sector. The economic returns are expected to trickle down to local people by direct or indirect employment opportunities or infrastructural investments.

The 'local empowerment' mindset can be seen as a countermovement to the increasing supremacy of neoliberalism and market triumphalism in the 1990s. The movement was modestly successful, but had social shortcomings. The 'local empowerment' approach is based on the conviction that sustainable solutions for achieving the conservation of forests predominantly relies on the local families and communities that depend on forests. Hence, this position is determined by society's actors and recognizes the diversity and particularity of local forest managers. It promotes communal self-determination and control over resources to achieve forest protection, sustainable livelihoods, and more equitable societies.⁴⁷

The three mindsets outlined, show particular affinities regarding certain actor groups that act as agents and respond to key strategies, but are not exclusively tied to their 'related' social domains. Thus, while the 'command-and-control' mindset is closely related to state institutions and government agencies, it may likewise stimulate professional companies to invest in the commercial exploitation of forests and recognize the rights of local forest users. The 'free-market' mindset is crucially linked to the economic sphere but may also serve to strengthen the forest administration, legitimize state control over forest lands and resources, improve local livelihoods and empower

forest dependent communities. Thus, policies grounded in this mindset may also strengthen forest agencies, set up competitive community enterprises or involve external agencies in ensuring safeguards. Finally, the 'local empowerment' mindset, although primarily addressing social organizations, may also call for better state governance and emphasize the importance of providing income generating options.

However, while in practice these three mindsets and resulting policies may appear harmonious, from a conceptual perspective, they represent essentially conflicting positions not only within the German bilateral forest cooperation but also at a more general level regarding all other social and political disputes. This study doesn't intend to assess the 'truth' of the assumptions and ideological framings of the mindsets underlying these approaches, but will reflect, at least tentatively, about their influence on German bilateral forest cooperation and possible implications.

3.3 Fields of action and instruments

Over time the German forest cooperation has designed a number of instruments, measures and tools affiliated with a number of fields of action to achieve their three goals: biodiversity conservation, forest utilization and improvement of local livelihoods. The BMZ sector concept has six fields of action: (1) Forest Protection and Afforestation, (2) Consistent Policy Frames, (3) Illegal Logging, (4), Certification, (5) Financing Strategies and, (6) International Forest Regime.⁴⁸ The BMZ 2014 website addresses these priority areas, but puts more emphasis on adequate manage-

47. For a more comprehensive review see Buergin 2013.

48. BMZ 2002: 19-21.

Table 3-2: Key agents and related categories of instruments of German bilateral forest cooperation

Private sector	Communities
<ul style="list-style-type: none"> • Timber concessions • Restoration concessions • Carbon forestry • Re and afforestation • Certification • Safeguards 	<ul style="list-style-type: none"> • Capacity building and support for income generation through community based forestry, agroforestry and ecotourism • Demarcation and legal recognition of customary lands • Empowerment through awareness building, social organization and political advocacy. • Protected areas • Application of participatory tools.
Forest administration	
<ul style="list-style-type: none"> • Formulation of strategic plans, policies and regulations • Strengthening of governmental agencies • Generation of information and monitoring • Implementation of the REDD+ framework (in all three categories) 	

ment, the clarification of rights to access, management and use of forest resources and the promotion of regional initiatives and research activities.⁴⁹ Similarly, the GIZ focus their programs on the following: (1) Sustainable Infrastructure, (2) Social Development, (2) Governance and Democracy, (4) Economic Development and Employment and, (5) Environment and Climate Change. Even more challenging is to meaningfully categorize the wide range of instruments used by German bilateral forest cooperation and their specific manifestations in each program and country. Again, literally all instruments are expected to directly or indirectly contribute to all of the three major policy goals.

From a more practical perspective, a possible way to meaningfully structure this diverse array of instruments is to classify them according to the key agents addressed, thereby allowing careful conclusions about the underlying mindsets (Table 3-1). In this sense this study distinguishes instruments addressing: (1) the forest administration expecting to strengthen its capacity to effectively control the forest sector; (2) the private sector to stimulate professional management of public forests for the generation of

goods and services for markets (preferentially international); and (3) instruments that to some degree encourage local communities to engage in the management of forests which could be interpreted as an effort for local empowerment. This categorization however, explicitly acknowledges that each single instrument may serve to address more than one key agent. This is particularly true for most of the instruments attributed to forest administration (Table 3-2).

Instruments primarily targeting government forest agencies and institutions are generally used to support and strengthen the administrative body and its capacity to control and manage forests. The various instruments applied may be differentiated into (1) those aiming at the configuration of policies, (2) those strengthening the enforcing administrative body, and (3) instruments dedicated to the generation forest relevant information. An instrument targeting the policy level is the development of National Forestry Programs generated on a broadly based process of cooperation between governments, civil society and the private sector that "...should safeguard the economic, legal and political conditions

⁴⁹ BMZ [The German Contribution](#) [accessed April 2014].

that make sustainable forest conservation and management possible, whilst taking account of local, regional, national and global requirements...".⁵⁰ Affiliated to the development of National Forest Plans other instruments for strategic planning are zoning and land use planning as well as the conceptualization and planning of protected area networks and integrated conservation approaches. Also, the design of forest laws and regulations, policies and mechanisms for their implementation falls in this category. Instruments to strengthen administrative agencies and institutions need the support of governmental agencies responsible for the demarcation and administration of concessions and protected areas, the authorization and audit of forest management operations, forest surveillance, patrolling, and fire-fighting, by providing facilities such as buildings and the education and training of foresters and administrative staff. These measures provide the basis for effectively addressing the other key agents, the private sector and communities. Important instruments of the third category include the compilation of forest and biodiversity inventories, forest monitoring systems and the collection, analysis, and presentation of data according to scientific standards. Such instruments include aerial surveys, satellite imagery, GIS mapping, surveys, socioeconomic and ecological studies and climate change modelling. A special segment of this category is support for academic and educational institutions. Since 2002 efforts for strengthening the national forest administration have been particularly supported by the EU Action Plan for Forest Law, Enforcement, Governance and Trade (FLEGT). More recently, international efforts for Reducing Emissions from Deforestation and Forest Degradation and the role of conservation, sustainable management of forests and

enhancement (REDD+) have induced the emergence of a special array of instruments such as for the introduction of Payments for Environmental Services (PES), diverse REDD+ preparation and pilot projects, studies to assess and map actual and potential carbon storage, as well as the determination of Reference Emission Levels (REL) and the development of Measuring, Reporting and Verifying (MRV) systems as a prerequisite for the establishment of the carbon market in the context of REDD+.

Instruments targeting the private sector support companies and entrepreneurs in the commercial use of timber and other forest goods and services generated in professionally managed concessions. Concessions are large areas of public forests given to private timber companies for a certain period in exchange for royalties that relate to the size of the area, the volume harvested, or a mixture of both. Normally, concessions are several ten thousand hectares in area to allow the concessionaire a continuous supply of wood during rotations requiring 20 to 40 years. Concessionaires are also supported with the application of Reduced Impact Logging (RIL) and the proper organization of logistics and finances to ensure conformity to laws and standards of international markets as set by the FLEGT and certification schemes. Beyond timber instruments for accessing carbon markets also play a role; most of them are based on voluntary agreements. To avoid the possibility of environmental and social side effects of profit-oriented companies, the use of safeguards has become an important instrument, particularly in the framework of REDD+. Safeguards define social and environmental standards to be fulfilled by the forest user to ensure ongoing access to the land and resources⁵¹. In response to growing efforts among trans-

50. BMZ [The German Contribution](#) [accessed April 2014]; and BMZ 2002: 11.

51. McDermott et al. 2012

national conservation organizations the idea of conservation concessions given to logged-out or otherwise degraded forest lands to counter prevailing deforestation and degradation processes while simultaneously restoring forest ecosystems as carbon sinks have recently emerged.⁵² While given to large-scale companies due to significant capital requirements required, such concessions may foresee that over the medium term local communities become shareholders in the concession.⁵³ Occasionally re- and afforestation projects for commercial purposes are also supported.

Instruments targeting communities and other poor local forest users aim at income generation and empowerment. Instruments addressing the improvement of local income opportunities include technical and financial support for community based forest management, the development and implementation of improved agricultural techniques, and the development and improvement of market access for processing and commercialization of timber, Non Timber Forest Products and agricultural products, as well as the development of ecotourism. Also included is technical training, legal advice to overcome bureaucracy and the development of business capabilities for negotiating with commercial actors. Tools, such as participatory village mapping additionally support awareness building and the empowerment of local communities in their efforts for the legal recognition of customary rights to lands and resources. In the same vein, communal inclusiveness, democratic institutions and equality in communities and gender mainstreaming at the local as well as the national level are supported. Local representative organizations and civil society organizations are supported in networking on the

regional, national and international level. Some instruments foster partnerships with business actors. The identification and demarcation of customary land and other community areas is an important instrument too. Also in this category are specific instruments that have emerged for using opportunities provided by the evolving REDD+ framework. A special form of community-oriented instruments deals with *protected forests*. Historically, protected areas did not necessarily respect the customary rights and interests of peoples living in these areas; in some cases they were even expelled from their land. However today, protected forests explicitly include the integration of local forest users, particularly indigenous groups. Thus, protected forests are not only expected to effectively contribute to biodiversity conservation but also to traditional livelihoods and to provide local employment in tourism or as forest guards for example.

52. Regarding the concept of conservation concessions see e.g. Rice 2002, Niesten & Rice 2004, Wunder et al. 2008. For the broader debate on the privatization of conservation see also Hardner & Rice 2002, Pagiola et al. 2002, Karsenty 2007, Wunder 2007, Brockington et al. 2008, Brockington & Duffy 2010, Barnaud & Antona 2014, Ladle et al. 2014. Besides neoliberal socioeconomic developments, the trend since the 1990s to privatize and economize nature conservation – variously referred to as ‘free market environmentalism’ (Anderson and Leal 2001), ‘green developmentalism’ (McAfee 1999), or ‘neoliberal conservation’ (Igoe/Brockington 2007) – is crucially related to changing paradigms as well as conflictive approaches regarding development and conservation since the 1980s (see e.g. Buergin 2013: 12-17; Walsh 2012b, Silalahi/Utomo 2014).

53. BMUB [Nature conservation concessions to protect tropical rainforest in Indonesia](#), KfW [Ecosystem Restoration Concessions](#) [both accessed June 2014].

4 German forest cooperation in the case study countries

4.1 Indonesia

4.1.1 Context

Indonesia has the world's fourth largest population with nearly 250 million inhabitants. Nearly 90% of the people adhere to Islam and represent the largest Islamic community worldwide. About 10% of the population is Christian. Indonesia is one of the most ethnically and culturally diverse countries with roughly 500 different ethnic groups. Despite the size and diversity of the country a strong sense of national identity prevails.⁵⁴

In August 1945 the nationalist leader Sukarno declared Indonesia independent from Dutch colonial rule and Japanese occupation during World War II. His successor, the dictator General Suharto, ruled the country from 1968 to 1998 when he was forced to step down in the wake of the Asian financial crisis and the resulting serious social unrest. Since then the country has undergone a process of democratization and decentralization. During this time, the often violent regional and religious conflicts have lost much of their ferocity, and many reforms have been adopted including freedom of the press, a reorganization of the banking sector and the withdrawal of the police and military from the political arena. This process has been accompanied by a significant rise in the number of non-governmental organizations that meanwhile can operate in relative freedom.⁵⁵ The National Develop-

ment Plan for the period from 2005 to 2025 focuses on promoting small to medium sized businesses and micro-enterprises as a means to reduce poverty and raise the per capita income. Since 2003 the government is committed to investing 20% of the national budget in education.⁵⁶

Despite continuous improvements, the political culture in Indonesia is still characterized by clientelism, a weak parliament, a lack of transparency and a cumbersome administration prone to corruption. Governmental funds are often used inefficiently and many newly established regional and local agencies receive little assistance. Also, investments in infrastructure are notoriously neglected. Despite efforts to privatize and improve conditions for international and national investments, many sectors are still dominated by state-owned businesses.⁵⁷ Around two thirds of economic activities are supposed to be informal. Unemployment is high among young people and only a small section of society is benefiting from economic growth. Moreover, the situation regarding education is still problematic. The average time spent at school is low compared to other countries in the region. Environmental and forest related problems along with international involvement and development cooperation are a part of the public discourse.⁵⁸

Indonesia is one of the largest markets in Southeast Asia (**Table 4-1**). Its macro-economic data is outstanding with im-

⁵⁴ Basic country data about Indonesia were compiled from: [BMZ](#); Statistisches Bundesamt [Indonesia](#); CIA [Factbook](#)

⁵⁵ On socio-political developments in the post-Suharto area see e.g. Bünte 2009 and Aspinall & Mietzner 2010.

^{56, 57} [BMZ Indonesia](#) [accessed May 2014]

⁵⁸ e.g. Barber and Schweithelm 2000, Colfer & Resosudarmo 2002, Gunawan 2004, MacCarthy 2006, Nawir & Rumboko 2007.

62. World Bank 2006: 64-66 (including timber and wood products, paper cartons and products, pulp and paper).
63. OEC [Indonesia](#) [accessed May 2014]; regarding data and importance of the forestry industry, wood and wood products for the economy and as energy source see also MoF 2009: 25-35.
64. World Bank 2006a: xv, 1-2.
65. For a comparison of the three major rainforest basins in Southeast Asia, the and the Amazon Basin see FAO 2011.
66. FAO 2010: 5-11.
67. FAO 2010: 22-26.
68. MoF 2013a: 110-128; see also MoF 2014 [Forest Area Statistics Indonesia](#) [accessed July 2015]
69. e.g. Oviedo et al. 2000, Loh & Harmon 2005.
70. FCPF 2009: 41f, see also Sunderlin et al. 2000: 3, 47f.
71. In 2007 16,760 (52.6%) out of 31,864 villages throughout Indonesia were located in forest areas; by 2009 this figure had fallen to 9,103 (23.6%) (Indrarto et al. 2012: 13).
72. MoF 2008b: 11-13. MoF 2012: 10-13; Margono et al. 2014.
73. MoF 2013a: 16.
74. MoF 2009: 24; see also Indrarto et al. 2012: 3; for a more detailed analysis and discussion of CO2 emissions related to deforestation see MoF 2008a: 24-39.
75. It is expected that half recent annual rates of forest loss would compensate existing forest industry plans to double the size of the pulp and paper industry, double exports of palm oil and to sustain an expanded timber industry (MoF 2008a: xiii).
76. Indrarto et al. 2012: 9-10.

1980 and 2002.⁶² In 2011, wood, pulp, and paper products together accounted for almost US\$20 billion of Indonesia's gross exports. Even more important are exports of palm oil products (~US\$35 billion) and rubber products (~US\$25 billion). Indonesia is the world's top exporter of rubber and palm oil.⁶³

Despite this impressive economic data, a sixth of all Indonesians still live in poverty, half of them on less than \$2 per day⁶⁴.

4.1.2 Forest sector

Indonesia ranks third among all countries in terms of tropical forest area surpassed only by Brazil and DRC.⁶⁵ Nearly 95 million ha, representing about 50% of Indonesia's land area, are covered with forest while another 11% are classified as 'other wooded land'.⁶⁶ Around 50% of these forests are 'primary forest', 46% 'secondary forest' and another 4% are 'planted forest'.⁶⁷ Most of the primary forests (Hutan Primer) are found in Papua, Kalimantan, Sulawesi and Sumatra⁶⁸. The country has a wide variety of forest types and is considered a major biodiversity hotspot with extraordinary high biocultural diversity.⁶⁹ Indonesia's forests are an important livelihood source for a great number of people. Studies from 2004 and 2005 account for some 50 to 60 million Indonesians living in forest areas.⁷⁰ It is estimated that between 6 and 30 million people directly depend on forests.⁷¹

Deforestation

Over the last 30 years, deforestation in Indonesia has been fluctuating at a high level⁷², and particularly in the last decade, has increasingly affected secondary forests. Between 1990 and 2010 the total forested area has decreased by nearly 13%,⁷³ corresponding to a mean

deforestation rate of 0.9 million ha per year between 1982 and 1990, 1.8 million ha per year for the period 1990-1997, and a staggering 2.83 million ha of forest was lost each year between 1997 and 2000.⁷⁴ This has largely contributed to the fact that Indonesia is the third largest emitter of greenhouse gasses worldwide after the USA and China. As some 85% of Indonesia's GHG emissions are estimated to result from land use activities, particularly agriculture and forestry (with 37% due to deforestation and 27% due to peat fires), Indonesia has enacted a National Action Plan Addressing Climate Change which includes the rehabilitation of forests as one of the priorities in its National Medium-Term Development Plan 2010-2014.⁷⁵

By far, most of the forest loss occurred on the large "forest islands" Sumatra and Borneo (Kalimantan). During the past two decades conversion of forests into oil palm estates has been the main reason for deforestation as well as the establishment of large pulp plantations, both encouraged by high prices and increasing global demand.⁷⁶ In some regions, there is also the legal possibility for establishing industrial timber plantations where pristine forests stock. Aside from illegal logging, a number of non-forest economic activities such as mining, road building, settlements and aquaculture development massively contribute to deforestation. The expansion of small-scale agriculture, generally related to the use of fire, had apparently been responsible for more than 20% of the total forest loss between 1985 and 1997 and resulted in the formal prohibition of swidden agriculture and burning by law. Nowadays, in most regions the contribution of swidden agriculture to deforestation, in comparison to other factors, is negligible. Yet, new regulations in combination with the fact that farming facilitates the

recognition of informal land rights⁷⁷ have contributed to an increase in the cultivation of trees and seasonal crops by local farmers.

The ongoing deforestation and forest degradation are attributed to economic development, a natural resources-reliant economy, market demands, political dynamics, insufficient forest governance, unclear tenure rights as well as population growth and transmigration.⁷⁸ The World Bank's assessment of Indonesia's REDD Preparation Proposal⁷⁹ lists the following as underlying drivers of deforestation: "(i) weak legal and political accountability; (ii) policies favoring large-scale commercial activity over small and medium-sized businesses; (iii) distorted incentives for timber pricing and transport; (iv) an inadequate legal framework for protecting poor and indigenous land users; (v) undervaluation of forest assets and low revenue capture; and (vi) corruption." The Indonesian government tends to support a handful of powerful plywood and pulp wood processing mega-industries so that "...tens of millions of hectares are controlled by only a few dozen large corporate groups that extract more than

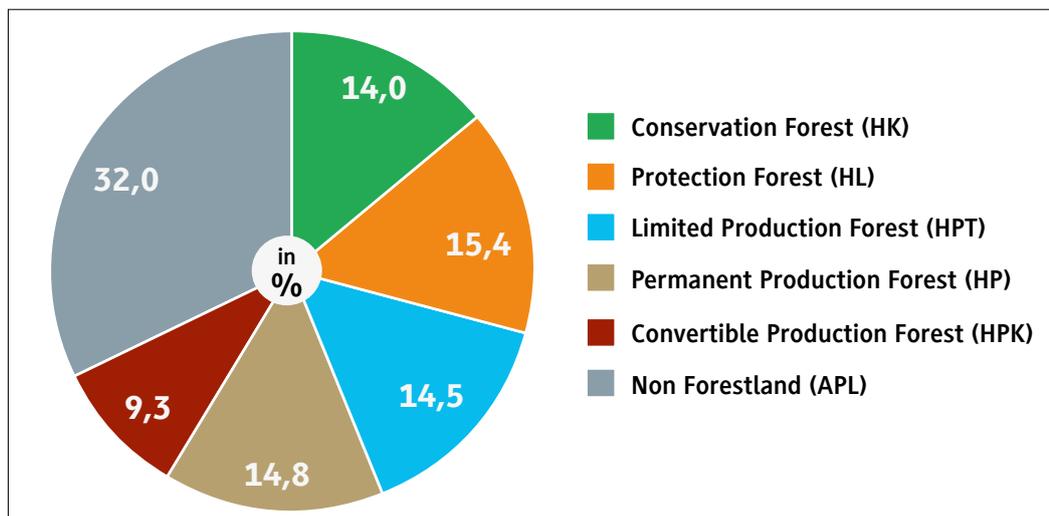
\$10 million from the forestry sector every day..."⁸⁰; provide subsidies for the conversion of forests into oil palm and pulp plantations and is hindered by a centralized, poorly prepared and often corrupt forest administration lacking transparency⁸¹. Parallel to this, nearly 25 million ha of forests are subject to land tenure conflicts⁸² often reflecting disputes originating from colonial times.⁸³ More recently the conflicts are related with logging concessions, industrial timber and plantations, as well as decentralization processes.⁸⁴ Generally, these conflicts imply serious threats to marginalized forest dependent communities⁸⁵. Meanwhile, population growth and large transmigration programs contribute to deforestation and forest degradation.⁸⁶

Administration

About two thirds of Indonesia's total land area is legally designated as Forest Area (Kawasan Hutan), however, not necessarily covered with forests (Hutan).⁸⁷ The Ministry of Forestry divides the Forest Area into five functional categories with different legal status (see Figure 4-1).

Conservation Forests (*Kawasan Hutan Konservasi - HK*) are primarily dedi-

Figure 4-1: Functional classification of Forest Area in Indonesia in % of total land area for 2013⁸⁸



77. Angelsen 1995, AIPP 2010; AIPP & IWGIA 2012.

78. For an overlook see: MoF 2008a: 101-105; FCPF 2009: 41-45; Indrarto et al. 2012: 4-13; for a more detailed analysis see World Bank 2006a: 26-37; for a conceptual discussion see Kissinger et al. 2012

79. World Bank 2011: 4.

80. World Bank 2006a: xv, 1-2.

81. Indrarto et al. 2012: 10-13.

82. Indrarto et al. 2012: 13; on tenure problems see also USAID 2010 and Westholm et al. 2011.

83. e.g. Peluso 1992, Li 1996.

84. e.g. Gunawan 2004, Colchester et al 2006.

85. World Bank 2006a: 2.

86. Sunderlin & Resosudarmo 1999; Indrarto et al. 2012: 9-13; MoF 2008a: 101-105; World Bank 2006a: 26-37; for a conceptual discussion on drivers of deforestation see Kissinger et al. 2012: 4.

87. For a discussion of different definitions, classifications, and methods of forest areas in Indonesia see also Indrarto et al. 2012: 1-2.

88. MoF 2013a: 16.

cated to the conservation of plant and wildlife biodiversity. They are composed of different kinds of protected areas managed directly under the authority of the central government. Additionally, **Protection Forests** (*Kawasan Hutan Lindung - HL*) are set aside for the preservation of essential ecosystem functions but allow for limited human activities such as the harvesting of rattan and other secondary forest products at non-commercial scales. The management of Protected Forests has been devolved to local governments, who also have the right to negotiation for the use of and payments for environmental services. The largest areas of Conservation and Protection Forests are found on the four largest islands Kalimantan, Sumatra, Papua and Sulawesi where most of the remaining primary forests are located. Nearly 46% of Papua and 42% of Sulawesi fall in these two categories. About 57% of the Forest Area is allocated as **Production Forest** (*Kawasan Hutan Produksi*) serving economic functions. Limited Production Forests (*Hutan Produksi Terbatas - HPT*) serve production purposes in areas where particular ecological consideration is required, for example due to specific topographic or soil conditions. **Permanent Production Forests** (*Hutan Produksi Tetap - HP*) are forest ecosystems sustainably managed for production purposes, also explicitly including pulp plantations established on forest land. **Convertible Production Forests** (*Hutan Produksi Konversi - HPK*) likewise serve production purposes but may be converted to non-forest uses such as agriculture, estate crops (e.g. coffee, oil palm, rubber) and settlement.⁸⁹ The highest shares of production forests are found on Maluku, (63% of total land) as well as on Papua (48% of total land) and Kalimantan (48% of total land). Also on Sumatra the area of production forests is significant (35%). Fi-

nally, one third of the land is categorized as **Non-Forest Area** (*Areal Penggunaan Lain - APL*).

In 2005 more than 91% of the area classified by the FAO as 'Forest' was owned either by the state or by administrative bodies while less than 9% was designated as privately owned.⁹⁰ About 43% of the public forests were managed under public administration, while management rights for some 57% of the public forests have been given to private corporations and institutions. The Indonesian Ministry of Forestry (MoF) holds the legal authority over 'Forest Areas', which includes the right to grant timber plantation concessions and issue selective logging permits and licenses for forest exploitation and cultivation.⁹¹ During the time of the Suharto regime, the MoF had allocated some 60 million ha of commercial timber concessions to private and state-owned logging companies. Most of them had ties to political and military elites at the national level and collected most of the fees and royalties from timber concessionaires. In contrast, local communities and individuals accounted for less than 0.1% of the rights issued for publicly owned forests.⁹²

The introduction of Indonesia's regional autonomy law in 1999 was aimed at decentralizing the government administration nationwide by transferring considerable amounts of authority to district governments (*kabupaten*). Subsequently, many district officials used their expanded authority to issue large numbers of small-scale timber extraction and forest conversion permits and imposed new types of fees and royalties on timber harvesting. At the same time forest dependent communities attempted to reassert claims over land and forests lost during the Suharto regime. The expectations with respect to

89. MoF 2013a: 16 regarding shares of categories in 2013; for definitions of functional categories see also FAO 2010: 17 and MoF 2008a: 10-12. See MoF 2009: 9-14 regarding data for 2003.

90. FAO 2010: 22-26.

91. Agriculture concessions, instead, are issued on the district level, which is a major source of conflict.

92. FAO 2010: 12-15.

decentralization have largely been unfulfilled. In practice, the roles of the provincial and district governments were largely limited to implementing decisions made in Jakarta and regional stakeholders received only a small portion of the fees paid for resources.⁹³ Since 2002 the MoF has begun to re-centralize its authority over the forest administration.⁹⁴

These changes, controversies, and contradictions have resulted in conflicting practices and a patchwork of land tenure, concessions and administrative procedures in the forest sector.⁹⁵ The legal instruments to allocate the Forest Area are diverse and subject to frequent change. Currently the main instruments include: Natural Forest Timber Concessions, Industrial Forest Plantation Concessions, Estate Crop Plantations, Transmigration Locations, Ecosystem Restoration Concessions, Non Forest Product Concessions and Forest Area for Temporary Utilization⁹⁶, as well as different forms of communally managed forests particularly Community

Forest Plantations, Community Forests, and Village Forests (see Figure 4-2).⁹⁷

In terms of area, Natural Forest Timber Concessions (HA) and Industrial Forest Plantations (HTI) comprise most of the Forest Area. **Natural Forest Timber Concessions** are areas allocated for the extraction of timber from natural forests by private companies. They are large-scale concessions with long time frames and cover particularly large areas in Kalimantan and in Papua. **Industrial Forest Plantations** are areas allocated for the establishment and management of large-scale forest plantations for the production of timber, pulp and paper. These areas generate the highest revenues for the government. The largest Industrial Forest Plantations are found on Sumatra and Kalimantan. **Estate Crop Plantations (Kebun IP)** are allocated for the establishment of large-scale production of crops such as palm oil or rubber. They occupy extensive parts of Sumatra, Kalimantan, and Papua.⁹⁹

93. For an analysis of forest administration and development prior to 1998 see Barr 2006; regarding revenues from Forest Area and their distribution among administrative bodies see Resosudarmo et al. 2006.

94. Resosudarmo 2004, Barr et al. 2006, Moelino et al. 2009

95. For an analysis of forest policies in the context of Indonesia's decentralisation process see Resosudarmo 2004, Barr et al. 2006, Moelino et al. 2009.

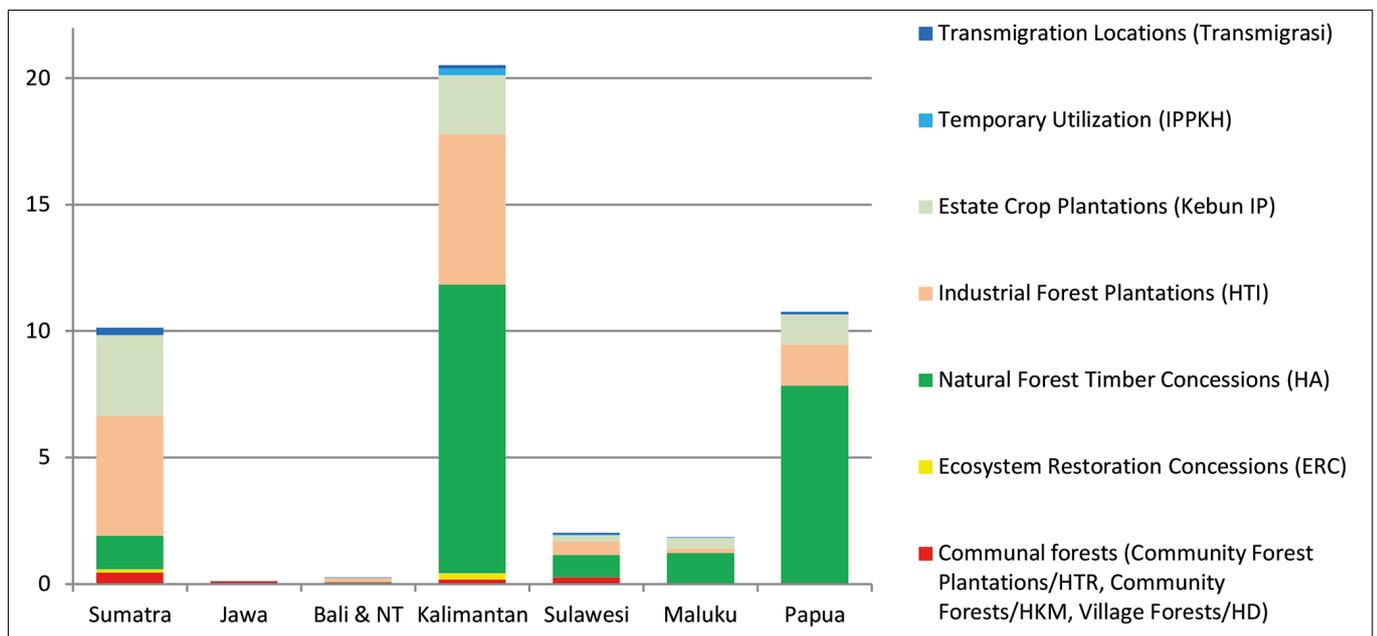
96. Including use permits (Ijin Pinjam Pakai) for temporary mining activities, however without a strong post-mining restoration policy

97. MoF 2013a, b .

98. MoF 2013a: 18-109

99. See also Greenpeace 2011 [Indonesia Moratorium Map](#)

Figure 4-2: Regional distribution of Indonesian Forest Area allocations in 2013 (million ha)⁹⁸



Ecosystem Restoration Concessions were legally established in 2004¹⁰⁰ under the significant influence of the British Royal Society for the Protection of Birds (RSPB) as well as BirdLife International¹⁰¹. The government regulation defines ERCs as re-management and restoration efforts on former production forest lands. As long as restoration activities are underway, logging and conversion for agricultural purposes is prohibited. However, the license holders may generate incomes with NTFPs and by commercializing ecosystem services. ERC licenses are only given to Indonesian business entities and are granted for a period of 60 years with the possibility of extension for another 35 years. The license requires a detailed business plan¹⁰², including proposals for job creation and other economic development activities with local communities.¹⁰³ However, licensing fees are considerable

and start-up costs for the first six years are estimated to be US\$14-18 million. By early 2014 a total area of 480,093 ha had been provided for twelve ERCs,¹⁰⁴ which is far behind the goals set by the MoF¹⁰⁵ and is attributed to ongoing disputes concerning the legal design.¹⁰⁶

Communally managed forests occupy a marginal share of the forest area. Despite some laws and regulations explicitly recognizing customary land rights¹⁰⁷, in practice, the interests of the State override the customary interests of communities to use the trees or land classified as state forest. Nevertheless, over the last ten years several administrative mechanisms have been established to improve community access to forests including regulations on collaborative management in protected areas¹⁰⁸, forestry partnerships between private enterprises and local communities,

100. The legal basis for ERCs is Decree 159/ Menhut-II/2004, which was further developed with Government Regulation No. 6/2007 and amended in 2008, 2010 and 2011; for an overview about the legal framework for ERCs see Walsh et al. 2012a.

101. RSPB and BirdLife International are conceived of as "...the world's largest network of conservation organisations..."; they have worked together with MoF to develop the new licence for Production Forests particularly with regard to the establishment of conservation areas on degraded logging concession areas on Sumatra (see BirdLife International 2008, NABU 2010, Hein 2013: 5-6).

102. Rahmawati (2013) in his economic analysis of ERC indicates that the benefits of natural ecosystems are not sufficiently attractive for investors. Payments for carbon sequestration are assessed as the most promising possibility to secure economic efficiency. Thus policy support, sustainable funding mechanisms, and financial incentive schemes such as tax breaks are needed for ERCs to ensure their economic viability.

103. e.g. Walsh 2012a: 18-21.

104. Silalahi/Utomo 2014: 11. The 12 ERCs approved so far are: PT Restorasi Ekosistem Indonesia (2007) South Sumatera 52,170 ha; PT Restorasi Ekosistem Indonesia (2010) Jambi 46,385 ha; PT Restorasi Habitat Orangutan Indonesia (2010) East Kalimantan 86,450 ha; PT Ekosistem Katulistiwa Lestari (2011) West Kalimantan 14,080 ha; PT Gemilang Cipta Nusantara (2012) Riau 20,265 ha; PT Rimba Raya Conservation (2013) Central Kalimantan 37,151 ha; PT Sipef Biodiversity Indonesia (2013) Bengkulu 12,672 ha; PT Rimba Makmur Utama (2013) Central Kalimantan 108,255 ha; PT Gemilang Cipta Nusantara (2013) Riau 20,450 ha; PT Karawang Ekawana Nugraha Sumatera Selatan 8,265 ha; PT Sinar Mutiara Nusantara Riau 37,100 ha; PT Global Alam Nusantara Riau 36,850 ha. Licenses for two additional ERCs on 203,471 ha are to be issued in 2014, and for another two ERCs of 100,188 ha licences are in process, also expected to be approved in 2014. Together these 16 ERCs are supposed to comprise a total area of 783,752 ha (see Silalahi/Utomo 2014).

105. Walsh 2012a: 5-6.

106. e.g. Burung Indonesia 2010 [Restoring Harapan Rainforest](#), Walsh 2012a: 11-17; Walsh et al. 2012a,b, Mardiasuti 2013 [ECR in Indonesia](#), Silalahi/Utomo 2014.

107. The Basic Agrarian Law (Undang Undang Pokok Agraria - UUPA) from 1960 recognizes customary land rights at least to some degree, but the Basic Forestry Law No. 5 from 1967 rendered all not privately owned forest land including customary forests (hutan adat) to the property of the state. The Forestry Act No. 41 from 1999 then again respects customary laws, however, states that an area can be classified as 'State Forest' by designation by the MoF or through gazetting. The Constitutional Court ruled in 2011 that the 'designation' of state forests is unconstitutional and that MoF must gazette all state forest areas. It is estimated that only around 10% of State Forest areas have been formally promulgated through the State Gazette (USAID 2010: 6-8, 13-14; FPP et al. 2011). This might open opportunities for increased participation of local communities and indigenous people (Indrarto et al. 2012: 22-23); for more comprehensive accounts and analyses of agrarian and forestry legislation with regard to tenure problems in Indonesia see Thorburn 2004, Contreras-Hermosilla & Fay 2005, USAID 2010, 2012, Wright 2011.

108. The government regulation 'Collaborative Management in Protected Areas' from 2004 (Peraturan Menteri Kehutanan No

as well as community forests, community forest plantations and village forests¹⁰⁹. Community Forests (Hutan Kemasyarakatan – HKM) allow for the granting of conditional use rights over designated areas of production forest and protection forest to community-based groups for up to 35 years. The primary policy objective is poverty alleviation and the restoration of unproductive forest areas. Although timber production is not allowed, harvesting NTFPs as well as the continuation of already established tree-based agricultural systems are permitted. Community Forests cover some 0.76% of Java's land area and have an insignificant share of land in Kalimantan and Sumatra. Until 2013 only 49 Community Forests have been recorded with a total area of 279 thousand ha ranging from 35 to 104,325 ha.¹¹⁰ The government regularly sets new ambitious, but unrealistic targets for the expansion of Community Forests. For example, in the current National development Plan 2015-2019 there is an aim of 12.7 million ha of Community Forests. However, this plan also reports that so far only 646,000 ha, from the previously set target of 2.5 million ha, have been implemented.¹¹¹

Community Forest Plantations (Hutan Tanaman Rakyat - HTR)¹¹² give household groups access to degraded land located in the production forest zone for up to 100 years with the right to plant trees for commercial purposes so to stimulate economic development, job creation, and the supply of wood fiber for pulp and paper industries. Each household is allowed to manage up to 15 ha. Government guidelines stipulate the species permitted which are desirable by the pulp wood market. However, a large proportion of the 5.4 million ha allocated to this land use is already cultivated by local farmers.¹¹³ In addition, only a fraction of the designated areas are implemented. For example, until 2013 only 734,000 ha of permits for HTR purposes have been issued by the MoF, and from this area only 9,577 ha of HTR have been realized.¹¹⁴ Most Community Forest Plantations (HTR) are located on Sumatra and Sulawesi.

Village Forests (Hutan Desa - HD)¹¹⁵ are state forests managed by village institutions without a pre-defined time limitation. They aim at improving the welfare of local communities in a sustainable manner. Also in the case of Village Forest, the

P.19/2004) provides a formal framework for multi-stakeholder management of protected areas and addresses problems involving local communities in and around protected areas. However, the regulation basically limits collaboration to routine activities such as patrolling, re-forestation and boundary marking and does not create significant new opportunities for benefit-sharing from joint forest management (MoF 2008a: 13).

¹⁰⁹. Government Regulation No 6 from 2007 and its implementation regulation issued in 2013 with the Forestry Ministerial Regulation No P.39/Menhut-II/2013 on local community empowerment through Forestry Partnerships provides a legal framework for partnerships based on agreements between non-communal forest utilization license holders of management rights and local

communities. Obligations of large-scale employers in such partnerships include: (1) conducting cooperation with community cooperatives, (2) the provision of areas of at least 5% of the total areas as life plant space for local communities, and (3) assisting the development of Community Plantation Forest (HTR), Community Forestry Policy (HKM) and Village Forest (HD) around their work area (see MoF 2008a: 13f and Soepijanto et al. 2013: 9); regarding problems and different procedures for the establishment of communally managed forests see Akiefnawati et al. 2010 and Bock 2012; for an overview on legal instruments see Hindra 2007 [Community Forestry in Indonesia](#); for a review about community based forest management in Indonesia see Safitri 2010.

¹¹⁰. This represents an average size of around 6,000 ha. However, excluding the single largest Community Forest on Jawa (Province Yogyakarta) encompassing 104,325 ha, the average shrinks to 3,900 ha (MoF 2008a: 13, see also Soepijanto et al. 2013: 9-11, MoF 2013a).

¹¹¹. Republic Indonesia 2014: [National development Plan 2015-2019](#)

¹¹². Government Regulation P.6/2007

¹¹³. MoF 2008a: 14.

¹¹⁴. FKKM (Forum Komunikasi Kehutanan Masyarakat) 2014 [Progress HTR](#)

¹¹⁵. Forestry Ministerial Regulation No. P.49/Menhut-II/2008

goals proved to be too ambitious. The plan called for the establishment of 500,000 ha of Village Forests by 2014. But by 2013 only 45 Village Forests with a total area of 81 thousand ha were approved.¹¹⁶ Village Forests are predominantly located on Sumatra.¹¹⁷

4.1.3 International collaboration

Indonesia plays an active role in forestry related international forums and is participating in nearly all multilateral agreements concerning forests and environmental issues¹¹⁸. Through the participation of the country in the REDD+ process, this engagement in international forest policies has even increased. Indonesia considers REDD+ as the most important component of the country's effort to reduce greenhouse gas emissions while the aim for economic growth remains at 7%.¹¹⁹ Indonesia was the first country to introduce a domestic REDD+ legal frame-

work in 2009 and has since then, with the support of the UN-REDD program¹²⁰ and the Forest Carbon Partnership Facility (FCPF),¹²¹ continued to develop its REDD+ regulatory and legal framework on a high political level.¹²²

In 2009 the Government submitted a Readiness Preparation Proposal (R-PP) to the FCPF Steering Committee and in 2011 a readiness grant from the FCPF was signed to support the readiness preparation process.¹²³ To coordinate the REDD Readiness Preparation process, the Indonesian REDD+ Task Force (later renamed into REDD+ Management Agency) was appointed in 2011 which launched the National REDD+ Strategy in September 2012 after an extensive stakeholder consultation process.¹²⁴ This initiative resulted in substantial inflows of multi- and bilateral funding (**Figure 4-3**).

¹¹⁶. The sizes range from 23 to 6,825 ha with an average size of about 1,800 ha (see MoF 2013a, Soepijanto et al. 2013: 9).

¹¹⁷. The adequacy of instruments to handle ambiguities between state and customary claims on Forest Area is frequently questioned (see e.g. Kleden et al. 2009, USAID 2010, Thorburn 2004; Contreras-Hermosilla & Fay 2005, FPP et al. 2011, World Bank 2011: 37-38). In 2012 the Indonesia's Constitutional Court ruled in favour of a petition filed by the national indigenous peoples' alliance AMAN that "... customary forests are state forests located in indigenous peoples' territories..." (see DTE 2013, Rachman 2013). This decision has crucially improved the chances of local and indigenous communities to claim and secure rights to Forest Area and forest resources. However, the designation of a customary forest requires prior recognition given by a local government decree. In practice, this designation conflicts with other formally designated forest functions that, in the view of the MoF, should be maintained regardless of an eventually granted access right. Since 2007, with

Indonesia's engagement in the REDD+ process, rights and interests of indigenous and local communities are mostly conceptualised and negotiated in this framework.

¹¹⁸. This includes the CITES, UNFCCC, CBD, the Cartagena Protocol, UNFF, and FLEGT-VPA (see BMZ 2007, Hinrichs 2014).

¹¹⁹. Indonesia has been among the first countries engaged in the REDD readiness preparatory process and puts high expectations in the REDD facility. For broader analyses of the REDD+ instrument see: Angelsen 2008; Angelsen et al. 2009, 2012; Costenbader 2009; Gregersen et al. 2011; den Besten et al. 2014; McDermott 2014; Indonesia REDD+ Task Force 2012: 2; Indonesia 2014: 6-7; for an overview on the development and institutional context of the Indonesian REDD+ Readiness Preparation Process see: World Bank 2011: 3-11; Maryani et al. 2012; for an analysis of the political context see: Dermawan et al. 2011; Lutrell et al. 2014; Ituarte-Lima et al. 2014; Skidmore et al. 2014.

¹²⁰. UN-REDD [Indonesia](#) [accessed June 2014], Mardiasuti 2012.

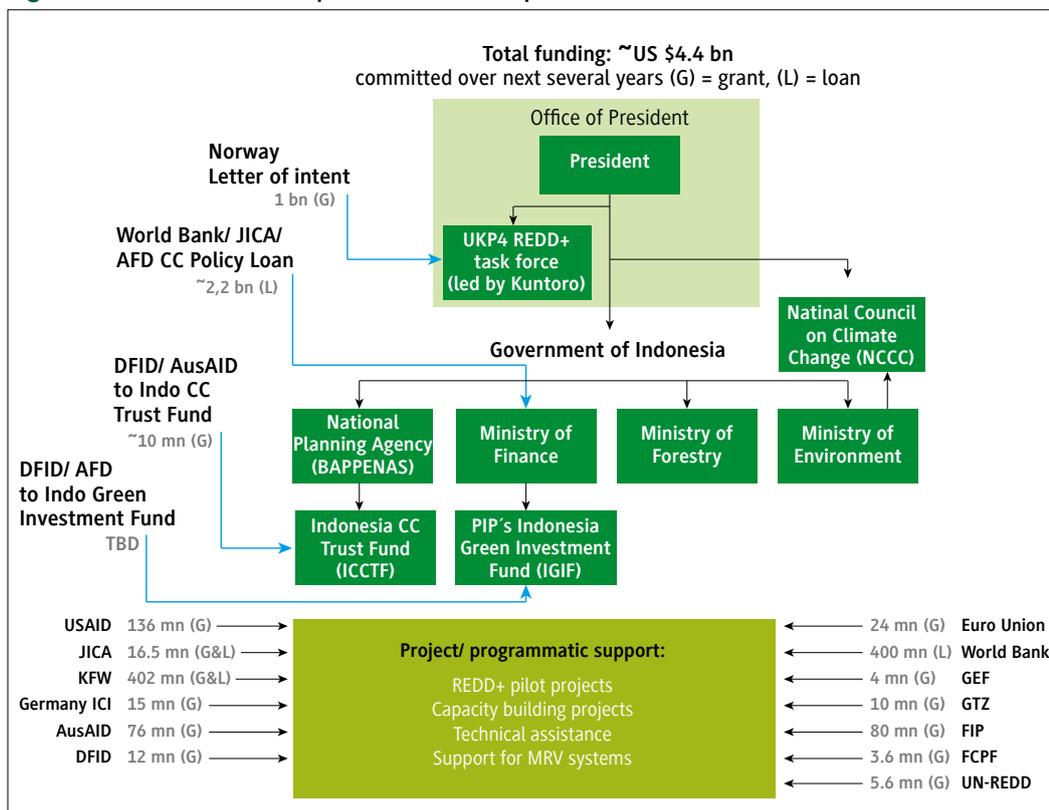
¹²¹. FCPF 2009, 2011a and FCPF [Indonesia](#) [accessed June 2014].

¹²². Indonesian REDD+ Task Force 2012, Widyaningtyas 2012, Indonesia 2013, 2014.

¹²³. The grant agreement on 3.6 million USD had four main components: 1. Analytical works including analysis of available studies on deforestation and compilation of options for main investment types and other interventions. 2. Support of the readiness process including assessments of REDD+ relevant regulations, capacity building of institutions and stakeholders, consultation and outreach, and a Strategic Environmental and Social Assessment (SESA) resulting into an ESMF. 3. Reference Emission Level (REL) and Measurement Reporting and Verification (MRV), and 4. Regional Data Collection and Capacity Building (see World Bank 2011: 11-12).

¹²⁴. The strategy is a non-binding document that acts as a work plan (Indonesian REDD+ Task Force 2012).

Figure 4-3: National landscape of international public finance in Indonesia¹²⁵



The international donor communities provided Indonesia with a total of US\$4.4 billion between 2007 to 2016 for climate change and REDD+ related activities including roughly US\$1.5 billion in grants and some US\$2.9 billion as loans¹²⁶ which are meant to be managed and channeled by the newly established Financing for REDD+ Indonesia (FREDDI or INDRI).¹²⁷ While US\$0.9 billion are provided multilaterally, about US\$3.5 billion are bilateral funds including a grant of one billion US\$ provided by Norway in 2010 under the condition of a moratorium on eco-

nomic activities in primary forests and peat lands.¹²⁸ Germany's contribution was US\$97 million in grants and US\$332 million as loans, both mainly coming from KfW.

Until now, only a very small part of the Norwegian money has been spent, and Norway faces considerable problems to find suitable projects to distribute the money according to its designation¹²⁹. Also, the involvement of indigenous peoples and local communities in REDD+ activities continues to be a controversial

¹²⁵. Brown/Peskett 2011: 11; by 2015 the UKP4 AND REDD+ task force has been disbanded, and MoF and Ministry of Environment have merged into the Ministry of Environment and Forestry (personal communication, July 2015)

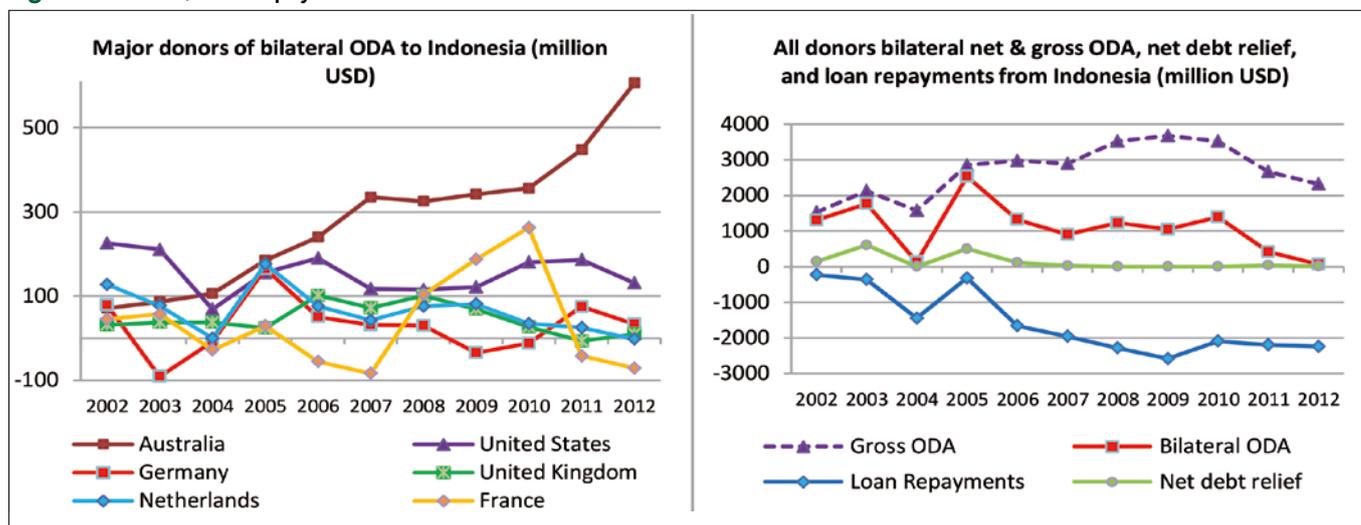
¹²⁶. Brown and Peskett 2011.

¹²⁷. Indonesia 2014: 4, 8-9.

¹²⁸. This moratorium was already extended once until 2015 (see Norad 2010, Brown & Peskett 2011: 8-10; Indonesia 2014: 4, Koh et al 20121; Greenpeace 2012 [Areas covered by Indonesia Moratorium Map](#))

¹²⁹. Interviews with GIZ and NGO staff in Indonesia; see also Norad 2010; Indonesia 2014: iii.

Figure 4-4: ODA, loan repayments and debt relief for Indonesia



issue¹³⁰ despite the fact that in 2007 the Ministry of Forestry established the Indonesia Forest Climate Alliance (IFCA) as a forum for communication, coordination, and consultation. It includes representatives from government ministries, the private sector and civil society as well as international institutions.¹³¹

To adequately address social and environmental concerns in REDD+ initiatives, the UNFCCC, World Bank, the 'Forest Investment Program' (FIP)¹³², and the FCPF emphasize safeguard policies¹³³ originating from intensive consultation and participation processes through instruments such as the Strategic Environmental and

Social Assessment (SESA), the Environmental and Social Management Framework (ESMF)¹³⁴, and a National Safeguards Information System (SIS).¹³⁵ Although safeguard policies have been gradually integrated into the national conceptual and legal frameworks¹³⁶, NGOs and forest dependent people are not satisfied with regard to their implementation, effectiveness and adequacy.¹³⁷

4.1.4 German development cooperation: Goals and Organization

In 2012 Indonesia received US\$265 million in multilateral ODA including about

¹³⁰. Anderson 2011, Colchester 2010, Colchester & Ferrari 2007, DTE 2006 [Indonesia's Forestry Congress IV: hope and reality](#) [accessed June 2014], FCPF 2009: 18, 2011b, 2014 [Indonesia](#) [accessed June 2014]; FPP et al. 2011; Greenpeace 2012, National Forestry Council 2006, National Forestry Council/UN-REDD Program 2011; REDD-monitor 2010 [World Bank's FCPF in Indonesia fails to address civil society concerns](#) [accessed June 2014], Sawit Watch & AMAN 2009 [Concerns about Indonesia's draft Readiness Plan](#); UN 1992, UNFCCC 2011, UN-REDD 2014 [Safeguards and benefits](#), World Bank 2010, 2011: 78-79; 2014 [Indigenous Peoples](#) [all accessed August 2014].

¹³¹. MoF 2008a, FCPF 2009, World Bank 2011.

¹³². Indonesia is one of the pilot countries for the US\$785 million 'Forest Investment Program' (FIP) funded by the CIF ([Climate Investment Funds](#)), and aims at supporting developing countries' efforts to reduce emissions from deforestation and forest degradation (REDD+). The FIP is active in eight pilot countries that profess their commitment to the World Bank Standards (see Bank Information Centre [Indonesia](#) [accessed July 2015])

¹³³. FCPF 2011b, Greenpeace 2012, HuMa 2010, Steni 2010, 2012, Steni & Hadad 2012, Sukadri 2012, World Bank 2011: 17-19, 26.

¹³⁴. FCPF 2011a; World Bank 2011: 17-19, 26-27; The REDD Desk 2013 [REDD in Indonesia](#) [accessed August 2014].

¹³⁵. Indonesia 2014: 27-28.

¹³⁶. HuMa 2010; Indonesian REDD+ Task Force 2012: 7, 26-32; National Forestry Council/UNREDD Program Indonesia 2011.

¹³⁷. Centre for Standardization and Environment 2013: 6-8, 29; FPP 2014 [Palangka Raya Declaration](#) [accessed June 2014]; Indonesia 2014: 10; Masripatin 2013; MoF 2012b; Palangka Raya Declaration 2014: 2-6; Sukadri 2012.

US\$26 million from Germany. In addition, the donor community provided another US\$70 million in bilateral ODA, which amounts to less than 0.01% of the country's GDP. Since 2002 Germany has been consistently among the major donors of ODA. Between 2002 and 2012 Germany provided 2.6% of the total bilateral net ODA to Indonesia making it the sixth-biggest bilateral donor for this period. In 2012 net ODA from Germany to Indonesia amounted to roughly US\$33 million. Over the period 2002 to 2012, 72.3% of the German ODA was given as a grant. Additionally, German NGOs provide funds for development projects in Indonesia. In 2012 it was nearly US\$17 million.¹³⁸ The rather small amount of total net ODA was because a rather large proportion was allocated to loan repayments. Over the period 2002 to 2012 almost US\$12 billion was repaid to Japan while Germany was repaid US\$1.5 billion. The amount of debt relief has been insignificant (see Figure 4-4).

Out of the 54 programs supported by the German development cooperation in Indonesia for the period 2008 to 2021¹³⁹, 19 are funded by the BMZ and 31 by the BMUB, most of them via the ICI. Two programs are funded by the BMWi, one program by the BMBF, and another program by the AA. NGOs like the World Wide

Fund for Nature (WWF), the Frankfurt Zoological Society (FZS) and the Naturschutzbund Deutschland (NABU), as well as the Evangelische Zentralstelle für Entwicklungshilfe (EZE) and the Katholische Zentralstelle für Entwicklungshilfe (KZE) have also provided funds for Indonesia.

The leading implementing organization for 33 of the programs is the GIZ. The GIZ is the major actor of German development cooperation in Indonesia. It also carries out projects for the EU and is responsible for regional projects implemented in conjunction with the ASEAN Secretariat. The second major actor of German development cooperation in Indonesia is the KfW Development Bank which is responsible for five programs. GIZ and KfW cooperate in many programs and their offices in Jakarta are located in the same building. In addition, several other actors including IGOs, NGOs, churchly organizations, academic institutions, and private enterprises are involved in the implementation of German development projects in Indonesia. Six programs are implemented by IGOs, nine programs by various NGOs and one program is implemented by an academic institution. Most of the programs not implemented by the GIZ are funded via the ICI of the BMUB. Out of the ongoing programs 23 deal exclusively with In-

¹³⁸. BMZ [Bi- und multilaterale Netto-ODA nach Ländern 2008-2012](#), BMZ [Leistungen von NGOs aus Eigenmitteln an Entwicklungsländer 2008-2012](#) and BMZ [Bilaterale ODA nach Instrumenten und Ländern 2012 im Detail](#) [all accessed June 2014].

¹³⁹. Programs with a planned completion date of 2012 or earlier are categorized as 'completed', while programs with a planned completion date of 2013 or later are categorized as 'ongoing'. The nine programs referred to on the ICI website that were supposed to have been completed in 2012 or before are: [Combating](#)

[Contagious Diseases; Biodiversity Conservation through Preparatory Measures for Avoided Deforestation \(REDD+\) in Merang Peat Swamp Forests](#) (€ 1,471,556); [Forest Management Financed through Emission Certificates in UNESCO World Heritage Site 'Tropical Rainforest Heritage of Sumatra'](#) (€ 527,000); [Information and knowledge management for REDD+ pilot projects in Merang peat forests](#) (€ 651,709); [Strategic Support for the Autonomous Village Energy Programme 'Desa Mandiri Energi'](#) (€ 250,000); [Coral Triangle Initiative](#) (€ 1,389,653); [Global Bioenergy Partnership](#)

[Pilot Project](#) (€ 640,000); [Climate Impacts: GRASP](#) (€ 1,796,915); [Gender Justice in the Climate Debate](#) (€ 132,500). For a list of all programs see Annex.

Table 4-2: German development projects in cooperation with Indonesia (2008-2021)

Sector	Lead implementing organization / Total number of initiatives									
	GIZ / 38				KfW / 5		IGOs / 8		NGOs / 12	
	Funding organization / total number of initiatives									
	BMZ / 19		BMUB, BMBF, BMWi, AA / 19		BMZ /1	BMUB-ICI / 4	BMUB-ICI / 8		BMUB-ICI / 12	
	Indonesia only	Sever-al Countries	Indonesia only	Sever-al Countries	Indonesia only	Indonesia only	Indonesia only	Sever-al Countries	Indonesia only	Sever-al Countries
Energy	1	1	3				1	3		1
Infrastructure	1	1		1	1					1
Economy	1	3		2				1		
Health	2	1								
Nutrition		1								
Social security	1									
Disaster help			1							
Human rights	1									1
Good governance	2			1						
Climate change	1		2	4				2		4
Marine ecosystems				2					1	2
Forests	1	1	3			4	1			2
Total	11	8	9	10	1	4	2	6	1	11

Indonesia while 31 include at least one other country besides Indonesia. (Table 4-2).

The official Indonesian partner of German development cooperation is the State Ministry of National Development Planning (Badan Perencanaan Pembangunan Nasional, BAPPENAS). Other Indonesian ministries, institutions and organizations are involved as required by the particular programs and projects. In the period 2002-2012, around 83% of bilateral German ODA was channeled through the public sector, which is a significantly higher proportion when compared to other donors. Another 6% was implemented by NGOs and civil society while multilateral organizations accounted for 1%. No Public-Private-Partnerships have been recorded for this period.

Relations between Indonesia and Germany are long established.¹⁴⁰ Technical cooperation with Indonesia began as early as 1958. On behalf of the BMZ, the GIZ, formerly the GTZ, has been working in Indonesia since 1975 and opened its office in Jakarta the same year. In recent years, Indonesia has become particularly interesting for development cooperation and as a strategic partner for Germany as well as for international investment. Together with India, Brazil, Mexico and South Africa, Indonesia is regarded as major regional power with a key role in resolving global development issues.¹⁴¹ Since 2007 Indonesia is classified as a middle-income country in transition and the German Foreign Office and the BMZ assert that the development cooperation with Indonesia is a "partnership between equals".¹⁴² Indonesia (together with Sri Lanka) was also the focus of German reconstruction

^{140.} AA [Indonesia](#); BMZ [Indonesia](#) [both accessed June 2014]

^{141.} GIZ [Indonesia](#) [accessed June 2014]

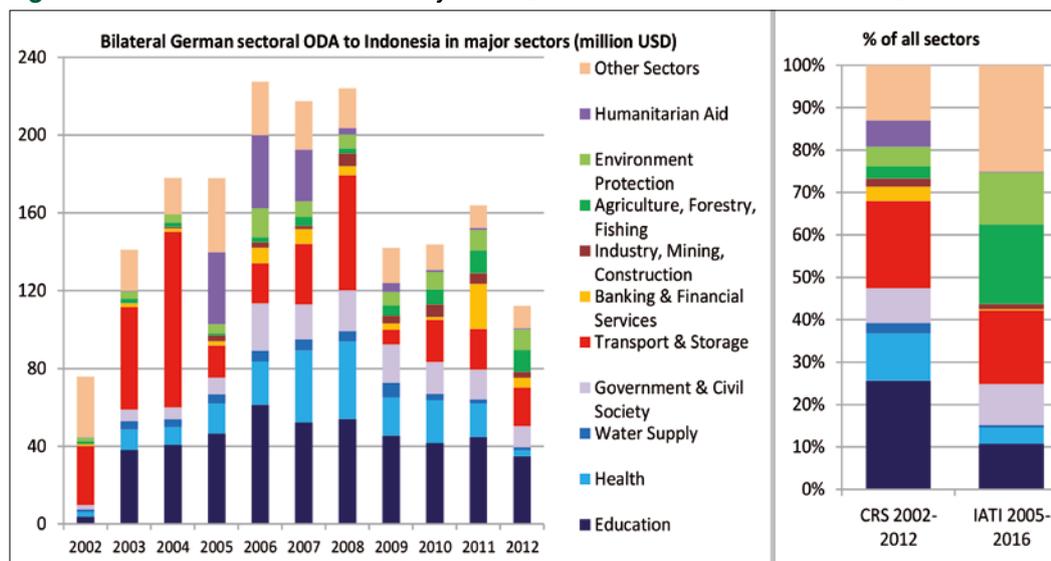
^{142.} AA [Indonesia](#) and BMZ [Dirk Niebel leaves for visit to Indonesia](#) [both accessed June 2014]

aid after the tsunami disaster of 2004,¹⁴³ and help was likewise provided following the 2009 earthquake in Indonesia.¹⁴⁴ Since 1979 there has been a successful bilateral agreement on cooperation in science and technology between Germany and Indonesia and in 2008 the German Federal Government decided to step up the international cooperation in research and technology with a special focus on Asia and Indonesia.¹⁴⁵

For many years, Indonesian-German cooperation has focused on three jointly defined priority areas.¹⁴⁶ (1) climate protection and sustainable development, (2) private-sector promotion, and (3) good governance and decentralization. In addition both sides agreed to cooperate on es-

tablishing a social security system and to continue health policy measures already under way. In 2013 the government negotiations reframed the priority areas of bilateral development cooperation into: (1) energy and climate change, (2) inclusive growth, and (3) good governance and global networks.¹⁴⁷ These priorities, however, are only partly reflected by the flow of bilateral ODA (Figure 4-5). Over the period 2002-2012, the sectors Education, Transport & Storage, and Action Related to Debt received the largest share of German ODA. Other major sectors receiving ODA were Health and Government & Civil Society. Forestry and Environment Protection accounted for less than 6%, however this percentage has been increasing. Looking at Germany's disbursements and

Figure 4-5: German ODA to Indonesia by sector (disbursements and commitments)



¹⁴³. Between 2005 and 2009, the German government made a total of €500 million available to Indonesia, making it the largest bilateral donor for post-tsunami reconstruction. Another €670 million to help victims of the disaster were donated by the German public (BMZ 2014 [Indonesia](#) [accessed June 2014])

¹⁴⁴. AA [Indonesia](#) [accessed June 2014]

¹⁴⁵. In the area of biotechnology, work on biodiversity is continuing, and in June 2013

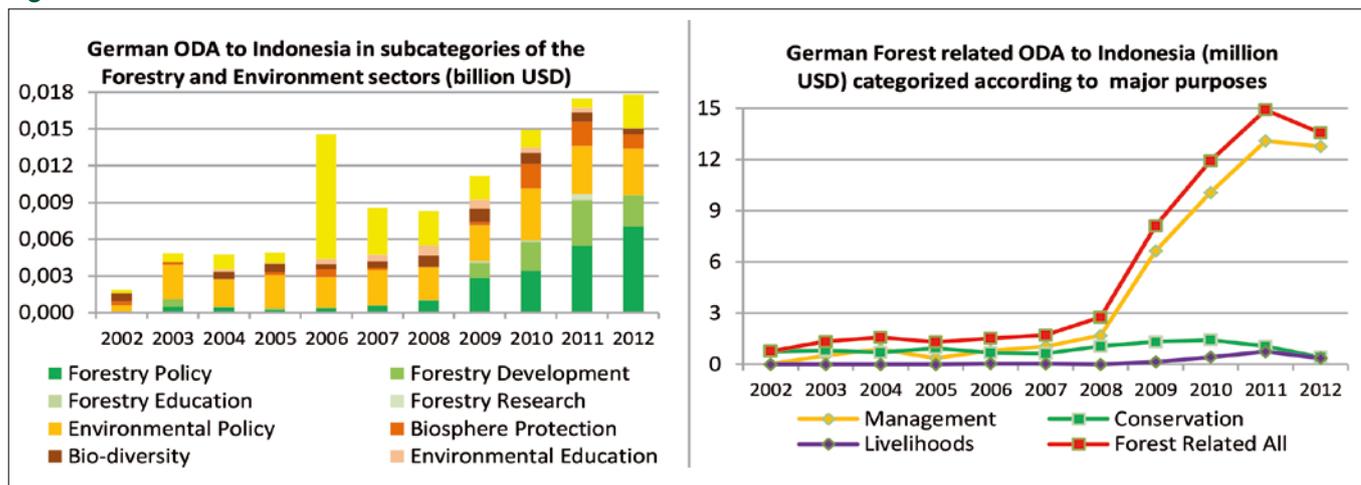
a joint strategy to identify medically relevant substances based on biodiversity was adopted. In the area of environmental research, DFG special research area on the ecological and socioeconomic function of tropical forests and the analysis of monocultures, focusing on Jambi, Sumatra, commenced work with an opening workshop in June 2012. The long-standing cooperation in marine research is continuing with the launch of the Science for the Protection of Indonesian Coastal Ecosystems (SPICE) III project. Research here

focuses on marine biodiversity, climate change and coral reef and mangrove ecology (AA [Indonesia](#) [accessed June 2014]).

¹⁴⁶. According to GIZ (oral communication), the websites of BMZ [Indonesia](#) and AA [Indonesia](#) [both accessed June 2014] were not updated regarding the changes of priority areas in November 2013.

¹⁴⁷. GIZ [Indonesia](#) [accessed June 2014]

Figure 4-6: German forest related ODA



commitments for the period 2005 – 2016, these two sectors account for nearly 30% of German bilateral ODA.

Ten years ago the issue of forests was almost excluded from the German-Indonesian, as well as international development cooperation.¹⁴⁸ By 2014 the German Foreign Office was referring to Indonesia's forests as "...one of the Earth's three green lungs..." providing essential services to regulate the climate as natural carbon sinks besides preserving biodiversity and protecting water catchment areas.¹⁴⁹ In 2012 Germany provided US\$9.6 million ODA for the forestry sector and another US\$10.4 million for the environment sector. Probably, the most important trigger for this action, something particularly evident in Germany, has been the growing concern about climate change, and related to this, Indonesia's dedicated engagement in the REDD+ process since 2007.¹⁵⁰

4.1.5 German bilateral forest cooperation

Many of the German development cooperation programs with Indonesia affect forests. Out of the 54 ongoing programs, 24

focus explicitly on climate change mitigation or adaptation while another 15 treat this issue either as a secondary objective or as an important context. The forest relevant funding has been mainly assigned to the CRS categories 'Forestry Policy and Administrative Management', 'Forestry Development', 'Environmental Policy and Administrative Management', and 'Biosphere Protection'. Recent funding has primarily been used for the improvement of forest management facilities and capacity building in forest administration (Figure 4-6).

For the period of the analysis have been 12 German financed development programs with a focus on terrestrial forests with an overall budget of more than 88 million EUR (Table 4-3). Nine of these programs are ongoing while three have been completed.¹⁵¹ Six of the ongoing programs, with an overall budget of nearly 77 million EUR, are exclusive to Indonesia and three have partner countries. Another five programs, with a total budget of about 21 million EUR, address coastal ecosystems including mangrove forests but they are not included in this analysis.

¹⁴⁸. World Bank 2006a: 3

¹⁴⁹. AA [Indonesia](#) [accessed June 2014]

¹⁵⁰. World Bank 2006a, b; MoF 2009

¹⁵¹. Programs with a completion date in 2012 or earlier are categorized as 'completed', while programs with a planned completion date in 2013 or later are categorized as 'ongoing'

Table 4-3. Major on-going German financed forest development programs in Indonesia

Projekt/ activity titles	Principle purpose	Period	Implementing agencies	Indonesian Partner	Main Donor	Amount (EUR)
Completed						
Biodiversity Conservation through Prep. Measures for REDD+ in Merang Peat Forests	Support the REDD preparatory process	2008-2012	GIZ	Ministry of Forestry	BMUB / ICI	1,406,875
Knowledge Management for the REDD Pilot Project in the Merang Peat Forest Area	Support the REDD preparatory process	2009-2012	GIZ	Ministry of Forestry	BMUB / ICI	625,787
Forest Management Financed through Emission Certificates in UNESCO World Heritage Site ‚Tropical Rainforest Heritage of Sumatra‘	Support the REDD preparatory process	2009-2011	UNESCO	Ministry of Forestry / Wildlife Conservation Society	BMUB / ICI	527,000
Ongoing programs addressing also other countries						
Adaption and Mitigation Strategies in Support of AFCC (GAP-CC)	Climate change issues	2010-2015	GIZ	ASEAN Secretariat / GIZ	BMZ	3,667,000
Forest and Landscape Restoration in Key Countries	Climate change issues	2013-2017	IUCN / WRI	BAPPENAS	BMUB / ICI	2,998,593
Land-use planning and sustainable biomass production for climate protection	Climate change issues	2010 – 2013	WWF	Ministry of Public Works and the Ministry of Home Affairs	BMUB / ICI	2,726,999
Ongoing programs with Indonesia as the exclusive partner country						
Biodiversity and Climate Change	MRV of greenhouse gas emissions / alternative income opportunities for people living in protected areas	2013-2016	GIZ	Ministry of Forestry / South Sumatra Provincial Forestry Department	BMUB / ICI	3,800,000
Harapan Ecosystem Restoration Concessions	Ecosystem Restoration Concessions (ERC)	2009-2013	KfW / Royal Society for the Protection of Birds, Birdlife International / Naturschutzbund Deutschland (NABU)	NGOs Burung Indonesia / NGO Yayasan Konservasi Ekosistem Hutan Indonesia (Yayasan KEHI)	BMUB / ICI	7,575,000
Ecosystem Restoration Concessions to protect tropical rainforest in Indonesia	Ecosystem Restoration Concessions (ERC)	2012-2019	KfW / Birdlife Indonesia Association / WWF Germany / NABU / Frankfurt Zoological Society	Directorate General of Forestry Production Development (BUK), Directorate General of Forest Protection and Nature Conservation (PHKA), Ministry of National Development Planning (BAPPENAS)	BMUB / ICI	8,100,000
Climate Change Mitigation and Species Conservation in the Leuser Ecosystem Sumatra	National Park management	2013-2019	KfW	Ministry of Forestry / Directorate General of Forest Protection and Nature Conservation (PHKA), BAPPEDA Aceh / Gunung Leuser National Park (TNGL) / Regional Natural Resources Conservation Bureau (BKSDA Singkil)	BMUB / ICI	8,500,000
Securing Natural Carbon Sinks and Habitats in the ‚Heart of Borneo‘	Forest conservation and afforestation	2009-2013	KfW / WWF Germany / Ernst-Moritz-Arndt University Greifswald (EMAUG)	WWF Indonesia / Borneo Orangutan Survival (BOS) / CARE Indonesia / Wetlands International Indonesia Program (WIIP) / University of Palangka Raya (UNPAR) / forestry enterprise	BMUB	870,055
Forests and Climate Change (FORCLIME I and II)	Good forest governance	2007-2013	GIZ	Ministry of Forestry	BMZ	48,700,000

All three completed programs were related to the REDD preparatory process and were funded by the BMUB International Climate Initiative (ICI) with the Indonesian Ministry of Forestry as the partner institution and concentrated on Sumatra. The GIZ was responsible for the implementation of two programs while the UNESCO World Heritage Centre, in cooperation with the 'Wildlife Conservation Society-Indonesia Program' (WCS), took over the responsibility for the third one.

The three ongoing programs that involve other countries besides Indonesia are all concerned with climate change issues. One of these programs includes all ASEAN member countries and is funded by the BMZ with the ASEAN Secretariat as the lead executing agency.¹⁵² Two other programs, both funded with BMUB ICI grants, address Brazil and Indonesia. One of these programs is implemented by the International Union for the Conservation of Nature (IUCN) and the World Resources Institute (WRI) in cooperation with the Brazilian Ministry of the Environment (MMA) and BAPPENAS in Indonesia, while the other program, that also includes Colombia, is implemented by the WWF in cooperation with government offices in the respective countries which, in the case of Indonesia, is the Ministry of Public Works and the Ministry of Home Affairs.

From the six remaining programs exclusively targeting Indonesia, four focus on the "forest island" Sumatra. They are all funded with BMUB ICI grants. One of them, concerned with the development of a participatory system for the measurement, reporting and verification (MRV) of greenhouse gas emissions and the elaboration of alternative income opportunities for people in protected areas, is implemented by the GIZ in cooperation

with the Indonesian Ministry of Forestry and the South Sumatra Provincial Forestry Department.¹⁵³ Out of the three other programs implemented by the KfW two focus on Ecosystem Restoration Concessions (ERC). They are regarded as a pilot projects for an additional 24 million hectares of tropical forests in Indonesia which are currently not being actively managed or protected.¹⁵⁴ The experiences gained should be used to support the development of the REDD+ strategy for Indonesia and other rainforests around the world. The Harapan Rainforest Project is expected to sequester around 10-15 million tons of CO₂ over 30 years by combating deforestation and forest degradation and to promote forest restoration. The second KfW program, dealing with Ecosystem Restoration Concessions, is being implemented in Sumatra and Sulawesi. The second KfW project, with a focus on ERC, deals with the threatened tropical rainforest in the Bukit Tigapuluh National Park. And the third Sumatra program implemented by KfW is concerned with the management of the Gunung Leuser National Park which, together with the Bukit Barisan Selatan and the Kerinci Seblat National Parks, comprises the UNESCO World Heritage Site 'Tropical Rainforest Heritage of Sumatra'.¹⁵⁵ The project provides the infrastructure for the protected areas' administrative bodies, advises them on setting up new structures, improves existing ones and supplies new GIS instruments to improve the planning and monitoring ability of the regional planning authorities. In cooperation with the municipalities involved, land-use plans are developed and land use and conservation area borders are defined. Furthermore, agroforestry projects and communal forests are being planned to create additional income and conflicts between people and wild animals will be analyzed to find solutions.¹⁵⁶

152. ASEAN [Secretariat signs agreement with Germany to address food security and impacts of climate change](#) [accessed June 2014], GIZ 2013

153. BMUB 2014 [Biodiversity and climate change](#); ACB/GIZ 2011 [Portfolio: Biodiversity and climate change](#) [both accessed June 2014]

154. BMUB [Harapan Rainforest](#) [accessed June 2014]; for more details see also Buergin 2015:62f.

155. UNESCO [Tropical Rainforest Heritage of Sumatra](#); from 2009-2011 the WHS had already been addressed by a program funded with a BMUB ICI grant of some 0.5 million EUR (DKF [Mit Emissionszertifikaten finanzierte Waldbewirtschaftung in der Welterbestätte 'Tropische Regenwälder Sumatras'](#)) [both accessed June 2014]

156. BMUB [Climate change mitigation](#) [accessed June 2014]

Table 4-4: Goals of ongoing German funded development projects in Indonesia relevant for forests (20 projects with a total budget of 138.9 million EUR)

Goals	Major goal	Minor goal	Not referred to
	Number of projects (related budget in million EUR)		
Biodiversity Conservation	6 (51.9)	11 (64.4)	3 (22.6)
Forest Use	8 (61.5)	12 (77.4)	0
Local Livelihoods	5 (1.0)	13 (104.4)	2 (33.5)

The two remaining German funded programs ‘Heart of Borneo’ and ‘FORCLIME’ focus on Kalimantan. The smaller ‘Heart of Borneo’ program is implemented by the KfW with several partners from Germany and Indonesia. The aim of the program is to conserve forests as natural carbon reservoirs and to create new carbon sinks through afforestation projects in West Kalimantan. In cooperation with a forest enterprise situated nearby, a new zoning and the development of alternative forest uses, should help to solve problems associated with slash-and-burn farming in the buffer zone around the Bukit Baka - Bukit Raya National Park. Furthermore, reforestation activities involving communities should connect isolated and degraded forest areas between the national parks of Betung Kerihun and Danau Sentarum.¹⁵⁷ The FORCLIME program implemented by the GIZ is the most important program not only in terms of funding but also regarding objectives and expected impacts. While the scope of the program is national, the practical work focuses on several provinces in Kalimantan. As one of the first REDD ‘on the ground projects’ worldwide, the projects are supposed ‘...to demonstrate the viability of a pro-poor REDD mechanism in Kalimantan to decision-makers and stakeholders, thus enriching the national and international debate on REDD+ with the practical experiences gained by their implementation...’¹⁵⁸

4.1.6 Scope, instruments and strategies

The goals stated for German funded forest related projects in Indonesia clearly stress biodiversity conservation and forest use, but local livelihood goals are merely considered as a side objective. (Table 4-4).

All ongoing German funded projects unequivocally aim to achieve the economic potential of the forests in conjunction with sustainable forest management. In almost half of the projects sustainability is the major goal and biodiversity conservation plays an important role. In only three of the projects reviewed this goal was not mentioned. In contrast, the issue of local livelihoods is addressed very differently. Only five projects, all with comparatively very small budgets, state the improvement of local livelihoods as the primary goal. The vast majority of the projects expect to achieve local improvements indirectly. However, only two of the projects failed to even mention this goal. This distribution of goals indicates that Germany’s bilateral forest cooperation puts the greatest emphasis on economic forest use and biodiversity conservation. The in-depth analysis of the programs confirmed the predominance of a free market mindset in the design of the programs. This suggests that Germany expects to achieve the threefold goal of forest use, biodiversity conservation and local livelihood improvements largely by

¹⁵⁷. BMUB [Securing Natural Carbon Sinks and Habitats in the ‘Heart of Borneo’](#) [accessed June 2014]

¹⁵⁸. FORCLIME 2013

Table 4-5: Prominence of instruments in ongoing programs of German - Indonesian bilateral forest related development cooperation

Private Sector	Communities	Forest Administration
Instruments frequently and explicitly named in the program documents		
<ul style="list-style-type: none"> – Ecosystem Restoration Concessions (ERC) – Forest management plans and SFM 	<ul style="list-style-type: none"> – REDD+ preparation and pilot projects – Forest Management Units (FMU) 	<ul style="list-style-type: none"> – Establishment and strengthening of forest agencies – Legal advice in the formulation of forest policies, programs, strategies and instruments – Aerial surveys, satellite imagery, and GIS mapping – Development of reference emission levels (REL), carbon storage studies and climate change modelling
Instruments occasionally named in the program documents		
<ul style="list-style-type: none"> – Certification systems and FLEGT – Dev. and improvement of market access and infrastructure – Training in sustainable forest use and management – Infrastructure development 	<ul style="list-style-type: none"> – Protected area networks and integrated conservation – Awareness building and environmental education – Agricultural development and improvements – Development and marketing of NTFPs – Development of tourism and ecotourism 	<ul style="list-style-type: none"> – Zoning and land use planning – Education and training of foresters – Forest surveillance, patrolling, and protection – Forest and biodiversity inventories – Forest monitoring systems – Measuring, Reporting and Verifying (MRV) systems – Socioeconomic and biodiversity surveys and studies
Instruments rarely or not named in the program documents		
<ul style="list-style-type: none"> – Extraction & marketing of timber, Reduced impact logging (RIL) – Payments for environmental services (PES) – Re- and afforestation 	<ul style="list-style-type: none"> – Development and support of participatory institutions – Gender mainstreaming – Participatory village mapping (PVM) – CBFM and community forests – Support of Climate Change Adaptation – Training in handicraft, agriculture, and business 	<ul style="list-style-type: none"> – Fire-fighting facilities – National/international networking and mediation – Support for academic institutions and education – Increase public transparency

the privatization and commodification of forest resources.

The analysis of the range of instruments applied by the projects reviewed also provides some interesting information in this regard. For example, the projects mostly consider instruments aiming to strengthen the Indonesian forest administration. However, instruments with the goal of promoting community forestry are subordinate, as are instruments directly addressing forest concessions (Table 4-5).

The dominance of instruments targeting forest administration reflects the fact that the Indonesian Ministry of Forestry is the major partner in nearly all projects funded by the German forest cooperation.

Such an institutional focus suggests that the German development cooperation believes that a strong forest administration is crucial to achieving the goal of biodiversity conservation. The most frequently applied instruments are related to policy advice and capacity building. Less frequently applied instruments are related to REDD+ activities including the gathering, processing and analysis of data and monitoring mechanisms. Also, many instruments targeting communities¹⁵⁹ are related to efforts involving the implementation of legal frameworks to different forms of communally managed forests, particularly Village Forests¹⁶⁰, the rights of indigenous people and forest dependent communities as well as their empowerment¹⁶¹,

159. Rahmina 2012

160. Rahmina 2011; FORCLIME [Briefing note No.6](#) [both accessed July 2014]

161. FORCLIME [Kayan Mentarang Briefing paper No. 1](#) and [Kayan Mentarang Briefing papers No. 2-9](#) [accessed July 2014]; about the Kayan Mentarang National Park and indigenous Dayak populations in the context of the Heart of Borneo Initiative see also Eghenter 2000, 2002, 2008, Eghenter & Topp 2005.

and women's rights.¹⁶² Furthermore, local livelihoods are often connected with the development of 'green' businesses including ecotourism¹⁶³ and cocoa production.¹⁶⁴ This agrees with the observation that the goal of improving local livelihoods is most often a minor respectively only indirect program objective.

Although less in number, projects that apply instruments directly targeting the promotion of forest concessions have the major share of the budget. Particularly, KfW massively promotes Ecological Restoration Concessions by supporting: concession holders in the establishment of forest patrols, awareness raising activities to reduce illegal logging, construction of observation towers, installation of water tanks, training staff and local people in fire-fighting and re-forestation activities. Additionally, local communities, especially the indigenous people, are supported in efforts to develop alternative income opportunities. Finally, they also finance biodiversity studies.¹⁶⁵ Fundamentally, instruments promoting the controlled economic use of natural forests are the priority of German forest cooperation in Indonesia.

Most of the current German funded forest projects in Indonesia are complex and follow an integrative approach, which is also reflected by the fact that the mean financial amount dedicated to one project increased from less than €1 million for programs started before 2006 to an average of almost €5 million per project for programs started after 2009. In former times projects focused on the transfer of German know-how in the classic fields of sustainable forest management and forest administration. More recent programs acknowledge the complexity of the problems by additionally addressing policy

development, administrative problems, the private sector and communities, as well as national and international development objectives. This is augmented by a new conceptual focus on the development of green businesses emphasizing economic development with partners from the private sector and local communities. This implies a significantly broader and creative perspective when it comes to economic opportunities and a move away from timber towards a wider range of forest products and services. This is being realized by a multilevel approach consisting of modules of technical and financial cooperation and their operational integration. Although the Forest Ministry is the classic counterpart of German forest cooperation, the programs intend to establish institutional linkages to all strata of society including NGOs, the private sectors and grassroots organizations. Accordingly, the programs have a number of components covering a wide range of strategic areas including policy advice, human capacity development, supporting companies in SFM and certification, integration of local people in the forest economy and many others. Another common strategic feature of many programs is their investment in pilot programs and models to provide a basis for future program expansion at national or international scales.

4.1.7 Effects

To detect and assess the specific effects of bilateral German forest cooperation on forests and people in Indonesia is hardly possible. Along the close look at two German development programs 'FORCLIME' and 'Harapan Ecological Restoration Concession' and related field visits to some villages in Sumatra and Kalimantan revealed the enormous diversity of settings in Indonesia as well

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- 162. Engelhardt & Rahmina 2011, [FORCLIME Briefing note No.7](#) [accessed July 2014]
 - 163. Kehl & Sekartjagrarini 2012, [FORCLIME Briefing note No.4](#) [accessed July 2014]
 - 164. Miltz 2012, [FORCLIME Briefing note No.9](#) [accessed July 2014]
 - 165. NABU 2012a, 2012b; Birdlife International [Innovation in the protection of forests in Indonesia](#) and RSPB [Harapan provides hope for rainforest conservation](#) [both accessed July 2014]

as the immense complexity of local situations resulting from a turbulent history.¹⁶⁶ For example a survey about the effects programs have on local people requires the inclusion of at least three largely different actor groups, indigenous people, transmigrants and recent settlers, each with strong differences regarding origins, identities, and the strength of their claims to access and exploit area resources. With regard to the effects on forest conservation, the specificities of the landscape dynamics and composition of economic actors on the numerous islands as well as the aggregated effect of the sector policies that often create conflicts. All this and the marginalization of the forest sector have to be taken into consideration. Thus, processes and dynamics may be less related to different organizational approaches and program structures than to specific situations involving ethnic and religious differences, various socio-cultural contexts, the personal affinities and competencies of people involved and the mix of regulations and institutions of which the forest is only one component. The more complex and integrative programs of the German forest cooperation can be seen as an attempt to respond to these challenges.

Our analysis revealed some interesting insights about the quality, achievements and problems of the German-Indonesian forest cooperation. The increasing complexity of the programs suggested the need for more intensive cooperation between GIZ and KfW and the inclusion of other competent German organizations for technical and financial cooperation. Nevertheless, the results of the programs reviewed revealed that the modules and organizations, in terms of funding, organization, and implementation remain largely independent.¹⁶⁷ While the GIZ aligns its work with that of the Indonesian for-

est administration with the involvement of many German development workers, the KfW is more focused on REDD+ as a framework for national development and works with Indonesian staff supported by consultants.¹⁶⁸ Though this separation facilitates meaningful synergies, to a degree it also indicates the unwavering commitment to different preferences, priorities and interests that might hamper the effective cooperation between the two implementing organizations. Some of the interviewees also criticized the GIZ head office in Jakarta as being disproportionately expensive.

The picture emerging from the cooperation with Indonesian governmental agencies has become more transparent. All interview partners, including national and district governmental officials and those from international and national NGOs, asserted that the German forest cooperation is helpful and effective. They particularly highlighted the positive influence on forest policies in Indonesia and the contribution made towards greater transparency, more inclusive participation in planning processes and more efficient implementation. Some interview partners however stressed that the hierarchical organization and bureaucratic forest administration is resistant to innovative ideas that would otherwise have positive effects at a broader provincial or national level. Moreover, the quality of the cooperation between the different administrative bodies at national, provincial and district levels varies considerably due to diverging interests. Several interview partners also referred to difficulties regarding the coordination between different donor and implementing organizations and the projects. The NGOs and village people in direct contact with the projects emphasized the respectable and cooperative relations that ex-

^{166.} Steinebach 2012: 56-75, Steinebach 2013: 69-73.

^{167.} Interview partners from GIZ and KfW both highlighted the good collaboration.

^{168.} e.g. FORCLIME [Who is Who](#); GFA [Forest & Climate Protection Program, Indonesia](#) [both accessed June 2014]; the GFA consulting group has been contracted by the KfW for 3.4 million EUR to support the FORCLIME FC module.

isted with the project staff and were satisfied with the level of support received. Although there was one villager, who was interviewed, that openly complained about not being adequately paid for the work he did for the project. Local expectations regarding job opportunities and the wages received from work done on projects vary widely and disappointment is not unheard of.

The efforts of German forest cooperation directly linked to the promotion of community forests have been assessed positively by the GIZ staff as well as representatives from NGOs and villages interviewed. Particularly NGOs and researchers concerned with the implementation of community based forest management, the REDD preparation process, and community empowerment in Indonesia frequently thought that the establishment of 'Forest Management Units', 'Village Forests' and the related formal devolution of forest user rights to the local level as an important prerequisite for implementing future REDD projects in Indonesia so that local communities benefit.¹⁶⁹ For those local communities directly participating in the pilot initiatives, 'Village Forests' are not only important regarding their forest dependent subsistence¹⁷⁰ but even more so as a means to have their land claims and forest resources formally acknowledged, at least to some degree.¹⁷¹ The programs also show that they are capable of enhancing the cooperation between the forest service, NGOs, and local communities. Thus, these experiences, as well as achievements made in land use demarcation and the mapping of land cover change and carbon stocks are expected to induce institutional reform processes at a national scale. The reform expected is away from traditional forest concessions to a broader portfolio including innovative

instruments targeting REDD+ goals and tools for the development of professional standards applied to government staff in administering these instruments.¹⁷² Assessments of other community oriented activities aimed at linking nature conservation with the development of sustainable energy supplies, small-scale agroforestry, sustainable supply chains were more mixed.

Some of the interview partners doubted that the community forestry pilot projects will have a real effect at a broader level because the Indonesian forest administration continues to neglect the concerns and interests of local communities. It was also stressed that there is little evidence that anything more than a moderate amount of success can be claimed when it comes to improving local people's livelihoods outside of pilot initiatives. Some villagers were also not very well informed about the goals of the pilot projects and their specific role. For example, knowledge about the REDD+ and its potential benefits was low to non-existent.¹⁷³ However, this may be due to NGO policies trying to avoid raising community expectations as well as the still preliminary status of REDD activities and regulations.¹⁷⁴ Finally, there have been some mild complaints about a lack of ongoing support and a desire for closer guidance and project staff to be more available.

When it comes to logging concessions, observations indicate that forest fires, illegal logging, encroachment, poaching and even mining and road building are major threats and in particular after the term of the concession expires¹⁷⁵. Nevertheless, even in completely logged-over concessions it is possible to find some patches of forest in rather good condition.¹⁷⁶ In Indonesia however, classic logging con-

169. Akiefnawati et al. 2010, Bock 2012, Royer 2011: 30-35 or REDD-Monitor 2011 [Villagers respond to REDD in West Kalimantan](#) [accessed June 2014].

170. For a review of their forest use and customary forest management see Royer 2011: 51-57, 88-91.

171. Royer 2011: 42-47. This interest and local conception of the Village Forest was also emphasised by the interviewees queried during this study.

172. GTZ 2010; FORCLIME [Briefing note No. 2, 5, and 8](#); FORCLIME [Press Review](#); Pescott et al. 2010; Navratil 2013; Bellot et al. 2014; GIZ [FORCLIME](#) [all accessed June 2014]; MoF 2011a, b, c

173. e.g., in a meeting with villagers of Sadap, the only person with at least some basic knowledge about REDD+ was the village facilitator employed by FORCLIME.

174. Regarding the situation and perceptions of actors in Kapuas Hulu see Royer 2011: 35-48.

175. NABU 2012a; Hein 2013: 14-15; Hauser-Schäublin & Steinebach 2014: 5; Harapan Rainforest 2014 [Coal road threatens ecological integrity of Harapan Rainforest](#) and Mongabay 2013 [Mining road plan threatens forest restoration project in Indonesia](#); REDD-Monitor 2012 [Response from Harapan Rainforest Project](#) [all accessed July 2014].

176. NABU 2010, Marthy 2014.

cessions have lost their importance and are increasingly being replaced by more complex approaches such as integrated land use schemes and plantation and restoration concessions aimed at upping the value of logged-over and often degraded areas. While plantation concessions tend making the situation even worse with regards to the conservation of forest ecosystems and biodiversity, there are indications that Ecosystem Restoration Concessions (ERC), with their explicit commitment to habitat restoration and rehabilitation, and the integration of internationally monitored carbon credit and REDD+ projects are having more positive effects than were expected.¹⁷⁷

Environmental organizations and experts involved in the establishment and monitoring of ERC confirmed positive first results that are highlighted by the concessionaires and supporting authorities and organizations.¹⁷⁸ ERC may provide important services for local people such as healthcare, free schools, wells and improved sanitation, seedlings for agriculture, improved marketing for NTFPs and new income opportunities for some of the local families as workers in community nurseries.¹⁷⁹ Coincidentally, the process

of establishing Forest Management Units has resulted in a slight improvement in the enforcement of forest regulations by governmental agencies. However, there are complains about insufficient transparency in the designation of areas, the unclear and disputed roles of provincial and district governments in the licensing process, an overwhelming bureaucracy and the lack of an incentive package including fiscal incentives to support the economic viability of ERCs.¹⁸⁰ The in-depth analysis of the Harapan ERC has shown that ERCs may also suffer from manifold conflicts between the concessionaire and the people living inside and close to the concession areas.¹⁸¹ In classic logging concessions, the most controversial practice has been the removal of forest dependent indigenous people from concession areas and resettling them in new villages.¹⁸² This often results in their complete abandonment of traditional livelihoods, although a few may manage to continue with their agricultural practices and the collecting of NTFPs inside the concession area, whereas also these subsistence activities become increasingly restricted in consequence of more effective government agencies.¹⁸³

177. Walsh et al. 2012a, 2012b, Sitompul et al. 2011: 28; regarding the relevance of ERCs for the REDD process see also Hein & van der Meer 2012 and USINDO 2010: 22-23, Peters-Stanley et al. 2012: 56, 59, Indonesia 2013: 14 and 2014: 15.

178. Daily Mail 2008 [Prince Charles shows it is easy being green as he visits forest dwellers in need of a helping hand](#) [accessed July 2014]

179. Hein & Faust 2014: 23, Hein 2013: 18-19, Wardah 2013: 20-21, 45-46; many of the named expectations might also refer to classic logging concessions (Jakarta Globe 2014 [Giving value to logged forests](#))

180. Walsh et al. 2012a; in the public disputes the issue of being a REDD project seems to be a challenging and ambiguous argument (see REDD-Monitor [On-going land conflicts at Harapan Rainforest Project - Comments](#) [accessed July 2014]); in this context PT REKI is at pains to reject allegations to be a REDD project, while the BMUB & ICI highlights the importance of the project for carbon sequestration and the development of a REDD+ strategy for Indonesia and other rainforest areas around the world (see BMUB [Harapan Rainforest](#) [accessed July 2014]); a cost-benefit analysis of ERCs in Indonesia supports doubts whether ERCs without a REDD component may be economically viable (see Rahmawati 2013).

181. Relations with settlers producing rubber in the southern part of the ERC to date seem to be less problematic; the ERC management works with them to develop alternative income possibilities with the aim of preventing further deforestation and their complete relocation from the concession area (NABU 2012a: 3).

182. Hein 2013: 15, Hauser-Schäublin & Steinebach 2014: 29.

183. Since 2012, a DFG research program at the University of Göttingen explores ecological and socioeconomic impacts of these transformation processes in Jambi (see Faust et al. 2013 and Uni Göttingen [SFB 990: EFFoRTS](#) [accessed July 2014]).

More recently, local communities in Indonesia, with support from governmental and non-governmental development organizations, have become more assertive and demanding and started organizing themselves more effectively to enforce their claims to lands and resources and to demand the right of access to lands claimed by concession companies.¹⁸⁴ Their actions have received support from national and transnational organizations and have made spontaneous migrants, newcomers and indigenous groups, living in and around forests, more optimistic of their chances to successfully claim and enforce access rights to lands and resources. This optimism also applies to negotiations over newer concession schemes involving the cultivation of land for subsistence agriculture and the use of NTFPs¹⁸⁵. It is anticipated that the concessionaires will establish so-called 'Community Development Zones' where sanitation facilities, community nurseries, and income opportunities will be provided for families scattered throughout the concession. However, in ERCs and in the classic logging concessions the production of oil palm, slash and burn cultivation, logging for commercial purposes and hunting remain strictly prohibited for local communities.

Many of the locals interviewed in the Harapan area appeared to be more or less content with their arrangements with the concessionaires. However, some of the families expressed their discontent and are claiming customary rights to lands inside the concession. Additionally, several local people are finding it difficult to get the rights to lands and resources. Applications, by some communities, for plantation permits from the district government have failed and the same has happened to some negotiations with palm oil companies.¹⁸⁶ In addition, many com-

munity members still complain about a lack of employment, that they are not getting the agreed to compensation for giving up slash and burn farming practices and that they have not received the land promised for the cultivation of rubber. Some people said that they would have preferred to follow their traditional way of life rather than to live in the new closed settlements.¹⁸⁷

Transnational organizations and initiatives focusing on people's rights and environmental justice highlight the problem of establishing large concessions in areas where many conflicts exist. The conflicts involve a heterogeneous mix of actors including NGOs, government agencies, business co-operations, local forest dependent communities and indigenous peoples, established and newly arrived settlers, activists, researchers, businessmen, and politicians. Circumstances surrounding concessions are often highly complex and involve historical contexts that can spark and aggravate conflicts. In fact the concessionaires that exploit the valuable timber and the big plantation companies traditionally prefer to hire qualified staff and workers from outside the region. To satisfy the demand for labor thousands of families from outside the region have been settled near concessions and plantations. The settlements generally formed on lands traditionally belonging to existing villages and often became independent villages later. Not surprisingly, these events resulted in conflicts between the newcomers and the original population who had little chance to prevent the encroachment of their lands because they lacked legal land titles. In the Harapan area, the original population occasionally became alienated from their ancestral territories and either retreated into still forested areas where the concessionaire had

184. see Hauser-Schäublin & Steinebach 2014: 10, 13; these claims to customary lands encompass the area between the Bahar River and Lalan River tributaries and include all the villages in the area as well as large parts of the PT Asiatic Persada palm oil concession and the Harapan ERC.

185. Farmers have to meet two criteria to receive land use rights: they have to be poor and unable to buy land on the formal land market, and they have to agree to not plant oil palms (Hein & Faust 2014: 23).

186. Colchester et al. 2011, IPAC 2014: 8-9; regarding Wilmars involvement in the SAD conflict see also CAO 2012.

187. Hein 2013: 19, but see also Wardah (2013: 45) who rather emphasises positive experiences and assessments of the Batin Sembilan in the Mitra Zone.

not yet started planting agricultural crops, or was resettled in houses provided by the social department.¹⁸⁸ In recent times, better access to justice, improved regulations and ongoing decentralization have facilitated the success rate of customary claims to land and resources. In many cases transmigrants have even been sent back to their original home areas. However, mostly there is an inflow of thousands of new migrants resulting in new conflicts.¹⁸⁹

The conflicts that have bubbled up around the Harapan ERC clearly show the limitations of the concession approach to address the many, long-lasting and highly complex conflicts.¹⁹⁰ On the one side, there are the concessionaires, supported by the government, development organizations and environmental NGOs. They emphasize that it is their legal duty to protect the area from illegal logging, encroachment and settlement by blocking migrant farmers and land speculators coming from outside.¹⁹¹ They also claim their actions benefit local indigenous groups.¹⁹² On the other side, the local people, increasingly organized at the local, national and international level accuse the concessionaires and their supporters of acts of intimidation, namely, the destruction of their crops and houses, by evicting and

jailing them¹⁹³ and committing other human rights violations.¹⁹⁴ Additionally, regional farmer associations highlight the social function of land and criticize transnational REDD+ discourses on conservation.¹⁹⁵ Development organizations¹⁹⁶ that are formal partners of the Indonesian government and eventually become involved with international mechanisms such as the REDD Monitor forum in the case of the Harapan conflict,¹⁹⁷ might end up being drawn unwillingly into the conflict. This puts these organizations in a difficult situation, first because of diplomatic constraints but also due to conflicts between environmental and social goals.¹⁹⁸

The Harapan case clearly demonstrates the enormous challenges associated with large-scale forest related mechanisms such as concessions. Simply the great size of the concessions invariably results in violations of the interests and rights of many people living in and around these areas who all have their own claims. The complexity of the setting due to historical facts, the ambiguity of local actors' interests and strategies involved in the conflicts are largely disregarded in such settings. Concession holders are likely not able and perhaps not willing to resolve these problems and conflicts. Definition

188. Steinebach 2013: 65, Hauser-Schäublin and Steinebach 2014: 4, 11-12, Hein 2013: 15.

189. Hauser-Schäublin and Steinebach 2014: 14-17, IPAC 2014.

190. FPP [Ombudsman criticises Wilmar](#); REDD-Monitor [Harapan](#) [both accessed July 2014]; IPAC 2014; Rettet den Regenwald 2014.

191. 17,000 ha were occupied (Lang & ICI 2012 [Correspondence about Harapan](#) [accessed July 2014])

192. REDD-Monitor 2012 [Response from Harapan Rainforest Project](#); Burung Indonesia 2013 [Collaborative conflict management](#) [accessed July 2014]

193. REDD-Monitor 2013 [Two contrasting views of the Harapan Rainforest Project, Sumatra, Indonesia](#) [accessed July 2014]; Hein 2013: 18.

194. REDD-Monitor 2008 [Via Campesina and an Indonesian farmer denounce the Harapan Rainforest project in Indonesia](#); REDD-Monitor 2009 [Harapan Rainforest project in Indonesia "exposes cracks in UN climate plans"](#) [both accessed July 2014].

195. Hein 2013: 18-19; Hein/Faust 2014: 23-25; REDD-Monitor 2014 [Harapan](#) [accessed August 2014].

196. Lang & ICI 2012 [Correspondence about Harapan](#)

197. REDD-Monitor [Harapan](#) [accessed July 2014].

198. Burung Indonesia 2013 [Collaborative conflict management](#); Lang & ICI 2012 [Correspondence about Harapan](#); REDD-Monitor 2012 [Response from Germany's ICI](#); Harapan Rainforest 2012 [Harapan Rainforest starts peaceful dialogue with encroachers](#) [all accessed July 2014].

of safeguards and the establishment of related monitoring processes may help to detect existing problems but won't necessarily solve them.¹⁹⁹ We found indications that concessions may increase the complexity and the number of conflicts²⁰⁰ if the mechanisms to achieve free, prior and informed consent (FPIC) are not applied

during project implementation. Against this backdrop, instruments that directly support small local actors in their use of resources at much smaller scales but at higher intensities and lower performance, might be more successful in the long term.

4.2 Cameroon

4.2.1 Context

Cameroon is a large country in Central Africa bordered by the Central African Republic, Chad, DRC, Equatorial Guinea, Gabon and Nigeria. It has a long coastline (402 km) with major ports in Douala, Limbé and a deep-sea port in construction near Kribi. The country is extremely diverse: it spans several climate zones from tropical rainforest in the south along the basin to desert in the north. Cameroon has a large variety of cultures with over 200 languages spoken. In 2014 about 22 million people lived in Cameroon, 43% of them in rural areas. The average life expectancy is 54 years.²⁰¹ In the south the majority of the population depends on agriculture and in the north on cattle rearing.

After the First World War in 1919 the former German colony became a League of Nations mandate territory. One part was administered by France and another became attached to the colony Nigeria under the administration of the United Kingdom. In 1960 after a long political and guerrilla struggle Cameroon became independent and the two territories were united. Both English and French are official languages respectively spoken in the former colonial territories.

Cameroon is considered one of the most stable countries in the region. Since independence there have been only two presidents. The current president, Paul Biya, now over 80 years old has been in power since 1982. In the 1980s Biya introduced political reforms within the context of a single party system. Under pressure he accepted the introduction of multiparty politics in the early 1990s and narrowly won the election in 1992. But in subsequent elections he was re-elected by large margins. The parliament is dominated by the political party of the president, the Cameroon People's Democratic Movement (CPDM). There are many other political parties and press outlets but few are considered credible. Cameroon is ranked amongst the most corrupt countries in the world and opposition politicians and Western governments regularly allege voting irregularities and fraud. In view of this watchdog organizations deem the country as being "not free".²⁰²

Exports amount to 32% of Cameroon's GDP. The main exports are crude oil and petroleum products and minerals such as aluminum. But the export of agricultural products, particularly cocoa beans, coffee and cotton are also important. Wood prod-

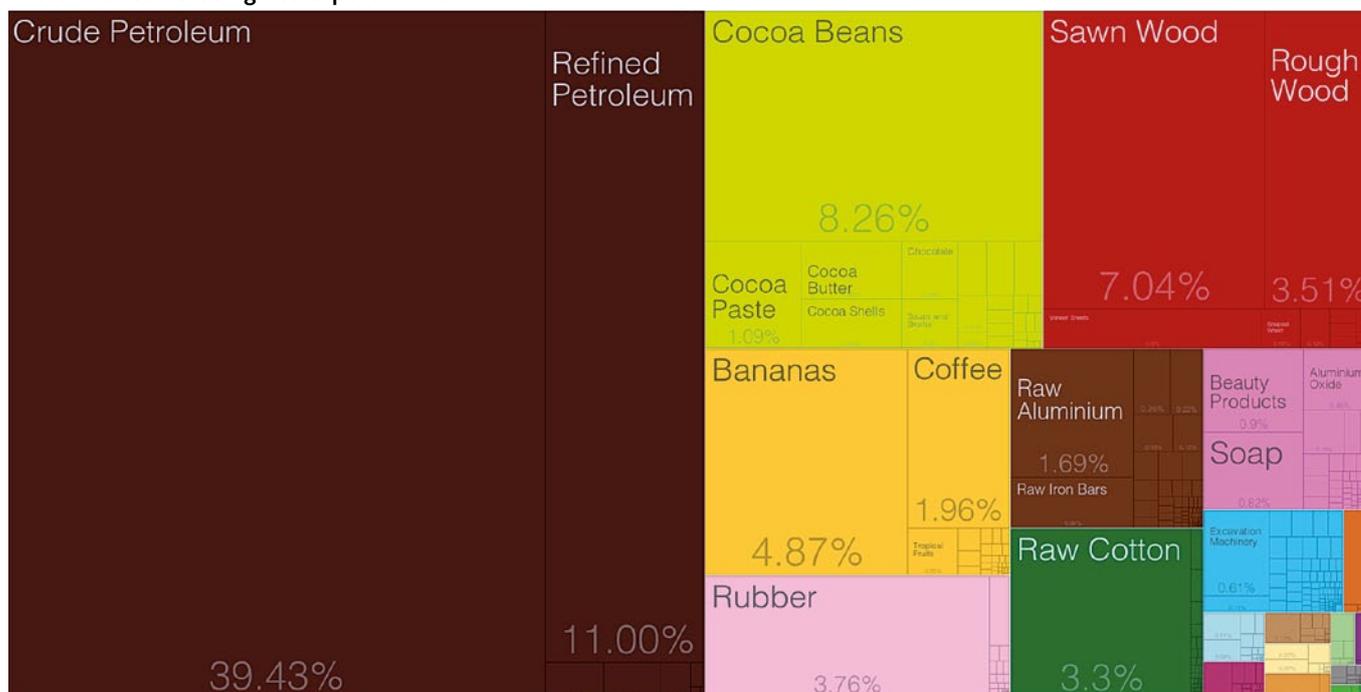
¹⁹⁹. See Scale Up/FPP 2013, REDD-Monitor 2013 [A letter from Scale Up and Forest Peoples Program](#) [accessed July 2014] and [Whakatane Mechanism](#) [accessed August 2014].

²⁰⁰. Hein 2013: 17; Hein/Faust 2014: 23; Hauser-Schäublin/Steinebach 2014: 12-13.

²⁰¹. World Bank [Cameroon](#) [accessed January 2014]

²⁰². Freedom House 2010

Table 4-6: Cameroon gross exports in 2011



ucts comprise more than 10% of the exports (Table 4-6). Most of the products are exported to Europe while lesser amounts go to China and the USA. This configuration of exports is likely to change in the near future as many of the oil wells are nearing their end.²⁰³ However, several large mining projects have been initiated in accordance with Cameroon's Economic Growth and Employment Strategy for 2035. Most importantly this includes large investments in infrastructure such as the railway for the transport of iron from the 'CamIron' mining project in east Cameroon. Also, a number of large-scale agro-industrial projects, mostly for the production of palm oil, are in the exploration phase²⁰⁴ In addition, several other major

projects, such as the Lom Pangar dam, and several roads have recently been initiated with massive support from the World Bank and China.²⁰⁵ China already plays an influential role importing 37% of Cameroon's exports compared to France with 22%.²⁰⁶

Germany imports mostly wood and agricultural products from Cameroon. A number of German companies are active in Cameroon including several small-scale semi-industrial mining companies as well as Siemens which since 2010 has been involved in ALUCAM's aluminum smelter²⁰⁷. Another German company, Giesecke & Devrient, provided technical backup for the 2013 biometric elections.²⁰⁸ Extractive

²⁰³. KPMG [Cameroon oil output](#) [accessed January 2014]

²⁰⁴. Greenpeace 2007, Campbell 2009, Freudenthal et al. 2012, Hoyle and Levang, 2012

²⁰⁵. Schwartz et al. 2012

²⁰⁶. CIA [Factbook DRC](#) [accessed March 2014]

²⁰⁷. German Embassy Yaounde [German-Cameroonian Business Forum, 19-22 October 2010](#) [accessed January 2014]

²⁰⁸. Journal Du Cameroun [Refonte biométrique du fichier électoral au Cameroun: le scandale qui vient d'Allemagne](#); Camerounvoice [Cameroun. Marché de la biométrie: Le gouvernement impose les Allemands](#) [both accessed January 2014]

Table 4-7. List of ministries in Cameroon with responsibilities for forest affairs²¹⁶

Ministry	Responsibilities
Ministry of Forest and Wildlife	<ul style="list-style-type: none"> – Sustainable management of forests and wildlife – marking physical boundaries of community forests – issuing and establishing logging titles – approving management plans – regeneration and reforestation – forest inventory – forest law enforcement (conducted by the National Forest Law Enforcement Brigade)
Ministry of Environment and Nature Protection	<ul style="list-style-type: none"> – Environmental impact assessment – Sectoral master plans for environmental protection – Monitoring of sustainable development indicators including Agenda 21 and REDD+.
Ministry of Economy and Finance	<ul style="list-style-type: none"> – Timber products – Collection of annual area fee generated by forestry activities in concessions and community and council forests and their subsequent transfer to the treasury, local governing bodies and local communities.
Ministry of Territorial Administration and Decentralization	<ul style="list-style-type: none"> – Demarcation of official boundaries of the council forests

industries in Cameroon commonly suffer from a lack of transparency. This is particularly the case for oil²⁰⁹ and mining²¹⁰ but also for the forest sector.²¹¹

4.2.2 Forest sector

Forests are estimated to cover between 40% and 60% of the land area of Cameroon.²¹² This represents about 10% of the Basin's forests.²¹³ Nearly all of these forests are lowland, dense, moist forests. Timber production is located in the south-west while in the north of Cameroon fuel wood production is one of the main drivers of forest degradation. Rural populations, particularly the poor, rely on forests for their livelihoods. Fishing, hunting and gathering other forest products also play a role.²¹⁴ There are over 50,000 indigenous forest peoples in Cameroon. Most are totally reliant upon the forests where they live; their culture and economy are intertwined with its fate. Huge areas of forest

are required to sustain their communities. Most of the forests that have been used for generations are now open to exploitation for timber and minerals or belong to parks and reserves.²¹⁵

In 2004 the former Ministry of Forests and Environment (MINEF) was split into the Ministry of Forest and Wildlife (MIN-FOF) and the Ministry of Environment and Nature Protection (MINEP). Since then these two ministries are responsible for forest affairs. However, a number of other ministries claim competencies regarding forests. Coordination between these ministries is poor (Table 4-7). Parallel, the National Forest Development Agency supports the establishment of tree plantations.

Cameroonian forests have a long history of regulatory and institutional settings. During the colonial period, Germany, the United Kingdom, and France had admin-

²⁰⁹. Gauthier and Zeufack 2010

²¹⁰. Mediapart [Le FMI visé par une plainte aux Etats-Unis; Actu-Maroc Scandal des diamants](#) [accessed January 2014]

²¹¹. Cerutti et al. 2012; CONAC 2013

²¹². Tessa 2012; World Bank 2015

²¹³. De Wasseige et al. 2012

²¹⁴. Topa et al. 2009

²¹⁵. CED 2008

²¹⁶. Kuiper et al. 2013

istrative units in place to regulate the forestry sector. After independence new forest laws were adopted by Cameroon in 1974 and 1981. In the 1990s Cameroon radically changed its forest policies and since then is considered a regional leader in sustainable forest management and a 'laboratory' for technical and economic reforms.²¹⁷ Since then, Cameroon aimed to improve forest governance by making forest management plans compulsory. The plans must include minimum safeguards for sustainability for private firms with long-term concessions. Also, local councils, communities and private individuals have regained the right to make use of forest resources. In 1974 nearly all forested land had been nationalized and ancestral rights were no longer recognized.²¹⁸ Since 2004, Cameroon has started to decentralize policy authority to regions and municipalities. In 2006, MINFOF launched the 'Forest and Environment Sector Program' (Programme Sectoriel Forêt Environnement - PSFE) that strategically integrates the various component issues related to environmental protection, sustainable forest management, participatory forest management, biodiversity conservation and the strengthening of various organizational services and stakeholders involved in the sector. The program also supports capacity building and the strengthening of forest and environment institutions by expanding their work programs in the fields of environmental monitoring, policy oversight, law enforcement, forest management, biodiversity conservation and community based forest activities. The program also contains a four year strategic plan for the southwest region.²¹⁹ One of the expected results of the PSFE is related to the participation of local actors and benefit sharing mechanisms. World Bank funding to the forest and environment sector led to

some social assessments and the publication of two Indigenous Peoples Development Plans (IPDPs) that specifically target the needs of indigenous communities in Cameroon.²²⁰ Since 2010, revenues derived from forest and wildlife activities should be redistributed to riparian communities and councils and an accountability law aims to ensure accountability and transparency in the management of revenues.²²¹

The 1994 Forest Law, supported by the 1996 Framework Law on Environmental Management, classified the entire dense humid forest area into zones. The zones segregate forests or parts of forest into, for example, permanent forests for sustainable forest management, wildlife habitat, non-permanent forests, or non-permanent forests consisting of forested land not requiring long-term forest maintenance. Around 80% of the forestlands were designated as permanent and 20% as non permanent forest domain. Each domain has a specific management regime: the permanent forest domain is managed as protected area and logging concessions while the non-permanent forest domain is managed for sales of standing timber, and for private, communal and community forests.

Protected areas include different protection categories. Most important are national forests and forest reserves followed by wildlife sanctuaries and zoos. They primarily aim on conserving nature but are also intended to reduce local poverty and ensure a basis for local people's livelihood, particularly indigenous ethnics. In protected areas, timber exploitation and agricultural activity is prohibited with the exception of some areas that grant user rights to indigenous peoples or for the maintenance of traditional lifestyles.

217. Karsenty 2007, Topa et al. 2009

218. Cerutti et al. 2008

219. The Redd Desk [Forest Environment Sector Program](#) [accessed March 2015]

220. CED 2008

221. Kuiper et al. 2013

Protected areas require a management plan that provides information on biological, socioeconomic, infrastructure and management structures as well as specific information about financing, zoning, biodiversity protection and stakeholder participation. Cameroon's first protected area was established in 1932 primarily as wildlife sanctuary in the northern part during French colonial administration. After the Earth Summit of Rio in the 1990s the number of protected areas increased massively including forested regions in the south. In 2009 Cameroon had over 30 large protected areas dedicated to forest conservation with at least one in each region of the country accounting for some 11% of the national forests.²²²

Logging concessions are dedicated to timber production. They are auctioned off as management units to private operators, mostly Europeans, but Asian companies are becoming increasingly prominent. Some 34% of the national forests are allocated to concessionaires.²²³ The country has been the first in Central Africa to allocate concessions through competitive bidding, and concessionaires have to fulfil diverse requirements such as preparing a management plan and investing in infrastructure and job creation. Also, certification of legality and eco-certification plays a role as most of the timber harvested in concessions is processed for export as saw wood. In the future, management plans will be required to consider existing so-called 'village terroir' representing a mosaic of more or less human occupied areas where agricultural crop zones are intertwined with forest ecosystems.²²⁴ Concessionaires can start exploiting the management unit under a three-year provisional license during which they need to develop a forest management plan that requires a minimum harvesting cycle of 30 years.

This provisional license is succeeded by a 'convention définitive' that grants full harvesting rights for 15 years. By 2007, out of a total of 101 forest management units licensed, 49 of them, representing 3.5 million ha have been managed according to approved management plans.²²⁵ Concessionaires have to pay fees and taxes as well as a levy on the concession areas and a sawmill entry tax. Forest taxes totaling nearly US\$40 million per year are collected and contribute considerably to the government budget. Furthermore, an annual forest fee is levied on forest management units and redistributed to the state (50%), local councils (40%) and neighboring communities (10%). This 'cahier des charges' should be used to deliver social services to the local population according to guidelines provided by the forest administration and possibly in accordance with negotiations done at the local level with the local administrative authorities and sometimes with the communities.

The Forestry Law of 1994 also provides for the involvement of local communities in the management of forests and wildlife resources via systems of "population-state" co-management of protected areas, the management of council forests and the setting up of community forests. Within these mechanisms, villagers have the opportunity to manage and exploit forests on the basis of management agreements signed with the state which include simplified management plans.²²⁶ Council forests situated in permanent forest domains are managed by a municipal board generally including several communities on the basis of a management plan. In 2010 there have been decrees issued for seven council forests in Cameroon where the councils assume responsibility for timber exploitation and for managing the revenues generated. The councils were guided

222. Tchindjang and Fogwe 2009; Lambi et al. 2012

223. De Wasseige et al. 2012

224. Lescuyer et al. 2012

225. Ceruttie et al. 2008

226. 2Cuny et al. 2007

through the gazette process by one of the German development cooperation's key partners in Cameroon: the Technical Centre for Council Forestry (CTFC) of the Association of Forest Councils of Cameroon (ACFCAM). This process, under the direction of MINFOF, entailed raising awareness among local communities, notifying the public, and preparing a technical dossier showing the forest boundaries. The final stage in the process is the submission of the dossiers by MINFOF to the Prime Minister's office for a signature.²²⁷

Community forests follow a 25-year management arrangement between the community and the forest service and are established in non-permanent forest domains. Permits for community forests are allocated under the same auctioning system as forest management units for three years, but do not require a management plan nor can they exceed 2,500 hectares. The publication in 1998 of the Manual of the Procedures for the Attribution and Norms for the Management of Community Forests (MINEF) was part of a capacity building program that helped to turn this concept into reality. From 1999 to 2006, 321 applications were submitted to MINFOF, involving over a million hectares comprising about 20% of the non-permanent forest estate.²²⁸ By mid-2010 there were about 457 community forests, however, only some 20% have full legal status for a total of 107 community forests covering 400,000 ha.²²⁹

Despite the pioneering role played by Cameroon in Western Africa in promoting sustainable forest management and decentralization, even incorporating measures for the inclusion of local communities, the in-country reality looks quite different. Even with its remarkable achievements, the government is still far

away from implementing effective minimum sustainable safeguards. One of the weaknesses is the lack of inter-ministerial communication and coordination, worsened by a lack of accurate and transparent cadastre of the land use and tenure situation. There appears to be competition between sectoral ministries rather than a coordinated approach to deliver economic, land and natural resources efficiency.²³⁰ MINFOF itself is slow to administer the final concession agreements (conventions définitives) sometimes because of competing economic interests advocated by other ministries, such as for biofuel and mining.²³¹ Most concessionaires refuse to follow the legal norms for harvesting timber from their forest management units²³² and the large domestic market is mostly supplied by informal, illegal operations with the strong involvement of local people.²³³ In fact the informal timber sector in Cameroon likely provides more than 100,000 permanent and even more non-permanent jobs.²³⁴

In recent years the proportion of illegal activity has declined. However, poor law enforcement continues because of an inadequate monitoring and reporting system, out-of-court settlements, insufficient financial resources, failure of disbursement procedures, bureaucracy and diversion of funds. Corruption pervades the system as poor company performance is most likely influenced by auction irregularities where logging titles are granted to unqualified companies²³⁵. The situation of most forest communities remains precarious as they do not have secure land tenure.²³⁶

227. Stanculescu 2010

228. Cuny et al. 2007

229. Beauchamp and Ingram 2011

230. Schwartz et al. 2012

231. Kuiper et al. 2013

232. Cerutti et al., 2008

233. Topa et al. 2009

234. Karsenty 2007

235. Kuiper et al. 2013

236. Alden Wily 2011

Deforestation

Cameroon has the second highest deforestation rate in the basin whereby the forest cover has been continuously decreasing at a rate of about 1% per year.²³⁷ Despite a nominal decrease of net deforestation, deforestation of natural forests accelerated between 1990-2000 and 2000- 2005.²³⁸ Due to the strong economic orientation of Cameroon towards export markets²³⁹, it is expected that deforestation will continue unabated. Large-scale agro-industrial production of bananas, rubber, sugar cane and oil-palm is seen as the major driving factor for deforestation. As central elements of the national growth and employment strategy, massive investments in infrastructure, mining and hydropower projects will significantly contribute to deforestation.²⁴⁰

In addition, several timber concessions located in the nearly pristine forest area of Ngoyla-Mintom have been recently auctioned off for logging. Local uses for forests such as for wood energy, and small-scale agroforestry for the production of cocoa and coffee have also been identified as drivers of deforestation.²⁴¹ Subsistence farming with shifting cultivation also plays an increasing role in deforestation due to reduced fallow periods²⁴². Similarly, small-scale chain saw milling plays a role in forest degradation. Fuel wood collection and livestock farming have also major impacts, especially in dry forests.²⁴³

Ongoing population growth, urbanization, demand for cash crops, migration and a lack of governance in the forest sector are seen as underlying causes of deforestation.²⁴⁴ A lack of law enforcement and massive corruption makes it easy for companies to disrespect legal requirements and facilitates illegal logging. The insufficient coordination of land uses is

particularly critical in view of increasing pressure on forested land.²⁴⁵ Concurrently, national forest policies aimed at forest protection are often countered by the Ministry of Agriculture and Rural Development and the Ministry of Planning and Regional Development, which promote food security and revenue through food, cash crops and biofuel production.²⁴⁶

4.2.3 International collaboration

The government of Cameroon is involved in a number of international processes relating to the protection of the environment, most importantly: (1) CBD²⁴⁷, Kimberley Process²⁴⁸ and EITI²⁴⁹, and FLEGT250 with a VPA signed in 2011, as well as the REDD Readiness program with the FCPF.²⁵¹ Accordingly, Cameroon receives significant international support. From 2002 to 2012 Cameroon received net ODA of US\$9.3 billion of which multilateral agencies provided 27.4% or US\$2.5 billion. Furthermore, debt relief constitutes an important part of ODA. On average, from 2004 to 2012, the total ODA accounted for about 4.3% of the GDP of Cameroon, corresponding to roughly US\$45 per person per year.

In terms of overall aid (bilateral and multilateral), Germany was the largest donor to Cameroon from 2002 to 2013 although France also provided significant amounts. Regarding bilateral ODA, Germany together with France provided the most funding (Figure 4-7). Additional to ODA for Cameroon between 2007 and 2012, on average, Cameroon received some €6.5 million per year from private grants, predominately NGOs. Around 87% of all ODA from all donors was in the form of grants.

More than 60% of the total German ODA from 2002 to 2012 went towards

237. FAO [FAOSTAT](#) [accessed August 2014]

238. De Wasseige et al. 2012

239. MINEPAT 2009

240. Kuiper et al. 2013

241. FCPF 2013

242. Kuiper et al. 2013

243. FCPF 2013

244. Cerutti et al. 2012

245. Schwartz et al. 2012

246. Kuiper et al. 2013

247. CBD [Cameroon Overview](#) [accessed January 2014]

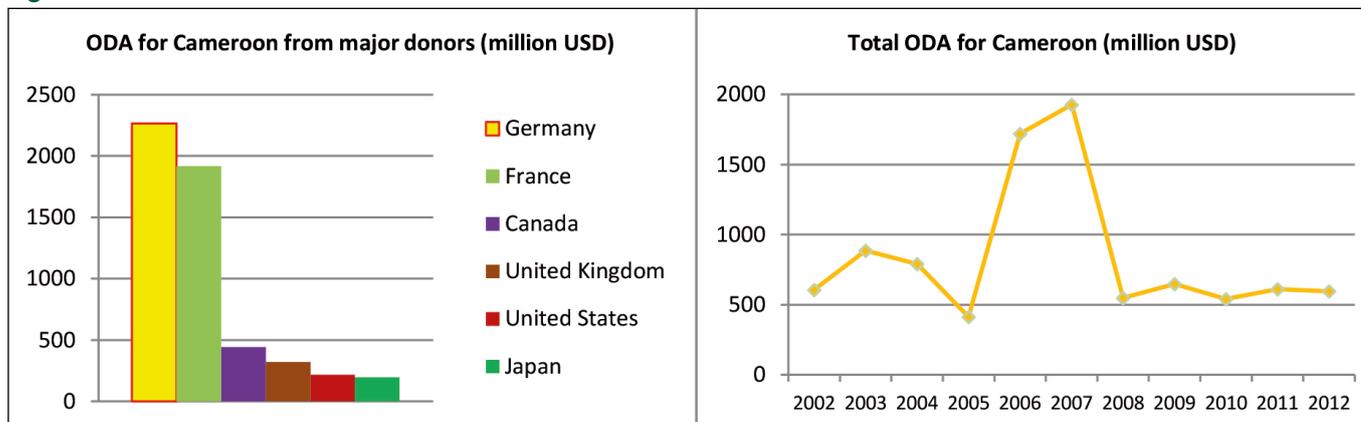
248. Bloomberg [Cameroon joins Kimberley Process, allowing diamond-mining start](#) [accessed January 2014]

249. EITI [Cameroon](#) [accessed January 2014]

250. EUFLEGT [Cameroon](#) [accessed January 2014]

251. FCPF [Cameroon](#) [accessed January 2014]

Figure 4-7. ODA for Cameroon for 2002-2012



paying for Cameroon's debt. Whereas, between 2006 and 2012 nearly 60% of total German ODA was distributed to the public sector.

Total monies donated by the international donor community for the environmental sector between 2002 and 2012 amounted to about US\$114 million. The CRS sector, 'Environmental Policy and Administration', received almost half of this. The 'Biodiversity' sector received 36% while the 'Environmental Research' and 'Environmental Education' sectors together got 15% of all donor funding aimed at the environmental programs. In addition, another US\$94 million ODA was injected into the forestry sector over this period, with a significant peak occurring in 2010/2011. Nearly 60% of all forestry sector funding was dedicated to the category 'Forestry Policy and Administrative Management' and another 39% fell into the category 'Forestry Development'.

Among the most important international cooperators in the environmental and forestry sectors are the French Development Agency, the European Union, the World Bank and the US Aid Agency (USAID). Since 2006 the French Develop-

ment Agency has been supporting the government's 'Forest and Environment Sector Program' (PSFE) with €20.7 million.²⁵² Another €10 million was given to a basket fund under the auspices of KfW to financially support the implementation of Cameroons' strategic forest program 'Programme Sectoriel Forêts et Environnement' (PSFE) (see below). A commitment of another €10.7 million for 2013-2015 is linked with the government's REDD+ strategy and is targeted for government staff training and facilities as well as for private companies and students who will be making management plans and monitoring forest cover and certification. Also, for the **European Union** forest governance is one of the key aspects of its 2008-2013 program, largely to support a more active integration of civil society in the implementation of its Action Plan for Law Enforcement, Governance and Trade (FLEGT) with €8-11 million.²⁵³ The **World Bank** operates mostly within the FCPF REDD Readiness process. It mainly supports the conservation and sustainable use of the Ngoyla-Mintom forest project (running from 2012 to 2017) with US\$3.5 million.²⁵⁴ This forest conservation project aims to protect the core area while simultaneously providing income opportunities

²⁵². AFD [Appuyer la mise en oeuvre du programme sectoriel forêt-environnement](#) [accessed August 2014]

²⁵³. EU 2007

²⁵⁴. World Bank [Cameroon: Ngoyla Mintom Project](#) [accessed August 2014]

for local communities. Activities include government and civil society capacity building, supporting local livelihoods and long-term monitoring. USAID has a large regional program to fight forest degradation called 'Central Africa Program for the Environment' (CARPE). The program, that altogether covers 80 million hectares, is being implemented in 12 regions in ten African countries. CARPE is all about land-use planning and support for new policies, legal reforms and monitoring.

Also some international NGOs play an active role and partly cooperate with the government. For example the World Resource Institute, Global Witness and Resource Extraction Monitoring have participated in Cameroon as independent observers. The public reports they produced on irregularities in logging activities, auctions and harvesting practices forced the Ministry of Flora and Fauna to take action. Furthermore, Global Forest Watch is helping the ministry to prepare a forest database while WWF, Wildlife Conservation Society and IUCN help promote biodiversity conservation and conservation management.²⁵⁵

4.2.4 German Development Cooperation: Goals and Organization

According to the German Embassy in Yaoundé since Cameroon's independence, Germany has supported the country's development with annual contributions worth €906.3 million (...). This amount will now be increased by an additional €94.5 million. In fact, Germany has consistently been among the major donors of ODA to Cameroon. Bilateral ODA aggregated over the period from 2002 to 2012, was US\$2.3 billion, representing 1.9% of total German ODA. This corresponds to

nearly one fourth of the total ODA which Cameroon received from all donors during this time. Additionally, from 2007 to 2012 there were private grants of around €6.5 million a year. Nearly 98% of this ODA was in the form of grants while less than 2% were loans. Nearly 90% of German ODA in Cameroon were distributed to the public sector. NGOs didn't play a larger role neither as recipient nor as partner, and public-private partnerships were not included in the calculations for German ODA. From 2002 to 2012 about two thirds of the ODA from Germany constituted debt relief. Another 27% of German ODA was dedicated to social infrastructure while smaller amounts were classified as multi sector funds and funds for economic infrastructure and production sectors.

There are three priority areas of development cooperation between Germany and Cameroon:²⁵⁶ (1) **Protection and sustainable use of natural resources**, which according to interview partners, is currently the focus of Germany; (2) **Decentralization, good governance, local development**, most importantly supported by the GIZ coordinated 'Programme D'Appui à la Décentralisation et au Développement Local' (PADDL) with a budget of €33 million for 2003 to 2015,²⁵⁷ and a smaller €5 million program under the auspices of KfW to improve the delivery of local government services including some infrastructure investments;²⁵⁸ and (3) **rural development**, which has been added as a new priority area and will significantly intensify former programs, for example those that support the sustainability of cocoa production in West Africa with training for small-scale cocoa farmers,²⁵⁹ and initiating small-scale development projects with grants for up to €10,000.²⁶⁰ Even though Germany and Cameroon have agreed to phase out their long-standing cooperation

254. World Bank [Cameroon: Ngoyla Mintom Project](#) [accessed August 2014]

255. Kuiper et al. 2013

256. BMZ [Cameroon: Situation and cooperation](#); GIZ [Cameroon](#) [accessed June 2015]

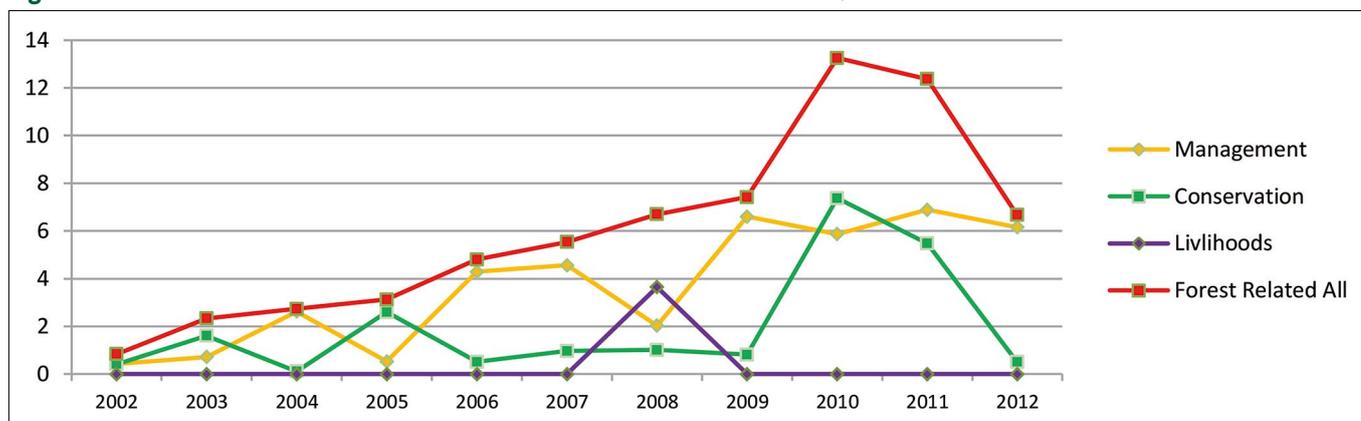
257. Boysen 2008

258. KfW [Unterstützung der Dezentralisierung und der lokalen Entwicklung III](#) [accessed March 2014]

259. GIZ [Nachhaltige kleinbäuerliche Kakao- und Nahrungswirtschaft in West- und Zentralafrika](#) [accessed March 2014]

260. German Embassy Yaounde, Cameroon [Small scale development projects](#) [accessed March 2014]

Figure 4-8. German forest related ODA to Cameroon 2002-2012 in million US\$



in the areas of reproductive health, tuberculosis and HIV/AIDS prevention, GIZ continues to be engaged in the health sector by supporting the fight against maternal and infant mortality as well as within the G8's Muskoka Initiative. In addition, Germany has made available significant grants for infrastructure as for example the rehabilitation of bridges in the center, west and littoral regions (€12 million)²⁶¹, which allows for the continuation of programs that started before 2002 and the rehabilitation of the national road number 5 from Loom to Bandjoun (€6.7 million).²⁶²

From 2002 to 2012 Germany provided about US\$48.3 million for the environmental sector and US\$17.2 million for the forestry sector. In so doing, Germany's funding of the environmental sector was significantly higher, on average, compared to all other international donors. In the forestry sector German funding, as was the case with many other donors, showed a sharp rise in 2011 and 2012. About 80% of this forestry sector funding was provided under the CRS code 'Forest Policy and Administrative Management' and the remaining 20% went to the sector 'Forestry Development'.

German funding for the environmental sector from 2002 to 2012 amounted to nearly US\$50 million which was nearly three times higher than for the forestry sector. After increasing steadily from 2002 to 2010, funding fell sharply in 2011/12 for environmental programs at the same time as funding for the forestry sector significantly increased. This was the result of an internal reallocation of German ODA funding from environment to forestry. More than half of the ODA funds for the environmental sector were for the protection of biodiversity, while the remaining funds were mostly provided under the category 'Environmental Policy and Administrative Management'. Smaller shares of less than 0.4% were allocated to 'Biosphere Protection and Environmental Education'.

An analysis of CRS data regarding the purpose of activities showed that almost all funding provided by the German development cooperation for forestry and environmental sectors was related to forests. Unusually, forests were not mentioned in programs attributed to other sectors (Figure 4-8).

Despite the very poor and vague data provided by CRS on purposes and kind of activities, they were nonetheless ana-

^{261.} KfW [Brückenrehabilitierung Phase IV](#), BMZ [Projekt- und Organisationsdaten](#) [accessed March 2014]

^{262.} MINTP 2011; BMZ [Projekt- und Organisationsdaten](#) [accessed March 2014]

Table 4-8. Major German financed ongoing forest development programs in Cameroon²⁶⁵

Project / activity titles	Principle Purpose	Key agents	Period	Implementing agency	Amount (€)
Basket fund for preservation of national forests & wildlife (KV Forstsektorkorbfinanzierung)	Biodiversity conservation	Governmental agencies	2006-2014	KfW	17,500,000
Sustainable resource management in Cameroon (PV Nachhaltiges Ressourcenmanagement in Kamerun)	Forest Use	Governmental agencies	2009-2014	KfW	10,000,000
Supporting the implementation of the national forestry and environmental program (Pro-PSFE)	Forest use	Governmental agencies , private sector, civil society	2010-2015	GIZ	19,187,354
Support for the implementation of national forest and environmental programs	Forest use	Governmental agencies , private sector, civil society	2012-??	??? (GIZ?)	22,000,000
Sustainable management of natural resources - southwest region (PSMNR-SWR)	Forest use	Governmental agencies	2012-??	??? (KfW?)	10,000,000
Klimaschutz – REDD	diffuse	unclear	2012-??	???	10,000,000

**with the exception of ProPSFE the availability and quality of documents and data about the programs were very basic*

lyzed to determine the primary focus of their activities and major objectives. It was learned that with more than 60% of forest related German ODA funding over the period 2002-2012 the largest amount went to the management and use of forests. Another 33% targeted the category 'Biodiversity and Forest Conservation'. But only 6% was deemed to have primarily contributed to the improvement of local livelihoods and human rights. However, the improvement of local livelihoods was addressed in about 21% of the forest related funding.

Since 2002 Germany funded 23 bilateral program and projects related to forests corresponding to a total amount (disbursements and commitments) of about €123 million.²⁶³ Apart from this direct funding, German ODA provided another €74 million for regional programs with relevance to Cameroon. About €89 million were designated for six ongoing programs in Cameroon²⁶⁴, not counting the nine programs with a regional scope that altogether account for another €72 million (Table 4-8).

The biggest share of ongoing forest related funding in Cameroon is provided by the two German development orga-

nizations GIZ and KfW. Overall, GIZ was in charge of about 22% of the available funds and KfW 31%. Other organizations active in the country, such as the Goethe-Institut and the Friedrich-Ebert foundation, only play a marginal role from the financial perspective. However, most programs have NGOs involved as cooperating partners. Almost all funds are provided by BMZ. The BMBF, via ICI supports only one regional program with relevance for Cameroon.

Most of the programs intend to support the Cameroonian Forest Ministry in implementing their 'National Forest and Environmental Program' (PSFE). Although this program includes a wide range of goals and strategies, it most importantly supports the effective governance of forest concessions to stimulate and back the efforts of timber companies to sustainably manage forests. Also, most of the German funded regional programs, with relevance to Cameroon, address sustainable forest management in the basin. The most visible program of this type is the €10 million KfW program 'Promotion de l'Exploitation Certifiée des Forêts' (PPECF) implemented by the GFA to support FSC-certified companies over a period of 3.5 years. Furthermore, the Central African Forest Commis-

²⁶³. Based on the analysis of CRS and IATA data

²⁶⁴. Programs with a planned date of completion of 2012 or earlier are categorized as 'completed', while programs with a planned completion date of 2013 or later are categorized as 'ongoing'

²⁶⁵. Based on BMZ IATA database

sion (Commission des Forêts d’Afrique Centrale – COMIFAC) and its secretariat in Yaoundé has for years been receiving significant amounts of support from Germany. COMIFAC’s goal is to manage the forests of Central Africa in a sustainable manner.²⁶⁶ Three regional initiatives are related to the establishment and management of national parks. The most prominent of these is the transboundary protected area network Tri-National de la Sangha.²⁶⁷ One bilateral program also explicitly supports Cameroon’s efforts to advance with REDD+, however, available information for this program is so scarce that no statements can be made.

For a better understanding about the scope of German forest cooperation in Cameroon, the following paragraphs describe the ongoing bilateral programs Pro-PSFE, PSMNR and PSFE, as well as the regional program PPECF (Programme Promotion de l’Exploitation Certifiée des Forêts) in more detail.

Pro-PSFE, with a commitment of €19 million over 5 years it has the largest ongoing German cooperation program in the forest sector. It is implemented by GIZ and provides technical support to the ministries and governmental agencies at the municipal level²⁶⁸ responsible for the implementation of Cameroon’s national forest and environment program (Programme d’appui au Programme Sectoriel Forêts et Environnement – PSFE). The program has a national office in Yaoundé and regional delegation in Buea, Bertoua and Maroua. PSFE is a sectorial program, composed of sub-sector programs including MINFOF and the Ministry of Environment and Nature Protection (MINEPDED) and in each case they have four departments. Each ministry has a triennial strategy called Cadre de Dépense à Moyen Terme

(CDMT), which is broken down into annual programs for which detailed annual plans are made to serve as implementation guides for each respective ministry. Recently the Ministry of Finance has used these annual plans for budget planning. Pro-PSFE can be seen as a continuation and intensification of Germany’s support for the green sector including several projects for the protection of natural resources in the region of Mt Cameroon (1994), the protection of natural forests in the southwest of Cameroon (1996), playing an advisory to the Ministry of Environment and Forests (1998), the promotion of the Korup national park and the Akwaya forests (both in 2000), and the promotion of ecotourism (2001). In 2003 all of these projects were brought together under the first phase of the Program for the Management of Natural Resources (PGDRN)²⁶⁹, which in 2007, in the second phase, was renamed Pro-PSFE. Currently, the third phase has been implemented.²⁷⁰ Pro-PSFE acts in five areas²⁷¹: (1) Forest policy, providing policy-making advice and assistance to private forest managers to prepare management plans; (2) Public finances, supporting the ministries in the administration of their budgets and the attainment of their goals; (3) Communal forests, for the creation of communal forests and their management; (4) Climate change including technical support for REDD+ planning and activities; and (5) municipal government in Bertoua, advice on how to best use funds, provided by KfW within the Program Sustainable Management of Natural Resources in the southwest (PS-MNR), aiming to establish a collaborative management system for protected areas that will also improve local livelihoods. Among the many initiatives started under this framework are, for example, the support of environmental impact investments such as solar lanterns in conjunc-

266. [COMIFAC](#) [accessed February 2015]

267. [UNESCO Sangha Trinational](#) [accessed February 2015]

268. [GIZ ProPSFE](#) [accessed January 2014]

269. [Cameroun Forêt](#) [accessed March 2014]

270. Under the PSFE, a sectorial program, each ministry (MINFOF and MINEPDED) has a sub-sector program and a triennial strategy, the CDMT (Cadre de Dépense à Moyen Terme), which is split up into annual programs for each of the four departments. These programs are further detailed in yearly roadmaps that guide the work of the ministries as well as their yearly budgets. Accordingly, the Ministry of Finance recently started to require that each ministry plans its budget before the beginning of the year. Additionally, each expenditure has to be geared towards results.

271. MINFOF, MINEP and GIZ 2012

tion with the oil company 'Total', and the production of charcoal (from sawmill residue) and its distribution in collaboration with two logging companies (Grum-Cam and SFID). The latter initiative also included efforts for adapting the policy framework and simplifying bureaucracy. The charcoal producers were trained by the GIZ and are required to donate a part of the revenue earned to a local development fund used for projects determined by the local population.

While Pro-PSFE primarily provides technical support for the implementation of the National Environment and Forest Program (PSFE), the **PSFE Basket Fund** is dedicated to financial cooperation. Thus, the funds are used for investments in one of the five areas PSFE is involved in and are not meant for technical advice or training etc. The Basket Fund exists since 2005 with financial support coming from France (AFD), the UK (DFID) and Canada. In 2008 Germany contributed another €17.5 million. Since then the fund has been coordinated by KfW, which has a small office in the same building as MINFOF. While Germany recently agreed to add another €20 million, the other donors did not renew their commitments. To access the funds, the ministry applying for the funds has to submit a proposal, generally developed with the technical support of GIZ, to a consulting firm (AHT Group AG) contracted by KfW to manage the basket fund. AHT checks that the activities are in line with the administrative requirements and objectives of the funds and then submits the request to a 'Facilitation Committee' composed of the general secretaries of several ministries and representatives of the German cooperation. This committee then decides if the proposal will be funded. In light of the significant transaction costs incurred by this process, the KfW

prefers long-term investments along five axes.²⁷² (1) Management and renewal of forest resources focused on the implementation of APV-FLEGT (13% of the budget), is concerned with the legalization of harvested wood. Amongst other things, this program intends to provide MINFOF with a GIS system to monitor forests thereby taking over a former EU project which failed due to improper contractual agreements; (2) Securing and valorizing faunal resources and protected areas (43% of the budget) in Waza, Bouba Ndjida, Benoué and Korup, where infrastructure is being developed including roads and housing for the guards and ultralight planes with on-board cameras to fight large-scale poaching. The Ministry of Defense presently manages these planes but an agreement with MINFOF is being finalized; (3) Valorization of timber and non-timber forest products (16% of the budget). This program, in collaboration with the MINFOF, hired 10 consultants (contract value €1.5 million) who over three years will provide technical advice to modernize the industrial transformation of timber. Another €0.5 million will be spent to refurbish a building to be used as a center for the promotion of wood products, as an incubator for small wood-transformation companies and as a training facility. Also €0.5 million will be dedicated to develop an online trading platform for wood as well as building physical market facilities intended to boost internal wood markets while reducing the proportion of illegal timber; (4) Piloting, institutional management and governance (12%) is a cross-cutting program for the governance of the forest sector, particularly in the fight against corruption. One of the objectives is to build a data center that connects the regional and central MINFOF offices to improve data access and its exchange. Finally, the program for (5) environmen-

²⁷². Extracts from an AHT Group AG Powerpoint Presentation (no date)

tal management of forest activities (17%) in cooperation with MINEPDED funds a team of 12 consultants to design a REDD strategy for Cameroon.

The Program for Sustainable Management of Natural Resources (PSMNR) supports MINFOF to effectively manage three protected areas in the southwest of Cameroon, Korup, Takamanda and Mt. Cameroon.²⁷³ In the Takamanda area this program follows the Project for the Protection of Forest around Akwaya (PROFA) which took place from 2000 to 2003.²⁷⁴ PSMNR aims for the conservation and improvement of livelihoods in the local communities. Since 2006, when the first phase of the program started, there has been a commitment of about €20 million. The German cooperation has sought to find sustainable financing mechanisms for this program, including the possibility of building public-private partnerships (e.g. fiduciary fund, sponsorship by companies etc.) and REDD. PSMNR is managed by the German consulting company GFA on behalf of the KfW which acts as fund manager and program coordinator.²⁷⁵ The GIZ also has five employees providing technical advice to MINFOF. Furthermore, in each of three protected areas, environmental conservation organizations (either WCS or WWF) play an important role as collaborators in setting the agenda for the area.

The program 'Promotion de l'Exploitation Certifiée des Forêts' (PPECF), is supported by KfW with a total budget of 10 million over three years. PPECF supports FSC certified logging companies in the region by funding studies and providing training.²⁷⁶ The program is implemented by GFA. PPECF is one of the few German funded programs that had a website where lessons and experiences could be

shared.²⁷⁷ The sharing resulted in a certain amount of transparency regarding its activities. Although PPECF generally targets the basin countries, in practice the focus is strong on a few companies in Cameroon, especially subsidiaries of Palisco, Wijma and Rougier.²⁷⁸ The project has no quotas for channeling funds to the different companies and countries, but there are very few FSC-certified companies in the basin outside of Cameroon. To receive support, interested logging companies have to submit a proposal which includes a budget. This is then analyzed by GFA to decide whether the proposal matches the program's goals and is technically appropriate. If the project is accepted, the Central African Forest Commission (COMIFAC), the formally responsible regional organization, gives its permission. Once an agreement with the company is reached, consultants are hired to conduct the training or to do a study, if needed. The program pays for the consultant's fees while the company contributes logistics such as transport, food and accommodation for the consultant which usually amounts to around 20% of the total cost. An exemplary project done by the PPECF involves a study on the architectural uses of tropical wood to promote the use of tropical timber in buildings. They have also acted as consultants for MINFOF to help draft a policy document to investigate the possibility of reducing taxes on timber produced by FSC-certified companies. In the training realm, trainers are hired to instruct employees from six companies in Cameroon and on how to do selective logging (abatage contrôlé) over a two year period.

273 DED 2008

274 Freudenthal 2009

276, 277 [PPECF](#) [accessed February 2014]

278. CBFP [Coopération financière avec la COMIFAC](#) [accessed February 2014]

Table 4-9: Goals of ongoing German funded development projects in Cameroon with forest relevance (six projects with a total budget of 88.7 million EUR)

Goals	Stated as major goal	Considered a minor goal	Not considered at all
	Number of projects (budget in million EUR)		
Biodiversity Conservation	1 (17.5)	5 (71.2)	0
Forest Use	4 (61.2)	2 (27.5)	0
Local Livelihoods	0 (0.0)	6 (88.7)	0

4.2.5 Scope, instruments and strategies

An analysis of the scope of the German funded forest related projects in Cameroon shows a clear emphasis put on forest use. Also biodiversity conservation is seen as a very important goal, but goals to improve local livelihood are, at best, considered as minor objectives in all of the six on-going forest programs supported by Germany (Table 4-9).

Four of the six ongoing German funded projects explicitly aim at develop the economic potential of the forests by promoting sustainable forest management. One of the programs is dedicated to biodiversity conservation and in five of the projects it is minimally an indirect objective. None of the programs puts the issue of improving local livelihoods at the forefront, but all programs consider local livelihoods issues as minor or indirect goals, including the one dedicated primarily to the protection of biodiversity. All programs at least addressed all of the three goals, economy, ecology and social issues, in one way or the other. However, in general terms and in most programs, the prevailing means to achieve these goals is primarily through the sustainable use of forest resources as practiced by professional forest companies.

Also, the analysis done on the range of instruments applied by the projects

reviewed, provided some interesting revelations in this regard. Most frequently the projects consider instruments aiming to strengthen the Cameroonian forest administration and to a lesser degree, the private sector. Instruments for the promotion of community forestry are quite rare (Table 4-10).

The dominance of instruments targeting forest administration reflects the fact that MINFOF is the major partner of the German forest cooperation in Cameroon. Institutional linkages to other parts of society, including NGOs, the private sectors and grassroots organizations are only happening slowly. Such an institutional arrangement indicates the belief of the German development cooperation that a strong forest administration is essential to ensure that concessionaires implement the principles of sustainable forest management as they also contribute to forest conservation and local livelihoods. The most frequently named instruments were related to strategic planning in the forest sector and implementation. Much less important were instruments related to REDD+ activities such as the gathering, processing and analysis of data and monitoring mechanisms. Local people are primarily addressed through instruments applied in the framework of protected areas. Surprisingly, although many local communities in Cameroon are involved in (informal) forest activities, instruments aimed at developing community forestry

Table 4-10: Prominence of instruments in ongoing programs of the German Cameroonian bilateral forest related development cooperation

Private Sector	Communities	Forest Administration
Instruments frequently and explicitly named in the program documents		
	– Communal Forests	– National forest policies and forestry programs – Development and implementation of administrative institutions
Instruments occasionally named in the program documents		
– Certification systems and FLEG T	– Protected area networks and integrated conservation	– Development and implementation of strategies and tools – REDD+ preparation and pilot projects – Climate change modelling
Instruments rarely or not named in the program documents		
– Infrastructure development – Extraction and marketing of timber, RIL	– Development and marketing of NTFP – Development of ecotourism – Gender mainstreaming – Community forestry – Support of climate change adaptation – Awareness building and environmental education	– Zoning and land use planning – Forest surveillance , patrolling and protection – Education and training of foresters – National and international networking and mediation – Aerial surveys, satellite imagery, and GIS mapping – Carbon storage studies and mapping – Biodiversity surveys and studies – Support for academic institutions

have rarely been observed. Also, instruments directly targeting the private sector are rare. Instead, timber industries are indirectly addressed by many of the instruments applied at the forest administration level, because the effective governance of timber concessions is a priority for both the Cameroonian forest administration as well as the German forest cooperation.

Most of the current German funded forest projects in Cameroon are complex and follow an integrative approach. This is demonstrated by the fact that the mean amount of funding per project increased from € 2.59 million for projects that started between 2002 and 2005, to over €9.5 million for projects that started between 2010 and 2013. All of these projects were focused on the transfer of German know-how in the classic field of sustainable forest management and forest administration including the development of forest policies and administrative procedures. The concerns of communities and national and international development objectives only became integrated into the

more recent programs. Protected areas are particularly supported by international alliances including the USA. They work progressively with participatory approaches for land-use planning at the local level. Accordingly, the programs follow a multilevel approach consisting of technical as well as financial cooperation modules and their operational integration.

4.2.6 Effects

Cameroon is a highly diverse country socioeconomically and environmentally. A large number of multilateral and bilateral forest related initiatives are underway embedded in a broader framework of international and national development policies targeting other sectors, most importantly, infrastructural development, mining and agro-industrial development. Such large non-forest programs cofinanced by public as well as private international partners may affect rural areas much more than forest related initiatives do. In the forest sector, Cameroon is perceived as a laboratory where priorities,

policies and tools are constantly changing. Given such a complex setting, it is difficult to definitively conclude what are the causal effects on Cameroonian forests and people of Germany's bilateral forest cooperation. The cooperation includes different approaches and operational elements in increasingly complex programs, most of which are poorly documented. Nevertheless, the analysis of the few available documents, in combination with information from key informant interviews, revealed some useful insights about the quality, achievements and problems of key approaches applied by the German forest cooperation in the Cameroonian forest sector

As was mentioned, the recent programs of the German forest cooperation have become much more complex. This might indicate some dissatisfaction with the previous, simpler approaches that used to focus on one specific problem. Obviously, Germany forest cooperation now intends to address a number of inter-related problems to increase impact and success. At an operational level this new strategy implies a more intensive collaboration between GIZ and KfW. This cooperation works well based mainly on good personal relationships between the staffs. From an institutional perspective, in terms of funding, organization, and implementation they are still largely independent. However, there are some modules that are KfW implemented programs where GIZ advises the Cameroonian government as to the effectiveness of different options for financial cooperation. MINFOF is the principle partner of both organizations, but when programs are more comprehensive and the competencies of the government are spread thin, there is a partnering with other ministries. But the level of cooperation and understanding is at a significant-

ly lower level. In an interview, a partner working for the PROPSFE reported that there were strong differences in the levels of enthusiasm between MINFOF and MINEPDED with the former showing a great deal of deference to GIZ staff, while the latter did not fully participate in the activities of the PROPSFE. Two interview partners, who worked for the German Cooperation, confirmed that while most of the road map of MINFOF is implemented yearly, much less has been achieved by MINEPDED or other ministries. For example it was mentioned that participatory land-use planning started by the MINFOF slowed down significantly when this process was handed over to MINEPAT (the Ministry responsible for planning).

Publicly available program information regarding program contents, performance, problems and, most importantly, the application of funds is generally unsatisfactory. Nevertheless, we were told that there are now stronger internal procedures in place, with external consultants, to oversee the use of funds. Furthermore, MINFOF are better at making a budget for the Basket Fund so that the objectives and expenditures are better defined. Overall, it seems that investments targeting tangible outputs such as computing equipment, traceability software, etc. are increasing while funding for studies, training and workshops, whose impacts are harder to assess, are declining.

The cooperation of the official German organizations with Cameroonian civil society is low. Several civil society interview partners have expressed regrets that the German development cooperation does not involve them more actively in their actions. This wish for more intensive collaboration may indicate a certain level of appreciation, but also reflect the

criticism of international donors in general to be insufficiently committed to the concerns of local people and, after pushing for changes, leave them alone during implementation.

Despite the complexity of the programs and the diversity of the instruments applied, the goal of strengthening the Cameroonian forest administration is at the center of literally all programs of the German forest cooperation. In the process of achieving sustainable management and decentralization of the forest sector that started with the 1994 Forestry Law, Germany became the most important international partner of the aforementioned Cameroonian ministries. GIZ technical advisors have a lot of influence with government decision makers. GIZ works with the government on a daily basis and provides technical support at various levels. One GIZ employee commented that government staff would even ask GIZ for advice on matters outside of their area of technical expertise. External observers at meetings also confirm this. Generally, this cooperation, particularly with MINFOF, has been described by the interviewees as being positive in both the setting up of comprehensive and more coherent forest policy frameworks, as well as their implementation and enforcement. On a particularly positive note, a gradual improvement regarding transparency and participation was noticed in governmental processes. Especially the long-term involvement of the German Cooperation has been assessed as positive but also the synergies between the different programs and activities that enable overall progress. The German forest cooperation played an outstanding role in the establishment of several regional governmental agencies during the course of decentralization. The fruitful collaboration between the nation-

al and regional agencies permitted lessons learned in the provinces to influence decisions and policies made in Yaoundé and for Yaoundé to provide information on the latest policies to the regions. Several people referred to this back and forth as an 'elevator system'.

However, all these advances represent only small, gradual improvements in what remain enormous deficits in the regulatory and institutional framework in Cameroon. They involve a slow and ineffective bureaucracy with deep rooted corruption occurring at all levels. The German forest cooperation works within this difficult context while trying to improve it. To some degree it has achieved some success, but it has also made it necessary to curtail its functions and actions. However, it must be acknowledged that the programs of German Cooperation are discussed and responsibly implemented by the Cameroonian government. So even though, through its funding and expertise, Germany has a certain amount of influence, the final decisions and performance of the programs strongly depend on the willingness and preferences of the Cameroonian government. If and to what degree there are possibilities for influence and to what degree Germany makes use of these are open for discussion. For example, one external consultant working in the forest sector said that GIZ is focusing too strongly on technical issues rather than pushing issues of governance, transparency or ensuring the involvement of all stakeholders. He added that '... they [German cooperation] are also seen with some suspicion by the MINFOF, and that this might be why they are not able to move on things...'. Another consultant responsible for managing KfW funds said that '... the Basket Fund has been used by various people like a self-service...', and that,

although ‘... no corruption was involved ... in practice the funded activities have been insufficiently related to the original objectives of the program..., which was likely one of the reasons behind France’s decision to withdraw...’ These statements suggest the delicate nature of the highly sensitive cooperation that exists between the two governments. However, it is exactly the prevailing massive deficits of the responsible governmental agencies that indicate the meaningfulness of German engagement.

It is difficult to assess if and how much the preference for the promotion of large-scale productive forests, highlighted in the programs of the German forest cooperation, are grounded in the interests of the Cameroonian government. The evidence suggests that the direction taken largely reflects the interests and mind-sets of the German forest cooperation. There is little doubt that there is an emphasis on developing Forest Management Units and protected areas whereas communal and community forestry are more moderately addressed, or, in the case of the entire informal sector dominated by small-scale chain saw operators, are nearly completely ignored. In addition, it has to be considered that many of the advances, such as a stricter and better organized forest administration, also produced a number of adverse effects, particularly for many of the local families dependent on accessible forest resources for their livelihoods. For example, the national forest zoning plan significantly reduced local access to forests and restricted customary rights.²⁷⁹

In the next section, the consequences of the German Forest Cooperation are discussed in more detail with particular emphasis on the different management schemes supported by the Cameroonian

government with support from the German forest cooperation.

4.2.6.1 Large-scale logging in Forest Management Units (Concessions)

There have been remarkable advances in formalizing Forest Management Units for commercial timber harvesting by companies for the sustainable use of the resources through the application of Reduced Impact Logging and the legal requirement to unambiguously consider the legal and customary rights of local people. Concessions provide direct employment for several thousand workers who subsequently help support 10-12 relatives.²⁸⁰ Although many of these jobs are not located in forest areas but near the processing factories,²⁸¹ concession holders are one of the few employers that provide jobs for non-skilled people located in remote and economically marginalized areas. Timber concessions are also a significant source of revenue for government coffers totaling US\$40 million annually in Cameroon. Excluding the oil sector, which is by far the largest contributor to the national GDP, the added value provided by the formal forest sector is 3.2%. Lumber recovery rates are still below their potential but have improved recently.²⁸² Also the annual management unit fees contribute significantly to municipal economies in forest areas. Up to 2010 the fee has contributed to approximately 50 councils and communities. This has contributed to the ownership and stewardship of local resources.²⁸³ However, the improved legal framework, new bidding procedures and FSC certification has significantly raised the costs associated with timber concessions. Therefore, to attract smaller companies, and to re-

279. Samndong and Vatn 2012

280. Karsenty 2007

281. Molnar et al. 2010

282. Karsenty 2007

283. Cerutti et al. 2010

duce social and environmental problems related to concessions, the area of the concessions was downsized.²⁸⁴

Despite these encouraging results, large-scale concessions in Cameroon still fail to fulfil their expectations and even show some adverse economic, social and environmental effects. Due to their size, failures in the regulatory framework and the deplorable manner in which they are implemented, they have been, and still are contributing to deforestation rates and the loss of livelihoods.²⁸⁵ One of the problems lies in the improved and more rigorous regulatory framework itself. Smaller national timber companies have less and less chance to manage with the new regulations and new demanding export standards required for western timber markets that are driven by trade networks and new alliances dominated by international trade companies.²⁸⁶ According to interviews with employees from the German Forest Cooperation, this problem was also evident in the KfW supported PPECF program for the promotion of FSC certification. While initially designed to support small or medium sized companies, in fact, the project supported only large and already certified companies which to a certain degree constituted a redistribution of cooperation funds to companies with European capital. As a consequence export-oriented timber industries are expanding on cost of a fragmentation of the domestic-oriented industries. Parallel, many national small-scale companies use their personal ties with local administrations and national governments to bypass costly requirements and become more and more engaged in illegal, informal logging.²⁸⁷ Additionally, due to weak enforcement, logging operations in the concessions remain unsatisfactory. In 2006, 68% of the timber production in

large-scale Forest Management Units did not bother with integrating improved management practices, including the harvest of valuable species legally excluded from management plans.²⁸⁸ This problem is further aggravated by a notorious lack of long-term commitment from both the concessionaire as well as the government. Thus, the government systematically hesitates to issue Conventions Définitives and does not review forest management plans. This, in combination with the 15 year tenure agreement and a 30 year harvesting cycle, encourages the concessionaires to high-grade the valuable timber resources as fast as possible without any consideration for the long-term productivity of the Forest Management Unit. Finally, the logged over forests, now made accessible by roads constructed by the concessionaire to transport the timber, act as an invitation for those wanting to practice small-scale agriculture and artisanal logging.

Large-scale concessions often fail to hinder forest degrading practices because they contribute very little to the incomes of rural households in the villages around the concessions.²⁸⁹ Hence, concessionaires often use poorly paid imported rather than local labor.²⁹⁰ In addition to contributing to local unemployment, employees and their families engage in slash-and-burn cultivation and timber exploitation in and around concessions.²⁹¹ Also, the forest revenue redistribution scheme, dedicated to infrastructure benefiting all, does not work efficiently, even with external supervision and the fairness of the budget being continuously enhanced. The on-going lack of enforcement allows many companies to continue their unconscionable forest practices and to avoid paying taxes. The taxes that get paid often fail to reach the local people due to lack

284. Kuiper et al. 2013

285. Greenpeace 2007, Samndong and Vatn 2012

286. Karsenty 2007

287. Kuiper et al. 2013

288. Cerutti et al. 2008

289. Singer and Karsenty 2008, Molnar et al. 2010, Sunderland et al. 2013

290. Counsell et al. 2007

291. Kuiper et al. 2013

of accountability, transparency and elite capture.²⁹² Particularly indigenous groups, such as the Baga, Bedzan, or Gyele pygmies barely have access to these benefits as they almost never included on the committees in charge of managing these resources.²⁹³

The immanent conflicts between rural populations and logging companies are the most detrimental aspect of concessions.²⁹⁴ Due to the large size of concessions, usually tens of thousands hectares, they almost invariably come into conflict with the rights and interests of local families living in and around them. Customary rights on these areas are rarely considered in the current legal framework and processes. Interviewees have emphasized that in some cases it has been possible for the German forest cooperation to successfully support local people's rights and interests by initiating social studies that have helped local communities to become better organized in the negotiations with the concessionaire. In other cases it was reported that small shops have been established where local people can buy rice, meat, etc., to reduce their dependence on forest products. Although customary rights get mention in Forest Management plans, they are little enforced in practice.²⁹⁵ In daily practice Forest Management Units are assigned to companies without considering the local communities use of the forests.²⁹⁶ The large-scale involvement of a third party, supporting local people in their negotiations with concessionaires and the State and their claims to land and forest resources, including those within Forest Management Units, may be part of the answer to resolving the conflicts while enhancing economic and social development, but rarely happens in practice.²⁹⁷

4.2.6.2 Community and council forests

Beyond promoting classic forest concessions, Germany's forest cooperation has also helped to push forward the establishment of Community Forests and Council Forests, particularly by supporting forest inventories and the preparation of management plans for these forests either directly or through the Technical Centre for Council Forests (CTFC). Also, PROPSFE interview partners highlighted the fact that the improved legal framework now enables the legal harvest of NTFP and that this may push the development of related economies.

Both schemes, highly innovative for Central Africa, allow communities to become actively involved in the management of forests while providing a means to access formerly inaccessible resources controlled by the government and elites. With official Council Forests, councils obtain a new source of revenue to fund local development.²⁹⁸ It is generally assumed that Community Forests as well as Council Forests contribute to the empowerment and livelihoods of the participating families. The analysis of case studies partly confirms that these schemes are financially and environmental profitable and that they may generate significant socioeconomic development in villages and generate substantial income for many families²⁹⁹. However, most experiences are rarely documented and when evidence does exist, there are good reasons for thinking that many of the benefit claims, apply only to a minority.³⁰⁰ In fact, the authors of the few well analyzed cases all report that the socioeconomic and environmental outcomes of the experiences have been mixed and that there are numerous

292. Cerutti et al. 2010
 293. CED 2008
 294. Counsell et al. 2007; Samndong and Vatn 2012
 295. Alden Wily 2011
 296. Greenpeace 2007
 297. Samndong and Vatn 2012
 298. Stanculescu 2010
 299. Cuny et al. 2007, Brown and Lassoie 2010, Beauchamp and Ingram 2011
 300. Beauchamp and Ingram 2011

problems in general that still need to be understood and addressed.

One key constraint is the inappropriate institutional structure existing at the local level. Thus, most of the committees constituted to responsibly manage the Community and Council Forests suffer from little to no internally recognized legitimacy. This lack of community power is partly caused by the current regulatory framework that negates any form of traditional institution as legal, yet not having any feasible alternative measures to guarantee representation or accountability to the local population in the way the forest is being managed. As a consequence, these schemes are dominated by local elites who replaced traditional authorities.³⁰¹ Especially the mayors frequently have close linkages with military officials and there is an informal network of collusion and clientelism. The general lack of transparency, combined with corruption in governmental as well as in community processes, is further aggravated by the communities' dependence on help from the authorities. In fact the preparation of forest management plans, the elaboration of environmental impact assessments, as well as obtaining a land title registration involves significant pre-financing and requires specific expertise beyond the capacity of local communities.³⁰² This often leads to cooperation partnerships with private companies, who, in cooperation with the local elites, manage to ensure access to valuable timber resources³⁰³ but this puts the councils in a relationship of dependency. This situation creates local mistrust that affects the willingness of the population to comply with regulations set out in the management plans.³⁰⁴ In some cases however, this situation creates a window of opportunity for new political and familial power structures. This

initiative requires enormous amounts of support including field visits to inform and get local communities on board, to raise public awareness thereby securing popular support. Moreover, giving the communities ownership of the process is also essential to ensuring the long-term transparent management of the forest resources and the financial revenues that they generate.³⁰⁵ There is evidence that the German forest cooperation plays a positive role in that, at least in those initiatives involved in their programs.³⁰⁶

Despite the potentials that exist with Community and Council Forests for local livelihoods, the existing initiatives have often not made any improvements as any revenues are appropriated by the mayors or other local elites. Another problem is that although forest user rights are given, the Forest Law excludes land ownership, thereby denying indigenous forest dwellers their cultural, spiritual and ancestral rights. This has created land insecurity. It is also reported that the dedication of land to forest uses has reduced opportunities for local people to practice agriculture which has led to the need for food imports and increased food prices.³⁰⁷

Another crucial barrier for achieving a sustainable management of the forests with Community Forests is due to a law. Community Forests can only be located in non-permanent forest domains where forests can be and are being converted to other land uses and where (illegal) timber exploitation by locals and commercial companies occurs. A few documented cases indicate that forest areas, not a part of any management plan, are being harvested in a way that threatens their long-term sustainability.³⁰⁸ Even in those cases where the commitment is there to ensure the sustainability of forest pro-

301. Brown and Lassoie 2010

302. Stanculescu 2010

303. Beauchamp and Ingram 2011

304. Kuiper et al. 2013

305. Stanculescu 2010

306. Beauchamp and Ingram 2011

307. Kuiper et al. 2013

308. Ofoulhast-Othamot 2014

duction, it is a disheartening proposition when considering that one fifth of all unauthorized timber harvesting and other violation reports registered are not fully followed through by the judicial process because of the “intervention of an influential person”.³⁰⁹

4.2.6.3 Protected areas

In Cameroon, as in many other countries, the management of protected areas involves separating people from wilderness. This is slowly changing to an approach that increasingly recognizes how important it is to consider the livelihoods needs of adjacent communities, particularly those with indigenous populations such as pygmy groups whose economy is still centered on the forest and its resources. These forest communities constitute the weakest and the most vulnerable groups of Cameroonian society.³¹⁰ Supported by international organizations, as well as the German forest cooperation, there have been significant efforts to actively integrate local populations into decision making processes and the management of the protected areas. Efforts have been made by park managers and international organizations to improve communications between stakeholders and to document traditional use areas jointly with the local populations. Additionally, efforts were made to provide the indigenous and non-indigenous communities, in and around the demarked protection areas, with realistic economic options for sustaining their livelihoods, or at least, to adequately compensate the families affected by the protection status given to the forests in which they lived or depended on. All of these aspects are crucial for ensuring that local people comply with protected areas policies.³¹¹ There have been some successful cases where initiatives for local par-

ticipation, the recognition of access rights and the creation of income alternatives have resulted in producing a positive attitude in local communities towards conservation programs so that park boundaries have been respected.³¹² However, it often remains unclear if and to what degree such achievements can be sustained while the poaching pressure remains high and many of these agreements are not formalized in management plans.³¹³ Success also depends on sustainable financing mechanisms that have not been found yet. One interview partner involved with the PSMNR program thought that without German financial support the protected areas in Cameroon would collapse. Generally, the available funds are not sufficient to effectively manage most of the protected areas.³¹⁴

Most critically is that in Cameroon this kind of positive experience is still exceptional. In fact, the government continues to use many of the same methods as were used in the colonial period: establishing protected areas without involving the local populations.³¹⁵ Many protected areas overlap with indigenous peoples’ ancestral lands.³¹⁶ Usually locals are not consulted or compensated until after the park is already proclaimed.³¹⁷ No significant Indigenous Peoples Development Plan actions have ever taken place to address the community-protected area conflicts. Indigenous people still play a very marginal role in decision making processes regarding forest management and biodiversity conservation.³¹⁸ Existing efforts for integrating local people, such as dialogue frameworks and mechanisms for benefit-sharing, including co-managed community wildlife zones around protected areas and the sharing of park entrance and use fees, have failed. It could be because the legal status of the communities in and

309. Global Forest Watch 2000

310. CED 2008

311. Andrade and Rhodes 2012

312. Abbot et al. 2001, Usongo and Nkanje 2004, CED 2008

313. CED 2008

314. Kuiper et al. 2013

315. Mayaka, 2002, Mbile et al., 2005, Tchindjang et al. 2010, Lamin et al. 2012

316. Tchoumba et al. 2006

317. Kuiper et al. 2013

318. CED 2008

around traditional lands converted into parks is still unclear, or that the mechanisms put in place are dominated by local elites.³¹⁹ Studies carried out by NGOs to document traditional knowledge and experiences are simply disregarded by the authorities and the results of biophysical studies are rarely shared with the indigenous communities concerned. Even the most recent national REDD readiness planning activities lack effective actions to ensure the participation of indigenous peoples and local communities.³²⁰

In most of the protected areas, regulations to make them more compatible with local livelihoods are seldom implemented. Although mitigation measures are eventually applied, the establishment and management of protected areas in Cameroon, as in many other parts of the world, continue impoverishing surrounding communities.³²¹ National legislation categorically bans all use inside the protected areas, even of non-protected species and for subsistence uses. All local communities have restrictions banning their use of forests lying within the park. This measure particularly affects indigenous forest people and local farming communities who rely on these resources for their livelihoods. It leads to even greater impoverishment of local people and makes them more vulnerable. They become even more politically and socially marginalized and their already small voice in discussions involving the long-term future of their forest is silenced.³²² Significant investments in ecoguard systems, by overseas donors, has led to the stationing of paramilitary forest guards in and around protected areas. This has arguably reduced forest access for indigenous people to the point where they have again lost access rights only recently regained.³²³ The restrictions in many protected areas along with local

people's lack of participation in the decision-making process, has caused tension and open conflict with the organizations involved in running the conservation programs.³²⁴

One of the most controversial topics is the possible resettlement of communities currently inside the parks to buffer zones outside the parks. Some studies claim that there has never been such a resettlement process of indigenous peoples enforced by a government. They report that communities agreed to the resettlement in exchange for attractive compensation.³²⁵ Other studies claim that the ongoing resettlement has not been voluntary because the people had no realistic chance to deny the government's offer due to a lack of alternatives.³²⁶ Government officials consistently evict and arrest poachers and NTFP gatherers entering the park. Such confrontations may result in violence and even deaths.³²⁷ The institutions put in place to manage the protected areas are insufficient, guards are poorly and irregularly paid, badly equipped,³²⁸ and not prepared to tackle the major problem affecting protected areas which is their continuous exploitation by people from nearby communities who are left with no other alternative since the creation of the protected areas.

A clause stipulating that a means of survival for locals must be provided is mentioned in most documents related to protected areas, but in practice very little is done. This problem is further aggravated by the fact that in many protected areas the population has been growing enormously. While the number of protected areas has increased, their contribution to the development of local livelihoods is retrogressing.³²⁹ Also, initiatives to generate income alternatives, if they exist

319. CED 2008

320. Freudenthal et al. 2011

321. Nelson and Hossack 2005, Lamin et al. 2012

322. CED 2008

323. Freudenthal 2009, Van Vliet 2010, Ingram et al. 2011, Kuiper et al. 2013

324. CED 2008; same is true for the PSMNR program supported by the German forest cooperation; in 2010, for several weeks, the local population hindered employees from the Wildlife Conservation Society and the German forest cooperation from entering their forest. The supporting organization however point out that the restrictions affecting local livelihoods proposed in the draft management plan were voluntarily agreed to by community members in December 2007, do not affect their income; and are compensated for by village development measures.

325. Curran et al. 2009

326. Schmidt-Soltan 2009

327. Greenpeace 2008

328. Tchindjang et al. 2010

329. Lamin et al. 2012

at all, have only limited success. For example, although most protected areas employ porters and guides from indigenous communities due to their extensive forest knowledge and skills, contracts usually are temporary and badly paid.³³⁰ There is some potential for ecotourism, but in contrast to the economic success experienced by national parks in western and central Africa, those in Cameroon, have not managed to develop an eventually existing potential due to lack of management, security, logistics and remoteness.³³¹ A general problem with initiatives for the creation of income alternatives is that they seldom consider the capacities and interests of the local people, but rather impose new livelihood options.³³²

Protected areas exclude local people from the resources they depend upon and do not offer them sufficient economic alternatives. In fact protected areas are typically established in the poorest and remotest rural areas without access to public services and only connected by roads in bad condition making travelling them long, tiring and even dangerous.³³³ The population inside and surrounding the parks live in misery and their situation may even worsen when protected areas are established without considering cultural dynamics, traditional land uses, and there is little effort to provide for alternative income sources. The continued dependence of local people on forests out of necessity leads them to encroach and illegal harvesting. In fact, shifting cultivation, illegal logging and NTFP harvest occur where protected areas are near populations-- something often tolerated by the authorities.³³⁴

But the illegal use of protected areas is not restricted to local populations out of their necessity for survival. Increasingly,

industrial actors degrade the integrity of protected areas as they act to access valuable resources. They can be logging companies, legally operating in nearby Forest Management Units, who illegally enter to harvest timber,³³⁵ agro-industries with concessions located nearby whose activities accelerate forest fragmentation³³⁶, as well as oil and mining firms that have concessions that overlap the protected areas. For example, despite clear regulations governing mining activities in protected areas, Cameroon has granted at least 33 oil and mining permits inside 16 different protected areas mostly between 2005 and 2012. Additionally, there are at least 50 mining permits that overlap with active Forest Management Units authorized by the state.³³⁷

4.3 DRC

4.3.1 Context

The Democratic Republic of the Congo (DRC) is a large country (11th largest in the world and 2nd in Africa) with a population of 67.5 million.³³⁸ DRC is situated in central Africa and borders on Angola, Burundi, Central African Republic, Republic of the , Rwanda, South Sudan, Tanzania, Uganda and Zambia. It has access to the sea but only 37 km of coastline). The country is situated in the basin surrounded to the east by mountain chains and to the south by savannah. The Basin houses the world's second largest tropical forests after the Amazon and DRC has 60% of them. About 60% of DRC is covered by forests equivalent to an estimated 155 million ha. Nearly 85% are lowland dense moist forests with high levels of biodiversity.³³⁹ These forests are a source of livelihood to millions of ru-

330. CED 2008

331. Tchindjang et al. 2010, Lamin et al. 2012

332. Lamin et al. 2012

333. Tchindjang et al. 2010

334. Kuiper et al. 2013

335. Friends of the Earth 2009; Tchindjang et al. 2010

336. Greenpeace 2013

337. Schwartz et al. 2012

338. Statistical data compiled from OECD, World Bank, Transparency International, and data from the BMZ website [accessed September 2014]

339. Eba'a Atyi and Bayol 2008, de Wasseige et al. 2012, Lescuyer et al. 2014

ral families. There are about 200 ethnic groups in DRC and five official languages including French, Lingala and Swahili dialects in the eastern part. The average life expectation is 50 years.

The first settlers in what constitutes the DRC today were the pygmies. The term 'pygmy', considered pejorative by the indigenous leaders, refers to a multitude of groups of hunter-gatherers who live in and around the forests of Central Africa. In DRC the indigenous peoples are considered to be socially inferior or 'second rate citizens'.³⁴⁰ In 1885, King Leopold II of the Belgium established the Free State as an internationally recognized personal colony. Under his regime the systematic exploration of resources (ivory, rubber etc.) in combination with violence against local populations caused the deaths of 10 million lese people. In 1908 the Belgian government forced Leopold to relinquish control of the colony to the civil administration and declared the Belgian as a country.

The country gained its independence in 1960. Since then it experienced a number of coups and on-going rebellions linked to foreign powers. In 1965, Joseph Mobutu seized power by a coup and renamed the country Zaire. In 1994 the genocide in neighboring Rwanda sent many refugees and armed groups fleeing to the eastern part of the country. A rebellion, instigated by Rwanda and Uganda, was successful in installing Laurent Kabila as President in 1997. Kabila renamed the country the Democratic Republic of the Congo. In 1998, he defeated an insurrection with supporting troops from Angola, Chad, Namibia, Sudan, and Zimbabwe. In 2001 Kabila was assassinated and his son Joseph became the head of state. In 2002 Joseph Kabila negotiated the apparent withdrawal of

Rwandan forces occupying the eastern DRC. There are ongoing violent conflicts in several provinces of eastern DRC with numerous armed groups involved. Finally, Kabila agreed to a transitional government which was established in July 2003. In 2006, Kabila won presidential elections although the result was contested. In 2011 Kabila was re-elected as president.³⁴¹ Currently there are debates on whether Kabila will change the constitution to enable him to get elected for yet another mandate. Overall the country is judged "not free" by the NGO Freedom House.

In DRC's young history successive political regimes have been authoritarian and despotic.³⁴² Poor governance, state mismanagement and armed conflicts over decades have hindered and even reversed economic development. Despite continuous efforts by the government and civil society organizations, recognized as key actors in public policies³⁴³ and significant support from international partners, the situation is still precarious. The country is characterized by poor infrastructure, non-functional institutions, widespread insecurity and the marginalization of indigenous people.³⁴⁴ Out of 54 African countries, DRC ranks 44th in overall good governance, 50th in political governance and 52nd on the Human Development Index³⁴⁵ and is almost at the bottom of the list of the world's business reformers ranking 182nd out of 183 countries and is 154th out of 178 on the corruption perception index.³⁴⁶ To sustain their livelihoods, most people in DRC are either engaged in subsistence agriculture or in the informal sector that still accounts for 80% of the national economy.³⁴⁷ Accordingly, DRC has a high percentage of rural population (65% in 2013), a low share of cultivated land (11.4% in 2011), low power consumption (105.32 kWh per capita in 2011) as well as

340. Oyono 2005

341. CIA [Factbook DRC](#) [accessed March 2014]

342. Weiss 2000

343. Rauch 2011

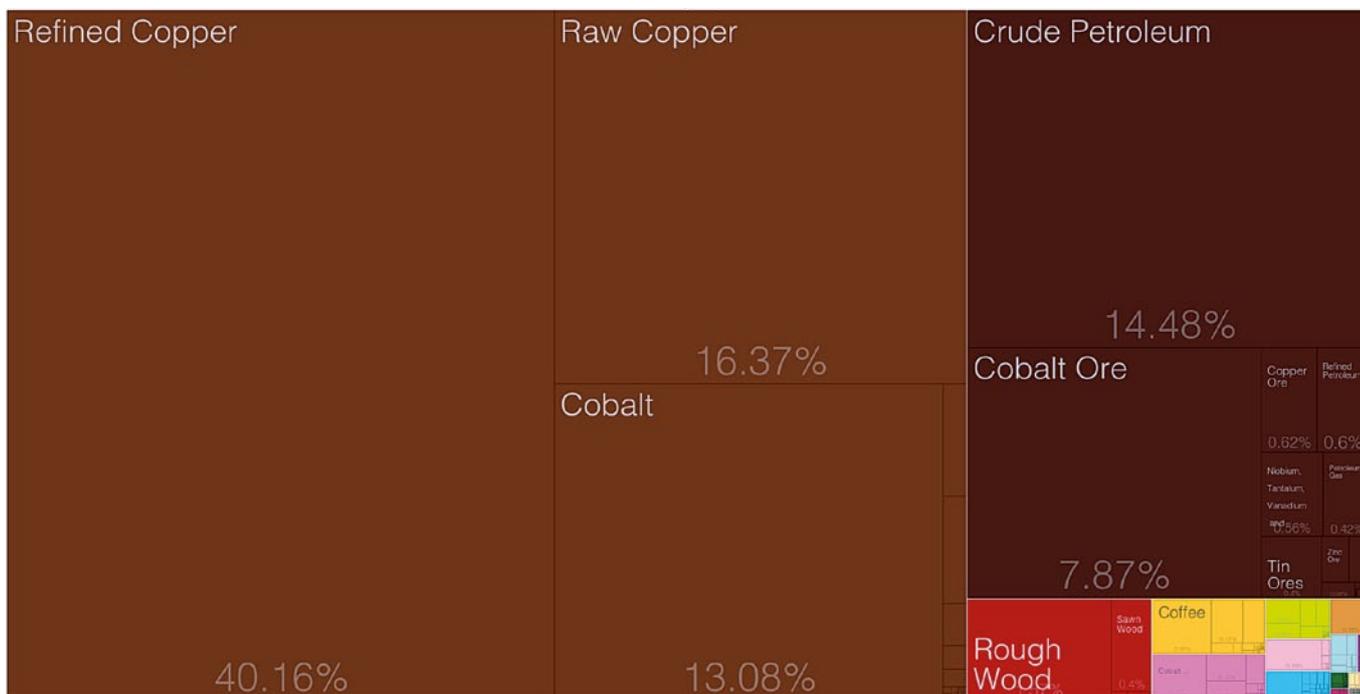
344. Oyono 2005

345. Suarez 2012

346. Transparency International [DRC Corruption Perceptions Index](#) [accessed July 2015]

347. Debrix et al. 2007

Table 4-11: DRC gross exports in 2012³⁵⁰



low CO₂ emissions (0.05 tons per capita in 2010).

The formal economy of DRC is extremely reliant on exports which make up half of the total GDP. The main exports of DRC are minerals, particularly refined copper, oil and petroleum products, and timber (Table 4-11). Since the withdrawal of industrial mining companies in the 1990s, small-scale and artisanal mining have accounted for 90% of total production and employ 18% of the population.³⁴⁸ Until 2000, up to two thirds of exports went to Belgium.³⁴⁹ However, this has changed dramatically. In 2012, the top export countries were China, South Korea and Finland.

The transparency of the DRC extractive sector is very low.³⁵¹ The revenues from mineral extraction and charcoal manufacture are considered the main drivers for ongoing violent conflicts in Katanga

and the South and North Kivu provinces.³⁵² The US is an important trade partner particularly for the import of petrol. A number of American companies, such as Chevron, work in the country. The top two countries importing DRC exports in terms of total value are South Africa and China with 31% and 16% respectively.

Also Germany is an important DRC trading partner importing mostly copper. Timber products worth US\$ 629,000 account for a relatively small share of DRC's total exports. DRC imports mainly motor vehicles, electronic goods and machines (worth €113.8 million in 2011) from Germany.³⁵³ A number of German enterprises are active in DRC. Until 2012 the German logging company Danzer owned Siforco,³⁵⁴ which in 2001 controlled 2.9 million ha of forests, a quarter of DRC's concessions. Industries like Siemens work on infrastructure, energy, healthcare and support copper mining projects.³⁵⁵ When it comes

348. UNEP 2011

349. OEC [DRC](#) [accessed March 2014]

350. [OEC](#) [accessed February 2014]

351. NRG [DRC](#) [accessed February 2014]

352. Global Witness [High-level military involvement in eastern Congo's gold trade](#) [accessed August 2014]

353. AA [DRC](#) [accessed February 2014]

354. Danzer [Danzer sells its operations in DRC](#) [accessed February 2014]

355. SIEMENS [DRC](#) [accessed February 2014]

to dam construction projects, Siemens cooperates particularly with KfW.³⁵⁶ Some German enterprises (H.C. Starck GmbH & Co KG, a subsidiary of the multinational Bayer AG; KHA International AG; MASINGIRO GmbH; and SLC GERMANY GmbH) are accused of violating the OECD guidelines for multinational enterprises.³⁵⁷

4.3.2 Forest sector

DRC has more than 150 million ha of tropical forests and is the focus of global discourses and policies directed at climate change mitigation as well as biodiversity and forest protection. An estimated 60 million ha of natural forests are suitable for timber extraction with the potential to produce 6 million m³ per year.³⁵⁸ However, natural forests in DRC, compared to other basin countries with forests, have low volumes of regularly marketed species lying between 1-3m³ per ha and the average annual increment of commercial species is between 0.2-0.4 m³ per year.³⁵⁹ Thus, large forest areas are required by forest companies to make them economically viable. Compared to the other producer countries in the Basin, industrial timber production is not highly developed in DRC. Out of 60 companies with logging rights, only about a dozen are operating and out of an estimated 10 million ha of forest concessions, the official timber production has never exceeded 400,000 m³ a year.³⁶⁰ Most of this timber is transported to Kinshasa by river and subsequently exported as logs without further processing. A smaller amount is processed domestically into sawn wood.³⁶¹ In 2011 industrial timber exports were estimated 36,000 m³³⁶² to 62,000 m³.³⁶³

In addition, an estimated 8,000 small-scale logging companies – known as pitsawyers – are operational. They range

in size from a few individuals who join together to harvest timber two or three months a year, to permanent enterprises with a dozen or more regular employees. Most pitsawyers are informal operations lacking official licenses and permits from the central government. These small-scale loggers usually supply the domestic market with timber for construction or furniture, but may in some cases export wood and wood-based products to neighboring countries, particularly Uganda, Angola, Burundi, Rwanda and Zambia. It is estimated that small-scale chain saw milling, also described as artisanal timber production,³⁶⁴ accounted for 90% of the forest operations in DRC³⁶⁵ representing the production of an estimated 1.5 up to 4 million m³ per year.³⁶⁶ The overwhelming majority of wood harvested in DRC is used locally as fuel wood for heating and cooking. The national wood energy consumption is estimated at about 72 million m³ per year.³⁶⁷

Reform of the legal forest framework

Until 2000, the forest sector reflected the very difficult situation in the country. On the one hand there were ruthless international companies exploiting timber from concessions granted without clear rules and standards and on the other hand, informal forest exploitation done by local populations and small-scale loggers. Since 2002 stability has gradually been returning and DRC has embarked upon a vast program of economic and institutional reforms in all sectors including the forest sector.³⁶⁸ In response to international donors³⁶⁹ in 2002, a new Forest Code was adopted to encourage sustainable forest management and to increase the forest's contribution to the country's development.³⁷⁰ Meanwhile, a moratorium has suspended the allocation of logging concessions.³⁷¹ Compared with

356. KfW [Rehabilitierung des Wasserkraftwerks INGA II](#) [accessed February 2014]

357. Reliefweb [Plundering of DRC's natural resources](#) [accessed February 2014]

358. DFID 2007

359. Eba'a Atyi and Bayol 2009

360. [World Bank](#) [accessed April 2015]

361. Debroux et al. 2007

362. REM 2013

363. ITTO 2013

364. Benneker et al. 2012

365. Lawson 2014

366. Debroux et al. 2007, Lescuyer et al. 2014

367,368 Debroux et al. 2007

369. Trefon 2006

370. Lescuyer et al. 2014

371. NGOs in DRC [Statement on planned lifting of the moratorium on new industrial logging titles](#) [accessed April 2015]

the previous Forest Code, the 2002 Code is more innovative including basic principles such as public consultations prior to the allocation of forest lands; the recognition of community forest lands and customary and traditional forest resource user rights; conservation and sustainable development of ecosystems; community forestry; transparent allocation of forest concessions; cooperation of stakeholders in forest management; as well as the promotion of alternative uses of forest lands and resources.³⁷² During the implementation of the new Forest Code the public authorities made three major reviews: i) an economic review of the sector that is to lead the reform of the wood industry taxation system; ii) the legal review (completed in 2011) to convert logging titles into forest concession contracts; and iii) an institutional review that led to the reorganization of the Ministry of Environment in charge of forests.³⁷³ Most of the reforms and discussions on forest policy focus on the industrial sector with less attention being given to the importance of local, often informal practices.

Forest categories

According to Cameroonian law all land belongs to the State, but it distinguishes between public and private domains. The lands in the public domain are 'non-transferable' so that land concessions and other types of exploitation rights may only be granted for lands in the State's private domain which could be urban or rural land. These exploitation rights of a community, a person or a legal entity under private or public law are granted through a contract called a 'land concession' that is registered with a 'registration certificate' being the only legal proof of the existence of various land concessions recognized by the law. Rural lands can only be transferred after carrying out an enquiry that

identifies the nature and extent of 'third party' rights, including those of the local communities.³⁷⁴

According to the Forest Code, forests are broken down into three categories: (1) **Classified Forests** are part of the State's public domain and assigned a particular status subject to legal restrictions regarding user and exploitation rights. In general, classified forests are designated for environmental protection and may include: nature reserves; forests located in national parks; botanical and zoological gardens; wildlife reserves and hunting areas; biosphere reserves; recreational forests; arboretums; urban forests; and protected areas. The management of classified forests is the responsibility of the Ministry of Environment, Nature Conservation and Tourism (MECNT), but it may be delegated to public corporations or associations; (2) **Permanent Production Forests** are identified through a public survey and designated for allocation via auction to industrial logging concessionaires who are obligated to institute sustainable forest management practices; the forests are subdivided into allocated and not-yet-allocated forests; and (3) **Protected Forests** are forests that are neither classified nor permanent production forests. They are subject to less restrictive legal regimes in terms of user and exploitation rights than classified forests. In practice, forests in this category are areas reserved for activities such as small-scale farming and may serve as community forests. Protected and permanent production forests are part of the State's private domain. In practice, the lack of an officially adopted national land use plan, in combination with the low capacity of governmental agencies at the state and provincial levels, can hamper the effective application of these categories.

372. Debroux et al. 2007, Trefon 2008, Van Acker 2013

373, 374 Mpoyi et al. 2013

The Forest Code explicitly allows for deforestation if it meets the needs of mining, industry, urban development, tourism, agriculture and others. However, they all require a deforestation permit, an environmental impact assessment and must pay a tax, part of which is allocated to regenerating the forest reserve via a fund (Fond Forestier National). Thus, while not totally prohibiting deforestation, the Forest Code ensures the reforestation of deforested areas.³⁷⁵

National Forest Program

In September 2013, the second edition of the National Forest Program (Programme National Environnement, Forêts, Eaux et Biodiversité – PNEFEB) was drafted, covering the period from 2014 to 2023.³⁷⁶ The total budget attached to the PNEFEB for this 10 year period is more than US\$500 million to be financed by the government, international partners (through a type of basket fund), and revenues from forests (e.g. through the National Forest Fund). The PNEFEB is composed of five strategic axes for intervention that have provisional budgeting for 2014-2016: (1) Environmental protection dealing with extractive industries pollution control and the general prevention of environmental hazards such as waste, climate change, invasive species, etc. with a budget of US\$78 million; (2) Management of forest resources aiming at reducing the deforestation rate from 0.2% to 0.1% by 2023 while creating additional jobs and revenues from forest management. From the overall budget of US\$47 million, around 60% is dedicated to plantations, 30% to industrial logging but only 2% for the promotion of community forests and the Field Dialogue on Implementing Free, Prior and Informed Consent (FPIC) process³⁷⁷; (3) Management of water resources with a budget of US\$5 million, (4) Conserva-

tion of biological diversity by improving the management and co-management of already established protected areas (66% of the budget) as well as increasing their size and establishing new ones (44% of the total budget of US\$47 million) and; (5) Strengthening the institutional capacity of MECNT by investing around US\$19 million in training and infrastructure. Each of these strategic axes is related to specific policies and implementation strategies. Each axis has a number of more specific components each with its own objectives and quantitative indicators.

Forest administration

The government agency responsible for forest and environmental affairs in DRC is the Ministry of Environment, Nature Conservation and Tourism (MECNT). Besides general legislative and financial issues, the work of MECNT focusses on the governance of permanent production forests which it does essentially through large timber concessions. MECNT is equipped with a geographical information system laboratory used for inventories and forest management (SPIAF). The most important sub-division of MECNT, with nearly 3,000 employees, is the *Institut lais pour la Conservation de la Nature* (ICCN), founded in 1975 and responsible for the management of protected areas including nature and integral reserves such as the national parks. We were told that that ICCN strongly depends on international funding due to a notorious lack of operational funding beyond staff, but that many donors hesitate because they see ICCN as a 'bottomless pit'. Often ICCN is found to be non-operational outside its own doors. There are also two other sub-divisions with minor importance, the *Institut des Jardins zoologiques et botaniques du* (IJZBC) dealing with the conservation of wildlife and flora resources ex-situ and the

375. [World Bank](#) [accessed March 2015]

376. OFAC [Programme Biodiversité et Forêts](#) [accessed April 2015]

377. The Forests Dialogue [Field Dialogue on FPIC in DRC](#) [accessed April 2015]

Fonds de Reconstitution du Capital forestier (FRCF) which manages the State's reforestation policy. In addition, the Institut pour l'étude et la Recherche agronomique (INERA) and eight other major training institutions at the federal level as well as numerous more or less functional institutions in the provinces support MECNT with forest and environmental research and training.³⁷⁸ In the forestry sector, civil society organizations participate in many government programs and projects. DRC also recruited an independent observer to oversee forest exploitation operations (Resource Extraction Monitoring – REM) and a specialized company (*Société Générale de Surveillance – SGS*) to establish a strong control system for timber extraction and marketing and a timber traceability chain. In accordance with the Constitution of 2006, the new national forest policy gives more authority for forest governance and administration to provincial and local authorities particularly through the establishment of so-called 'Decentralised Territorial Entities' (ETDs) at the level of cities and territories with subsequently finer subdivisions.

However, despite the significant amount of effort put into making legal clarifications, the laws are not yet in force. The former administration (*provincial division chiefs*) want to stay accountable to the central authorities (*Secretariat General*) instead of collaborating with the new provincial ministries, especially since the terms and conditions of this collaboration have not yet been clearly defined.³⁷⁹ There is a lack of common understanding for the new orientation and requirements for decentralization. This results in power struggles and some tense relations between the three levels of governance (central, provincial and local). The central authorities still hesitate to relinquish

certain activities such as the issuance of small-scale logging permits and the collection of taxes from lands granted to the provinces. The provinces are especially annoyed that the central authorities continue to have rights over their forestlands and can decide to create protected areas or concessions. The ensuing conflicts are left up to the provincial administration to resolve which however is insufficiently prepared to adequately cope with. On the other hand, the new provincial institutions are claiming to have certain types of forest-related authority for which they do not always have the competence needed. Problems also exist with the transfer of funding between the central government, the provinces and the ETDs. This obstructs the constitutional goal of creating financial autonomy for the provinces and the ETDs. Thus, while financial decentralisation has already led to the transfer of costs to the provinces, less than half of the State's budget earmarked for the provinces was transferred.³⁸⁰

Industrial Logging

One of the major motivations of the new Forest Code was to foster sustainable forest management practices of industrial logging. This particularly included the conversion of old long-term forest titles given to logging companies using non-transparent processes and without effective regulations and auditing procedures in place into concessions for industrial logging following well defined rules and guidelines for good forest management. In accordance with the new Forest Code, individuals or corporate entities wishing to conduct industrial logging must obtain a forest concession from the State which is awarded by tender. Before receiving a forest concession contract, the concessionaire has to submit a four year development plan (*Plan de gestion*). During that period,

378. Eba'a Atyi and Bayol 2009

379, 380 Mobyi et al 2013

the permit holder has to develop a Management Plan (*Plan d'Aménagement*), and sign a cahier des charges with the government that defines the terms and conditions of the logging operations and certain socio- environmental conditions. The permit holder also has to sign an agreement with the local communities on the introduction of certain socioeconomic measures. A special effort was made to clear up the forestry contract situation including the demarcation of permanent production forests and a comprehensive review of existing titles to judge their legal validity. Prior to 2002, 45.5 million hectares were allocated forest titles.³⁸¹ Due to a moratorium, the government repealed 163 concessions representing 25.5 million ha and stopped awarding new permits.³⁸² However, the instability, during the period of political transition before the 2006 elections, provided opportunities for continuous irregular allocation of forest titles. Only in 2005 when a decree detailed the terms and conditions for converting forest permits into forest concession contracts were 156 requests for around 22 million ha processed. By 2011 an inter-ministerial commission, appointed for the review of the request in consultation with civil society representatives and indigenous peoples, repealed another 80 concession contract applications representing an area of 12 million hectares. For the remaining requests MECNT decided to accept social *cahiers des charges* as a starting point for the procedure eventually leading to the granting of forest concession contracts because many enterprises were unable to prepare a management plan within a reasonable length of time. By 2012, 48 forest concession contracts were signed but only 17 provisional development plans and about 60 cahiers des charges were submitted to MECNT. By 2013 Commission declared that a total of 68 permits, cover-

ing close to 10 million hectares, had been legally acquired,³⁸³ however only few of the permit holders had provided management plans.

Classified forests

More than 12% of DRC's land surface, representing 283,087 km², are under some sort of protection.³⁸⁴ From a total of 49 protected areas 22 have an IUCN category: two in category I, nine in category II, and 11 in category VI. These areas include 10 hunting estates (*Domaine de Chasse*), eight national parks (*Parc National*), eight Nature and Wildlife Reserves (*Réserve naturelle*), six Biosphere Reserves, and five World Heritage sites as well as several other categories such as Ramsar Sites. Nineteen of the protected areas are larger than 10,000 km².³⁸⁵ To overcome challenges posed by underfunding, the ICCN cooperates with the Basin Forest Partnership and international and national NGOs that work around the national parks on landscape management and integrated conservation and development projects. This reflects the recent effort of the government to more consciously consider the rights of traditional peoples and sustainable land use activities as well as their role for the protection of wildlife and landscapes.

Local forest rights

As is the case with many other sub-Saharan countries, in DRC millions of people depend on forest products outside of the cash economy.³⁸⁶ About 40 million rural lese depend on the forest for their food, income, energy, shelter, medicines and cultural needs. Indigenous groups rely almost entirely on the forests.³⁸⁷ Although in 2007 the DRC signed the United Nations Declaration on the Rights of Indigenous People, it has not yet ratified the legally binding ILO Convention no. 169 on Indigenous and Tribal People, despite the massive

381. De Wasseige et al. 2012

382. Debroux et al. 2007

383. Eba'a Atyi and Bayol 2009; Lescuyer et al. 2014

384. Protected Planet [DRC](#) [accessed April 2015]

385. The Encyclopedia of Earth [Protected areas of DRC](#) [accessed April 2015]

386. DFID 2007

387. [World Bank](#) [accessed March 2015]

claims of indigenous groups supported by national and international NGOs as well as UN institutions. Thus, according to the DRC Constitution, indigenous people have the same rights as all other people. In this way their specific vulnerability and marginalization is being ignored. The MECNT implementation tools are related to the Forest Code developed after 2008, however may play a forerunner role in recognizing the pygmies as an indigenous people, because the concept of 'indigenous peoples' has been applied to them. Furthermore, the MECNT has appointed a Focal Point within the ministry to deal with the question of the indigenous peoples and the Minister has appointed an advisor to his cabinet to manage this issue.³⁸⁸

The DRC regulations anticipate the recognition of collective rights of local communities to rural lands that they cultivated or exploited in some way according to local customs and uses. However, the State's property rights on the State's private domains are superimposed on forthcoming customary land rights legislation. While in the land tenure law, collective land rights are handled as 'customary occupation', the new Constitution unambiguously recognizes customary ownership (appropriation coutumière). The Forest Code is the first legal document in DRC that provides for the possibility to register and obtain a title for collective customary rights to natural resources. Individual members of a community have usufruct, not ownership, rights to the community lands.³⁸⁹ Analogous to collective customary rights to the land, an individual cannot register individual usufruct rights and cannot obtain a deed to the land. The sale, rental, transfer or exchange of customary land ownership is non-existent and inconceivable.³⁹⁰

The Forest Code recognizes the forest user rights of the local peoples and maintains these rights in the various categories of forests (classified, permanent production, and protected), although in the classified forests categories these rights are severely restricted. Nevertheless, in managing its forest domains, the State has committed to consulting the local communities and peoples and to compensation for the loss of entitlement caused by the creation of classified forests (protected areas) and permanent production forests (forest concessions). Local communities may receive a deed for a 'forest concession to local communities' if their customary possession rights to the forests are confirmed. For protected forests, people may collect forest products for their needs (food, energy, construction, etc.) and also clear the forest for crops. However, a permit issued by the provincial governor is required to deforest an area of more than two hectares. Even within classified forests local people may collect forest products to meet individual or community subsistence needs. In industrial concessions, customary rights have to be explicitly considered by an enquiry carried out by the Territorial Administrator, or by a specially appointed civil servant or agent. Furthermore, representatives of local communities, including indigenous groups, have taken part in the commission reviewing the requests for the conversion of old logging permits into concessions. The Forest Code also includes a special section on the creation of socioeconomic infrastructure for the local communities such as the construction and improvement of roads, the renovation and equipping of hospitals and schools, and transportation facilities for people and goods.³⁹¹ Additionally, 40% of the land fee allocated to the ETDs should be used for social welfare investments for the local populations.³⁹² Never-

388. Mpoyi et al. 2013

389. Vermeulen et al. 2011

390. Mpoyi et al. 2013

391. Malele Mbala and Karsenty 2010

392. Mobyj et al. 2013

theless, despite all these regulations, local communities' land tenure rights are commonly perceived as not secure.³⁹³

The legislative framework of DRC also provides for the possibility of short-term titles for artisanal logging, or so-called small-scale logging permits (Permis de Coupe Artisanale – PCA). These permits allow: local communities in particular to access forest resources, the ownership of trees located around the villages, and the participation of lese citizens in logging operations. The PCA is allocated to accredited individuals who own their pit-saw or chain saw and use it as their work tool only in local community forests and nowhere else. Some logging enterprises, mostly located near the capital, unable or unwilling to fulfil the advanced legal requirements for industrial concessions, have illegally obtained PCAs.³⁹⁴ In October 2012 the MECNT announced its intention to introduce regulations to make the small-scale timber production sector more efficient.³⁹⁵

In 2014, DRC issued new progressive regulations that specify the approach to be used for recognizing local 'community forest concessions', that are far better suited to the realities of forest communities and their customary land ownership and use than the restrictive, top-down community forest rules found elsewhere in the region.³⁹⁶ The regulations set the maximum permitted area of the community concession at 50,000 hectares, specifies that the concession is perpetual, and places the management responsibility in the hands of customary representatives which reduces the administrative (and financial) burden. Community concessions can only be placed in protected forests, thus, in those few forests that have not

been already categorized as classified or permanent production forests.

Current situation

Despite worthwhile public actions and efforts made by civil society, forest governance in DRC remains influenced by the difficult socio-political and economic situation in the rest of the country. The institutional environment of the forestry and related sectors in DRC, despite the legal and institutional reforms described above, still suffer from many structural weaknesses.³⁹⁷ Actually, forest institutions still reflect the largely undemocratic state of governance in the country, a situation further aggravated by unending armed conflicts in many parts of the country. There are systemic weaknesses in DRC forest governance that seriously hamper the introduction of sustainable, fair management of forest resources.³⁹⁸ This situation might be gradually corrected if the FLEGT negotiations and the REDD process that have recently been initiated are successful and in turn stimulate the implementation of structural policy reforms in forestry-related sectors. However, it should be taken into account that the forest sector's importance might be low on the list of priorities drawn up by the political authorities in Kinshasa. Instead they may be keener to explore the huge potential promised by mineral extraction and agro-industrial uses of land.³⁹⁹

4.3.2.1 Deforestation

The country's socio-political instability over the last decades made it impossible to get reliable estimates of the deforestation rate.⁴⁰⁰ However, more recent data comparisons indicate an annual deforestation rate of about 0.25%, which is relatively low, although it nearly doubled from 1990s to the early 2000.⁴⁰¹ The compara-

393. Pougoue and Bachelet 1982; Cotula and Mayers 2009; Karsenty and Assembe-Mvondo 2011

394. Greenpeace 2012, 2013, Global Witness 2012

395. Lescuyer et al. 2014

396. Rainforest Foundation UK 2014

397. Trefon 2008, 2010

398. Hoare et al. 2008, Greenpeace 2010, Trefon 2010

400. Debroux et al. 2007

401. De Wasseige et al. 2012

tively low deforestation rates for DRC can be mainly attributed to three reasons,⁴⁰² underdeveloped infrastructure, low population density and the availability of large areas of usable non-forest lands in rural regions. Also decades of wars, violent conflicts and insecurity, mismanagement and corruption resulted in private investments that were exceedingly low and an ailing to non-existent infrastructure. It is estimated that only 10% of suitable farmlands are currently being farmed.⁴⁰³ However, there are great differences in the levels of deforestation. A clear connection can be made between population density and deforestation rates. Thus, deforestation around the dynamic urban centers is much higher compared to remote areas without any road connection. The local population, impoverished by a lack of livelihood alternatives, largely depends on the collection of firewood, bush-meat hunting and the clearing of forests for agriculture and grazing. While bush-meat hunting is one of the main threats to forest biodiversity, the growth of informal firewood collection tangibly endangers the DRC forests.⁴⁰⁴ In eastern DRC this dynamic has been accelerated by the enormous displacement of people caused by war.⁴⁰⁵ Also, the export of informally harvested timber to neighboring countries plays a role.⁴⁰⁶ In some places forestry and mining can have a greater effect on deforestation, directly or indirectly, by stimulating an inflow of laborers and creating access to remote forest areas. Small-scale mining can also play a role but so far neither agro-industry nor tree plantations play a major role. Since the colonial era no significant investments have been made.⁴⁰⁷ Hence, processes causing forest degradation are much more in evidence than is the large-scale conversion of forest lands into other land uses.⁴⁰⁸ However, in post-conflict DRC this situation may change

dramatically as commercial agreements, such as the one with China in 2007, involving huge investments in the construction of roads, railroads, hospitals, schools and hydroelectric dams in exchange for the large-scale exploitation of minerals resources.⁴⁰⁹ At the heart of the issue are the potential consequences resulting from the combination of enormous investments with failures in governance and systemic corruption.⁴¹⁰

4.3.3 International collaboration

DRC is involved in a number of international processes relating to the protection of the environment. It is a member of the United Nations Forum on Forests (UNFF), a subsidiary body of the United Nations Economic and Social Council (ECOSOC), and a party to the Treaty on the Conservation and Sustainable Management of the Forest Ecosystem of Central Africa that established the Central African Forests Commission (COMIFAC). COMIFAC has become an important mechanism for the harmonization, coordination and monitoring of forestry practices in Central Africa.⁴¹¹ DRC also signed the Kimberley Process and Extractive Industries Transparency Initiatives for the mining sector and for the environmental sector the Conventions on International Trade of Endangered Species (CITES) and on Biological Diversity (CDS), which has been translated into a national strategy and an action plan. In October 2010, DRC officially appealed to the European Commission to start negotiations for a Voluntary Partnership Agreement (VPA) under the Forest Law Enforcement, Governance and Trade (FLEGT) Action Plan.⁴¹² To negotiate with the EU, a VPA Technical Negotiations Commission has been set up and is working on a series of preparatory activities. The VPA is scheduled to be signed in May 2013.⁴¹³ Finally, DRC

402. Mpoyi et al. 2013

403. Devey 2012

404. Lescuyer et al. 2012

405. UNEP 2011

406. Benneker 2012

407. Mpoyi et al. 2013

408. Defourny et al. 2011

409. Global Witness 2011

410. [World Bank](#) [accessed March 2015]

411. Mpoyi et al. 2013

412. [EUFLEGT DRC](#) [accessed March 2015]

413. Mpoyi et al. 2013

is well advanced in terms of REDD Readiness with the Forest Carbon Partnership Facility (FCPF).⁴⁴⁴ All ratified international agreements are now part of the country's national legislation, for example the Forest Code, but generally are far from being completely implemented.⁴⁴⁵

Accordingly, DRC receives significant international support. From 2002 to 2012 DRC received net ODA of about US\$29.9 billion, from which 32.5%, corresponding to US\$9.7 billion, were provided by multilateral agencies. Debt relief constitutes an important part of ODA. Total ODA accounted for about 16.6% of the GDP in 2012, and 32.3% in 2011. From 2004 to 2012, ODA provided 22.9% of the country's GDP, corresponding to US\$43.3 per capita annually. In terms of overall aid (bilateral and multilateral), aggregated over 2002 to 2012, the US was by far the largest contributor of aid to DRC, followed by France, the United Kingdom and Germany. Germany ranks first regarding bilateral ODA for 2012 (Figure 4-9).

Additionally, between 2007-2012 DRC received some €18 million per year in private grants from Germany, predominately from NGOs. Around 98% of the total ODA was provided in the form of grants. On

average, from 2006 to 2012, nearly half of the total ODA from all donors was distributed to the public sector, 12% was via NGOs and civil society organizations and around 18% through multilateral organizations. From 2002-2012 about 64% of German total ODA and some 51% of total ODA of all donors went to reducing DRC's debt.

In general terms DRC's main trade partners are also important providers of ODA. In 2011-12, the US, France, Germany and the UK were the most important bilateral donors, while the EU and World Bank's International Development Association provided significant multilateral aid. A major proportion of the aid goes to actions relating to debt, which includes debt forgiveness, or debt for development swaps.⁴⁴⁶

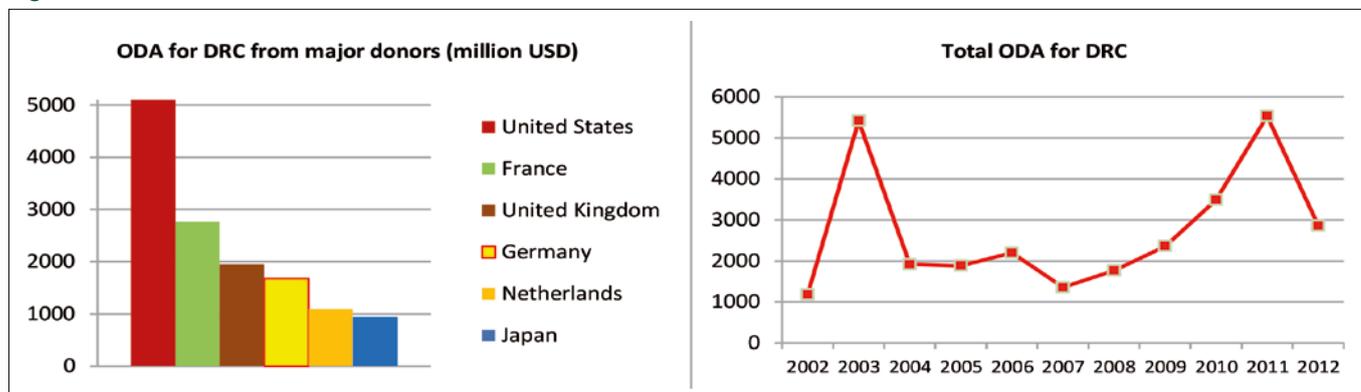
From 2002-2012 the international donor community provided about US\$168 million for the environmental sector. About 45% was invested in the CRS sector 'Biodiversity' and nearly 36% was granted to the 'Environmental Policy and Administration' sector, while the 'Site Preservation' sector got about 15%. The remaining 4% were for the 'Environmental Education' and 'Research' sectors. Another US\$96 million was injected into the

444. UN-REDD [DRC](#) [accessed March 2015]

445. Mpoji et al. 2013

446. OECD [Purpose Codes: sector classification; Aid at a glance charts](#) [accessed February 2014]

Figure 4-9. ODA for DRC for 2002-2012



'Forestry' sector. About half of the forestry funding was dedicated to the CRS category 'Forestry Development'. Another 45% fell into the category 'Forestry Policy and Administrative Management', while the remaining 5% was shared by the categories 'Forestry Education %Training' and 'Forestry Services.'

From 2007 to 2011, **Japanese** funding, through the Ministry of Foreign Affairs and Japan International Cooperation Agency (JICA), strongly increased.⁴¹⁷ Alone from 2010 to 2011 Japan donated US\$648 million to DRC. Most of the funds went to food relief and sanitation, much of it through UNICEF. Other important sectors of JICA's current funding to DRC were: consolidation of peace, economic development, improvement of access to social services, as well as the protection of the environment.⁴¹⁸ In the future JICA will additionally support a project in Bandundu for strengthening the national forest resources monitoring system and to promote sustainable forest management and REDD+ in DRC.

In 2010-2011 **France** provided a total of US\$1.2 billion ODA, much of it coming from the French Development Agency (AFD). For 2013-2016, AFD intends to substantially increase its engagement in DRC.⁴¹⁹ In 2013, AFD shifted its focus from environment to education, professional training, and water and sanitation. However, AFD still runs a number of environmental projects including⁴²⁰ the provision of technical advice to the MECNT that started in 2011 (€1.15 million).⁴²¹ They support logging companies to adopt sustainable forest management (€5 million)⁴²²; as well as a conservation project in Lomako in cooperation with the African Wildlife Foundation (AWF) for €781,000.

The **World Bank** resumed its operations in DRC in 2001. To date, the World Bank approved US\$3.67 billion in loans and credits to DRC,⁴²³ and US\$2.8 billion through the International Development Association.⁴²⁴ For 2013-2016 the World Bank set four goals⁴²⁵ 1) to increase the efficiency of the State at the central and decentralized levels and improve governance including a forest zoning program to enable the country to construct a national land management policy and guidelines for land allocation.⁴²⁶ 2) to enhance the competitiveness of the economy by accelerating growth, spearheaded by private sector job creation; 3) to upgrade the delivery of social services in order to improve human development indicators (HDI); and 4) to respond to problems of fragility and conflict in the eastern provinces of the DRC. The World Bank is also involved in extractive industries governance projects. About 10% of World Bank funding in DRC went to forest related projects. In 2005 the World Bank provided a US\$90 million grant to support DRC in improving forest operations in concessions. Since 2010 the World Bank intensified their engagement in the DRC forest sector⁴²⁷ by implementing a US\$70 million project that works on strengthening the institutional capacity of the MECNT and ICCN at the central and provincial level, the promotion of community-based forest management options and, most importantly, the promotion of REDD+ activities with national parks and/or climate change mitigation linked with the World Bank's FCPF REDD Readiness and Forest Investment Program.⁴²⁸ Accordingly, DRC is perceived as being one of the most advanced countries for this process. It has been the first country with a validated Readiness Preparation Plan and a Forest Plan validated by the Forest Investment Program which provided

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- 417. JICA [Activities in DRC](#) [accessed February 2014]
 - 418. JICA [DRC](#) [accessed February 2014]
 - 419. AFD [La RDC : entre urgence, reconstruction et développement](#) [accessed February 2014]
 - 420. AFD [Environnement et Forêts](#) [accessed February 2014]
 - 421. AFD [Projet FERC EDU/ FORETS](#) [accessed February 2014]
 - 422. AFD [Appui à la gestion durable de la forêt](#) [accessed February 2014]
 - 423. The World Bank [DRC Projects & Programs](#) [accessed February 2014]
 - 424. The World Bank [DRC Summary](#) [accessed February 2014]
 - 425. The World Bank [DRC Overview](#) [accessed February 2014]
 - 426. Mpoyi 2012
 - 427. The World Bank [DRC Summary](#) [accessed February 2014]
 - 428. [World Bank](#) [accessed March 2015]

the country with €60 million from the World Bank and the African Development Bank.⁴²⁹

Overall there are a large number of ongoing internationally funded initiatives targeting the forest sector such as:⁴³⁰

- The Monitoring Program for the Production and Marketing of Wood (PCPCB) for the instalment of a computer-based Forest Information Management System (FIMS). PCPCB is funded from the US\$8 million multi-donor trust fund, assembled mainly by the EC, Belgium and IDA, and since 2010 executed by the *Société Générale de Surveillance* (SGS).
- The establishment of a mechanism of independent monitoring of the forest sector coordinated by the NGO Resource Extraction Monitoring (REM) contracted and equipped with funding initially from the multi-donor trust fund, but ultimately by the EU Governance Support Program that provides €3 million over 3 years. The project will cover three forest provinces (Bandundu, Orientale and Équateur).
- The Proformal project concerned with regulating the artisanal and informal sector in DRC, as well as Cameroon, Indonesia, Gabon and Ecuador. The project, started in 2010, is funded by the European Commission with €3 million and implemented by CIFOR in cooperation with three national partners.
- The elaboration of a forest atlas by the World Resources Institute (WRI) and DIAF/DGF with funds from the World Bank. Initially aiming on the creation of a tool for monitoring illegal opera-

tions, the forest atlas has become a territorial management tool.

- The Directorate of Inventory and Forest (DIAF) is supported by AFD with US\$2 million to prepare and disseminate norms and management manuals; establish credit lines for private companies to make land use plans; and to build capacity in monitoring for the Ministry's DIAF, DGF and provincial administrations. This contract is executed by WWF.
- Two projects promote community forestry by supporting MECNT to draft the required legal and technical instruments, and the establishment of a community forestry division in the DGF. The FORCOM project, funded by Belgium, is implemented by FAO, and the FORCOL project is implemented by Forests Monitor with DFID funding.
- Three initiatives explicitly aim on improving transparency within the forest sector. The FORAF project, funded by the EC's Tropical Forests budget and implemented by the EC's Joint Research Centre (JRC), is establishing the Observatory for Central African Forests (OFAC) for monitoring forest cover, forestry economics, and biodiversity within forest concessions and protected areas in DRC and six COMIFAC countries; the Forest Transparency Initiative (FTI) funded by DFID with US\$1 million over 3 years intends to produce an interactive directory of forest operators to increase the transparency of the sector; and support to cartography at MECNT supported by Japan with a US\$10 million grant mainly for purchasing equipment such as computers, software and vehicles.

429. FCPF [Rapport d'avancement annuel en matière de préparation à la REDD](#) [accessed June 2015]

430. Mpoyi et al. 2013

4.3.4 German development cooperation: goals and organization

Over the last decade Germany has been consistently among the major donors of ODA to DRC. Aggregated over 2002-2012, the total bilateral ODA from Germany to DRC amounted to about US\$1.7 billion representing 1.4% of the total German ODA and 5.6% of the total ODA which DRC has received from all donors. In 2012 alone, DRC received US\$594 million ODA from Germany. This makes Germany the biggest bilateral donor in 2012 while the United States ranked first when donations from 2002 to 2012 are totaled. Furthermore, from 2007-2012 there had been private grants of some €18 million per year predominantly provided by NGOs and not included in the ODA figures. Nearly 98% of total ODA was provided in the form of grants while less than 2% have been loans.

On average, from 2006 to 2012, more than 80% of the German ODA was distributed to the public sector and around 15% to NGOs and civil society organizations. Multilateral organizations received only 3.3% of the German ODA. Public-Private Partnerships (PPPs) did not contribute to German ODA. From 2002 to 2012 almost two thirds of all sector ODA from Germany for DRC went towards reducing debt. Compared to the funding of other donor countries to DRC, Germany's focus was on the public sector with some emphasis on civil society funding.

According to the GIZ website, in the first and successive rounds of German-ese government negotiations in 2008 and 2012, three priority areas for cooperation were agreed upon: (1) Biodiversity and

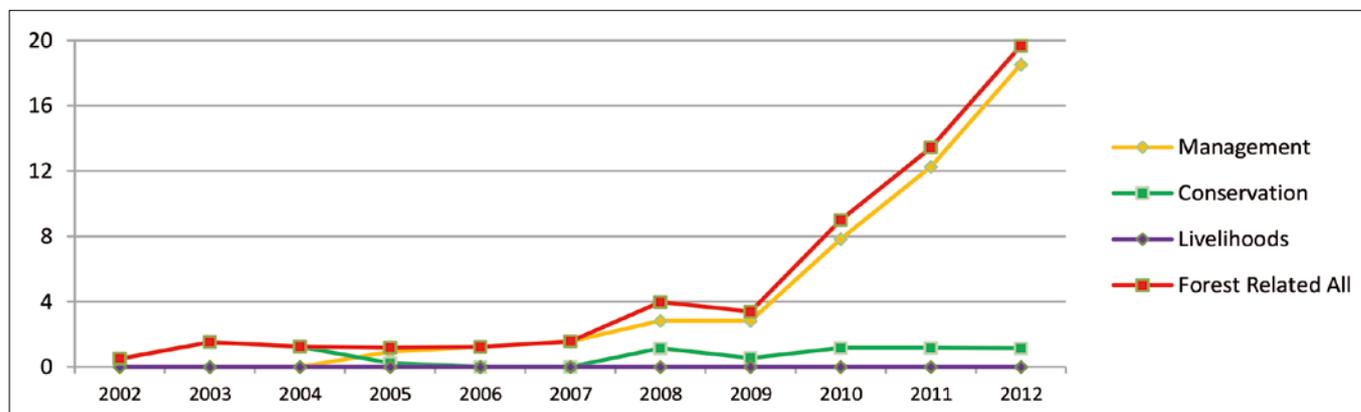
sustainable natural resources management; (2) Strengthening the microfinance sector and (3) Water sector reform. The GIZ staff we interviewed described four main directions for the German forest cooperation:

- A more coherent and forward-looking overall strategy for land use (beyond the MECNT);
- Effective forest and land management at the level of provinces, ETDs down to the village and community-level;
- An improved governance of commercial logging at these levels and the wise allocation of land for agriculture, both to accommodate population growth (artisanal permits were criticized); and
- the development of new protected areas and the expansion and consolidation of existing ones.

Interview partners working in the forestry sector in DRC explained that another of the aspects on which Germany has strongly pressured DRC has been to improve the management of the MECNT's budget. This happened when in 2013 it was realized that the MECNT had spent less than 13% of its available funding. Consequentially, Germany threatened DRC to withdraw its funding if this problem continued.

Germany has a number of cooperation organizations working in DRC, most importantly the GIZ and the KfW. GIZ has been working in DRC since 1978, nevertheless, from 1994 to 2002, it interrupted its work because of the civil war. KfW began its work in 2010. In the environment sector GIZ's funding comes nearly

Figure 4-10. German forest related ODA to DRC 2002-2012 in million US\$



exclusively from the BMZ, while KfW has funds coming from the BMZ and from the BMU. Also, the Federal Institute for Geosciences and Natural Resources (BGR) is conducting projects dealing with mining governance. There are also a number of German NGOs active in DRC.

Environmental and forest related funding

Over the period from 2002 to 2012 Germany provided DRC with about US\$52.4 million for the environmental sector and US\$4.2 million for the forestry sector. In terms of funding for the environment sector, Germany's was significantly above average when compared to other funding countries. In the forestry sector, German funding was highest in the years from 2005 to 2007, but on average, compared with other sector funding, has remained at a rather low level. About 80% of German forest funding in DRC during 2002-2012 fell under the category 'Forest Policy and Administrative Management',⁴³¹ and another, nearly 20%, fell under the category 'Forestry Development'.⁴³² In comparison to these two sectors, the ODA for other sectors has not been relevant. German funding for the environment sector has increased remarkably since 2008. From 2002 to 2012 it amounted to US\$52.4 million; thus, more than 12.4 times higher

than funding to the forestry sector. Nearly 80% of environment sector funding was dedicated to the category 'Protection of Biodiversity'.⁴³³ Another, roughly 20%, was provided under the more general category 'Environmental Policy & Administrative Management'.⁴³⁴ With the exception of a small share, below 0.4%, for the sectors 'Biosphere Protection' and 'Environmental Education', other purposes of environmental funding were insignificant.

A more profound analysis grounded in the analysis of documents of all programs and projects listed by CRS revealed that German forest related funding is almost equal to the entire amount of funding for the forestry and environmental sectors (Figure 4-10). This indicates that most of the environmental programs in DRC also include forests. About 85% of forest related German aid activities in DRC from 2002 to 2012 were dedicated to the category 'Administration, Management, and Use of Forests'. Another 15% were allocated to the category 'Biodiversity & Forest Conservation' indicating a focus on the protection and conservation of forest and biodiversity. In none of the analyzed CRS data entries did the category 'Local livelihoods & Rights' appear as one of the goal priorities; however, about 19% of forest related activities at least addressed these

⁴³¹. Defined as: forestry sector policy, planning and programs; institution capacity building and advice; forest surveys; unspecified forestry and agro-forestry activities

⁴³². Defined as: afforestation for industrial and rural consumption; exploitation and utilisation; erosion control, desertification control; integrated forestry projects

⁴³³. Defined as: including natural reserves and actions in the surrounding areas; other measures to protect endangered or vulnerable species and their habitats (e.g. wetlands preservation)

⁴³⁴. Defined as: environmental policy, laws, regulations and economic instruments; administrative institutions and practices; environmental and land use planning and decision-making procedures; seminars, meetings; miscellaneous conservation and other protection measures

goals to some extent. Nonetheless, a clear indication that aid activities are targeting local livelihoods and rights are absent from the pre- 2006 records provided by CRS which reflects the fact that older CRS data entries generally tend to contain less information on activities.

Since 2002 some 24 forest related bilateral programs and projects funded by Germany have been identified corresponding

to a total (disbursements and commitments) of about €163 million. Apart from this direct funding, German ODA provided another €81 million since 2002 for regional programs relevant for DRC. About €156 million have been designated for 13 ongoing programs in DRC⁴³⁵ not considering the ten ongoing programs with a regional scope also relevant for DRC that together account for another €79 million (Table 4-12).

⁴³⁵. Programs with a planned date of completion of 2012 or earlier are categorized as 'completed', while programs with a planned completion date of 2013 or later are categorized as 'ongoing'

⁴³⁶. Based on BMZ IATA database and BMUB/ICI data

Table 4-12. Major German financed ongoing forest development programs in DRC⁴³⁶

Project/activity titles	Principle Purpose	Key agents	Period	Implementing agency	Amount (€)
Sustainable Natural Resource Management I	Biodiversity Conservation; Forest Use, Local Livelihoods	All	2005-2015	KfW	11,000,000
Sustainable Natural Resource Management II	Biodiversity Conservation; Forest Use, Local Livelihoods	All	2008-??	KfW	15,000,000
Biodiversity Conservation and Sustainable Forest Management	Biodiversity Conservation; Forest Use, Local Livelihoods	Government Agencies; Private Enterprises; Civil Society; Forest Communities; Academic Institutions	2008-2014	GIZ	28,000,000
Biodiversity Conservation and Sustainable Forest Management (TC-Module)	Biodiversity Conservation; Forest Use, Local Livelihoods	Government Agencies; and others	2012-2016	GIZ	25,300,000
Biodiversity Conservation and Sustainable Forest Management	Biodiversity Conservation; Forest Use, Local Livelihoods	Mainly Government Agencies; Civil Society; Forest Communities	2009-??	KfW	40,000,000
Biodiversitätserhalt & nachhaltige Waldbewirtschaftung (sustainable resource management)	Biodiversity Conservation; Forest Use	All	2012-??	???	10,000,000
Treuhandfonds zur Unterstützung des nationalen Wald- und Naturschutzprogramms	Biodiversity Conservation; Forest Use, Local Livelihoods	Government Agencies; and others	2012-??	KfW	15,000,000
Maiko National Park Management	Biodiversity Conservation; Forest Use	Government Agencies; and others	2011-2013	FZS	499,905
Integrated rural environment protection program on the High Plateau of Minembwe	Biodiversity Conservation; Forest Use, Local Livelihoods	Civil Society; Forest Communities	2011-2014	OXFAM	444,390
Reforestation and education for Forest management in Eastern	Forest Use, Biodiversity Conservation; Local Livelihoods	Civil Society; Forest Communities	2013-2017	LHL	287,046
Ngiri Triangle Integrated Conservation Project I & II	Biodiversity Conservation; Forest Use, Local Livelihoods	Governmental agencies; Civil Society; Forest Communities	2008-2013	KfW / WWF	2,596,388
Assessment and Development of a Modernized, Expanded Network of Protected Areas	Biodiversity Conservation	Government Agencies; Civil Society; Forest Communities; and others	2009-2014	WWF	1,999,361
Development of a Carbon Storage Map and Carbon Payment Modell Regions for the DRC Forest Belt	Forest Use, Biodiversity Conservation; Local Livelihoods	Government Agencies; Private Enterprises; Civil Society; Forest Communities; and others	2012-2016	KfW / WWF	6,100,000

The biggest share of ongoing forest related funding in DRC is provided by the two German development organizations GIZ and KfW. Overall, GIZ was in charge of about 34% of the available funds while 57% was channeled via KfW. The four projects implemented by NGOs together accounted for only about 2.1%. In addition, WWF was the cooperating partner in two KfW programs which accounted for another 5.6% of total funding. Almost all funds are provided by BMZ, with around 7% coming from the BMUB, which via its International Climate Initiative (ICI), supports three programs in DRC.

Most of the German financed programs support the governmental agencies responsible for forest and environment, in particular MECNT and ICCN. Although the German funded programs include a wide range of goals and strategies, there is a focus on protected areas, and, to a significant lesser degree on the production of energy wood and timber. Accordingly, KfW runs several projects dealing with protected areas using funds from the ICI of the BMBU including €4.5 million for protected areas and €6 million to map carbon in forests in preparation for REDD+.⁴³⁷ In collaboration with ICCN, KfW provided €2,596,388 (from 2008 to 2013) to conserve the forests in the Ngiri Triangle; and assisted WWF and its national collaborators (MECNT, ICCN and WCS) with €1,999,361 (from 2009 to 2013) to lay the groundwork for planning, establishing and improving a network of protected areas (...) covering 15% of the country's area. So far, most of KfW's work has concentrated on the Kahuzi Biega National Park, in which the German forest cooperation has worked for several decades, as well as the Réserve de Faune à Okapis with a total funding of €11 million from the BMZ. The ICCN, respon-

sible for the implementation of KfW funded projects, are generally supported by consultants and subcontracted consulting firms such as GFA.⁴³⁸ Finally, according to a well-informed interview partner, KfW also plans to provide a €15 million grant for the multilateral fiduciary Okapi Fund, jointly coordinated with the World Bank, to improve the capacity of DRC to manage its protected areas network.⁴³⁹ Other potential funders include Belgium, Japan and Norway.

The central pillar of the German forest cooperation's engagement in DRC is the 'Program for Conservation of Biodiversity and Sustainable Forest Management' – in short PBF (Programme Biodiversité Forêts) – with several components running over several years. The overall objective of the program is to protect biodiversity and to serve the country's development, including the improvement of the economic and social situation of people living near the forest and conservation areas. The PBF has an office in Kinshasa, located within the building of the MECNT, and three regional offices in the provinces of Maniema, Sud Kivu and Katanga, where the programs collaborate with NGOs as intermediaries or service providers. PBF is structured into four components: (1) the introduction of models for sustainable forest management and exploitation/usage of wood in the program regions; (2) the promotion of effective management of protected areas in the provinces of Maniema, South Kivu and Katanga; (3) the improvement of political, legal and institutional framework conditions in the forest sector and in the protection of nature at national and provincial levels; and (4) a component called C4CF aiming at enabling FSC certification of timber companies operating in DRC. Beyond that, PBF promotes the integra-

437. ICI [Development of a carbon storage map and carbon payment model regions](#) [accessed March 2014]

438. KfW 2008 [PBF - Termes de Référence](#) [accessed June 2015]

439. World Bank [Approval of funds for biodiversity protection](#) [accessed March 2014]

tion of DRC within the framework of the Convergence Plan of Central African forests Commission (COMIFAC).

4.3.4.1 PBF component: Land use planning and sustainable forest management

This PBF component supports MECNT in developing a zoning process as basic input for the demarcation of forest management areas at the province level. At this level, communities should be participating, taking gender into account, in the creation of management plans for the legal harvest of forests for profit. Additionally, at the provincial level, this component incorporates five of the seven thematic pillars of the national REDD+ strategy: governance, tenure law, energy, demography, forest, agriculture and land planning. The component also highlights measures for improving accessibility, information exchange and internal communications between the governmental agencies of MECNT and ICCN at national and provincial levels.

However, in contrast to former zoning efforts by the World Bank involving discussions with communities, this component applies a top-down approach⁴⁴⁰ to enable it to come into operation by avoiding long-standing, complex discussions about micro-zoning with very many existing local actors. In a first step, the national zoning process intends to set priorities for the location of roads, transport facilities, production and protection forests, reforestation activities, urban development zones, industrial zones, etc. Once these strategic decisions are made for the national level, after 1.5 to 2 years the zoning will be refined at the provincial level. Finally, the

responsibility for coordinating planning and land use is given to so-called Decentralised Territorial Entities (Entités Territoriales Décentralisées – ETD) understood to be the legitimate authorities able to make decisions on resources in their jurisdiction. The ETD either manage natural resources using their own staff or, more likely, contract third parties to manage concessions which can include companies involved in logging, mining, petrol, agro-industries, etc. In this case, the ETD remain responsible for the supervision and see to it that the applicable provincial taxes are paid by the concessionaires (the other taxes going to the central State) to finance their own development projects or to co-fund projects implemented by aid organizations.

The PBF has helped in the drafting of TORs for consultants who will be commissioned by the World Bank to look at land use alternatives at the national level. However, as land allocation is an extremely sensitive issue and decision making processes at an aggregated national level are quite slow, the GIZ has started land planning work with two pilot provinces South-Kivu and Maniema with the goal of eventually amalgamating the work done with the pilot provinces into the national process. At the time of this study, data gathering in the provinces had already started. The working alternatives for the two pilot provinces will assist a committee composed of provincial governors and ministers and representatives of customary authorities, the administration down to the level of sectors, civil society and NGOs as basis for strategic land use decisions. This process is integrated with the development of a national REDD+ strategy. Also, the final decision on the competencies for ETD will depend to a

440. World Bank [Approval of funds for biodiversity protection](#) [accessed March 2014]

certain degree on the experiences gained by these pilot processes, particularly with regard to the question, will ETD have the full responsibility of the management of all local resources, or will it primarily fulfil control tasks including levying taxes, auditing and monitoring concessions it issues licenses for.

4.3.4.2 PBF protected area component and KfW ICI funds

The protected area component of PBF supports the National Institute for the Conservation of Nature (ICCN) responsible for the management of protected areas in DRC and improving the quality of management. The overall success indicators of this PBF component specified in the action plan are: (1) to implement two standardized management instruments in eight protected areas: Salonga, Ngiri, Lomami, Kundelungu, Kahuzi Biega, RFO, Maiko, Upemba; (2) to significantly reduce the magnitude of damage by illegal activities such as illegal wood cutting and poaching in at least four protected areas; and (3) to increase the satisfaction of neighboring populations with community conservation as a contribution to the administration of the park.

To achieve these indicators, GIZ invests in building capacity of governmental staff and networking between the eight parks, and possibly others, as well as supporting the management of buffer zones including specific actions such as conflict management. Special emphasis is given to the integration of local people from in and around the protected areas into co-management schemes. Particularly, the Kahuzi Biega National Park has become a kind of model for co-management between governments and communities in

DRC. Here a consultative committee has been established composed of representatives from the government, funders, civil society, indigenous peoples and women's groups. The committee meets once a year to give their input to park management. Other co-management processes refer to the department of community conservation within the ICCN that consults with communities, mostly those undertaking alternative livelihood projects in buffer zones. In some parks, communities are also employed to establish the park boundaries with the park authorities.

Complementary to this, the KfW provides financial support to run the protected areas. Until about 2017-2018, the KfW, within the framework of PBF, will have supplied DRC with some €35 million from the BMZ designated to six key domains: (1) the National park of Kahuzi Biega, (2) the Réserve de Faune à Okapis both implemented by GFA since 2010, (3) the National Park of Kundelungu possibly implemented by Agreco consulting, (4) the projected National Park of Lomami currently coordinated by a GIZ-mandated consultant who advises the local ICCN office, (5) the southern part of the Parc National de la Salonga and (6) the Réserve Naturelle de Ngiri coordinated by WWF.

4.3.4.3 PBF Framework Conditions Component

The Framework Conditions Component of PBF concentrates on supporting the MECNT and the ICCN to strengthen their institutional capacities. The overall indicators of this PBF component specified in its 2013-2016 action plan are to: (1) outline the strategic orientation of the national sector programs on the basis of the ministerial monitoring reports; (2) implement at MECNT and ICCN effective human re-

source management mechanisms that are sensitive to gender and oriented towards capacities; (3) create a manual for human resource management that describes policies and related processes; (4) by 2020 have 350 students successfully graduated from the newly established course for the management of renewable resources; and (5) in combination with PBF component 1, develop a concept for the implementation of forest zoning in at least two of the provinces considered by PBF.

In practice the GIZ worked within this component in two fields of action in particular, giving technical support to the government for updating the national forest program (Programme National Forêts et Conservation de la Nature – PNFoCo) and after it was renamed to 'Programme National Environnement, Forêts, Eaux et Biodiversité' (PNEFEB), and capacity building chiefly targeting MECNT human resources. Beyond providing training courses in administration, management and technical skills to staff of all 19 MECNT departments, GIZ also helped in the creation of a long-term plan for the management of staff and the implementation of computer software to manage the recruitment, performance and changes in the staff. The GIZ also worked with the MECNT to specify job descriptions formerly inexistent. Consecutively, GIZ assisted MECNT, in cooperation with a consulting firm, in improving administrative processes such as for the control of wood shipments at the border. These processes are being streamlined by a consulting firm working with the MECNT.

The framework component also targeted the academic sector. Thus, the GIZ has also contributed to establish PhD, MSc and BSc courses on sustainable resource management at several universities in six DRC

provinces, particularly focusing on the University of Kisangani that have a long history delivering environmental courses. The assistance included the provision of facilities and in curricula development.

4.3.4.4 PBF Certification Component (C4CF and PPECF)

The PBF Certification Component (C4CF), started in 2010 and is almost finished except for some final activities to be approved by MECNT.⁴⁴¹ The overall objective of the C4CF is to develop and strengthen the capacities of timber concessionaires in DRC to achieve FSC certification. The C4CF component is financed by KfW with €1.7 million made available to MECNT. The implementation however is being coordinated by WWF with the support of GIZ. Essentially, the component is supported by two large timber companies, SIFORCO and SODEFOR. However in 2011, SIFORCO dropped out due to the allegations of human rights violations by the company. Consequently, only around €1 million was spent by the end of 2013.

Since April 2012, C4CF has been replaced by the regional program PPECF (Programme Promotion de l'Exploitation Certifiée des Forêts) supported by KfW with a total budget of 10 million over 3 years. Also, PPECF supports FSC-certified logging companies in the region with funding for studies and training.⁴⁴² The program is implemented by GFA Consulting. Although PPECF targets the basin countries, in practice there is a strong focus on a few companies in Cameroon.⁴⁴³ For its activities in DRC in 2013, the PPECF signed a contract with WWF to facilitate the application of PPECF funds to timber companies in DRC. The total amount has been removed from the TORs, unlike oth-

441. WWF 2013

442. [PPECF](#) [accessed February 2014]

443. CBFP [Coopération financière avec la COMIFAC](#) [accessed February 2014]

er contracts available on the PPECF website. In addition, two smaller contracts were signed with the WWF: one contract worth €21,675 over 5 months to support the Batwa indigenous people's participation in forest management around SODEFOR concessions; and another one worth €87,809 over a year to increase the capacities of the National Office for Forestry Certification (BNCF), including purchasing computers and organizing meetings.

4.3.5 Scope, instruments and strategies

The scope of the German funded forest related project in DRC shows there is a clear emphasis on biodiversity conservation. Also forest use plays a major role, while local livelihood goals are considered only as secondary objectives in ten out of the 13 on-going forest program funded by Germany (Table 4-13).

Seven of the 13 ongoing German funded projects in DRC were plainly aimed at the conservation of biodiversity, particularly through the effective management of protected areas, and to a minor degree by encouraging large timber concessionaires to obtain FSC certification. Two of the programs were dedicated to forest use and ten of the programs had forest use as a minor objective. Only one program did not refer to forest use at all. None of the programs had the objective the improvement of local livelihoods as the primary

goal; however, 10 out of 13 programs had intentions to make improvements to local peoples living in and around protected areas or timber concessions. They had measures in place for the co-management of protected areas, income generation in buffer zones and negotiations, should they be needed, for conflict resolutions in timber concessions. Only three programs completely disregarded local livelihood issues.

The analysis of the program documents revealed a strong emphasis of instruments targeting the forest administration. Thus, most frequently, the programs considered instruments aiming at strengthening the forest administration. Although most of these instruments had an indirect influence on the private sector and communities, these actor groups were targeted to a much lesser extent. While some of the identified instruments favored logging companies, instruments targeting communities were largely limited to the support of local people in and around protected areas and logging concessions, often in the form of pilot initiatives (Table 4-14).

International partners engaged in the forest sector in DRC are obliged to collaborate with MECNT and ICCN. Also, the German forest cooperation understands that a strong forest administration is critically important for protected areas and timber concessions to be well managed. Accordingly, instruments targeting forest administration dominate the programs.

Table 4-13: Goals of ongoing German funded development projects in DRC with forest relevance (13 projects with a total budget of €156.2 million)

Goals	Stated as major goal	Considered as a side objective	Not addressed at all
Number of projects (related budget in million euros)			
Biodiversity Conservation	7 (70.5)	6 (85,7)	0
Forest Use	2 (6.4)	10 (147.8)	1 (2.0)
Local Livelihoods	0 (0.0)	10 (143.7)	3 (12.5)

The program documents suggest that this is expected to indirectly also contribute to improving local well-being. The most frequently named instruments are related to policy formulation and planning and capacity building in relevant governmental agencies at national and provincial levels. Much less frequently named instruments are those related to REDD+ activities including the gathering, processing and analysis of data and monitoring mechanisms. Timber industries are indirectly addressed by many of the same instruments mentioned for the governmental sector. The effective governance of timber concessions is a priority for both the forest administration of DRC as well as the German forest cooperation. Accordingly, some instruments promote

FSC certification of (mainly large) logging companies. Local people are primarily addressed through instruments applied in the framework of protected areas and to a lesser extent, forest concessions. But instruments directly supporting local communities in the management of forests, are limited to some pilot initiatives. This corresponds with the observation that the goal for improving local livelihoods is always there, but not always a priority. It is primarily professionally managed those protected areas and timber concessions governed by an effective forest administration that are expected to achieve the threefold goals of economy, ecology and social issues.

Table 4-14: Prominence of instruments in ongoing programs of German Cameroonian bilateral forest related development cooperation

Private Sector	Communities	Forest Administration
Instruments frequently and explicitly named in the program documents		
		<ul style="list-style-type: none"> – National forest policies and forestry programs – Development and implementation of administrative institutions
Instruments occasionally named in the program documents		
<ul style="list-style-type: none"> – Certification systems – Training and capacity building – Agricultural development and improvements – Development and improvement of market access and infrastructure – Development of tourism and ecotourism 	<ul style="list-style-type: none"> – Awareness building and environmental education – Development and support of participatory institutions and co-management schemes – REDD+ pilot projects – Support of climate change adaptation – Training in sustainable forest use and management 	<ul style="list-style-type: none"> – Protected area networks and integrated conservation – Education and training of staff – Aerial surveys, satellite imagery, and GIS mapping – Socioeconomic and ecological studies – REDD+ preparation, carbon studies and climate change modelling – Facilities for forest surveillance, patrolling and protection
Instruments rarely or not named in the program documents		
<ul style="list-style-type: none"> – FLEGT process – Re- and afforestation projects – Studies – Extraction and marketing of timber – Training in reduced impact logging (RIL) – Development and implementation of forest management plans according to SFM principles – Infrastructure development including machines, transportation facilities, buildings, and roads 	<ul style="list-style-type: none"> – Development and support of participatory institutions – Networking on the regional, national, and international level 	<ul style="list-style-type: none"> – Zoning and land use planning on the national and regional level – Development of strategies and instruments to implement policy objectives – Support for academic and educational institutions – Development and implementation of forest monitoring systems – Compilation of forest and biodiversity inventories, surveys and studies – Development of reference emission levels, and measuring, reporting and verifying (MRV) systems

Most of the current German funded forest projects in DRC are complex and follow an integrative approach which is well reflected by the fact that the mean amount dedicated per project, initiated in 2002 to 2005 was, around €2.04 million. This amount however increased to €8.23 million for projects which started during 2010-2013. The programs follow a multi-level approach consisting of technical and financial cooperation modules followed by their operational integration. Still, the programs focus the transfer of German know-how in the classic field of forest administration, including policy development, and administrative problems along with sustainable forest management. In the more recent programs, the German forest cooperation is at least trying to push forward those mechanisms within formal schemes of management and control that better consider the concerns of communities. This is happening particularly when international NGOs are involved in the framework of protected areas and timber concessions.

4.3.6 Effects

The German forest cooperation has a strong influence on forest administration particularly in the forest ministry MECNT and the governmental agency ICCN responsible for protected areas. One GIZ employee stated that '... he could redact a policy document and just put it on the table of the Minister who would then sign it...'. It seems that technical advisors in general have a strong influence on the decision making processes in the Ministry. One person said that the previous Minister '...wouldn't do anything ... without his technical advisors'. After the withdrawal of the French technical assistant, Germany appears to be the only country that

still has technical advisers at the MECNT and ICCN.

However the ministry is a challenging context within which to work in. Interview partners describe a government without a clear strategy and or effective leadership. It has also been stated that from a total of about 18,000 employees at MECNT and another 2,200 at ICCN, only a small proportion come to the office every day. Many of them lack of proper qualifications and corruption is omnipresent. In comparison to other ministries MECNT plays only a minor role, and we were told that a modest proportion of the budget MECNT has is actually available.

Despite this challenging environment, the German forest cooperation has had some major achievements such as making the administration of concessions and protected areas in DRC more effective, as well as increasing the economic contribution of forests to the national economy. First of all, the manifold efforts to improve the human resource management had positive results at all levels, most importantly regarding administrative and managerial staff. Also, the management of (limited) finances including the German funding has significantly improved. And especially the 'Programme National Environnement, Forêts, Eaux et Biodiversité' (PNEFEB) apparently has a very solid fund management strategy in place. The PNEFEB and thus the revision of the National Forest Plan, is an important success. Mainly because the process has contributed to a better exchange and communications between relevant actors, but also because the plan provides urgently needed strategic guidance for the development of the forest sector. Also, German involvement in the land use zoning initia-

tive in selected pilot provinces has been identified by several people as essential, most importantly because having improved the communication between national and provincial governmental agencies. Formerly, this was nearly absent. This positive communication effect, between national and provincial agencies is also relevant regarding the German support for decentralization and the establishment of ETDs. In fact, German support for building up information capacities and logistics for local governance, facilitating exchange among the sectoral administrators, the new provincial ministers and the provincial division chiefs, as well as the process for re-organizing the organic framework for the MECNT has contributed to the urgently needed, but slow, process of harmonizing the understanding and implementation of decentralization. The main beneficiaries of this program are the central government's forest institutions and the provincial and local administrations.⁴⁴⁴

Nevertheless, there have also been some critical statements concerning Germany's strong engagement with DRC's governmental forest organizations. Most importantly these criticisms refer to a lack of transparency, being too integrated into the government agenda and possibly shortcomings in the support required for certain strategies and instruments.

We also experienced a lack of transparency in our search for accessible information about programs and projects funded by the German forest cooperation. While it was possible to find at least some general descriptions for most of the programs, performance evaluations were rarely available. Thus, without the openness of the employees of the German forest co-

operation who provided information and made critical comments, it would have been almost impossible to retrace German funds to the specific activities have been applied and to what effect? Also, PNEFEB as a national program, is not very transparent. One person said that the PNEFEB is seen as a German program done in conjunction with the DRC government, but very few consultations with other international funders are ever made. Indeed, we were not able to find the PNEFEB online and some key civil society actors were not even aware of its existence.

It also seems that processes such as land use zoning consciously disregarded the possibility for stakeholder consultations. Despite the fact that resource management rights (fishing, hunting, collecting) in given forest areas with a multitude of different tribes is usually well (however informally) organized around tribal affiliations in informal ways, one of the interviewed GIZ staff felt it was not possible or necessary to start zoning talks at the village or community level. Another staff claimed '...it is not possible to go into each community to ask for their opinion. What is important to us is that those in charge decide on the direction they want to take...'

Actually, the interviews revealed that governmental institutions in DRC suffer from severe problems when it comes to connecting traditional authorities in remote forest areas – which includes every area outside urban centers. The infrequently paid, poorly educated and unmotivated ministerial staff is unlikely to seriously negotiate over land demarcation with local authorities, which on their side show a profound distrust and disrespect towards any governmental agency. The

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⁴⁴⁴. Moby et al. 2013

current staff of the World Bank experienced great difficulties in advancing with their zoning approach. They report that at the local level support was very strong but much slower than the less participatory but much faster top-down approach supported by the GIZ.

Nevertheless, the lack of consultation and participation of the local stakeholders suggests the insufficient consideration of local interests. This may jeopardize the possibility for establishing peaceful long-term relations between communities, as well as between communities and stakeholders from the private sector and the state. Some of those interviewed mentioned that the demarcation of logging concessions requires a visit to the area in order to see the places that communities use and have rights to. Failing to do this, always results in conflicts because some communities end up being pushed off of their lands. Another employee added that ‘... rights holders would also have a say in the management of these forests...’, although exactly how that would be done was not clear.

There have also been concerns regarding the decentralization process supported by the German forest cooperation. Some civil society members report that ETDs do not necessarily represent their populations very well. Some academic literature criticizes the corruption and despotism of the ETD and their lack of technical capacities.⁴⁴⁵ It is claimed that solid accountability mechanisms and support to negotiate with private actors will reduce the risk of serious negative impacts on people if ETD is given the authority to manage the land. When concerns with the effectiveness of the ETD to manage land were presented to a German cooperation employee, he asserted that their effectiveness primar-

ily depend on the person at the head of the ETD, that democracy needed to be learned, that the current situation would be incapacitated if more governance was given to the people because they have to first learn to make decisions amongst themselves. He argued that ETD funding could be attached to conditions on local governance.

Finally, some of the civil society representatives that recognized the positive influence of German forest cooperation on national agencies also stated that in consideration of its strong position within the Ministry, there might be opportunities for even greater influence when it comes to issues of local rights in and around forest concessions and protected areas. The same applies to the informal forest sector which is completely ignored simply by being considered illegal. Instead, the German forest cooperation mainly supports the mainstream policies of the government, mainly those directed to the interests of the private sector, including international timber companies and a few larger protected areas.

4.3.6.1 Timber concessions

In DRC concessions are promoted by the State and by the cooperating German forest cooperation as key instruments to manage public forests. For the government the main purpose is the generation of revenues and the initiation of economic development in remote rural regions, while for the German forest cooperation the protection of forest through professional forest management is the central idea. Despite these differences both primarily promote large international companies, and particularly those perceived as having the required capital resources and know-how and are able to make the

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⁴⁴⁵ Englebert 2012

expected payments and implement the proper forest management practices. In recognition of its own limitations in pushing forward the economic development in rural areas, the state strategically places that burden on capitalized actors, such as timber companies.

It is estimated that on average timber concessions provide jobs for 2.7 workers per 1,000 ha⁴⁴⁶, which corresponds to 27,000 workers for the 10 million ha timber concessions in operation. The harvest of 300,000 million m³ annually generates approximately US\$40 million which amounts to 5% of the national GDP.⁴⁴⁷ This is much less than the informal sector produces, particularly when considering the large market for fuel wood. However, the industrial sector is essential to the advancement of sustainable forest management. It develops large forest areas that are generally isolated, generates some benefits for locals, contributes to the development of infrastructure in remote regions and provides tax revenue for the state.⁴⁴⁸

However, these expectations are a significant administrative and financial burden to the logging companies. Thus, even though national small and medium enterprises interested in acquiring FSC certification tend to be targeted early on by donor programs, in practice, just as it happened in the PBF C4CF component and the regional PPECF program, programs end up supporting mostly large companies who are the only ones with the required resources, capacities and interest. This in turn constitutes a redistribution of cooperation funds to companies with European capital. It is acknowledged that projects promoting FSC certification in large companies are useful to show the timber sector the way forward. A consul-

tant working in the forest sector said that through the exclusive support of 'good' companies, the project acts an incentive for other companies to get FSC certification. Another positive point in this regard is that, at least PPECF has a website to share lessons, experiences and has a certain degree of transparency. On the other hand, although the final report of the C4CF component indicates that most of the planned results have been achieved,⁴⁴⁹ it appears as though none of the timber concessions that received support in DRC have managed to obtain FSC certification. Alarming, concessions originally supported by companies were decertified due to human rights violations. Despite the new forest law, the application of decrees and a new institutional mechanism, the forest industry, facilitated by legal confusion, an ineffective control system, the irregular allocation of logging titles and a shortage of qualified personnel and appropriate materials, tends to continue operating outside of the law.⁴⁵⁰ An interview partner explained that the implementing consulting firm had to ask for special permission to support companies that showed an elevated level of interest to the certification process. Contrastingly, within the regional PPECF program companies were supported although they already were FSC certified. In view of this, interviewed employees from GIZ and KfW stated that under these conditions supporting such companies doesn't make sense, and that it might be more straightforward to not interfere with the market forces and concentrate on tackling illegal operations to improve their performance.

The most critical aspects behind the support of large timber companies are not technical but social. For example, in 2008 the German Danzer group was accused of tax evasion by Greenpeace. Also conflicts

446. Ruiz Perz et al. 2005

447. DFID 2007

448. Debroux et al. 2007

449. WWF 2013

450. Counsell 2006, Global Witness 2007, Greenpeace 2007, Mpoyi et al. 2013

between communities and companies are common in DRC, particularly companies that receive benefits from German funded governmental programs. For example, in 2006 prior to the initiation of the C4CF component, communities claimed that Siforco (owned by the Danzer group) had not fulfilled social commitments⁴⁵¹ that were in the contract. The failure to fulfil development promises was why people in Yaliska renewed their protests,⁴⁵² which in 2011 were violently beaten down by the military (with one reported death and documented sexual assaults).⁴⁵³ Siforco provided vehicles and funding for this action, but declared that they had no prior knowledge of the vehicles intended use. After Global Witness and the European Centre for Constitutional and Human Rights filed an official complaint in Germany against a senior Siforco manager in 2012, Danzer sold Siforco as well as COTRACO, its transport branch in DRC. A year later, after a complaint by Greenpeace, Danzer lost its FSC certification.⁴⁵⁴ Nevertheless, according to the German embassy in DRC, some of Siforco's production still gets exported to Germany,⁴⁵⁵ and it still receives funds even though the company has been accused of human rights violations.⁴⁵⁶ Despite these serious setbacks there are still no criteria nor mechanisms in place to decide how companies with such a mixed track record in DRC should be handled.

However it is widely recognized that the German forest cooperation in particular is concerned with improving local peoples' rights and interests in timber concessions. Interview partners involved with the regional PPECF program in DRC reported several measures taken in favor of workers and local people related to concessions. One measure was to have a risk analysis done of forest industries to

increase the protection of workers in the concessions, another was to support participatory mapping to SODEFOR by WWF in DRC and the mapping of areas with High Conservation Value at the SODEFOR concession in DRC. Nevertheless, representatives of civil society organizations also stated that within the C4CF there was insufficient time given (just a few days) to work with communities to decide on the social clauses that the company would fulfil and that the C4CF did not give them the relevant laws in writing. Several people even said that the project was skewed towards the companies when negotiations to settle the social contracts with communities were being done.⁴⁵⁷

4.3.6.2 Protected areas

In DRC, as in many other countries with significant forest areas remaining, the German forest cooperation as well as many other donor countries, massively promotes the demarcation and effective management of large areas of forest land as protected areas. In the basin protected areas have been found to be effective in preventing deforestation, however they were much less relevant when it came to preventing degradation and loss of biodiversity, for example due to bush meat hunting and agricultural and forest land uses. There are strong indications that for DRC the effects brought about by deforestation are largely because the vast majority of protected areas are located in very remote locations. Additionally, it needs to be emphasized that not all threatened ecosystems in DRC are considered. Thus, while there are relatively large areas of interior lowland forests protected this is not the case for the Albertine montane forests of eastern DRC.⁴⁵⁸ There is a concern that protected areas in DRC are not sufficiently consolidated to withstand the

451. Global Witness [Pandering to the Loggers: WWF fails to address key concerns outlined in Global Witness report](#) [accessed February 2014]

452. Radio Okapi [Bumba: conflit entre la population et Siforco](#) [accessed February 2014]

453. Businessweek [Danzer denies human rights abuses in Congolese forest village](#) [accessed February 2014]

454. TT-Online [FSC terminates relationship with Danzer](#) [accessed February 2014]

455. [German Embassy in Kinshasa, DRC](#) [accessed February 2014]

456. WWF 2013

457. Global Witness [Pandering to the Loggers: WWF fails to address key concerns outlined in Global Witness report](#) [accessed February 2014]

458. Blom et al. 2004

increasing demographic pressure and economic interests.⁴⁵⁹ It is likely that all protected areas in DRC suffer from enormous problems.

Protected areas in DRC are chronically underfunded, often they receive less than half of the funding needed to pay for salaries, enforcement, and long-term monitoring.⁴⁶⁰ Some interview partners mentioned that some parks receive no funds at all, and that available funds primarily go to some few famous National Parks such as Kahuzi Biega. Accordingly, the management staff in most of the parks is often insufficient, seriously underfinanced and underequipped. Thus, encroachment by bush meat hunters, illegal loggers and small-scale farmers are the norm. Many protected areas suffer also from the presence of armed groups who limit access, obstruct conservation activities and engage in poaching.

The German forest cooperation, as do most other donors, supports the efforts of ICCN to shift away from the old paradigm of park management under which all social and economic activities were banned and inhabitants forced to leave. The new approach focuses on participatory management and on preserving indigenous people's traditional rights.⁴⁶¹ Nonetheless, human right violations remain a major problem with protected areas in DRC. This issue first became well known to the public in the 1960s, when the Twa indigenous people were evicted from the Kahuzi Biega forest by ICCN with the support of the military and without any type of prior consultation or subsequent compensation.⁴⁶² Experience has shown that resettlements, forced or negotiated, invariably result in a loss of culture and the impoverishment of the affected indigenous people.

Given that Germany is currently the largest funder of protected areas in DRC, it is likely that it has a very strong influence on ICCN's work. For example, the recent creation of the Lomami National Park was described as very donor-driven. As described above, the engagement of the German forest cooperation also significantly enhanced the qualifications of the staff managing protected areas and that they had adequate equipment. The German forest cooperation is also perceived as the driver behind significant improvements in the formal establishment of well-designed diligence processes. They should ensure that the local rights and interests are fully considered during the process of establishing and then managing protected areas. Other positive steps, originating from German forest cooperation, are efforts to enable local people to control their natural resources the related co-management roles. One German forest cooperation employee explained that the Kahuzi Biega National Park served as a trial for co-management between government and communities in DRC. This co-management approach has moved forward in several ways. There is a consultative committee that meets once a year to give input on how to manage the park. The committee includes representatives from the government, funders, civil society, indigenous peoples and women's groups. The German programs supported community representatives, especially indigenous people so that they can get their arguments heard in this new formal setting. The German forest cooperation also initiated co-management processes at the 'Department of Community Conservation' within the ICCN that consults with communities primarily on alternative livelihood projects in the buffer zone. Several groups work on ecotourism or REDD+ as a means to generate revenues for the local

459. Joppa et al. 2008

460. Wilkie et al. 2001, Inogwabini et al. 2005

461. [World Bank](#) [accessed March 2015]

462. Barume 2000

population, but also to finance the management of the park as well as to compensate for lost tax revenue from the opportunity costs of forgoing development in a park area.⁴⁶³ The provision of alternative livelihoods is seen as a way to prevent people from going inside the parks to hunt bush meat or gather firewood. In other parks we were told that the communities were paid to do the demarcation together with the park authorities.

From the perspective of the German forest cooperation there is a clear commitment to push forward this co-management approach, however the ICCN in interviews has said that it is not too enthusiastic about this. Therefore, this issue is handled quite carefully to avoid failure by losing the possibility of influencing the national authorities. This argumentation demonstrates the magnitude of the challenge involved in cooperating with a dismally underfinanced and poorly qualified forest administration that relies on top-down approaches and often has extremely different attitudes and employees that mostly follow their own personal agendas instead of goals set by third parties. This problem is further aggravated by apparent passivity or the inability of the German forest cooperation to properly monitor their contributions on the ground.

Another difficulty emerging from cooperating with the governmental agencies in DRC is a possibly existing co-responsibility for the ongoing human right violations committed by MECNT and ICCN. For example, one interview partner, not part of the German forest cooperation, reported that the due diligence process that should be done prior to the establishment of a protected area often does not happen. Thus, while it might take a long time and significant amounts of funding

to convince the government to establish a protected area, the specific decision might in fact have been abruptly made without any type of consultation, thereby overnight making the local communities living in the area and using the forests illegal. Thus almost from one day to the next they have lost their basis for making a livelihood, and their rights are made to live under the threat of getting arrested and prosecuted.

Another source of ongoing human rights violations coming out of the interviews was related to the brusque behavior of the ecoguards hired to patrol the parks. Often they are military personnel, heavily armed and mostly poorly trained especially when it comes to maintaining good relationships with the local people. On the other hand, the ecoguards find themselves operating in very difficult conditions and are themselves confronted by armed groups also moving in the same areas. Although the German forest cooperation finances training for the ecoguards contracted by ICCN, they continue to act as paramilitaries that do not always respect human rights when enforcing park regulations.

Another ongoing problem associated with protected areas is the issue of re-settlements and compensation. An example is the case of the designate national park Lomami. GIZ employees claim that all indigenous people that left the designated park area were compensated and willing to leave in return for improved access to public services.⁴⁶⁴ However, the NGO, OSAPY reported that one hundred indigenous Batwa and Bangengele people and one hundred Moblé people were evicted without consultation and compensation. In addition, paramilitary groups involved in elephant poaching inside the park used

463. Wilkie et al. 2001

464. In July 2015, an employee from GFA explained that there is currently only the village Obenge situated inside the park for which relocation to an area adjacent to the park has been projected already in 2007 when activities for demarcation of the park began.

their power to displace people from villages in the Orientale province adjacent to the park. In another case, one civil society interview partner told us that expulsions are planned for the Salonga National Park, but the KfW wants this kept from official documents. Although it was not possible to prove these statements and accusations, they might go a long way to explain the underlying problem.

The responsibility of the German forest cooperation, with regards to risks of human rights violations linked with parks, is arguably limited by the fact that it is not officially responsible for the management of the parks, and that the most drastic cases of evictions in DRC happened before the Germany started working in protected areas in 1985. Nevertheless, representatives of civil society organizations remind us that the human rights of local populations are still being disregarded in the context of protected areas and that ICCN's management practices do not always comply with international human rights standards. Many indigenous people that left their lands in national parks are now found living in squalid conditions without any access to their customary lands within the park. In view of this, several interview partners argued that the German forest cooperation should put stricter conditions on the government so that it must work more diligently to ensure human rights are respected. After all they are at least partly responsible for human right violations should they happen, especially in cases where they provide project funding while being aware of the problems and practices. In their defense, staff from the German forest cooperation emphasize that their engagement is the only reason that the situation will improve at all.

4.3.6.3 Community Forests

In DRC, local people are exceptionally involved in informal forest activities that supply substantial domestic markets with fuel wood, timber and other forest products. In fact, small-scale logging which mainly operates in forests near roads provides many more jobs and goods and offers inexpensive products to the urban consumer compared to the formal sectors. It is estimated that the informal sector produces 2 million m³ of timber yearly generating US\$50 million, however even more significant are the 72 million m³ of fuel wood harvested annually with a value of US\$1 billion.⁴⁶⁵

The activities of the German forest cooperation widely disregard the importance of this informal sector despite there being opportunities for meaningful interventions.⁴⁶⁶ Instead, Germany prioritizes formal forest management and the formalization of the forest sectors. Formalization is categorically seen as a fundamental prerequisite for good forest governance. Accordingly, it promotes the integration and adequate consideration of the rights and interests of local communities in formal management schemes. This includes, as one facet, the legally authorized management of forests by local communities.

However, community forestry, based on legally authorized management plans, other than a few insufficiently documented pilot projects, do not play a role in DRC. Many civil society organizations have promoted a Community Forest Law that was initially pushed by DFID through pilot projects while simultaneously advocating for adjustments to existing regulations and the drafting of decrees needed to implement such a law.⁴⁶⁷ Also, the

⁴⁶⁵. DFID 2007; Lescuyer et al. 2014

⁴⁶⁶. Lescuyer et al. 2014

⁴⁶⁷. DFID [Congo Basin Forest Fund](#) [accessed June 2015]

German forest cooperation is active regarding this Community Forest Law and provides advice to the Ministry. However, interviews have revealed that the German forest cooperation is not entirely supportive of the law. For example, one GIZ employee stated that community forestry is 'medieval' and an 'Anglo-Saxon fantasy'. Although other interview partners did not word it quite as strongly, their statements had the same intent. Currently, the decree is awaiting the signature of the Prime Minister, but as stated by some interview partners within the German forest cooperation, the law will never pass.

However in August 2014, the government of DRC did bring into force the Community Forestry Law, although generally perceived as highly progressive, it still has serious shortcomings that might affect its functionality. They are,⁴⁶⁸ that community forestry is limited to forests categorized as Protected Forests thereby excluding thousands of communities that occupy and use lands that fall within other forest classifications; that the mechanisms to prohibit serious corruption and rent-seeking behavior for example elite capture are missing, and the threat that this institutional space gets exploited by industries to bypass the moratorium for industrial logging is real.

⁴⁶⁸. Rainforest Foundation 2014

5 Final Reflections

5.1 Methodological shortcomings and limits of interpretation

5.1.1 Sources of information

This report strongly relies on the reviews and analyses of publicly available statistical data and reports from programs of the German forest cooperation. In addition, we used scientific studies that have analyzed the forest sectors of Cameroon, DRC and Indonesia focusing on the challenges encountered with timber concessions, protected areas and community forests. Many of the consulted studies rely on the analysis of one to few case studies, but there are also remarkable studies that have managed to generate more comprehensive studies. Also environmental and social NGOs provide a large amount of what is often carefully gathered information on their internet sites. Civil society organizations regularly use this information as a basis for their advocacy statements. This study has explored these diverse sources as best

as possible and occasionally complementing the available information with own observations made during short field visits to Cameroon, DRC and Indonesia.

5.1.2 Lack of information about the programs from the German forest cooperation

Being primarily a desk study, this report relies on the quality of information provided by the consulted statistics, reports, books and articles. It therefore cannot be guaranteed that all details presented are perfectly correct. In particular it has been very difficult to find and obtain reliable information about and from the German forest cooperation. Despite commitments made to transparency and citizen-friendly information policies⁴⁶⁹, the published information for most of the programs and projects is very poor. Even in the few cases where more detailed information has been available on web sites, it was generally not possible to reliably determine the relevance and importance of the instruments and activities described. Most importantly, information about potential problems and lessons learned has been

⁴⁶⁹ DKF 2014 [Qualitative Aspekte in der Klimafinanzierung aus Deutschland](#) [accessed October 2014]. According to their survey of projects of German development cooperation with regard to climate change mitigation, publicly available information has only been available for about half of the BMZ funded projects.

missing completely. **Table 5-1** provides an overview of the quality of available information about ongoing programs provided by the funding and implementing organizations.

From the 22 ongoing programs in the three case study countries, with a total budget of more than €160 million, only elementary data such title, budget, program start date, sector and policy marker were available. Moreover, online information provided by different sources was frequently inconsistent. Some programs mentioned in one database were missing from other sources or were listed with dif-

ferent names and details. Only 12 of the programs had a somewhat satisfactory level of information availability, which included some additional information on objectives, target groups, instruments, activities, and results. Particularly the programs implemented by KfW and NGOs had major information deficits. Even though GIZ generally had a better information policy, it was still unsatisfactory.

Particularly regarding Cameroon, the level of program information was deficient. Information on objectives, instruments, target groups and results were found, and recorded in the IATI data base,

Table 5-1: Quality of information provided for ongoing programs

	Level of information (number of programs and related budget)		
	Elementary	Incomplete	Satisfactory
All three case study countries			
GIZ	1 -> €5 million	1 -> €4 million	7 -> €120 million
KfW	7 -> €102 million	4 -> €63 million	4 -> €34 million
NGO	10 -> €3 million	-	1 -> €2 million
n.d.	4 -> €52 million	-	-
All	22 -> €162 million (42%)	5 -> €67 million (17%)	12 -> €156 million (41%)
Indonesia			
GIZ	1 -> €5 million	1 -> €3.4 million	4 -> €47 million
KfW	2 -> €34 million	2 -> €17 million	3 -> €32 million
NGO	7 -> €2 million	-	-
n.d.	-	-	-
All	10 -> €40 million (30%)	3 -> €21 million (15%)	7 -> €79 million (57%)
Cameroon			
GIZ	-	-	1 -> €19 million
KfW	2 -> €28 million	-	-
NGO	-	-	-
n.d.	3 -> €42 million	-	-
All	5 -> €70 million (78%)	-	1 -> €19 million (22%)
Democratic Republic of the Congo			
GIZ	-	-	2 -> €53 million
KfW	3 -> €41 million	2 -> €46 million	1 -> €3 million
NGO	3 -> 1 million	-	1 -> €2 million s
n.d.	1 -> 10 million	-	-
All	7 -> €52 million (33%)	2 -> €46 million (30%)	4 -> €58 million (37%)

for only one of the six ongoing programs implemented by GIZ. For the two programs that, according to IATI data, were implemented by KfW, no information at all was found on the KfW website. And for two more programs practically no information at all was available. Generally, the level of information about programs in DRC was slightly better, yet for only four of the 13 ongoing programs was there more comprehensive information available. For example, the one page description found on the GIZ website, about the major forest program in the DRC, the 'Programme Biodiversité Forêts' (PBF), did not provide any budget details let alone anything about specific activities.⁴⁷⁰ In DRC again, the information provided by KfW proved to be deficient regarding almost all of their six ongoing programs representing a total budget of some 90 million EUR. For three of the programs only the most elementary information was made available but virtually nothing about objectives, instruments and target groups. Also, for two ICI funded programs, implemented in cooperation with the WWF, the information provided was largely incomplete and the same applied for three smaller projects entirely implemented by NGOs. Regarding the programs in Indonesia, the information made available by the funding and implementing organizations was an improvement when compared to that for the two African countries. For 7 of the 20 ongoing forest related programs, representing nearly 60% of the total funding, at least some information on objectives, instruments, target groups and results was available. However, the quality was very variable, and a far cry from satisfactory. For ten of the programs only very elementary data were available. Once more the information provided by KfW was much less than satisfactory when compared to GIZ.

The biggest criticism concerning the revelations from this study has been the nearly complete absence of published program evaluation results. This may be because there is a widespread policy of not disclosing internal documents. But, this is hardly justifiable with regards to evaluation reports done for the projects of the forest related development cooperation that are funded with public money. The German development organizations emphatically committed themselves to at least making summaries of the evaluation reports available to public, but they were not forthcoming. This is particularly concerning with regards to human rights issues. Since 2011 the German development cooperation has a Human Rights Strategy that was formalized in 2013 with the publication of corresponding guidelines.⁴⁷¹ Currently, the BMZ is also developing a grievance mechanism for people who feel that their human rights have been violated due to German development cooperation. However, it was not possible to learn how exactly the human rights issue is being handled, neither in the lengthy governmental negotiations that take place about the programs nor when it comes to the implementation of the programs. When asked, the BMZ simply stated that '...the BMZ checks human rights risks and impacts of projects on different levels and at different time points...'. But the reports, prepared by external evaluators or employees of the German development organizations, that document and reflect on the impacts of program activities on climate, governance, poverty, gender, biodiversity, conflict-sensitivity etc., are internal.⁴⁷² Interview partners from the German development cooperation stated that these assessments do not follow specific procedures and criteria but are based on the experience and knowledge of those involved in the design of the programs.

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⁴⁷⁰ GIZ [Conservation of biodiversity and sustainable forest management](#) [accessed February 2014]

⁴⁷¹ GIZ [Guidelines on incorporating human rights standards and principles](#) [accessed May 2015]

⁴⁷² Only in one case, it was possible to see such a report. It was of 15 pages long and responded to the one question in the form regarding the potential (negative) human rights effects with only one short sentence saying that the project was in line with human rights.

Specifically, the reliance was on the capacity of consultants contracted to monitor and evaluate the programs. In the end it is nearly impossible to assess the effectiveness of safeguards and measures to avoid negative outcomes of the programs because no public transparency exists, nor is there any accountability for such risk assessments.⁴⁷³ The willingness of the GIZ and KfW employees contacted at their headquarters in Germany to clarify questions and to share existing in-depth information was a disappointment. Most requests for information were answered with rather general statements or that the desired information was confidential.

5.1.3 Complementary interviews and field visits in the case study countries

The short-term visits to the three case study countries only partly compensated for the poor quality of the information about the programs, but they at least provided some understanding of the perspectives and experiences of relevant national stakeholders regarding bilateral German forest cooperation. Particularly in Indonesia, but also to a lesser degree in Cameroon and DRC, government officials, employees from German development organizations as well as staff from various international, national, and regional/local NGOs concerned with forestry issues were contacted in the capital cities. Moreover, in Indonesia field visits to various initiatives in different parts of the country were carried out. However, the selection of interviewees was not systematic, comprehensive, or representative. Thus, it should be taken into account that the information gathered and opinions obtained reflect the subjective opinion of a few people only. Also the few locations visited in the field

should be taken as examples rather than as being representative.

In contrast to the GIZ and KfW headquarters, the staff of the German development organizations we met in the recipient countries was generally very cooperative. They were available for discussions and responded to most of the questions asked. However, because of the miserably small amount of publicly available program information, a large segment of the interviews had to be spent gaining a basic understanding of the programs instead of discussing more substantial questions regarding the programs' effectiveness. Because there was no perfectly clear policy regarding transparency, it was largely up to individual employees as to what information and documents were made available. For example one employee gave us the action plan time table for one project, but the budget figures were not shown. Many employees refused to provide us with any documents at all. Furthermore, many of the interviewed civil society respondents were apparently not well informed about the forest relevant programs of the German development cooperation, even though most of them were working on forest issues or even had been involved in forest related activities involving the German development cooperation.

5.1.4 Representativeness of the three case study countries

Cameroon, DRC and Indonesia show significant differences in terms of national economic development and socioeconomic indicators. They can be placed along a gradient indicating their economic development, political stability, and deforestation dynamics. In this sense, they represent the spectrum of countries typically

⁴⁷³ An exception might be the ex-post evaluations realized by KfW three to five years after the end of the project. These reports are supposed to be made available online. However, so far, there had been no ex-post evaluations in the green sector in DRC or Cameroon, and once realized, these evaluations come too late to effectively prevent human rights violations.

Table 5-2: Environmental data of the case study countries⁴⁷⁴

	Cameroon	DRC	Indonesia
Population in rural areas (2013)	46.75 %	64.62 %	47.8 %
Forested land area (2011)	41.67 %	67.86 %	51.75 %
Annual change of forest area (2005-2010)	-1.07 %	-0.20 %	-0.71 %
Cultivated land (2011)	20.31 %	11.37 %	30.09 %
Conservation areas (2012)	11 %	12.05 %	14.7 %
Power consumption/capita (2011)	255.53 kWh	105.32 kWh	679.71 kWh
CO2 Emissions per capita (2010)	0.36 tonnes	0.05 tonnes	1.81 tonnes

associated with German forest cooperation. They range from the DRC, listed as a Least Developed Country and classified as a failed state, ranking 186th out of 187 countries according to the Human Development Index to Indonesia which is classified as middle-income country with a politically stable democracy, while the evaluations for Cameroon fall somewhere in-between. Regarding the environmental sector, the three case study countries show some similarities but also strong differences (Table 5-2).

All three countries have some of the world's largest remaining tropical forest areas and are often the focus of global discourses and policies concerning biodiversity and forest protection as well as climate change mitigation. Although forest cover in all three countries is still considerable, deforestation rates are particularly high in the economically more developed countries, Cameroon and Indonesia, where the percentage of cultivated land is also highest. Due to its comparatively long deforestation history, Indonesia also has the largest area of degraded and secondary forests, as well as a longer history of initiatives aimed at the promotion of sustainable forest management.

Due to the importance of forest goods and services, not only for their economic

relevance at the national level but also for millions of often poor forest dwellers in all three countries, the forest sector plays a crucial role. However, only in Indonesia, where a longer history of formalized forest management exists, is the regulatory and institutional forest framework consolidated to a certain extent. Although Cameroon lags far behind Indonesia, due to its relative political stability over decades, this country serves as an example for the development of the forest sector in central Africa. In contrast, DRC is still largely affected by its long history of civil wars that severely hampered the development of the country including the forest sector.

The three case study countries can be placed on a gradient indicating their economic development, political stability, and deforestation dynamics, thus they represent the spectrum of countries typically associated with German forest cooperation.

5.1.5 Limits of interpretation

Considering the time constraints, the limited availability and quality of information about the bilateral German forest cooperation programs and the subjectivity of the interviewees, whose selection was neither comprehensive nor representa-

⁴⁷⁴ BMZ [Countries](#), FAO [Statistics](#) [accessed September 2014]

tive, the findings presented in this report should be interpreted with care. Beyond any doubt the incompleteness, vagueness, and contingency of accessible information about the German funded programs seriously hampered the analysis. In large parts, the analysis is rather explorative and suffers from considerable limitations. In most cases, it was not possible to prove the correctness and reliability of the information provided in statistics, reports and publications. Doubtlessly, assessing the relevance of forest programs is a complex task and would require long-term in-depth studies involving social, cultural, economic and biological aspects, which are far beyond the scope of this study. All this has to be considered when interpreting the findings presented here.

Nevertheless, the use of diverse sources of information, the cross-checking of key information and the benefits of making personal observations contribute to the accuracy and relevance of the study. This is particularly the case for Indonesia. Considering the similarities found in the three case study countries with regard to the policies, programs and instruments of the forest sector, it can be further assumed that the findings presented here indicate, at least to some degree, general features and trends associated with bilateral German forest cooperation.

5.2 Lessons learned

5.2.1 Significant funds are injected into the environment and forest sectors

Every year international donors support countries in their development with significant amounts of ODA. The flow of

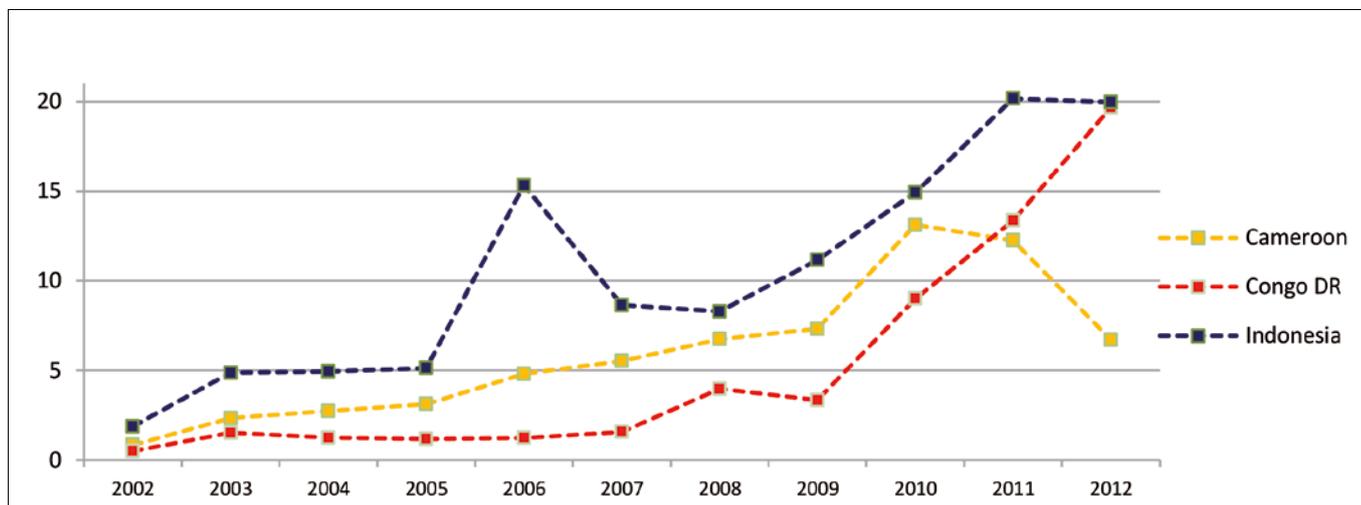
funds, the amounts, the beneficiaries, and the addressed sectors change over time. Particularly in countries with weak economies (e.g. DRC) and/or those in the focus of international donors (e.g. Iraq and Afghanistan), ODA is primarily provided in form of grants, and, at least temporarily, may represent a considerable share of the national GDP. Debt relief constitutes an important part of ODA as being the case in Cameroon and the DRC. Over the period 2002-2012, Japan has been the most important donor of ODA for the environment and forest sectors providing almost US\$6.6 billion. In the same period Germany provided some US\$2.6 billion for the environment sector (ranked 4th behind Japan, France and the USA), and another US\$602 million for the forest sector (ranked 3rd behind Japan and Norway).

Particularly in tropical countries that still possess large tracts of primary forest areas – such as the three case study countries – the ODA provided for the environment and forest sectors may be considerable. In Indonesia, almost 10% of all donor sector ODA between 2002 and 2012 went to these sectors. While ODA allocated to the forest sector primarily addresses forests and protection of biodiversity, funding for the environment sector may also target purposes not targeting on forests including, most importantly, energy. From 2002 to 2012, the three case study countries received about US\$3.1 billion in total from all donors for the environmental and forest sectors. Germany contributed nearly 8% of this amount. For all three countries, the amount of German ODA provided for the forest and environment sectors has been steadily increasing over this period⁴⁷⁵ (Figure 5-1).

Bilateral German funding for the 89 forest related programs in the three coun-

⁴⁷⁵ The spike in funding in 2006 for Indonesia represents the aid that poured in in the wake of the 2004 Tsunami. Funding for the Cameroonian forest and environment sectors decreased since 2011 in contrast to the funding trends for DRC and Indonesia.

Figure 5-1: Germany's forest and environment sector funding from 2002-2012 for Cameroon, DRC and Indonesia in million US\$



tries since 2002 amounted to €436 million (Table 5-3). In addition, nearly US\$181 million German ODA has been channeled through forest related regional programs in the case study countries.

The biggest share of forest related funding in the case study countries has been implemented by the two German development organizations GIZ and KfW. GIZ was in charge of about one third of the available funds, while more than half of the funding was channeled via the KfW. The 11 projects implemented by NGOs, when combined, only accounted for about 1.3% of the relevant budget. Almost 90% of the funding was provided by the BMZ while 10% came from the BMUB via its International Climate Initiative (ICI), the latter predominately dedicated to Indonesia.

While for many countries development assistance is marginal in relation to the country's Gross Net Income (GNI), private and domestic investments and trade, ODA for poorer countries may be significant. This gives donor countries considerable influence in national sector policies. However, only a minor part of ODA targets on environmental and forest issues. Nevertheless, Germany injects significant amounts of funding into forest related activities in tropical forest countries.

5.2.2 Diffuse conceptual guidance

The study clearly shows that the German forest cooperation primarily targets the proper use and control of forests, and does not necessarily address the under-

Table 5-3: Forest related ODA for the case study countries since 2002 by sectors (million euros (number of projects))

	Cameroon	DRC	Indonesia	All
Total	123.4 (23)	162.5 (24)	149.6 (42)	435.5 (89)
Forestry Sector	71.8 (9)	3.8 (6)	94.2 (18)	169.8 (33)
Environment Sector	51.6 (14)	158.7 (18)	54.3 (20)	264.6 (52)
Other Sectors			1.1 (4)	1.1 (4)
<i>Regional</i>	<i>73.6 (10)</i>	<i>80.7 (11)</i>	<i>27.0 (6)</i>	<i>181.2 (27)</i>

lying drivers of deforestation. Deforestation, however, is affected by ODA and policies related to other sectors, as well as it is influenced by the mood of the German private sector. Nevertheless, the objectives of international cooperation in the forest sector stated by the BMZ and their implementing organizations GIZ and KfW are various and far-reaching. They include the utilization and conservation of forests, the maintenance of global ecological balance, poverty reduction and livelihood improvements for local communities, as well as sustainable development with a particular emphasis on indigenous and other forest-dependent people. They basically focus on forest utilization, forest conservation and the improvement of local livelihoods integrated under the concept of sustainable development. To promote these objectives, the German forest cooperation envisages to cooperating with relevant actors in the partner countries including governmental authorities, private enterprises, civil society organizations and local communities depending on forests for their livelihoods and identities.

All stated goals are well established and are generally undisputed in international forest policies and discourses, and statements from both German and international development organizations suggest that there is a close and mutually supportive interdependence between them. However, the analysis revealed that in practice these goals are not necessarily mutually supportive or may be even contradictory. We also found that there is a disparate emphasis and uneven allocation of resources for the different goals. Policies to achieve certain goals, frequently change and are strongly influenced by political power relations and public disputes in the donor and receiver countries.

The contents and activities of the forest related program funded by Germany generally show a strong alignment with the priorities of the national partners. This might be interpreted as a natural consequence of the fact that the German forest cooperation understands itself as a supporter of national initiatives implemented by and under the responsibility of national governments. The funded programs reflect the result of often long and complex bilateral negotiation processes between Germany and the recipient governments. As a consequence, the programs finally agreed on, often may reflect more pragmatic political considerations rather than the implementation of strategic goals. Accordingly, the study found some fairly significant differences between the ambitious goals listed by the BMZ and the arrangements and activities of the approved programs. It remains unclear if and to what degree the negotiated programs reflect the goals and underlying mindset of the German forest cooperation or if they simply rely on a pragmatic approach in which Germany tries to achieve the best possible. In some of the interviews it was indicated that Germany is not making the most of the opportunities it has during negotiations with governments for promoting more innovative programs that more clearly follow an own German agenda.

5.2.3 **Stable and successful partnerships with national forest authorities**

Compared to other donors, Germany more intensively channels its bilateral ODA to governmental agencies. The emphasis on the strengthening of the public administrative body might reflect a wish to comply with the preferences of the national partners, but it may also reflect the understanding of the German forest cooperation that effective control of forest and forest

users is the key for achieving sustainable use and protection of forests. In all three case study countries the German forest cooperation has managed to establish close relationship with the governmental forest agencies and has gained enormous influence, often grounded in long-term personal relationships. Any progress in establishing and strengthening the national forest administration that has been achieved in the three case study countries can be attributed, at least in part, to German support. Achievements include improved regulatory frameworks, clearer organizational structures, the building of human capacity, professionalizing procedures, including those for financial administration, improved law enforcement capacities and decentralization.

Despite these improvements ineffective bureaucracies, incompetence and corruption still play an incapacitating role, particularly in the DRC, but also in Cameroon and Indonesia. These hindrances constitute an enormous challenge for the German forest cooperation. Doubtlessly, it is an ongoing experiment to act coherently in such a complex institutional context. But, the close relationship with the national authorities inevitably raises also the question, if and to what degree does the responsibility for what are often unacceptable actions of the national forest agencies have to be shared, most critically, the frequently observed human rights violations in and around timber concessions and protected areas. This findings

of this study indicate a certain lack of sensitivity for this topic. The interviews revealed that some employees of the German forest cooperation simply disregard the possibility that programs in the green sector could contribute to human rights violations. On the other hand, some of the same employees stressed that, to a certain degree, human rights violations are unavoidable in the context where they happen and that they could not personally do much about it as the bilateral programs are implemented by the partner governments.

5.2.4 Strong focus on large-scale forest management schemes

The biggest share of German forest funds, in all three case study countries, supported the sustainable management of forests (Table 5-4). More than 80% of forest related ODA for Indonesia and DRC, and 60% for Cameroon was assigned to this category. Significant funding also targeted the conservation of biodiversity, particularly in the case of Cameroon. In all countries much lower proportions of forest related funding gave priority to the improvement of local livelihoods. Even so, around 20% of the funding was directed to programs that addressed local livelihoods at least to some degree.

In accordance with this focus, the above listed achievements with the national forest administrations, to a large

Table 5-4: Percentage of forest related ODA for the case study countries

Categories	Cameroon	DRC	Indonesia
		(%)	
Biodiversity and Forest Conservation	32.6	15.4	16.7
Sustainable Forest Management	61.9	84.7	80.5
Local Livelihoods and Rights	5.6	0.0	3.0
<i>Activities addressing local livelihoods</i>	<i>20.7</i>	<i>19.1</i>	<i>15.6</i>

degree, are manifested in the improved governance of large-scale concessions for the production of timber. To further promote sustainable forest management by large-scale concessionaires, the German forest cooperation applies a number of instruments that directly target economic players and markets. These instruments may be different from country to country but they essentially include the technical training of forest managers, support for forest certification, and the promotion of associations and national and international networks. Also data collection, analysis and modelling, often related to climate change mitigation and the REDD+ preparatory process, are increasingly being supported, sometimes in the form of funding for scientific studies.

Along with the promotion of the commercial timber sector, the Germany forest cooperation, with smaller amounts, invests in the demarcation and consolidation of protected areas, especially important in Cameroon. The instruments include institutional support, training and equipment for ranchers, the demarcation of new areas, the establishment of mechanisms for long-term financing as well as for the management of buffer zones.

5.2.5 **Over optimistic expectations regarding concessions**

For the German development cooperation, professionally managed timber concessions are expected to reduce deforestation. It is also anticipated that concessions contribute to the development of remote rural regions through job creation, infrastructure investments and tax revenue for the financing of public services. Concessions are also advantageous because their size is seen an indicator of success as in

the area of sustainably managed forests. Large-scale timber concessions are attractive for national governments because they deliver tax revenues, large private investments in infrastructure and professional forest management at relatively low administrative costs for the State. The promise of achieving all this facilitates cooperation in this area. Studies on the three case study countries indeed confirm that, particularly in the African context, concessions can be an important element for the economic development of remote forest regions.

However, employment figures for locals do not get much of a boost compared to those associated with small-scale agriculture and informal logging. Additionally, large logging concessions, thousands of hectares in size, necessarily conflict with other land uses. Experiences from the case study countries confirm that the agreements between the State and private operators – often a foreign company – often allow for the exploitation of the forest without considering that they might customarily be used by local forest dwellers. Additionally, the human rights of locals, most critically those of indigenous forest users, may end up being violated. Furthermore, corruption continues to play a crippling role, and concessionaires often don't have the know-how or the inclination to practice sustainable forestry. Even if the concessions are carefully managed, the licenses are temporary so the likelihood that they are properly managed in the long run, are not good. Already early on, when logging operations commence, concessions are regularly invaded by agriculturists and/or settlers. Very few companies are prepared to pay the costs for protecting logged-over forest management units. In the long run, even well designed timber concessions face the danger of be-

ing converted into other land uses once the trees are logged, because the access roads built serve as conduits for secondary land users, or because mining, hydro-power and/or agro-industrial uses emerge.

5.2.6 Management of protected areas, an unsolved challenge

Even less stable is the situation in most protected areas. While protected areas have proved their potential to function, at least temporarily, as barriers against deforestation, only a few of them have sufficient human resources and equipment to be adequately managed. The success of protected areas requires both political and financial long-term commitment. The establishment of protected areas without these essential elements increases the probability of failure. In many cases, the rights and interests of the local population remain insufficiently addressed and existing conflicts are often settled with the locals having to bear the costs. Local employment opportunities are rare and buffer zone management is seldom successful at larger scales. Also, resettlement and compensation policies have turned out to be highly problematic by contributing to cultural marginalization and misery. Accordingly, for many protected areas, encroachment and the ongoing illegal harvest of forest products is the rule rather than the exception. Most critically however is that the governments themselves tend to ignore the protection status of protected areas, the minute that more lucrative economic opportunities such as mining, energy and agro-industrial uses emerge.

5.2.7 Some weak efforts to better consider local people in large-scale forest management and conservation projects

Because timber concessions and protected areas often have adverse local outcomes, the German forest cooperation makes an attempt to minimize this. As a partner of traditionally conservative national forest administrations, the German forest cooperation has been able to support mechanisms to enhance local participation and, in a modest way, to impress upon governments the importance of considering local people in large-scale forest management plans. There is a trend to insert into the programs specific components for a better consideration of local forest users. The measures applied to guarantee that pre-existing local rights are respected and adverse effects on local populations living in and around concessions and protected areas are avoided, include support for local social organizations to help affected forest users, regularly informing and communicating with local stakeholders, providing non-forest livelihood alternatives, instituting regulatory reforms and the decentralization of the forest administration. In many cases these measures are carried out in collaboration with national and international NGOs. Support comes from the German forest cooperation because the measures instituted are also meant to be seen as examples for subsequent scaled-up projects planned by the national forest authorities.

However, within the forest related programs, instruments explicitly targeting civil society groups and institutions or local communities are rare. The study clearly shows that despite existing efforts for

improving participation and consultation, the national forest authorities, as well as the concessionaires continue to show a remarkable lack of respect and interest for local concerns. The condition of poor local forest dwellers in all three case study countries is still characterized by discrimination. Especially when national and international actors and organizations deal with these people, abuses of local rights to lands and territories are frequent. Thus, although Germany uses innovative and urgently required incentives to better and more effectively consider local rights and concerns, these efforts play a very marginal role within the entire array of activities carried out.

5.2.8 **REDD +, still not much beyond pilots and mechanisms for Measuring, Reporting and Verifying (MRV)**

In all case study areas, several forest management activities have emerged within the REDD+ framework. In the expectation of a significant inflow of international funds for climate mitigation and adaptation, the national governments started preparing the institutional framework, conducting baseline studies and developing an action plan to avoid deforestation. This process has been supported with bilateral and multilateral cooperation with the strong participation of Germany.

While the scope and progress achieved varies among the three case study countries, some common observations can be made. On the positive side, REDD+ has injected substantial amounts of new funding into the national forest sectors that has been used for improving the institutional framework, for scientific studies, and instruments for Measurement,

Reporting and Verification (MRV) to be established. Thus, action so far has concentrated on the fulfilment of essential requirements to access larger amounts of funding for mitigation and adaptation measures promised by the international community. However, initiatives for climate change mitigation and adaptation are thus far limited to pilot projects often targeting or, at a minimum, including local forest dwellers. In a certain way, the existing pilot initiatives funded with REDD+ funds are mostly continuing with the classic (not too successful) integrated approach of parallel achieving local development and forest conservation through sustainable forest management. For the few innovative approaches in use, the regulatory and financial frameworks are far from what would be needed to successfully scale them up. Thus, aside from the establishment of plans and monitoring procedures, little progress has been achieved on the ground.

In the assessment of indigenous groups, the global efforts to address deforestation through market mechanisms promoted by agencies like the United Nations Framework Convention on Climate Change (UNFCCC), the United Nations Collaborative Program (UNREDD) and the World Bank are seen in an even more critical light. They indicate that REDD+ initiatives will fail, not only due to the lack of attractive carbon markets, but also because existing efforts don't take into account the multiple values of forests and, in practice, constantly disrespect internationally recognized rights despite existing standards to the contrary. These groups even caution that REDD+, as any development schemes imposed by economically powerful countries do, will even promote the take-over of indigenous lands and territories thereby further undermining

national and global initiatives aiming at protecting indigenous rights.⁴⁷⁶

5.2.9 Safeguards, a toothless tiger

Another instrument that has experienced a renaissance in the course of the REDD+ actions are safeguards to ensure the social and environmental compatibility of measures aimed at preventing deforestation. They include sustainable forest management, protected areas, afforestation, reforestation and restoration. The UNFCCC, World Bank and FCPF all put a strong emphasis on safeguard policies, and thus have made their standards obligatory for the REDD Readiness Preparation process. These safeguards are closely monitored by NGOs and academic observers at the national and international level. The three case study countries responded to these requirements with extensive consultation and participation processes and the establishment of mechanisms for social and environmental assessments. Particularly GIZ has been significantly involved in this process.

While safeguards are generally perceived as an important instrument for ensuring good governance, respect for indigenous people, and for stakeholder engagement, their translation into practice on the ground is highly challenging. Although the safeguard policies established by international environmental and developmental institutions have been gradually integrated into national regulations and REDD processes, NGOs and forest-dependent people addressed by these safeguards are largely unsatisfied with their implementation, effectiveness and adequacy.⁴⁷⁷

There is consensus that in order for the safeguards to function, there is a need

to integrate the various safeguard sets, increase guidance, to build capacity and to establish a legal framework. However, robust national, legal and governance reforms are still lacking to ensure that forest peoples' rights are respected. Monitoring mechanisms being planned are still dominated by non-local actors, so indigenous groups have few possibilities to contribute to the monitoring and documentation of forest destruction and violations of forest peoples' rights. With regard to the BMZ Human Right Strategy, it became obvious that many employees simply don't know the safeguards while others pointed out that such a strategy would be applicable only in an 'ideal world' but not in the complex and conflict ridden reality that exists in the countries where they work.

Another major problem is that so far little progress has been made in developing adequate mechanisms for applying sanctions. There is instead a reliance on robust regulatory frameworks applicable at the national and international level. Thus, in cases where violations or when safeguards are ignored, it is very difficult to sanction the responsible land user in a way that puts a stop to the violations and adequately compensates those suffering damages. Due to this, the functionality of most safeguards depends on voluntary agreements with relevant economic actors such as in the cases of the Soy Moratorium⁴⁷⁸ or the Round Table on Sustainable Oil Palm (RSPO).⁴⁷⁹ The effectiveness of these multi-stakeholder agreements, however, is hotly debated.

5.2.10 FLEGT promotes large international timber companies

All three case study countries have joined the FLEGT Action Plan and run through a process of re-organization and strength-

⁴⁷⁶ Palangka Raya Declaration 2014: 2-4.

⁴⁷⁷ Palangka Raya Declaration 2014

⁴⁷⁸ Greenpeace [Brazilian Soy Moratorium extended to 2016](#) [accessed June 2015]

⁴⁷⁹ [RSPO](#) [accessed June 2015]

ening of the regulatory and institutional framework to guarantee the legality of exported timber. These efforts have indeed managed to strengthen the governmental capacity for enforcing their legal frameworks and to effectively run the related bureaucracies, but they have widely failed to significantly reduce deforestation. There has been little influence on the forest sector as a whole and even less on the drivers of deforestation, such as oil palm plantations in Indonesia, and mining and small-scale farming in the African countries.

The additional bureaucratic requirements exceed the capacities of small national enterprises and even more so of local forest managers, and thus have given the advantage to large international companies with the managerial capacities to respond to these requirements or to avoid them. Parallel, the legal frameworks set in place created new entry points for corruption and worsened the situation of millions of forest dwellers involved in the much larger local and national markets for forest products such as timber and fuel wood. But, also the companies with the financial and human capital required to successfully implement the regulations and standards have to come to grips with the limited profit margins of sustainable timber management. The margins are smaller compared to illegal logging and much smaller compared to agro-industrial land uses.

5.2.11 **Forest management by local people, an untapped potential**

Many local forest users in the three case study countries and elsewhere have proved their capacity to use forests without destroying them on the basis of insti-

tutions, customary laws and knowledge systems grounded in a long relationship with forests. Even in the many cases where this capacity has been marginalized in the course of history or never existed as in the case of many migrant farmers, small-scale land users compared to other economic actor groups tend to have a higher interest in maintaining the ability of the forest to provide the goods and services on which they depend. Mostly they are satisfied with the only moderate profits that can be expected from sustainable forest use.

In view of this potential, the German forest cooperation in practice, at least in the three case study countries, puts surprisingly little effort into the promotion of local forest management schemes. The German involvement in the promotion of community forestry schemes is minimal and this is reflected in the shabby treatment this option gets from the national partners who perceive local forest management schemes as secondary instruments supplementary to the private sector logging. In all three case study countries we only found a few examples where community forestry was being promoted, but they were restricted to small pilot projects. In DRC there has been nearly no support for community forestry and also in Cameroon and Indonesia local forest management regimes received only marginal attention. Only within the framework of REDD+ have some pilot activities been initiated, however, under the existing institutional and legal frameworks they have little to no chance of ever being applied on a larger scale. Although, the legal frameworks of the countries, partly due to the merit of Germany, contain simplified regulations to allow local land users to legally manage their forests, in practice, these regulations still are

far from reflecting the local realities and necessities.

5.2.12 Complete ignorance of the informal sector

Another evidence for the insufficient consideration of the capacities of local people for managing forest resources has been almost complete ignorance the German forest cooperation regarding the informal forest sectors. In all three case study countries, but chiefly in DRC, the use, processes and marketing of forest products, timber, fuel wood and NTFP in locally organized production chains is enormous. Millions of forest dwellers, farmers and small entrepreneurs engaged in these informal production chains generate economic wealth far beyond that generated by the formal sector which focuses on the production of timber for export. Although these informal schemes operate in a way that is far from using forests in a sustainable way, they nevertheless represent a reality that evolved on the basis of local peoples' capacities and interests. This promises the possibility for meaningful optimization and long-term effectiveness.

The fact that this opportunity is insufficiently explored and used by the German forest cooperation may rely on pragmatic reasons such as the wish to avoid conflicts with disinterested national governmental partners, the complexity of the informal sector, and the difficulty to effectively deal with the engaged actors. But in the end, it indicates an ignorance of the potential that exists with local empowerment as a meaningful strategy to conserve forests. No doubt this is combined with a lack of willingness to get involved in field work that is complex and difficult and where progress is slow and consists of work outside of the offices in the capitals. The

study found little evidence that employees of the GIZ, and even less, those of the KfW, consider this kind of local work as part of their portfolio.

5.3 Recommendations

The study revealed that the bilateral German forest cooperation plays an important role in the development and consolidation of the formal forest sectors in the three case study countries. The weaker the national economies and governance structures are the greater are the possibilities for influence, although weaker governments are less effective in implementing new policies. In the often very complex national settings characterized by strong land use dynamics resulting in significant deforestation and conflicts over land and resources, the strengths of the German forest cooperation particularly lie in their contribution towards improving the organization of the national forest administration and its agencies. The legal and institutional frameworks that get supported and enhanced enforcement capacities enables the timber concessions and protected areas to be managed better. Additionally, the German forest cooperation shows a concern for the situation of local people, particularly forest-dependent indigenous groups. It pushes forward initiatives designed to enhance the consideration of the rights and interests of local people in and around concessions and protected areas. Often these accompanying program components have the character of pilot projects and are expected to be adopted and increasingly applied by the national authorities. Furthermore, the German forest cooperation is an essential partner for the countries in their efforts to get prepared for international processes such as REDD+ and FLEGT.

The programs of the German forest cooperation have become more complex and work at various levels. Many of the programs have a range of actions that work on regulations, institutions, human capacities, equipment, monitoring, participation, local livelihoods and other activities. To manage this variety of interconnected tasks, GIZ and KfW, the two German organizations mainly responsible for implementing German development policy, often work together. While GIZ is more proficient at technical cooperation, the KfW emphasis is on instruments of financial cooperation. Technical and financial cooperation eventually mobilize different actors and stimulate different processes for achieving the same goals, so that the collaboration of GIZ and KfW may create synergies.

The achievements of the German forest cooperation in the three case study countries demonstrate the potential of bilateral cooperation and indicate the meaningfulness of not only continuing but significantly intensifying Germany's efforts. Recent statements made in the context of increasing concerns about the effects of climate change indicate that Germany is willing to play a leadership role in pushing forward this agenda.⁴⁸⁰ But the German forest cooperation should have a much louder voice in the interplay of German foreign policies and should overcome its forest sector thinking to tackle the real drivers of deforestation such as the expansion of agro-industries, insufficient and unstable means of earning a living, or large-scale investments in infrastructure etc. So far these issues are predominately addressed by other sectors frequently also supported by the German development cooperation. The problem is that some activities of development cooperation and even more so in the economic

sector may increase rather than reduce deforestation.

However, the study clearly indicates essential shortcomings of the current model of bilateral German forest cooperation. The classic approach of strengthening forest administration, building human capacity for the sustainable management and protection of forests, and at the same time trying to minimize adverse effects by taking appropriate measures and safeguards has not necessarily resulted in the desired results and may be even less successful in the future due to the increasing pressure on land and forests in the rural tropics. Some may argue that due to the strong emphasis on the promotion of the legal and private sector, the German forest cooperation has even contributed to the further marginalization of local capacities thereby aggravating environmental and social problems in the rural regions of the partner countries.

Doubtlessly, the German forest cooperation works and should continue working in partnership with the national governments who, in the end, have the responsibility for the implementation of the supported programs. This essentially means that the choice, design and quality of the supported programs depend largely on the capacities and willingness of the national governments. However, the study detected numerous possibilities for improvements and to access so far untapped opportunities.

Improve transparency

Despite some efforts and frequent assertions that transparency and information policies within the German development cooperation it is still difficult or even impossible to obtain specific data on particular programs and projects. Considering

⁴⁸⁰ Deutsche Welle [Deal on forests at Bonn climate talks](#) [accessed June 2015]

the fact that cooperation is funded with public money, the German development cooperation should put much more effort into activities informing the public about the contexts and measures of the programs as well as about the role, obligations, impacts, possibilities and risks these initiatives pose for the local people. The BMZ's decision to provide data to support the [International Aid Transparency Initiative](#) (IATI) is an important step to improve transparency and to establish basic standards. However, these efforts should include all programs and projects as well as all government institutions and organizations involved like the BMUB and KfW. To inform if and to what degree the programs, projects, and measures used for forest related German development cooperation are achieving their objectives, regular evaluations, at best realized by independent third parties, should be made available. To support citizen-friendly information policies it is further appropriate to set mandatory standards for the public dissemination of information regarding the planning, implementation, development, and evaluation of all programs and projects, as well as a safeguard system with clear criteria, transparent internal and external oversight and a possibility for redress through a grievance mechanism.

Reflections on mindset and goals

The German forest cooperation attempts to achieve a wide range of goals that often conflict with each other. In addition, there are implicit assumptions regarding how to best achieve these goals. There is a lack of awareness –at all levels– about conflicting goals and underlying mindsets. This creates confusion about concepts and priorities which hampers the adequate design of the initiatives and the proper assessment of their outcomes. Many strate-

gic decisions are done at the national level by individuals who decide on the basis of personal preferences and perspectives. Thinking carefully about the contradictions may specifically help the tendency to overstate the many positive aspects resulting from a tight cooperation with governmental agencies while becoming more aware of the possibility for adverse consequences. There is a need to reflect and define mindsets, goals and approaches used by the German forest cooperation. This implies the necessity of acknowledging existing conflicts surrounding goals and subsequently their prioritization, as well as a clearer understanding of expected impact pathways and risks of chosen approaches and instruments.

Have realistic expectations about the role of forest authorities and companies

Approaches to forest conservation that primarily rely on strong forest authorities and professional forest companies managing large-scale concessions and well-controlled protected areas have the potential to generate positive effects of scale. Thus, the opportunities to achieve impacts at a large-scale through collaboration with national authorities, and the private sector, which have the power and assets to allow for professional action, are realistic and promise to involve comparably low transaction costs. However, the experiences in all three case study countries demonstrate that approaches relying on these two actor groups go in line with massive problems and shortcomings. Against this backdrop, it is important to make expectations clearer and to better assess the risks related. Particularly, a clearer understanding of the long-term feasibility as well as of undesired and unexpected consequences may help to get a more realistic picture on what is achiev-

able with governments and large timber companies. The lessons learned from the three case study countries show that less faith should be given to the interests and capacities of these actors.

Weigh up priorities between forests and people

Strategies regarding local, often indigenous, people in and around concessions and protected areas have changed considerably over the years as management concepts more and more call for the consideration and participation of locals. However, it is still the protection of forests and not the protection of forest people that is the main focus of most national and international private and public organizations that are the force driving forest cooperation forward. This naturally implies a somewhat skewed perspective on local people as potential causers of problems who may harm the valuable resource. In contrast, the obvious question how resources may serve the forest people is not often asked. Accordingly, studies still concentrate on assessing the level of pressure exerted by local and indigenous communities on the forests rather than analyzing the economic and socio-cultural costs and the benefits of forest protection schemes for these communities. Obviously, the notion of forest concessions and protected areas, historically a colonial fabrication, still largely presents and represents a 'western' concept supported by 'foreign' organizations and state administrations. The local population generally views forest concessions and protected areas as zones carved out for the 'white man' who can explore timber, visit them, get medicinal plants in the name of science, hunt and do whatever they want while themselves being deprived of such access and denied their customary rights. Against this backdrop, a careful and sin-

cere reflection on the priorities of 'forest' protection would be helpful.

Strengthen efforts to include local people

There is an agreement that millions of poor people are living and will continue to live in and around forested areas in the rural tropics. Without the effective integration of these people in forest governance, long-term success is not achievable. But the certainly laudable initiatives of the German forest cooperation to adequately include local people in large-scale management schemes are far from being sufficient. Much more effort is needed to establish feasible mechanisms that address and inform all who are interested and allow for mutual exchange, negotiations and decisions. In addition, it is necessary to much more systematically integrate specific procedures and institutions to facilitate mediations and resolutions of forest-related conflicts already into the planning and implementation of the programs. Such mediation and conflict resolution instruments should also include easily accessible facilities to voice discontent and to raise complaints by stakeholders and people affected by development projects. These instruments could also be important components that improve the transparency and accountability of development cooperation. Besides governments and companies, also local people and their representative organizations should become strategic partners, so that programs and projects can be developed side by side with local communities.

Re-think the potential of local forest management schemes

The findings of this study indicate that there is a large untapped potential for local forest management. Compared to private companies or state organizations, local people are more directly con-

nected to the resources and therefore have knowledge and skills that could be used for management purposes. Most importantly, local people have lower (and more realistic) profit expectations from sustainable forest management than do companies. Typically, the informal forest sector, managed by local people and entrepreneurs, is significantly larger and economically more important than the formal forest sector. Its gradual optimization and the establishment of frameworks that stimulate and allow local people to legally access forests can be significant for achieving the objectives of German forest cooperation. However, to explore this enormous potential requires a concerted commitment to the rights and capacities of local people, even if this goes against the interests of national governments and influential economic actor groups. There is the need to seriously think about why local empowerment approaches are being consistently neglected. Is it due to indifference, explicit pressure coming from the partner governments, concerns about the complexity and workload related with developing and implementing such approaches, the perceived or real lack of economic benefits forth coming, or is it simply due to personal resentment or insufficiently thought.

Leave the cities and go to the field

Although the German forest cooperation generally supports the understanding that the long-term success of efforts to protect and sustainably use forests is decided at the local level, it is hesitant in getting more intensively engaged in such efforts on the ground. This may be in view of high costs involved and limited effects on quantitative success indicators. Instead, the organizations and their staff generally prefer to act at a non-local level, leaving the responsibility for implementation to governmental agencies little interested in

supporting local people or to NGOs who are frequently overcharged. Consequentially, progress is often limited to a few pilot initiatives that depend on continuing external support. Thus, developing pilot models and expecting that they will be consolidated, multiplied and extrapolated as future business models is not realistic. A more intensive presence and long-term engagement of experts from the German forest cooperation at the local level would be critical for harmonizing environmental and social goals crucial for achieving success in the long run. Experts are needed not only in the cities and at ministries but also and even more in forest areas and at the locally working agencies where the programs are implemented. Such a shift requires adjusting of job profiles for and the self-conception of German experts, as well as, subsequently, a systematic search to find qualified people willing to work for development organizations, civil society and governments under the difficult and complex conditions of the rural tropics.

Arrange partnerships with academic organizations

Research can help to generate sound facts on impact pathways and long-term effects of the programs on forests and people. However, so far, research and reflection only play a minor role in German forest cooperation. A more systematic integration of research and reflection components into programs and projects, and cooperation with academic institutions regarding the planning, implementation, and supervision of programs and projects is desirable. This promise a critical reflection on actions and impacts based on empirical evidence and could, on an ongoing basis, give strategical guidance and direction for improving the effectiveness of the programs.

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7 Annexes

7.1 Basic Socioeconomic and ODA Data for the Case Study Countries

	Cameroon	DRC	Indonesia
Surface area	475,440 km ²	2,344,860 km ²	1,904,570 km ²
Population	22,253,959 (2013)	67,513,677 (2013)	249,865,631 (2013)
Population density km ²	46.81 (2013)	28,79 (2013)	131,19 (2013)
Population growth rate	2.53 % (2013)	2.72 % (2013)	1.21 % (2013)
Population in rural areas	54.59 % (2012)	64.62 % (2013)	47.8 % (2013)
Human Development Index ranking	150 of 187 (2012) 152 of 187 (2013)	186 of 187 (2012) 186 of 187 (2013)	121 of 187 (2012) 108 of 187 (2013)
Corruption Perception Index ranking	144 of 177 (2013) (Score 25)	154 of 177 (2013) (Score 22)	114 of 177 (2013) (Score 32)
Infant mortality	94.5 (2013)	118.5 (2013)	29.3 (2013)
Life expectancy	54.59 (2012)	49.63 (2012)	70.61 (2012)
Literacy rate	71.3 % (2010)	67 % (?)	92.82 % (2011)
Spending on education	3.11 % (2012)	2.51 % (2010)	3.57 % (2012)
GNI	28,185 m USD (2013)	26,919 m USD (2013)	894,967 m USD (2013)
GNI per capita	1,267 USD (2013)	399 USD (2013)	3,582 USD (2013)
GDP growth	5.51 % (2013)	8.49 % (2013)	5.79 % (2013)
GINI Index	38,9 (2007)	44,4 (2006)	34,1 (2008)
% absolute poverty	?	?	16.21 % (2011)
% national poverty line	?	?	11.4 % (2013)
Undernourished	13.3 % (2012)	?	9.1 % (2012)
Exports in % of GDP	27.9 % (2012)	27.38 % (2009)	23.75 % (2013)
Imports in % of GDP	30.55 % (2012)	36.9 % (2009)	25.74 % (2013)
Inflation	1.95 % (2013)	1.64 % (2013)	6.42 % (2013)
Jobs in agriculture	53.3 % (2010)	?	35.09 % (2012)
Unemployment rate	3.8 % (2012)	7.2 % (2012)	6.6 % (2012)
Total foreign debt	3,672 m USD (2012)	5,651 m USD (2012)	254,899 m USD (2012)
Foreign debt per capita	169 USD (2012)	86 USD (2012)	1033 USD (2012)
Total net ODA	612 m USD (2011) 596 m USD (2012)	5,533 m USD (2011) 2,859 m USD (2012)	419 m USD (2011) 68 m USD (2012)
Total net ODA per capita	28.91 USD (2011) 27.48 USD (2012)	86.57 USD (2011) 43.52 USD (2012)	1.72 USD (2011) 0.27 USD (2012)
Total net ODA % of GDP	2.40 % (2011) 2.35 % (2012)	32.25 % (2011) 16.62 % (2012)	0.05 % (2011) 0.01 % (2012)
Total gross ODA	698 m USD (2011) 692 m USD (2012)	7,487 m USD (2011) 2,877 m USD (2012)	2,666 m USD (2011) 2,323 m USD (2012)
German net ODA	97 m USD (2011) 89 m USD (2012)	94 m USD (2011) 594 m USD (2012)	75 m USD (2011) 33 m USD (2012)
German gross ODA	97 m USD (2011) 89 m USD (2012)	94 m USD (2011) 594 m USD (2012)	214 m USD (2011) 126 m USD (2012)
Forested land area	41.67 % (2011)	67.86 % (2011)	51.75 % (2011)

	Cameroon	DRC	Indonesia
Annual rate of change in forest area (FAO statistics FRA 2010)	-0.94 % (1990-2000) -1.02 % (2000-2005) -1.07 % (2005-2010)	-0.20 % (1990-2000) -0.20 % (2000-2005) -0.20 % (2005-2010)	-1.75 % (1990-2000) -0.31 % (2000-2005) -0.71 % (2005-2010)
Cultivated land	20.31 % (2011)	11.37 % (2011)	30.09 % (2011)
Conservation areas	11 % (2012)	12.05 % (2012)	14.7 % (2012)
Power consumption/cap.	255.53 kWh (2011)	105.32 kWh (2011)	679.71 kWh (2011)
CO2 Emissions per capita	0.36 tonnes (2010)	0.05 tonnes (2010)	1.81 tonnes (2010)

Compiled and calculated from OECD statistics, World Bank, Transparency International, and data from the BMZ website [Countries](#), accessed September 2014.

7.2 Forest Related Projects of Bilateral German Development Cooperation in Cameroon, DRC and Indonesia since 2002

7.2.1 Forest related German development projects in Cameroon since 2002

Data source ¹	Project / activity titles	Sector Code ²	Period	Organisation ³	Amount (€)	Status
CRS	Support to National Park	41030	2002-2003	GIZ	498,000	completed
CRS	Consultancy for Ministry of Environment and Forests	41010	2002-2004	GIZ	491,000	completed
CRS	Forest Protection Southeast Cameroon	41030	2003	GIZ	36,000	completed
CRS	SFM Cameroon Hill	41030	2003	GIZ	354,000	Completed
CRS	Forest Protection Akwaya	41030	2003-2004	GIZ	202,000	Completed
CRS	Forest Certification	31210	2004	BMZ	43,000	Completed
CRS	Environmental Legislation and Sustainable Development	41010	2004	BMZ	22,000	Completed
CRS	Support to COMIFAC / Cameroon	31210	2004-2010	GIZ	1,502,000	Completed
CRS	Sustainable Resource Management I	41010/41030	2004-2012	KfW/GIZ	20,028,000	Completed
CRS	Afforestation	31210	2005-2010	BMZ	715,000	Completed
CRS	Biodiversity Conservation	41030	2005-2010	GIZ	4,628,000	Completed
CRS/IATI/DFK	KV Forstsektorkorbfinanzierung	31210	2006-2014	KfW	17,500,000	Ongoing
CRS	Monitoring and Enforcement in the Forest Sector	31210	2007	BMZ	94,000	Completed
CRS	Preparatory activities Environmental Management	41010/41081	2008-2010	BMZ	101,000	Completed
CRS	Basin Forest Management / Cameroon	41010/15110	2009-2012	BMZ	477,000	Completed
CRS/IATI/DFK	PV Nachhaltiges Ressourcenmanagement in Kamerun	41030	2009-2014	KfW	10,000,000	Ongoing
CRS	Funding for Lobeke Park	41030	2010	BMZ	4,780,000	Completed
CRS/IATI/DFK	Supporting the implementation of the National Forestry and Environmental Program (ProPSFE)	31210	2010-2015	GIZ	19,187,354	Ongoing
CRS	Implementation of German Development Cooperation Aims	31220/41030	2011	BMZ	744,000	completed
CRS	Environmental Education and Climate Change	41081	2012	BMF	22,000	completed
IATI/DFK	Support to implementation of national forest and environmental program	31210	2012-??	BMZ	22,000,000	ongoing
IATI	Sustainable Management of Natural Resources - South West Region (PSMNR-SWR)	41030	2012-??	KfW	10,000,000	ongoing
IATI	Klimaschutz - REDD	31220	2012-??	BMZ	10,000,000	ongoing
DKF	Forstsektorkorbfinanzierung		2011-2015	KfW	25,500,000	not included
DKF	Programm Unterstützung der Umsetzung des nationalen Waldprogramms (PSFE)		n.d.	GIZ	1,187,354	not included
DKF	Förderung von eigenständiger Entwicklung und interreligiöser Zusammenarbeit, Schwerpunkt Umwelt und Konfliktprävention		n.d.	EZE	272,500	not included

Data source ¹	Project / activity titles	Sector Code ²	Period	Organisation ³	Amount (€)	Status
DKF	Informations-, Begleitungs- und Lobbyarbeit zum Schutz der Bevölkerung vor Folgen von Bergbau und Ausbeutung fossiler und nachwachsender Energierohstoffe		n.d.	KZE	250,000	not included
Regional funding including Cameroon						
IATI	Regional Support for the Central Africa Forests Commission (COMIFAC)	41010	2005-2014	GIZ	4,000,000	ongoing
ICI	Trinational Forest Conservation Area (TNSF)		2008-2012	KfW/WWF	1,451,243	completed
IATI	Certified Sustainable Forestry Management (SFM) in the Basin	31220	2008-2015	KfW	10,000,000	ongoing
ICI	Climate Change Scenarios for the Basin		2009-2013	GIZ	1,530,000	ongoing
IATI	Sustainable forest management in the Basin (TNSF)	41030	2010-2015	KfW	20,000,000	ongoing
IATI	Sustainable forest management in the Basin (TNSF, Lobeke Park)	41030	2011-??	BMZ	5,500,000	ongoing
IATI	Sustainable forest management in the Basin, Regional support for COMIFAC	41010	2011-2015	GIZ	10,700,000	ongoing
IATI	Sustainable forest management in the Basin, Regional support for COMIFAC	41030	2013-??	BMZ	9,000,000	ongoing
IATI	Sustainable forest management in the Basin, Access and Benefit-Sharing ABS	41030	2013-??	DEG (KfW)	4,500,000	ongoing
IATI	Sustainable forest management in the Basin (Yamousa Park)	41030	2013-??	BMZ	6,900,000	ongoing

¹ CRS: OECD Creditor Reporting System; DKF: Deutsche Klimafinanzierung data bank; GIZd: GIZ project data; IATI: International Aid Transparency Initiative data bank; ICI: BMUB International Climate Initiative; KfWd: KfW project data

² 151xx: Government and Civil Society general; 311xx: Agriculture Sector; 312xx: Forestry Sector;

410xx: Environment Sector (General Environmental Protection); 430xx: Other Multi sector

³ BMZ: Funding by BMZ, implementing organization unspecified; EZE: Evangelische Zentralstelle für Entwicklungshilfe; FeMi: German Federal Ministries unspecified; FZS: Frankfurt Zoological Society; GeDo: German Doctors e.V.; GIZ:

Deutsche Gesellschaft für Internationale Zusammenarbeit; KfW: Kreditanstalt für Wiederaufbau; KZE: Katholische Zentralstelle für Entwicklungshilfe; LHL: Lernen-Helfen-Leben e.V.; NGO: Non-governmental Organization unspecified; UNESCO: United Nations Educational, Scientific and Cultural Organization; WWF: World Wide Fund for Nature

7.2.2 Forest related German development projects in the DRC since 2002

Data source ¹	Project / activity titles	Sector Code ²	Period	Organisation ³	Amount (€)	Status
CRS	Consulting for Nature Conservation Authorities	41030	2002-2004	GIZ	1,199,000	completed
CRS	Environmental education & training	41081	2002-2005	BMZ/NGO	79,000	completed
CRS	Nature Conservation East	41030	2003-2006	GIZ	1,097,000	completed
CRS	Afforestation Burhinyi	31220	2004-2007	BMZ	65,000	completed
CRS	Forestry policy & admin. Management	31210	2005	BMZ	657,000	completed
CRS	Biodiversity Conservation	41030	2005-2006	GIZ	166,000	completed
CRS/IATI	Sustainable Natural Resource Management I	41030	2005-2015	KfW	11,000,000	ongoing
CRS	Biodiversity Conservation and Forest Management	31210	2006-2008	GIZ	2,029,000	completed
CRS	Salonga Wildlife Conservation	41030	2008	BMZ	361,000	completed
CRS	Gorilla Conservation Project	41081	2008-2009	FeMi	72,000	completed
CRS	Kivu Agroforestry	31220	2008-2011	BMZ	296,000	completed
CRS/ICI/DKF	Ngiri Triangle Integrated Conservation Project I & II	41030	2008-2013	KfW/WWF	2,596,388	ongoing
CRS/IATI/DKF	Biodiversity Conservation and Sustainable Forest Management	41010	2008-2014	GIZ	28,000,000	ongoing

Data source ¹	Project / activity titles	Sector Code ²	Period	Organi-sation ³	Amount (€)	Status
IATI	Sustainable Natural Resource Management II	41030	2008-??	KfW	15,000,000	ongoing
IATI/DKF	Biodiversity Conservation and Sustainable Forest Management	41030	2009-??	KfW	40,000,000	ongoing
CRS	Basin Forest Management / DRC	41010/15110	2009-2011	BMZ	224,000	completed
CRS/ICI/DKF	Assessment and development of a Protected Area Network	41030	2009-2014	WWF	1,999,361	ongoing
CRS/IATI/DKF	Maiko National Park Management	41030	2011-2013	FZS	499,905	ongoing
IATI	Integrated rural environment protection program on the High Pla-teau of Minembwe	31130	2011-2014	OXFAM	444,390	ongoing
IATI	Biodiversitätserhalt und nachhaltige Waldbewirtschaftung	41030	2012-??	BMZ	10,000,000	ongoing
IATI/DKF	Treuhandfonds zur Unterstützung des nationalen Wald- und Naturschutzprogramms	41030	2012-??	KfW	15,000,000	ongoing
ICI/DKF	Development of a Carbon Storage Map and Carbon Payment Model Regions for the DRC Forest Belt	41030	2012-2016	KfW/WWF	6,100,000	ongoing
IATI/DKF	Biodiversity Conservation and Sustainable Forest Management (TC-Module)	41010	2012-2016	GIZ	25,300,000	ongoing
IATI	Reforestation and education for Forest management in Eastern	31220	2013-2017	LHL	287,046	Ongoing
DKF	Aufbau einer Fachstelle für Berufsbildung im Bereich Bau und er-neuerbare Energie		n.d.	EZE	145,000	not included
DKF	Erweiterung einer kirchlichen Universität im Ostkongo, Schwer-punkt Landwirtschaft und Umweltmanagement		n.d.	EZE	980,000	not included
DKF	Hochschul- und Berufsqualifizierung, Schwerpunkt Medizin und Umweltmanagement in Post-Konfliktregion		n.d.	EZE	1,110,000	not included
Regional funding including DRC						
IATI	Regional Support for the Central Africa Forests Commission (COMIFAC)	41010	2005-2014	GIZ	4,000,000	ongoing
ICI	Trinational Forest Conservation Area (TNSF)		2008-2012	KfW/WWF	1,451,243	completed
IATI	Certified Sustainable Forestry Management (SFM) in the Basin	31220	2008-2015	KfW	10,000,000	ongoing
ICI	Climate Change Scenarios for the Basin		2009-2013	GIZ	1,530,000	ongoing
IATI	Sustainable forest management in the Basin, Regional support for COMIFAC	41010	2011-2015	GIZ	10,700,000	ongoing
IATI	Sustainable forest management in the Basin (TNSF)	41030	2010-2015	KfW	20,000,000	ongoing
IATI	Sustainable forest management in the Basin, Regional support for COMIFAC	41030	2013-??	BMZ	9,000,000	ongoing
IATI	Sustainable forest management in the Basin, Access and Bene-fit-Sharing ABS	41030	2013-??	DEG (KfW)	4,500,000	ongoing
IATI	Transboundary use and protection of natural resources in the SADC-region	41030	2012-2015	GIZ	5,710,000	ongoing
IATI	Training facilities & programs for wildlife rangers & managers in the SADC region (pot.)	41030	2011-??	KfW	10,000,000	ongoing
ICI	Development of Integrated MRV Systems for REDD+ in the SADC region (potentially)	31220	2011-2015	GIZ	3,764,260	ongoing

¹ CRS: OECD Creditor Reporting System; DKF: Deutsche Klimafinanzierung data bank; GIZd: GIZ project data; IATI: International Aid Transparency Initiative data bank; ICI: BMUB International Climate Initiative; KfWd: KfW project data

² 151xx: Government and Civil Society general; 311xx: Agriculture Sector; 312xx: Forestry Sec-

tor; 410xx: Environment Sector (General Environmental Protection); 430xx: Other Multi sector

³ BMZ: Funding by BMZ, implementing organization unspecified; EZE: Evangelische Zentral-stelle für Entwicklungshilfe; FeMi: German Federal Ministries unspecified; FZS: Frankfurt Zoological Society; GeDo: German Doctors e.V.; GIZ:

Deutsche Gesellschaft für Internationale Zusammenarbeit; KfW: Kreditanstalt für Wiederaufbau; KZE: Katholische Zentralstelle für Entwicklungshilfe; LHL: Lernen-Helfen-Leben e.V.; NGO: Non-governmental Organization unspecified; UNES- CO: United Nations Educational, Scientific and Cultural Organization; WWF: World Wide Fund for Nature

7.2.3 Forest related German development projects in Indonesia since 2002

Data source ¹	Project / activity titles	Sector Code ²	Period	Organi- sation ³	Amount (€)	Status
CRS	Integrated Forest Fire Management	31220/41030	2002-2004	GIZ/KfW	1,610,000	completed
CRS	Afforestation	31220	2002-2006	GIZ	130,000	completed
CRS	Sustainable Forest Management	31210	2003-2004	GIZ	36,000	completed
CRS	Integrated Experts Forestry and Environmental Manage- ment	31210/41010	2004-2006	BMZ	245,000	completed
CRS	Biodiversity Conservation	41020	2005	FeMi	664,000	completed
CRS	Forestry policy and administrative management	31210	2005-2011	BMZ	1,957,000	completed
CRS	Rural development and Biodiversity Protection in West-Ka- lantan	31120	2006-2007	BMZ	65,000	completed
CRS	Kayan Mentarang National Park Management	41030	2006-2011	GIZ	1,170,000	completed
CRS	Park- and wildlife-management	31210	2007-2010	BMZ	274,000	completed
CRS/IATI/DKF	Forests and Climate Change (FORCLIME I)	31210	2007-2013	GIZ	9,966,913	ongoing
CRS/IATI	Forestry Program I (Support for the Ministry of Forestry)	31210	2007-2014	KfW	20,000,000	ongoing
CRS	Bukit Tigapuluh Management Plan	41030	2008	BMZ	101,000	completed
CRS/ICI/DKF	Biodiversity Conservation through Prep. Measures for REDD+ in Merang Peat Forests	41030	2008-2012	GIZ	1,406,875	completed
CRS/IATI/DKF	Policy Advise on Environment and Climate Change (PAK- LIM I)	41010	2008-2014	GIZ	8,617,987	ongoing
CRS	Banda Aceh Environmental Administration	41010	2009	BMZ	3,000	completed
CRS/IATI	Networking on sustainable forestry and resource manage- ment in defense of land rights	31220	2009-??	KZE	230,000	ongoing
CRS	Sustainable use of natural resources through training pro- grams	31281	2009-2010	BMZ	137,000	completed
CRS	Bukit Tigapuluh Environmental Education	41081	2009-2010	FeMi	51,000	completed
CRS/ICI/DKF	Forest Management Financed through Emission Certificates in UNESCO World Heritage Site ,Tropical Rainforest Heritage of Sumatra'	41020	2009-2011	UNESCO	527,000	completed
CRS/ICI/DKF	Knowledge Management for the REDD Pilot Project in the Merang Peat Forest Area	41081	2009-2012	GIZ	625,787	completed
CRS	Local initiative to fight the expansion of biofuel in Sumatra	15150	2009-2012	BMZ	188,000	completed
CRS/ICI/DKF	Harapan Ecosystem Restoration Concessions	31220	2009-2013	KfW	7,575,000	ongoing
CRS/ICI/DKF	Securing Natural Carbon Sinks and Habitats in the ,Heart of Borneo'	41030	2009-2013	KfW/WWF	870,055	ongoing
CRS/IATI	Climate Community Sovereignty	41020	2010-??	KZE	160,000	ongoing
IATI	Water, sanitation, reforestation, and credit program, South- East-Sulawesi	43040	2010-??	GeDo	694,824	ongoing
CRS	Forestry education & training	31281	2010-2011	BMZ	108,000	completed
CRS	Partnerships with indigenous Communities in the Highlands of Borneo	15150	2010-2011	BMZ	390,000	completed
CRS	Sustainable BioProduction	31281	2011	FeMi	267,000	completed
CRS/IATI/DKF	Climate justice and sustainable livelihoods in Indonesia	41010	2011-??	KZE	88,000	ongoing
CRS/IATI/DKF	Sustainable and climate-sensitive forest Management, Jam- bi	41030	2011-??	KZE	140,000	ongoing
CRS/IATI/DKF	Community initiative to protect small-scale food production area from large-scale oil palm expansion in Sumatra	15150	2011-??	KZE	270,000	ongoing
CRS/IATI/DKF	Securing the rights of indigenous peoples in planned oil palm plantation expansion areas Westpapua and Central Sulawesi	15160	2011-??	KZE	250,000	ongoing
CRS	Conservation and Sustainable Development in Borneo / Peat Swamp Restoration	41030	2011-2012	FeMi	433,000	completed
IATI/DKF	Forestry Program II (REDD+)	31210	2011-2013	KfW	23,000,000	ongoing

Data source ¹	Project / activity titles	Sector Code ²	Period	Organi- sation ³	Amount (€)	Status
CRS	Forest Anti-corruption Solutions and Advocacy (Indonesia, Papua New Guinea)	31210	2012	BMZ	325,000	completed
CRS/IATI/DKF	Forests and Climate Change (FORCLIME II)	31210	2012-2016	GIZ	14,811,500	ongoing
IATI/DKF	Forestry Program III (Sulawesi)	31210	2012-2017	KfW	13,500,000	ongoing
ICI/DKF	Ecosystem Restoration Concessions to protect tropical rain-forest in Indonesia		2012-2019	KfW	8,100,000	ongoing
ICI/DKF	Biodiversity and Climate Change	41030	2013-2016	GIZ	3,800,000	ongoing
CRS/IATI/DKF	Policy Advice on Environment and Climate Change (PAK-LIM II)	41010	2013-2016	GIZ	13,747,000	ongoing
GIZd	Green Economy and Locally Appropriate Mitigation Actions in Indonesia (GE-LAMA-1)	41010	2013-2017	GIZ	4,551,500	ongoing
ICI/DKF	Climate Change Mitigation and Species Conservation in the Leuser Ecosystem Sumatra		2013-2019	KfW	8,500,000	ongoing
GIZd	Appraisal Mission - Low Carbon Oil Palm Development in Indonesia	23070	2013	GIZ	125,000	not included
CRS/IATI/DKF	Mitigating Climate Change Impact by Way of Conservation Activities, Economic Development and Empowerment in North Sumatra	31120	2011-??	EZE	520,000	not included
Regional funding including Indonesia						
IATI	Biodiversity and Climate Change Project with ACB	41030	2010-2015	GIZ	5,200,000	ongoing
IATI	Adaption and Mitigation Strategies in Support of AFCC (GAP-CC)	41010	2010-2015	GIZ	3,667,000	ongoing
IATI	ASEAN Centre for Biodiversity - Small Grants Program	41030	2011-??	KfW	10,000,000	ongoing
IATI	Building resiliency of indigenous communities on climate change adaptation	41010	2012-??	KZE	340,000	ongoing
ICI	Forest and Landscape Restoration in Key Countries		2013-2017	IUCN/WRI	2,998,593	ongoing
GIZd	Forestry and Climate Change (FOR-CC) (ASEAN AFCC)	41010	2014-2017	GIZ	4,800,000	ongoing

¹ CRS: OECD Creditor Reporting System; DKF: Deutsche Klimafinanzierung data bank; GIZd: GIZ project data; IATI: International Aid Transparency Initiative data bank; ICI: BMUB International Climate Initiative; KfWd: KfW project data

² 151xx: Government and Civil Society general; 311xx: Agriculture Sector; 312xx: Forestry Sec-

tor; 410xx: Environment Sector (General Environmental Protection); 430xx: Other Multi sector

³ BMZ: Funding by BMZ, implementing organization unspecified; EZE: Evangelische Zentralstelle für Entwicklungshilfe; FeMi: German Federal Ministries unspecified; FZS: Frankfurt Zoological Society; GeDo: German Doctors e.V.; GIZ:

Deutsche Gesellschaft für Internationale Zusammenarbeit; KfW: Kreditanstalt für Wiederaufbau; KZE: Katholische Zentralstelle für Entwicklungshilfe; LHL: Lernen-Helfen-Leben e.V.; NGO: Non-governmental Organization unspecified; UNES-
CO: United Nations Educational, Scientific and Cultural Organization; WWF: World Wide Fund for Nature

7.3 Ongoing Forest Related Projects in Cameroon, DRC and Indonesia based on IATI, ICI, GIZ, and KfW data as of October 2014

Data source ¹	Project / activity titles	Sector Code ²	Start / Period	Implementing Organization ³	EUR	Objectives ⁴	Target Areas ⁵	Approaches ⁶	DQ ⁷
Cameroon									
CRS / IATI / DKF	KV Forstsektorkorbfinanzierung (Basket fund for preservation of national forest & wildlife)	31210	2006-2014	KfW	17,500,000	BC2 / FU1 / LL1	GA2 / PE / CS / FC / AI	GG2 / EC1 / LE0	1
CRS / IATI / DKF	PV Nachhaltiges Ressourcenmanagement in Kamerun	41030	2009-2014	KfW	10,000,000	BC1 / FU2 / LL1	GA2 / PE / CS / FC / AI	GG1 / EC1 / LE0	1

Data source ¹	Project / activity titles	Sector Code ²	Start / Period	Implementing Organisation ³	EUR	Objectives ⁴	Target Areas ⁵	Approaches ⁶	DQ ⁷
Cameroon									
CRS / IATI / DKF	Supporting the Implementation of the National Forestry and Environmental Programme (ProPSFE)	31210	2010-2015	GIZ / GIZd	19,187,354	BC1 / FU2 / LL1	GA2 / PE1 / CS1 / FC0 / AIO	GG2 / EC2 / LE0	3
IATI / DKF	Support to implementation of national forest and environmental program	31210	2012-??	?? (GIZ?)	22,000,000	BC1 / FU2 / LL1	GA2 / PE1 / CS1 / FC0 / AIO	GG2 / EC2 / LE0	1
IATI	Sustainable Management of Natural Resources - South West Region (PSMNR-SWR)	41030	2012-??	?? (KfW?)	10,000,000	BC1 / FU2 / LL1	GA2 / PE / CS / FC / AI	GG1 / EC1 / LE0	1
IATI	Klimaschutz - REDD	31220	2012-??	??	10,000,000	BC1 / FU1 / LL1	GA / PE / CS / FC / AI	GG0 / EC0 / LE0	1
Democratic Republic of the Congo									
CRS / IATI	Sustainable Natural Resource Management I	41030	2005-2015	KfW	11,000,000	BC1 / FU1 / LL1	GA / PE / CS / FC / AI	GG1 / EC1 / LE0	1
IATI	Sustainable Natural Resource Management II	41030	2008-??	KfW	15,000,000	BC1 / FU1 / LL1	GA / PE / CS / FC / AI	GG1 / EC1 / LE0	1
CRS / IATI / DKF?	Biodiversity Conservation and Sustainable Forest Management	41010	2008-2014	GIZ	28,000,000	BC1 / FU1 / LL1	GA2 / PE1 / CS1 / FC1 / AI1	GG2 / EC1 / LE0	3
IATI / DKF?	Biodiversity Conservation and Sustainable Forest Management (TC-Module)	41010	2012-2016	GIZ / GIZd	25,300,000	BC1 / FU1 / LL1	GA2 / PE1 / CS1 / FC1 / AI1	GG2 / EC1 / LE0	3
IATI / DKF?	Biodiversity Conservation and Sustainable Forest Management	41030	2009-??	KfWd	40,000,000	BC2 / FU1 / LL1	GA1 / PE / CS1 / FC1 / AI	GG2 / EC1 / LE0	2
IATI	Biodiversitätserhalt & nachhaltige Waldbewirtschaftung (sustainable resource management)	41030	2012-??	??	10,000,000	BC2 / FU1 / LL0	GA / PE / CS / FC / AI	GG1 / EC1 / LE0	1
IATI / DKF	Treuhandfonds zur Unterstützung des nationalen Wald- und Naturschutzprogramms	41030	2012-??	KfW	15,000,000	BC2 / FU1 / LL1	GA2 / PE / CS / FC / AI	GG2 / EC0 / LE0	1
CRS / IATI / DKF	Maiko National Park Management	41030	2011-2013	FZS	499,905	BC2 / FU1 / LL0	GA2 / PE / CS / FC / AI	GG2 / EC0 / LE0	1
IATI	Integrated rural environment protection program on the High Plateau of Minembwe	31130	2011-2014	OXFAM	444,390	BC2 / FU1 / LL1	GA / PE / CS1 / FC1 / AI	GG1 / EC1 / LE0	1
IATI	Reforestation and education for Forest management in Eastern	31220	2013-2017	LHL	287,046	BC1 / FU2 / LL1	GA / PE / CS1 / FC1 / AI	GG1 / EC1 / LE1	1
CRS / ICI / DKF / DKF	Ngiri Triangle Integrated Conservation Project I & II	41030	2008-2013	KfW / WWF	2,596,388	BC2 / FU1 / LL1	GA1 / PE / CS1 / FC1 / AI	GG2 / EC1 / LE0	3
CRS / ICI / DKF	Assessment and Development of a Modernized, Expanded Network of Protected Areas	41030	2009-2014	WWF	1,999,361	BC2 / FU0 / LL0	GA2 / PE / CS2 / FC1 / AI	GG2 / EC0 / LE0	3
ICI / DKF / DKF?	Development of a Carbon Storage Map and Carbon Payment Modell Regions for the DRC Forest Belt	41030	2012-2016	KfW / WWF	6,100,000	BC1 / FU2 / LL1	GA2 / PE1 / CS / FC1 / AI	GG1 / EC2 / LE0	2

Data source ¹	Project / activity titles	Sector Code ²	Start / Period	Implementing Organisation ³	EUR	Objectives ⁴	Target Areas ⁵	Approaches ⁶	DQ ⁷
Indonesia									
CRS / IATI	Forestry Program I (Support for the Ministry of Forestry)	31210	2007-2014	KfW	20,000,000	BC1 / FU2 / LLO	GA2 / PE / CS / FC / AI	GG1 / EC2 / LE0	1
IATI / DKF	Forestry Program II (REDD+)	31210	2011-2013	KfWd	23,000,000	BC2 / FU1 / LL1	GA2 / PE / CS / FC1 / AI	GG2 / EC1 / LE0	3
CRS / IATI / DKF	Policy Advice on Environment and Climate Change (PAKLIM I)	41010	2008-2014	GIZ	8,617,987	BC0 / FU1 / LL1	GA2 / PE1 / CS1 / FC / AI	GG2 / EC1 / LE0	3
CRS / IATI / DKF	Policy Advice on Environment and Climate Change (PAKLIM II)	41010	2013-2016	GIZ / GIZd	13,747,000	BC0 / FU1 / LL1	GA2 / PE1 / CS1 / FC / AI	GG2 / EC1 / LE0	3
CRS / IATI / DKF	Forests and Climate Change (FORCLIME I)	31210	2007-2013	GIZ / GIZd	9,966,913	BC1 / FU2 / LL1	GA2 / PE1 / CS1 / FC1 / AI	GG2 / EC1 / LE0	3
CRS / IATI / DKF	Forests and Climate Change (FORCLIME II)	31210	2012-2016	GIZ / GIZd	14,811,500	BC1 / FU2 / LL1	GA2 / PE1 / CS1 / FC1 / AI	GG2 / EC1 / LE0	3
IATI / DKF	Forestry Program III (Sulawesi)	31210	2012-2017	KfW	13,500,000	BC1 / FU1 / LLO	GA / PE / CS / FC / AI	GG2 / EC1 / LE0	1
IATI	Water, sanitation, reforestation, and credit program, South-East-Sulawesi, Indonesia	43040	2010-??	GeDo	694,824	BC1 / FU2 / LL1	GA / PE / CS / FC / AI	GG0 / EC2 / LE1	1
CRS / IATI	Networking on Sustainable Forestry & Resource Management aiming at the defense of Land Rights	31220	2009-??	KZE	230,000	BC1 / FU1 / LL2	GA / PE / CS / FC2 / AI	GG0 / EC1 / LE2	1
CRS / IATI	Climate Community Sovereignty	41020	2010-??	KZE	160,000	BC1 / FU2 / LL2	GA / PE / CS / FC2 / AI	GG0 / EC2 / LE2	1
CRS / IATI / DKF	Climate justice and sustainable livelihoods in Indonesia	41010	2011-??	KZE	88,000	BC1 / FU1 / LL2	GA / PE / CS / FC2 / AI	GG0 / EC0 / LE2	1
CRS / IATI / DKF	Sustainable and climate-sensitive forest Management, Jambi	41030	2011-??	KZE	140,000	BC1 / FU2 / LL1	GA / PE / CS / FC2 / AI	GG0 / EC1 / LE2	1
CRS / IATI / DKF	Securing rights of indigenous peoples in planned oil palm plantation expansion areas	15160	2011-??	KZE	250,000	BC1 / FU1 / LL2	GA / PE / CS / FC2 / AI	GG0 / EC0 / LE2	1
CRS / IATI / DKF	Community initiative to protect food production area from oil palm expansion in Sumatra	15150	2011-??	KZE	270,000	BC0 / FU1 / LL2	GA / PE / CS / FC2 / AI	GG0 / EC0 / LE2	1
CRS / ICI / DKF	Harapan Ecosystem Restoration Concessions	31220	2009-2013	KfW	7,575,000	BC2 / FU2 / LL1	GA / PE2 / CS1 / FC / AI	GG0 / EC2 / LE0	3
CRS / ICI / DKF	Securing Natural Carbon Sinks and Habitats in the 'Heart of Borneo'	41030	2009-2013	KfW / WWF	870,055	BC2 / FU1 / LL1	GA2 / PE1 / CS / FC1 / AI	GG2 / EC1 / LE0	3
ICI / DKF	Biodiversity and Climate Change	41030	2013-2016	GIZ / GIZd	3,800,000	BC2 / FU1 / LL1	GA2 / PE / CS / FC1 / AI	GG2 / EC1 / LE0	2
ICI / DKF	Climate Change Mitigation and Species Conservation in the Leuser Ecosystem Sumatra		2013-2019	KfW	8,500,000	BC2 / FU1 / LL1	GA2 / PE / CS / FC1 / AI	GG2 / EC1 / LE0	2
ICI / DKF	Ecosystem Restoration Concessions to protect tropical rainforest in Indonesia		2012-2019	KfWd	8,100,000	BC2 / FU2 / LL1	GA / PE2 / CS1 / FC / AI	GG0 / EC2 / LE0	2
GIZd	Green Economy and Locally Appropriate Mitigation Actions in Indonesia (GE-LAMA-1)	41010	2013-2017	GIZ / GIZd	4,551,500	BC1 / FU1 / LL1	GA2 / PE / CS / FC / AI	GG1 / EC2 / LE0	1
Regional funding including Cameroon & DRC									
ICI	Climate Change Scenarios for the Basin (Cameroon/DRC)		2009-2013	GIZ	1,530,000	BC1 / FU2 / LLO	GA2 / PE / CS / FC / AI2	GG2 / EC1 / LE0	3
IATI	Certified Sustainable Forestry Management (SFM) in the Basin (Cameroon/DRC)	31220	2008-2015	KfW	10,000,000	BC1 / FU2 / LLO	GA / PE / CS / FC / AI	GG1 / EC2 / LE0	1

Data source ¹	Project / activity titles	Sector Code ²	Start / Period	Implementing Organisation ³	EUR	Objectives ⁴	Target Areas ⁵	Approaches ⁶	DQ ⁷
Regional funding including Cameroon & DRC									
IATI	Regional Support for the Central Africa Forests Commission (COMIFAC) (Cameroon/DRC)	41010	2005-2014	GIZ	4,000,000	BC2 / FU2 / LL1	GA2 / PE / CS1 / FC / AI	GG2 / EC2 / LE0	3
IATI	Sustainable forest management in the Basin, Regional support for COMIFAC (Cameroon/DRC)	41010	2011-2015	GIZ / GIZd	10,700,000	BC2 / FU2 / LL1	GA2 / PE / CS1 / FC / AI	GG2 / EC2 / LE0	3
IATI	Sustainable forest management in the Basin, Regional support for COMIFAC (Cameroon/DRC)	41030	2013-??	???	9,000,000	BC2 / FU2 / LL1	GA2 / PE / CS1 / FC / AI	GG2 / EC2 / LE0	1
Regional funding including Cameroon & DRC									
IATI	Sustainable forest management in the Basin, Access and Benefit-Sharing ABS (Cameroon/DRC)	41030	2013-??	DEG (KfW)	4,500,000	BC1 / FU2 / LL1	GA / PE1 / CS1 / FC / AI	GG1 / EC2 / LE0	1
IATI	Sustainable forest management in the Basin (TNSF) (Cameroon/DRC)	41030	2010-2015	KfW	20,000,000	BC2 / FU1 / LLO	GA / PE / CS / FC / AI	GG2 / EC1 / LE0	1
IATI	Sustainable forest management in the Basin, TNSF Lobeke Park (Cameroon)	41030	2011-??	???	5,500,000	BC2 / FU1 / LLO	GA / PE / CS / FC / AI	GG2 / EC1 / LE0	1
IATI	Sustainable forest management in the Basin, Yamoussa Park (Cameroon)	41030	2013-??	???	6,900,000	BC2 / FU1 / LLO	GA / PE / CS / FC / AI	GG2 / EC1 / LE0	1
IATI	Transboundary use and protection of natural resources in the SADC-region (DRC)	41030	2012-2015	GIZ / GIZd	5,710,000	BC2 / FU1 / LL1	GA2 / PE / CS1 / FC / AI	GG2 / EC0 / LE0	3
IATI	Training facilities & programs for wildlife rangers & managers in the SADC region (DRC potentially)	41030	2011-??	KfWd	10,000,000	BC2 / FU1 / LLO	GA2 / PE / CS / FC / AI	GG2 / EC1 / LE0	3
ICI	Development of Integrated MRV Systems for REDD+ in the SADC region (DRC potentially)	31220	2011-2015	GIZ / GIZd	3,764,260	BC0 / FU2 / LLO	GA2 / PE / CS / FC / AI	GG1 / EC2 / LE0	3
Regional funding including Indonesia									
IATI	Biodiversity and Climate Change Project with ACB	41030	2010-2015	GIZ / GIZd	5,200,000	BC2 / FU1 / LLO	GA / PE / CS / FC / AI	GG2 / EC1 / LE0	1
IATI	Adaption and Mitigation Strategies in Support of AFCC (GAP-CC)	41010	2010-2015	GIZ / GIZd	3,667,000	BC1 / FU2 / LLO	GA2 / PE / CS / FC / AI1	GG1 / EC2 / LE0	3
IATI	ASEAN Biodiversity Centre Small Grants Program	41030	2011-??	KfWd	10,000,000	BC2 / FU1 / LL1	GA1 / PE / CS1 / FC1 / AI	GG1 / EC1 / LE1	2
ICI	Forest and Landscape Restoration in Key Countries		2013-2017	IUCN / WRI	2,998,593	BC2 / FU0 / LLO	GA1 / PE / CS1 / FC / AI	GG2 / EC0 / LE0	2
GIZd	Forestry and Climate Change (FOR-CC) (ASEAN AFCC)	41010	2014-2017	GIZ / GIZd	4,800,000	BC1 / FU2 / LLO	GA2 / PE / CS / FC / AI	GG2 / EC1 / LE0	1

¹ CRS: OECD Creditor Reporting System; DKF: Deutsche Klimafinanzierung data bank; GIZd: GIZ project data; IATI: International Aid Transparency Initiative data bank; ICI: BMUB International Climate Initiative; KfWd: KfW project data

² 151xx: Government and Civil Society general; 311xx: Agriculture Sector; 312xx: Forestry Sector; 410xx: Environment Sector (General Environmental Protection); 430xx: Other Multi sector

³ BMZ: Funding by BMZ, implementing organization unspecified; EZE: Evangelische Zentralstelle für Entwicklungshilfe; FeMi: German Fed-

eral Ministries unspecified; FZS: Frankfurt Zoological Society; GeDo: German Doctors e.V.; GIZ: Deutsche Gesellschaft für Internationale Zusammenarbeit; KfW: Kreditanstalt für Wiederaufbau; KZE: Katholische Zentralstelle für Entwicklungshilfe; LHL: Lernen-Helfen-Leben e.V.; NGO: Non-governmental Organization unspecified; UNESCO: United Nations Educational, Scientific and Cultural Organization; WWF: World Wide Fund for Nature

⁴ BC: Biodiversity Conservation; FU: Forest Utilization; LL: Local Livelihoods

⁵ GA: Government Agencies; PE: Private Enterprises; CS: Civil Society; FC: Forest dependent Communities; AI: Academic Institutions

⁶ GG: Global Governance Approach; EC: Economization Approach; LE: Local Empowerment Approach

⁷ 1: Only very basic data available; 2: Basic data and additional information on objectives and/or target groups available; 3: Further information on instruments, activities or results available

